Journal of Social Sciences & Humanities

About the Journal

Overview

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

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

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

The Journal is available world-wide.

Aims and scope

Pertanika Journal of Social Sciences & Humanities aims to develop as a pioneer journal for the social sciences with a focus on emerging issues pertaining to the social and behavioural sciences as well as the humanities.

Areas relevant to the scope of the journal include Social Sciences—Accounting, anthropology, Archaeology and history, Architecture and habitat, Consumer and family economics, Economics, Education, Finance, Geography, Law, Management studies, Media and communication studies, Political sciences and public policy, Population studies, Psychology, Sociology, Technology management, Tourism; Humanities—Arts and culture, Dance, Historical and civilisation studies, Language and Linguistics, Literature, Music, Philosophy, Religious studies, Sports.

History

Pertanika was founded in 1978. A decision was made in 1992 to streamline Pertanika into three journals as Journal of Tropical Agricultural Science, Journal of Science & Technology, and **Journal of Social Sciences & Humanities** to meet the need for specialised journals in areas of study aligned with the interdisciplinary strengths of the university.

After almost 25 years, as an interdisciplinary Journal of Social Sciences & Humanities, the revamped journal focuses on research in social and behavioural sciences as well as the humanities, particularly in the Asia Pacific region.

Goal of *Pertanika*

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

Quality

We aim for excellence, sustained by a responsible and professional approach to journal publishing. Submissions are guaranteed to receive a decision within 14 weeks. The elapsed time from submission to publication for the articles averages 5-6 months.

Abstracting and indexing of *Pertanika*

Pertanika is **40 years old**; this accumulated knowledge has resulted in Pertanika JSSH being abstracted and indexed in **SCOPUS** (Elsevier), Thomson (ISI) **Web of Science™ Core Collection** Emerging Sources Citation Index (ESCI). Web of Knowledge [BIOSIS & CAB Abstracts], **EBSCO** and EBSCOhost, **DOAJ**, **Google Scholar**, **TIB**, **MyCite**, **ISC**, **Cabell's Directories** & Journal Guide.

Future vision

We are continuously improving access to our journal archives, content, and research services. We have the drive to realise exciting new horizons that will benefit not only the academic community, but society itself.

Citing journal articles

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

Publication policy

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

Code of Ethics

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

International Standard Serial Number (ISSN)

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

Journal of Social Sciences & Humanities: ISSN 0128-7702 *(Print)*; ISSN 2231-8534 *(Online)*.

Lag time

A decision on acceptance or rejection of a manuscript is reached in 3 to 4 months (average 14 weeks). The elapsed time from submission to publication for the articles averages 5-6 months.

Authorship

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

Manuscript preparation

Refer to Pertanika's **INSTRUCTIONS TO AUTHORS** at the back of this journal.

Most scientific papers are prepared according to a format called IMRAD. The term represents the first letters of the words **I**ntroduction, **M**aterials and Methods, **R**esults, **A**nd, **D**iscussion. IMRAD is simply a more 'defined' version of the "IBC" [Introduction, Body, Conclusion] format used for all academic writing. IMRAD indicates a pattern or format rather than a complete list of headings or components of research papers; the missing parts of a paper are: *Title, Authors, Keywords, Abstract, Conclusions*, and *References*. Additionally, some papers include Acknowledgments and Appendices.

The *Introduction* explains the scope and objective of the study in the light of current knowledge on the subject; the *Materials and Methods* describes how the study was conducted; the *Results* section reports what was found in the study; and the *Discussion* section explains meaning and significance of the results and provides suggestions for future directions of research. The manuscript must be prepared according to the Journal's **INSTRUCTIONS TO AUTHORS**.

Editorial process

Authors are notified with an acknowledgement containing a *Manuscript ID* on receipt of a manuscript, and upon the editorial decision regarding publication.

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

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

As articles are double-blind reviewed, material that might identify authorship of the paper should be placed only on page 2 as described in the first-4 page format in Pertanika's **Instructions to Authors** given at the back of this journal.

The Journal's peer-review

In the peer-review process, three referees independently evaluate the scientific quality of the submitted manuscripts.

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

Operating and review process

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

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

2. The Chief Executive Editor sends the article-identifying information having been removed, to three reviewers. Typically, one of these is from the Journal's Editorial Board Members. Others are specialists in the subject matter represented by the article. The Chief Executive Editor requests them to complete the review in three weeks.

    Comments to authors are about the appropriateness and adequacy of the theoretical or conceptual framework, literature review, method, results and discussion, and conclusions. Reviewers often include suggestions for strengthening of the manuscript. Comments to the editor are in the nature of the significance of the work and its potential contribution to the literature.

3. The Chief Executive Editor, in consultation with the Editor-in-Chief, examines the reviews and decides whether to reject the manuscript, invite the author(s) to revise and resubmit the manuscript, or seek additional reviews. Final acceptance or rejection rests with the Editor-in-Chief, who reserves the right to refuse any material for publication. In rare instances, the manuscript is accepted with almost no revision. Almost without exception, reviewers' comments (to the author) are forwarded to the author. If a revision is indicated, the editor provides guidelines for attending to the reviewers' suggestions and perhaps additional advice about revising the manuscript.

4. The authors decide whether and how to address the reviewers' comments and criticisms and the editor's concerns. The authors return a revised version of the paper to the chief executive editor along with specific information describing how they have answered' the concerns of the reviewers and the editor, usually in a tabular form. The author(s) may also submit a rebuttal if there is a need especially when the author disagrees with certain comments provided by reviewer(s).

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

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

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

    The Publisher ensures that the paper adheres to the correct style (in-text citations, the reference list, and tables are typical areas of concern, clarity, and grammar). The authors are asked to respond to any minor queries by the Publisher. Following these corrections, page proofs are mailed to the corresponding authors for their final approval. At this point, **only essential changes are accepted**. Finally, the article appears in the pages of the Journal and is posted on-line.

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Foreword

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

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

This issue contains 48 articles; 3 are review articles and the rest are regular articles. The authors of these articles come from different countries namely India, Indonesia, Iran, Japan, Malaysia, Maldives, Nigeria, Oman, Philippines and South Africa.

Articles submitted in this issue cover various scopes of Social Sciences and Humanities including accounting, anthropology, architecture and habitat, arts and culture, consumer and family economics, economics, education, finance, language and linguistics, law, media and communication studies, political sciences and public policy, psychology, religious studies, sociology, sports, technology management and tourism.

Selected from the scope of language and linguistics is an article entitled "Facebooking" across Asia – Learning English along the Way?" by Muhammad Kamarul Kabilan, Malini Ganapathy, Eric Bray, Gin Gin Gustine and Mizna Qasim, fellow researchers from different countries, of Malaysia, Japan, Indonesia and Maldives. The study was carried out internationally, involving Malaysia, Japan, Indonesia and Maldives to investigate and compare higher education students' perceptions of Facebook as an environment for learning English. Using survey questionnaire, they found that learners from the four countries view Facebook as an online environment that encouraged and facilitated incidental learning of English, but with a few variations according to the countries. The researchers also discussed several implications on the use of Facebook for English language teaching and learning in higher education. Details of the article is available on page 35.

Selected from the scope of education is an article entitled "Teachers' Work Culture in an Islamic Junior High School in Lampung, Indonesia" by Siti Patimah, fellow researcher from Universitas Islam Negeri Raden Intan Lampung. The study was conducted to see how the cultural values such as integrity, professionalism, innovation, responsibility and exemplariness were utilized in working environment at Islamic junior high school in Indonesia. They conducted the study with Focus Group Discussion and interviews with teachers, leaders, school committees, staff and students from three different schools on Lampung, Indonesia, and yielded an unsatisfactory result. The reasons for this were lack of communication, limited human resources in the field of technology, and poor understanding of rules and applicable laws. Details of the article is available on page 123.

Selected from the scope of consumer and family economics is an article entitled "The Relationship between Attitude towards Money, Financial Literacy and Debt Management with Young Worker's Financial Well-being" by Nuraini Abdullah, Sabri Mohamad Fazli and Afida Mastura Muhammad

Arif, fellow researchers from Universiti Putra Malaysia, Malaysia. The study attempted to analyse the relationship between attitudes towards money, financial literacy and debt management towards financial well-being of young workers. A total of 508 respondents aged 40 and below was selected using multi-stage random sampling technique. The study found out that analysis using Pearson's correlation showed that there were a positive relationship between financial literacy, debt management, attitudes towards money towards financial well-being. Details of the article is available on page 361.

Selected from the scope of sports is an article entitled "Performance Strategies Across Team and Individual Sports of Negeri Sembilan Athletes" by Mazlan Ismail, a fellow researcher from Universiti Teknologi MARA, Malaysia. The study was carried out with the objective of to determine the differences in the use of performance strategies of Negeri Sembilan Sukan Malaysia (SUKMA) 2014 athletes during practice and competition. Test of Performance Strategies (TOPS) questionnaire was given to 142 athletes during the final camp before competing in the competition. They found out that individual athletes were better in using performance strategies during practice (i.e., goal setting, relaxation and self-talk) and competition condition (i.e., goal setting and self-talk) compared to team sport athletes. The study suggested the idea of using the psychological skills training for coaches and sport psychologist in order to help athletes improve their performance. Details of the article is available on page 685.

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

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

We would also like to express our gratitude to all the contributors, namely the authors, reviewers, Editor-in-Chief and Editorial Board Members of JSSH (Prof. Ain Nadzimah Abdullah and Dr. Vahid Nimehchisalem), who have made this issue possible.

JSSH is currently accepting manuscripts for upcoming issues based on original qualitative or quantitative research that opens new areas of inquiry and investigation.

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PERTANIKA JOURNALS

Endangered Intergenerational Language Transmission: Evidence from the Indigenous Dusun Society of Sabah, Malaysia

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ABSTRACT

This is an attempt to determine factors contributing to endangered intergenerational language transmission of mother tongue as a home language. A survey was conducted using four questionnaires to collect data from 120 students of the Dusun ethnic group living in a rural area in Sabah, Malaysia. At the time of the study, the respondents were around 15 years of age. They have learned the standard Dusun language in the primary school. A set of determining factors was used to evaluate the endangered indigenous language. Findings indicated that intergenerational language transmission of the mother tongue as a home language has been severely endangered. Majority of the students agreed that the trend in the existing Dusun language domain was highly limited. Meanwhile, utilisation of the endangered language in new domains and media was minimal. Some external factors such as social needs have triggered a widespread change than simple addition of new vocabulary items. In more specific, changes in the social needs have led to a change in linguistic vitality among the people of this indigenous community despite the implementation of pre-school and post-school reinforcements by the responsible party in Sabah. Finally, three initiatives for language revitalisation are proposed. These include increasing the important status of this language in the society, systematic instruction in schools, and utilising the language for information and communication knowledge. The paper should be of interest to those in the areas of Malaysian languages and ethno-linguistics.

Keywords: Endangered language, indigenous Dusun, intergenerational language transmission, language revitalisation

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Roslan Suhailin, Sharil Nizam Sha'ri and Daisy Paul

INTRODUCTION

With around 17.8% speakers of the overall population in Sabah, Dusun is the largest indigenous ethnic group in the state (Adnan & Hamdan, 2013). Their primary settlements concentrated in two areas, namely, the West Coast, in the regions of the interior, and the eastern coastal regions which are considered as the homeland for 12 subgroups of the Dusun community. Despite the variation in their dialects, communications between the these tribes are not altogether hampered, thanks to the fact that they share a common ancestry, with speakers from one tribe have the knowledge of, or are aware of the equivalent vocabulary of the other tribal factions. The inculcation of the Dusun language was implemented by Sabah's state government in 1997 after an early indication of a significant decline in the number of its native speakers over the past years. Such an effort is laudable though it was rather limited to teaching and learning in several main schools in the state. The gradual changes and nature of the factors involved have threaten the Dusun language vitality, and this fact suggests that the vitality of a minority language does not depend entirely on the size of the community (Ehala, 2010).

Malay, as a dominant language, is pervasive and it tends to expropriate the subordinate the role of the Dusun language as the mother tongue. The Dusun language should be passed on to the future generation through intergenerational language transmission. However, exposure to the mother tongue gradually decreases as the dominant language has started to take over the daily communication.

Previous research on intergenerational language transmission has found that parental language use was a foremost causative issue (Portes & Rumbaut, 2001). In general, members of ethno-linguistic minorities tend to use the more dominant language if it has a socio-economic importance value. Over the past few years, the main concern has been the decline in the use of the mother tongue among the younger generation. The Dusun language status is classified as 6b (threatened) by Wurm and Hattori (1981). The main reason behind the declining use of the mother tongue as the main language spoken at home is due to speakers' tendency to selecting and incorporating Malay lexical relevant to the Dusun language. According to Dani, Jaffar, Seruji, and Amir (2011), such Malay words thrive in the Dusun language and are used for everyday speech.

There is fear that the mother tongue may eventually be lost if nothing is done to reverse this worrying trend. This concern has been expressed by the community members stating that there should be a concerted effort to preserve and promote the language. Better known as the Kadazandusun language, it incorporates the dialects of the sub-tribes. The consecutive teaching commenced as a trial at 15 selected primary classes throughout Sabah. These chosen schools were required to have a mainstream of Dusun pupils and knowledgeable language teachers. For the year 2000 and beyond, the teaching of the Kadazandusun language is implemented to years 4, 5 and 6, or for pupils aged 9, 10 and 11 years throughout Sabah.

Ever since the implementation phase of teaching in 1997, the Kadazandusun language has been exposed to a total of 27,453 primary and secondary school students by 976 language teachers at 628 primary and secondary schools in 13 districts. In addition, the Kadazandusun language was also offered as an elective subject at the state's local university from 1998, and as a minor programme in 2010. As of June 2012, the first batch of 20 students for the Bachelor in Preparatory Programme in teaching the language began their studies at Tuaran Kent Teacher Institute (Lasimbang, 2013). These seem to show the tremendous effort done to ensure the vitality of the language, or at least, that is the positive impression of it. At the same time, however, merely reporting the implementation of the language in schools and higher institution does not consolidate the oral communication within the society. It is also important to determine whether the present young generation will still continue to leverage the language. Based on the writer's experience as the native speaker of the language, it is rather obvious that despite the many efforts by the relevant authorities, the use of the Dusun language as the mother tongue among the new generation remains low or unsatisfactory.

Reversing Language Shift Theory was introduced by Fishman (1991). The theory describes the socio-functions of language use from the point of view of reversing language shift efforts for the purpose of attaining and augmenting intergenerational mother-tongue transmission. Fishman was responsible for developing the Graded Intergenerational Disruption Scale (GIDS) based on minority language function. The GIDS provides a means of evaluating where a language is on this scale of disruption from full use by many users to no use by any users. As the number of domains associated with a language begins to diminish (that is, as the language loses its uses), parents may decide that the language is a less valuable resource for their children than another language, and so the language begins to lose users as well. Fishman's 8-level GIDS focuses on the key role of intergenerational transmission in the maintenance of a language. The most notable stage is stage 6, which represents the intergenerational transmission in mother tongue language. It clearly provides key to language revitalisation. The degree of any endangered language is marked in a range, from stable to extinction. The possible cause to consider is non-trivial language contact as explained by Thomason (2001). Language contact takes its tool when members in a speech community accept foreign elements as a norm (Coates, 1993). The infiltration of external foreign elements can therefore be extensive.

The assertion that the Dusun language changes signifies the speakers' liking in borrowing vocabulary from other languages. The inclination in adopting foreign lexical for daily interaction gradually accentuates code mixing. Taking into account the notion of base or host language for a pertinent analysis of code mixing, it makes sense to think of the base language as the dominant language of the bilingual speaker making

the switch, since that language is the most important one in determining one's verbal behaviour (Appel & Muysken, 2005). The speaker gradually switches to the second language and eventually stops using the mother tongue (Černý, 2010). Verschueren, Östman, and Blommaert (2001) believed that good-paying jobs affected the parents' choice of language for their children. The formal learning environment and the instrumental importance of the Malay and English languages have dominated the social interaction, while the mother tongues are increasingly marginalised at the same time (David, Cavallaro, & Coluzzi, 2009). This proves that the gradual changes and nature of the factors involved have contributed to the Dusun language vitality threat. Therefore, this study seeks to find the current threat on intergenerational language transmission of the mother tongue as a home language.

MATERIALS AND METHODS

A survey was conducted using four questionnaires related to intergenerational language transmission, native speakers in the Dusun speech community, the current language setting, and response to new domains. A set of determining factors, that allow the researcher to evaluate the endangered Dusun language, are referred to as factors 1 (intergenerational language transmission), 2 (native speakers in the Dusun speech community), 3 (the current language setting) and 4 (Response to New Domains). The proposed questionnaires were tailored to the diversity of local circumstances adapted from Dwyer (2011).

Sample and Selection of the Participants

Random sampling was used to select 50 percent samples from a population of 220 Dusun students in two secondary schools of Ranau district. Approximately 120 teenagers aged 15 were chosen for this study. They represented their speech community from the rural locality regardless of gender. They were selected based on the fact that they had learned the standard Kadazandusun language in primary school and had less contact with speakers of other languages compared to their counterparts living in urban areas.

In this study, the accessible population comprised a sample of 120 Dusun secondary school students (74 male and 46 females) residing within the area marked 95 Central Dusun, as shown in Figure 1. Ranau district, which is located in area 95, comprises more than ten villages and is inhabited by the indigenous Dusun people. The language throughout the area has been classified as threatened by Wurm and Hattori (1981).

The selected students met during school hours to complete questionnaires for the study. They were informed about their involvement in the study via a memo presented by the headmaster to the teacher of each class. The questionnaires were administered by the researcher for a group of 8-12 students per session. Each questionnaire took around five minutes to answer. The survey was conducted as part of an educational project to revise the standard language curriculum in primary school. Prior to this study, the Primary School

Standard Curriculum for elective subjects was not implemented. Written language used throughout the questionnaire is Malay, and the national language of Malaysia is used in public, schools and mass media.
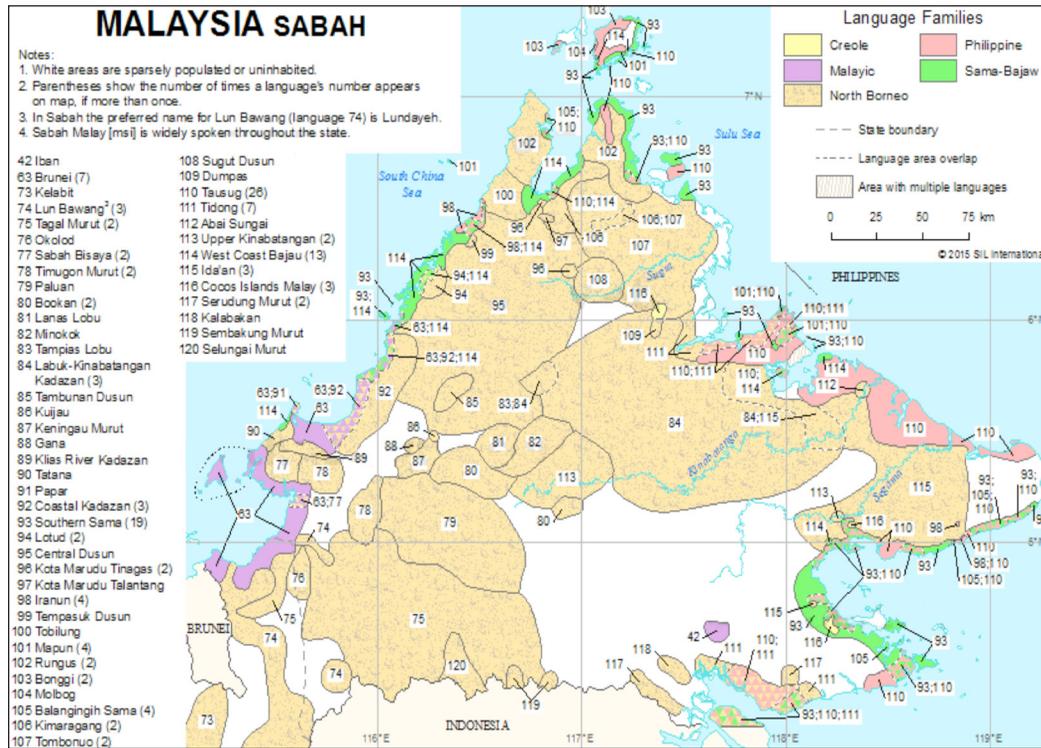
Figure 1. Language families in Sabah, Malaysia (Wurm & Hattori, 1981)

Assessments and Measures

The assessment tool was adopted from Dwyer (2011). Four factors were used to assess the language current threat. The variables were graded from 0-5. Zero marks the absolute shift to a new language interpreted as extinct, while five represents the vitality of a language that is interpreted as safe.

For factor 1 (Intergenerational language transmission), the mother tongue is said to be safe if it is at grade 5. It is still used by the speakers, and being passed down from generation to generation.

For factor 2 (Native speakers in the Dusun speech community), a group of speakers in a speech community is a more accurate indicator of language vitality compared to unknown population (Dwyer, 2011).

The language assessment for factor 3 (The current language setting) will determine where, with whom, and topic variety used within a language. The more consistent and continuous language utilisation is, the stronger the language turns out to be. The language is said to be idyllic if it is used in all domains.

For factor 4 (Response to New Domains), new domains comprise of schools, vocation vicinity, mass media, as well as broadcasters and international net. The language is dynamic if it is applicable in every latest domain.

The degrees of language endangerment are examined according to the scale index. A 5-point score is assigned for each factor (except for factor 2). From a summation matrix of the scores, the degree of endangerment and urgency for revitalisation efforts can be determined.

RESULTS AND DISCUSSION

The results related to Factor 1 are shown in Table 1. The data indicate that for the group as a whole, intergenerational language transmission is at Grade 2 of the language endangerment scale, which refers to as 'severely endangered'.

The observed counts and column percentages in Table 1 indicate that 50 males (42%) and 34 females (28%) agreed that the intergenerational language transmission is severely endangered. It can be concluded that the males are somewhat more worried about the degree of intergenerational language transmission than their female counterpart. Meanwhile, the overall count revealed that as many as 84 (out of 120 respondents) chose scale 2, i.e. severely endangered. The language is used mostly by grandparental generation onwards.

Table 2 indicates that Scale 1 (critically endangered) seems to be reasonably well

Table 1
Intergenerational language transmission cross tabulation

| Degree | Gender | | | Total |
	Scale	Male	Female	
Critically endangered	1	23 (19%)	12 (10%)	35 (29%)
Severely endangered	2	50 (42%)	34 (28%)	84 (70%)
Definitively endangered	3	1 (0.8%)	0	1 (1%)
Total	3	74 (62%)	46 (38%)	120 (100%)

Table 2
Native speakers in the Dusun speech community cross tabulation

| Degree | Gender | | | Total |
	Scale	Male	Female	
Critically endangered	1	23 (19%)	5 (4%)	28 (23%)
Severely endangered	2	17 (14%)	12 (10%)	29 (24%)
Definitively endangered	3	23 (19%)	20 (17%)	43 (36%)
Unsafe	4	8 (7%)	7 (5%)	15 (12%)
Safe	5	3 (3%)	2 (2%)	5 (5%)
Total		74 (62%)	46 (39%)	120 (100%)

preferred. It refers to the language being used mostly by the grandparental generation onwards. The male group response of twenty three (19%) is much higher compared the low rating of five (4%) by the female group.

As shown in Table 3, seventy one of the students agreed that the degree of language endangerment is at scale 1, which refers to as highly limited domains. The highest scale is obtained from forty nine or 41% of the male group compared to twenty two from the female group (18%). Therefore, the trend in the existing language domains indicates that the language is used only in a very restricted domain and for a very few functions.

Table 4 reveals that seventy one (59%) of the male students chose minimal on new domains and media compared to forty five (37%) of females. This finding can be interpreted as 'the language is used only in a few new domains.'

The overall response on four language endangerment factors related to the Dusun language is displayed in Figure 2. Intergenerational language transmission is on scale 2 (70%), on the degree of severely endangered, which is interpreted as 'the language is used mostly by the grandparental generation and up'. Meanwhile, the response on the proportion of speakers within the population is on scale 3 (36%), on the

Table 3
The current language setting cross tabulation

| Degree | Gender | | | Total |
	Scale	Male	Female	
Highly limited domains	1	49 (41%)	22 (18%)	71 (59%)
Limited or formal domains	2	12 (10%)	6 (5%)	18 (15%)
Dwindling domains	3	9 (8%)	13 (11%)	22 (19%)
Multilingual parity	4	2 (2%)	4 (3%)	6 (5%)
Universal use	5	2 (2%)	1 (1%)	3 (3%)
Total	5	74 (63%)	46 (38%)	120 (100%)

Table 4
Response to new domains cross tabulation

| Degree | Gender | | | Total |
	Scale	Male	Female	
Minimal	1	71 (59%)	45 (37%)	116 (96%)
Coping	2	3 (3%)	1 (1%)	4 (4%)
Total	2	74 (62%)	46 (38%)	120 (100%)

degree of definitively endangered, which is concluded as 'A majority speak the language'.

The highest number of responses for the trend in the existing language domains falls on scale 1 (59%), which is a highly limited domain (the language is used in restricted domains and for very few functions). The fourth factor (new domains and media accepted by the endangered language) lies on scale 1 (96%), which is used only in a few new domains.

Speakers of a language usually do not impose a negative attitude toward their language. They feel it is important to keep up with the identity through the language. On the other hand, if they consider the native language irrelevant, they will avoid using it in communication. If the speakers of a language community thought that the mother tongue is a hindrance to education achievement and economic progress within the majority groups, they would switch to another language that

	Intergenerational	Native speakers	Current setting	New domains
■ Scale 1	29%	23%	59%	96%
■ Scale 2	70%	24%	15%	4%
■ Scale 3	1%	36%	19%	
■ Scale 4		12%	5%	
■ Scale 5		5%	2%	
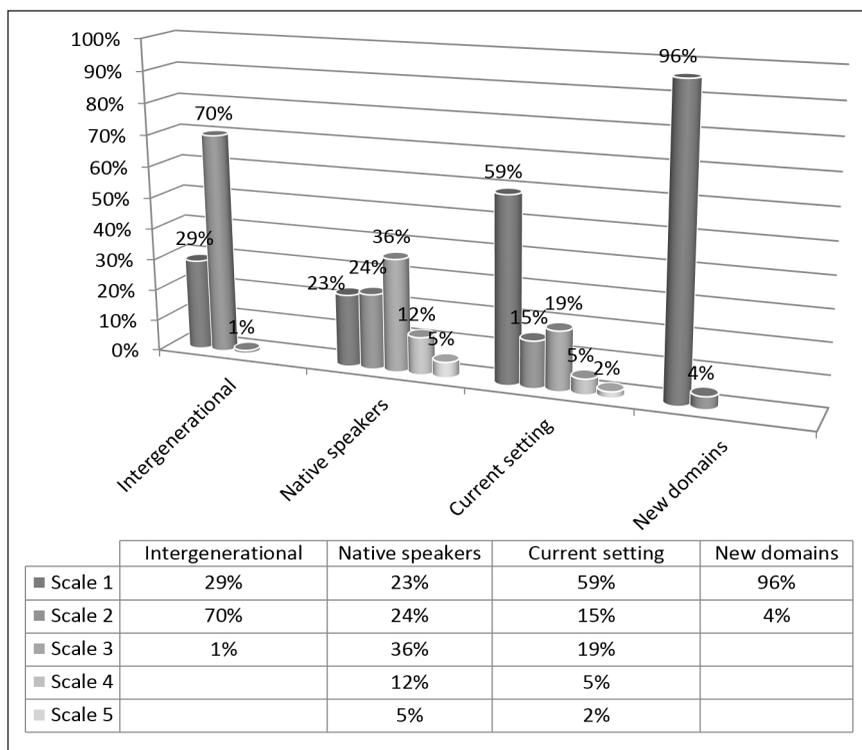
Figure 2. The overall responses on the 4 factors related to the Dusun language

fulfils their ultimate goals. Malay language is the main medium of instruction across Malaysia. As with other races in Malaysia, the Dusun people are not spared from using the Malay language in their daily communication as a base language. There may be several base languages, depending upon the criterion used. Such ambience

could encourage language change among the speech community. Whether or not the Dusun language is still the language in the home is doubtful (Dani, 1996). Nontrivial language contact previously explained by Thomason (2001) could be a possible cause, whereby at least some people use more than one language on contact situations. Language contact in this substantive sense does not require fluent bilingualism, but some form of communication between speakers of different languages is necessary. Nontrivial language contact plays an important part in the Dusun speakers' daily interactions. At the time of such contact, there will be exposure to other languages, which will eventually result in language change. Meaning or grammatical features formerly used by a certain group as a speech community is assimilated to the host language (Coates, 1993). The sociolinguistic factors which reside in the structure of language and the minds of the speakers are thus accounted for according to language change. According to Aitchison (1998), the infiltration of external foreign elements can therefore be extensive. However, it is not as chaotic as the substratum versus borrowing shows. Subsequently, Aitchison explains substratum as the importers of foreign elements consisting of imperfect learners. Simultaneously, she describes borrowing as the importers of unfamiliar elements consisting of pickers-up of useful bits.

As described by Fishman (1991), if every generation transmits their language to the new age group, the language will survive. In case the opposite happens,

another language will gradually oust the language as the primary language in socio linguistics. In general, the new generation will gain knowledge about the language from the elderly, except that they are exposed to the communally valuable Malay language at school. Language, which is highly regarded within the community, leads to changes through the use of the indigenous language. On the contrary, some speakers managed to develop a new domain for their native language. Social agents such as schools, fresh operational surroundings, international net and mass media broadcasting are normally controlled by the national or prevailing language. Even though the existing domain for the endangered language may not be gone astray, the more dominant language has an advantage in a new domain, such as the realm of a reality television show.

Voluntary adaptation, particularly in favour of the latter language, is regarded as having greater utility or prestige (Černý, 2010). In Malaysia, this is an observed fact as the Malay language is a compulsory or a must pass subject in schools in order to pursue to higher institution. Verschueren et al. (2001) believed that such instrumental motivation had influenced parents' livelihood and perception on the choice of language for their kids. Specific language requirements in the work force encourage parents to review the language exposure their kids must have in order to excel in life. Reid (1997) pointed out that in Malaysia, many educated parents prefered speaking to their children in Malay or English.

Reyhner (1999) suggested that parents speak the Dusun language at home, especially with the youngest generation and offered a model where fluent elders are teamed with younger learners, either in the form of so-called language nests or one-to-one, and this calls for language vitality. Crystal (2000) proposed six initiatives for language revitalisation, which began with increasing the language status in society, increasing capital, as well as legal power, systematic instruction, especially at a school or university; language inscription and utilisation of the information and communication knowledge. Of the six initiatives recommended by Crystal (2000), the first was perfected by the Dusun community as they are the majority tribe in Sabah. To their advantage, many local politicians originated from the same tribe. The second initiative is more directed to individual achievement. The third one relies heavily on the political will and it needs a majority support. The fourth and fifth were and are still being implemented by several parties in Sabah, while the last initiative is still in its infancy.

CONCLUSION

A curriculum that is properly planned and executed with the earnest effort apparently does not assure that the indigenous language is used for everyday speech, let alone the sustainability of the language. This is what taking place within the Dusun community in Sabah. It is time to engage the social aspects in the curriculum via

socio linguistic perspective. Ultimately, the results derived in this study have demonstrated that the Dusun language is unquestionably threatened. In particular, the Dusun language has lost its privileges as the language spoken at home by the younger generation. It does not abruptly turn out to be extinct. It becomes moribund since the community of speakers has gradually shifted to using another language. Some external factors like social needs have triggered a more wide-spread change than the simple addition of new vocabulary items. Moreover, changes in communal needs have also led to a change of linguistic vitality to the community despite pre-school and post-school reinforcements have been and are being done by the responsible party in Sabah.

There are several significant conclusions from this study in accordance with the socio linguistic current trend in the indigenous Dusun language. Youngsters change their lifestyles constantly, and this comes with a fresh language repertoire. There is no denying about the continuous exposure to the plural society in Malaysia even though the native speakers live in rural areas. Language change prevails in stages. According to informants, those between the age of 30 and 59 years have had their formal education in and could speak the Malay language, as well as the mother tongue and their first language at home, but they often use the Malay dialect of Sabah when interacting with their children and grandchildren. Meanwhile, the younger generation (25

years and below) uses the Malay dialect at home and in their day-to-day conversation. Although these groups are still grasping their mother tongue, they still prefer the Malay dialect. The most crucial is the young generation's language attitude is inclined towards their instrumental motivation and social interaction. Nonetheless, it is important to highlight that this research is limited to only one tribe in Sabah. The author proposes that future studies focus on comparing the situation of use of the Dusun language and other indigenous languages in Sabah.

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Translating Denotative Meaning in the Holy Quran: Problems and Solutions

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ABSTRACT

This article reports the findings of a research that aimed basically at examining the loss in denotative meaning in the translation of the Holy Quran, and how these losses can be reduced. It also identified the causes of the identified losses. Five ayahs were purposefully selected to address the research questions. The research results showed that loss in denotative meaning occurred due to many factors such as lack of equivalence and the translation strategies employed. This research also suggests solutions for the identified problems.

Keywords: Denotative meaning, translation loss, the Holy Quran, translation strategies

INTRODUCTION

Of the most challenging translations is translating the genre of religious texts, especially the Holy Quran. Throughout many years, translators have attempted to produce an accurate translation of the Holy Quran; however, the nature of the sacred text made their job strenuous. The Holy Quran is the words of Allah, and thus it is so sophisticated, versatile and pregnant with meaning to a point that makes

translating its meanings challenging. The Quranic discourse has its own distinctive features at the syntactic, semantic, cultural and rhetorical levels (Abdul-Raof, 2010). These features of the Quranic text together yield the supreme vividness, which is challenging for a translator. Moreover, translating the Holy Quran text is challenged by many obscurities, ambiguities and non-equivalence problems (Tabrizi & Mahmud, 2013).

Although great efforts have been shown by some translators to produce reliable translation into English, the quality of those translations is poor; the translated texts are either inaccurate or biased; and thus, most of the existing translations of the Holy

Quran suffer from serious shortcomings and limitations, which either distort the meanings of the sacred text of the Holy Quran, or make it incomprehensible (Al-Jabari, 2008; Abdul-Raof, 2005). These shortcomings can be viewed as semantic losses in the translation, which are the results of several causes such as differences in mapping vocabularies between different languages and the differences of the semantic fields between source languages and target languages.

Although losses in translation occur at different levels, loss in denotative meaning is considered the weightiest. Denotative meaning is the most important type of meaning that translation is concerned with, as it is the primary meaning that needs to be conveyed in the target language (TL). This type of meaning is the first meaning that a translator, in practice, seeks to find equivalents for in the TL. In this regard, Baker (1992) argued that one notion that should be considered in relation to the denotative meaning is semantic fields, and which refers to lexical concepts that shared semantic properties, or simply to the relatedness of meaning among the word class (Lobner, 2002). Baker believes that semantic fields are integral in the translation process for two reasons; the first reason is to assess the value of a given item in a lexical set, or to understand the differences between source text (ST) and target text (TT) structuring of semantic fields. The second reason of the importance of understanding semantic fields in translation is to understand the hierarchical classification of words in terms of hypernyms and hyponyms.

In practice, it is important to distinguish between lexical items and units of meaning to achieve good translation (Baker, 1992). Meanings differ in the orthographic words which represent them from one language to another. A meaning of one orthographic word in one language may be represented by several orthographic words in another language, and vice versa. For instance, "كسوف" and "خسوف" in Arabic have only one equivalent representation in English; namely, 'eclipse'. Another example is the English word "camel" which is represented by many words in Arabic (e.g. ناقة، جمل، زاملة، بنت لبون, among others) (Almaany.com, n. d.). Consequently, this means that there is no one-to-one correspondence between orthographic words and elements of meaning within or across languages. Such lack of one to one equivalence effects encounters for a translator. The challenge is aggravated when rendering a complex and multi-faceted text such as the Holy Quran, whereby losses occur. In this regard, translation losses should not be perceived as a negative word that hampers a translator from doing his great job. Rather, translation losses should be highlighted as an inevitable fact in most of translations, and that a translator, thus, should aim at reducing the loss than unrealistically attempting to achieve ultimate translation of the ST. A translator, as suggested by Hervey and Higgins (2002), should understand how to reduce losses "by deciding which of the relevant features in the ST it is most important to preserve, and which can most legitimately be sacrificed in preserving them." (p. 25). They added also that reducing translation loss can be

achieved by minimizing difference rather than maximizing sameness. These losses in translation occur due to differences between languages, or due to a translator's failure to pick the appropriate equivalent. This research, therefore, attempts to answer the following research questions:

1. To what extent do losses in denotative meaning occur in the translation of the Holy Quran?

2. How can the identified losses be reduced?

3. What are the causes of the difficulty in conveying some denotative meanings in the translation of the Holy Quran?

LITERATURE REVIEW

Lexical Gaps between English and Arabic

English and Arabic are two different languages that express reality in different ways. Thus, in translation between these two languages, losses ensue and problems arise (Abdul-Raof, 2005). One of these problems is the lexical gaps, which might occur at different levels including the semantic and the morphological levels (Abdul-Raof, 2005), or due to differences in the denotative meanings between SL and TL (Bentivogli & Pianta, 2000). Lexical gaps ensue when one lexical item is missing in the semantic field structure (Lyons, 1977), which occurs due to differences between languages (Darwish, 2010; Lyons, 1977). For example, the Arabic verb يحج/ya'ḥujj/ does not have an equivalent item in English; or in other words,

it is not lexicalized in English. Baker (1992) discussed lack of lexicalization as one of the major problems in translation between Arabic and English. Another example to highlight the lack of lexicalization problem in translation was given by Conner (1983), who introduced the example of the semantic field of temperature, which was represented in English by four words: cold, cool, hot, and warm. By contrast, in Arabic language, the same semantic field of temperature is represented by three words: حار، بارد، دافئ. There is no lexical item which matches the English item of "cool". As a result of this lexical gap, the two words "cool" and بارد may be translated as synonyms, though they are antonyms (Abdul-Raof, 2005). Actually, "cool" and بارد are antonyms in some contexts. For example, بارد sometimes means cold weather which is a near-antonym of 'cool', which means nice weather that is neither cold nor hot. Another example of lack of lexicalization is the Arabic word جهاد/jihad/, which is not represented in the English language. Lack of lexicalization occurs due to lack of lexical eqivalence, which in turn occurs due to differences between languages (Benfoughal, 2010). Each language has its own peculiarity in terms of vocabulary, grammar or style. Some words are lexicalized in one language, but are not lexicalized in the other one. This applies to many languages. Take for example the adjective word 'standard', which is a very common word in English, but it does not have an equivalent item in Arabic (Baker, 2011).

Darwish (2010) added that the difference in a denotative meaning between SL and TL was another cause of lexical gaps in translation; for example, the Arabic word صوم, which is always rendered into English as "fasting" has different denotative meanings according to culture. "Fasting" in Christianity is completely different from "fasting" in Islam. That explains why Nugroho (1999) underscored the importance of understanding the components of meaning in the SL, to be able to render them accurately to a TL. A denotative meaning may undergo a syntactic marking (e.g. the difference between "he saw a cloud" and "the quarrel will cloud the issue", or semiotic marking (i.e. the interrelationships among words). For example, the difference between "he runs a company" and "his nose is running" is a difference that occurs due to the different subjects and their meanings (Nugroho, 1999).

Another face of lack of lexicalization problems arises when a specific concept is expressed by one lexical unit in a SL, while the same concept is expressed by a free combination of words in the TL (Bentivogli & Pianta, 2000; Darwish, 2010). For example, the English kinship relation of "cousin" is represented by eight words in Arabic, which are أبن العم، بنت العم، أبن الخال، بنت الخال، أبن الخالة، بنت الخالة، أبن العمة، بنت العمة. Thus, one lexical item in English is represented by eight counterparts in Arabic, creating lexical gap which results in quandaries and translation problems.

One more cause of lexical gaps, as identified by Darwish (2010), is when the SL and TL taxonomies are different; for example, eclipse in English has two Arabic counterparts in relation to the sun and the moon. One last cause of lexical gaps, as mentioned by Darwish, is cultural gaps which cause lack of lexicalization. All these causes, concisely, can be described as lexicalization differences between a SL and a TL. Such lexical and semantic gaps are likely to get wider in the translation of a sophisticated text such as the Holy Quran.

Lexical Gaps in Quranic Translations

The Holy Quran is the most eloquent, elevated and sophisticated dialect among the different Arabic dialects; this results in many lexical gaps in translation from the Holy Quran to English. Quran is rich with examples that show lexical gaps in the Quranic translation. A case in point is the difference between نزّل /nazzala/ (*ayah* 3) and أنزل /anzala/ (*ayah* 4) in *Surah* al-Imran, which cannot be conveyed in translation attributable to the lexical or morphological gap. The first word /nazzala/ reflects the piecemeal revelation, while the latter one, /anzala/, reflects the one-time revelation. However, Yusuf Ali rendered the two words as one word in his translation (Abdul-Raof, 2004). The Quranic word ويل in *Surah* al-humaza is another example of lexical gap (Al-Ghazali, 2010). Consider the following *ayah* and its translation:

وَيْلٌ لِكُلِّ هُمَزَةٍ لُمَزَةٍ (104:1)

Woe to every (kind of) scandal-monger and backbiter (Ali, 2006, p. 462).

Woe to every slanderer, defamer (Shakir, 1999, p. 311).

As seen, the Quranic ST word (ويل) is in the nominative case, in specific, the predicative case. While Ali and Shakir rendered it in the subjunctive case, i.e. woe. This affects the meaning because the nominal case in the Arabic language in general indicates continuity, and in this context in particular refers to the ongoing torturing and punishment (Al-Ghazali, 2010).

Another example that indicates the lexical gap between Arabic and English is the two Quranic words in *Surah* al-Kahf, namely, أسطاع /ist*aAAa*/ and أستطاع /ist*ataAAa*/. Both the two Quranic words أسطاع /ist*aAAa*/ and أستطاع /ist*ataAAa*/ were translated interchangeably as 'could' or 'was able to' by Sale (1734), Ali (2010), Muhammad Ali (2010), Pickthall (2001) and Rodwell (2012). The two words are not identical in meaning; there is a delicate difference in meaning between the two words. The Quranic word أسطاع ist*aAAa* is only used for relatively easy actions such as climbing a hill, whereas أستطاع *istataAAa* is used for a more difficult task as boring a tunnel through the hill (Khalifa, 1989). A one more example of lexical gaps is the two Arabic words /ri*d*wanun/ رضوان and /ri*d*a/ رضا; these two words are not complete synonyms, as رضوان is more pregnant with meaning than رضا; it means

complete pleasing with believers. However, English lacks such ability to show nuances between these near-synonyms. The Quranic words /*h*ayawan/ حيوان and /*h*ayatun/ حياة provide another example of lexical gaps in translation. The Quranic word حيوان was mentioned once only in the Holy Quran, in the context of the virtue of the Hereafter (i.e. Jannah) over the earthly life. حيوان is the real and complete life, which refers only to the everlasting life in Jannah (Al-Qurtubi, 2004). This may be due to the fact that adding some letters in the Arabic language, such as ان, adds extra meaning to a word.

Another example of lexical gaps is the Quranic verb أسرى/asra*a*/, which cannot be rendered into a one equivalent lexeme in English (Abdul-Raof, 2004) because it is a semantically complex verb. Semantic complexity, as identified by Baker (1992), is one of the non-equivalence problems in translation between Arabic and English. Other examples may include words such as /tayammamoo / تيمموا (take some clean sand and wipe your face and hands with it), /ya*s*tarikhoona/ يصطرخون (cry out loud), and /yata*t*ahhar/ يتطهّر (to stay chaste). These words are used in the exaggerated form in the Arabic Quranic language. However, English does not have such a distinctive feature. A working example could be the Quranic verb يصطرخون /ya*s*tarikhoona/, which was mentioned in the Holy Quran in the context of telling about the torment disbelievers will go through on the Day of Judgment. They do not merely 'cry', but they extremely cry from the depth of their hearts, to ask Almighty Allah, as they

think, give them another chance of going back to the earthly life to do good deeds (Ibn'Ashur, 1984). Another example that indicates lexical gaps in translation between a ST and a TT is the following example from *Surah* al-Baqarah, as provided by Abdul-Raof (2004):

ذَلِكَ الْكِتَابُ لاَ رَيْبَ فِيهِ هُدًى لِّلْمُتَّقِينَ (2:2)

This is the Book; in it is guidance sure, without doubt, for those who fear God. (2:2) (Ali, 1968, p. 8)

In the above example, لِّلْمُتَّقِينَ was translated as "for those who fear God", which is redundant and inaccurate because the Quranic word has sensitive overtones which encompass performing all kinds of good deeds that Allah Almighty ordained, and avoiding everything Allah Almighty forbade (Abdul-Raof, 2004). Abdul-Raof commends what Khan and Hilali followed in their translation, as they gave a periphrastic translation after providing the transliteration. They translated it as:

> "*Al-Muttaqun* [the pious and righteous persons who fear Allah much (abstain from all kinds of sins and evil deeds which He has forbidden) and love Allah much (perform all kinds of good deeds which He has ordained)]."
>
> (Khan & Hilali, 1996, p. 3)

However, to avoid prolongation and the feeling of boredom, I would suggest transliterating the ST word and providing the periphrastic translation in a footnote in its first occurrence in the translation. This

will contribute to enriching the repertoire of vocabulary of the readers of the translation.

Similarly, in his study of the lexical gap in the translation of the Quranic verb, كاد / kada/, Al-Utbi (2011) signposted how the translation failed to find equivalents of the verb كاد, due to the lexical gap between the SL and the TL. The investigated translations revealed several changes in the word class of the Quranic verb to different word-classes, namely adverbs, verbal constructions, and adjectives. Largely, the translations of the Holy Quran are plentiful with examples that show such lexical gap in translation. In one study about the translation of the Quranic verb phrase, Al-Ghazalli (2012) found that translators failed to accurately render the verb phrase in the Quranic translation due to the gap in grammatical structure or the inaccuracy in selecting lexicons. The following *ayah* shows such a loss or inaccuracy in translation:

وَإِذْ نَجَّيْنَاكُم مِّنْ آلِ فِرْعَوْنَ يَسُومُونَكُمْ سُوَءَ الْعَذَابِ يُذَبِّحُونَ أَبْنَاءكُمْ وَيَسْتَحْيُونَ نِسَاءكُمْ وَفِي ذَلِكُم بَلاءٌ مِّن رَّبِّكُمْ عَظِيمٌ (2:49)

He delivered you from the people of Pharaoh: they set you hard tasks and punishments, slaughtered your sons. (2:49) (Ali, 1968, p. 11)

As seen in the example, the ST verb يُذَبِّحُونَ was translated as "slaughtered", which reveals a loss in the translation. The derivative verb يُذَبِّحُونَ signifies the sense of abundantly doing the act of slaughtering Jews' sons by Pharaoh's supporters. Al- Ghazalli, moreover, mentioned that overtranslation is unavoidable due the fact

that Quranic vocabulary is pregnant with meaning, while there is a syntactic and lexical gap in the TL. Further, he showed how derivative germinated-by verbs were not accurately rendered because germination in Arabic is functional but it is not so in English; for example, in translating the following *ayah*, the translator failed to render meaning accurately:

وَالَّذِينَ كَذَّبُوا بِآيَاتِنَا سَنَسْتَدْرِجُهُم مِنْ حَيْثُ لَا يَعْلَمُونَ (7:138)

Those who reject Our signs, We will lead them step by step to ruin while they know not (Ali, 1968, p. 56).

As seen in the *ayah*, the derivative verb in the *ayah* (i.e. سَنَسْتَدْرِجُهُم) indicates gradual change from a state to another; however, the translation failed to convey such depth of meaning (Al-Ghazalli, 2012).

In relation to such lexical gaps' problems in translation, Abdul-Raof (2004) postulated that the only way to translate such Quranic lexemes. i.e. those which suffered from lexical gaps' problems, was to seek periphrastic translation. Abdul-Raof gave examples of some Quranic words such as / الموقوذة /*mawqoothatu/,* which could only be rendered periphrastically as "any animal that receives a violent blow, is left to die, and then eaten without being slaughtered according to Islamic law." However, I think transliteration followed by such periphrastic rendition in a footnote sounds more proper, as it gives a chance to introduce new SL word into the TL. Other examples provided by Abdul-Raof (2004) include كظيم/*katheem* / الصمد /*aS-Samad*,/

/تيمموا /tayammamoo//,* and many other lexical items

Denotative Meaning

Most words have a denotative meaning on one hand, and a connotative meaning on the other hand. Both the two types of meaning among others cause problems in translation between any two linguistic codes. Denotative meaning sometimes poses difficulty in translation due to the lack of equivalency problem which causes lexical gaps' problems. For example, translating a Quranic word such as أسراء /israa/ can be problematic, as it cannot be rendered into one lexeme in English (Ahmed, 2008). An example of such semantic loss in the translation of the Holy Quran is the translation of the very first *ayah* in the Holy Quran. Consider the following example, as given by Ahmed (2008):

بسم الله الرحمن الرحيم (1:1)

In the Name of God, the Merciful, the Compassionate (1:1) (Arberry, 1982, p. 19). In the name of God, Most Gracious, Most Merciful (1:1) (Ali, 1968, p. 7).

Considering the translations above of the first *ayah* of *Surah* al-Fatihaa, it is identified that the translation did not render the name of Allah Almighty and His attributes into equivalent denotative or connotative meanings. The word 'God' is not denotatively or connotatively an equivalent to the great name الله. The Arabic word, الله is a proper noun referring to the name of Allah Almighty, and names are not assumed to be translated into other languages, but they

should be transferred. Another problem in using God (with a capital G) as equivalent to the name of Allah Almighty is that in other Quranic *ayah*s, there is the word الآله which is an equivalent to "God". Though some might argue that الآله can be rendered as 'god' with a small g, it is still confusing because capitalization per se cannot change the denotative meaning of a word. Sperber and Wilson (1995) also mentioned that the use of word "Allah" instead of "God" heightened the attention of the audience on their relevant reference framework, and therefore contributes to a better conveyance of the message to the target readers. In a similar vein, Van der Spuy (2015) found that nonnative speakers of Arabic prefered the word "Allah" more than the word "God", as it had more implications and connotations than the word "God"

Ahmed (2008) provided another example of problems or losses in conveying connotative meanings in the translation of the third *ayah* in *Surah* al-Baqara which reads:

الذين يؤمنون بالغيب (2:3)

who believe in the mysteries of faith (2:3) (Sale, 1734, p. 20)

According to Ahmed (2008), Sale's rendition of غيب/ghayb/ does not communicate the meaning accurately because the word "mysteries" has connotations which do not exist in the Quranic word. Ahmed's view sounds correct because the word "mystery", according to Cambridge Online Dictionary (2008), means "something strange or not known that

has not yet been explained or understood", whereas the Quranic word refers to the unseen, but which is quite understood and explained in the Holy Quran and prophetic hadiths.

Some recent studies investigated problems faced in translating the Holy Quran (Al-Kanani & Saidi, 2017; Abdelaal & Md Rashid, 2015; Abdelaal & Md Rashid, 2016). Abdelaal and Md Rashid (2015) examined the semantic problems encountered in translating *Surah* Al Waqiah and how the semantic loss is inevitable but reducible. In a similar vein, Abdelaal and Md Rashid (2016) showed in their study how loss in denotative meaning can result from grammatical gaps between the ST and the TT. Al-Kanani and Saidi (2017) examined the problems encountered by translators while translating Islamic literature from Arabic into English, whereby they found that translators sometimes rendered some concepts into inequivalent terms in the target language. One example that was provided by Al-Kanani and Saidi is the translation of the ST word حيواني as 'instinctive', which is not deemed to be a denotative equivalent of the ST word. In a similar vein, Dweik and Khaleel (2017) found that Jordanian translators faced some problems in translating some Islamic related texts from English to Arabic.

METHODS

Research design

Due to the complex nature of the examined text (i.e. The Holy Quran), the interpretive paradigm of qualitative research was sought

as a research design of this research. As suggested by Creswell (2007), qualitative research is conducted when a researcher seeks understanding of a complex issue, and when quantitative measurements and analyses do not seem appropriate for the research problem under investigation.

Sampling

Purposive sampling was adopted for this research, as it is deemed appropriate for a qualitative research, such as this study. Five examples were purposefully extracted from *Surah* Al Anaam (the Cattle). In this regard, the researcher carefully selected the samples that show semantic losses or problems at the denotative meaning level. The identified and selected samples would thus reflect some of losses that exist in the English translation of the Holy Quran on the denotative level. The researcher, in this research, reached the saturation point, which is important and one of qualitative inquiry sampling technique (Creswell & Miller, 2000). In relation to this, Merriam (2009) mentioned that it was not possible to decide on the number of samples in a qualitative research. She mentioned that it all depended on the research questions, the data collected, the data analysis, and the availability of resources. What is important in such a kind of sampling, as one of qualitative inquiry sampling techniques is to reach saturation point, which is the researcher's responsibility (Creswell & Miller, 2000). Replication is an evidence of saturation (Morse, 1991), and which was achieved in the current research that presented more

than one example of the phenomenon under study, viz. loss of denotative meaning in the translation of the Holy Quran. Morse (1995) states that "The quantity of data in a category is not theoretically important to the process of saturation. Richness of data is derived from detailed description, not the number of times something is stated. Frequency counts are out." (p. 148).The translations selected are Yusuf Ali's translation and Muhammed Abdel Haleem's translation. These two translations were selected because they belong to two different far-between periods of translation, which can explain clearly the differences between translations of the Holy Quran throughout a long period of time. In addition, the methodology adopted in the two selected translations is quite poles apart. Ali's translation is elaborative which mostly tends to employ paraphrase and transliteration as translation strategies. However, Abdel Haleem's translation tends to be brief and avoids paraphrasing and transliteration (Shah, 2010). Thus, selecting these two translations is to identify the extent the employment of certain translation strategies succeeds in conveying the denotative meaning in the translation.

Data Analysis

A qualitative inquiry, such as this research, usually follows inductive data analysis, as a researcher builds his patterns and themes from bottom-up; he organizes data in increasingly more abstract units of information, and he may go back and forth to establish a comprehensive set of themes (Creswell, 2007; Hatch, 2002; LeCompte

& Schensul, 1999; Marshall & Rossman, 2006; Merriam, 2002). Thus, the researcher in this study is the person who interpreted the data based on his prior knowledge and understanding, as suggested by Creswell (2007). In specific, this study employed directed content analysis of the text, as it allows better in-depth understanding of the phenomenon under study (Downe-Wamboldt, 1992).

In practice, the researcher read through the translations to understand the meanings of the *ayahs*, and the meanings of the lexicons used. Different dictionaries such as Collins Cobuild Dictionary, Merriam Webster Dictionary, and Cambridge Online Dictionary were consulted to understand the primary and secondary meanings of the lexicons used in the translation. Some of the *ayahs* that show loss in denotative meaning in the translations were identified and extracted; the causes of such loss in translation were derived then from the analysis. Exegesis books, Arabic heritage books, monolingual and bilingual Arabic and English dictionaries were consulted to verify the losses in the translation, i.e. by comparing the meanings in the translation and the authentic ST meanings as interpreted in the exegesis books, and the Arabic monolingual dictionaries. In conducting the analysis, Stenius et al.'s (2008) suggestions about good analysis were followed. They suggested that the data set and its social or cultural place be significant; the data should be sufficient to cover the analysis; the analysis be transparent and repeatable. The notion of denotative meaning and

the causes of the identified losses were based on Baker's (2011) typology of non-equivalence between languages at word level. Baker categorized the most common non-equivalences between languages at the word level into eleven types, which are: 1. cultural specific concepts; 2. SL concepts are not lexicalized in the TL; 3. Semantically complex SL words; 4. Different distinctions in meaning in the SL and the TL; 5. The TL lacks a superordinate; 6. The TL lacks a specific term (hyponym); 7. Interpersonal or physical perspective differences; 8. Differences in expressive meaning; 9. Differences in form; 10. Differences in frequency and purpose of using specific form; and 11. The use of loan words in the SL. This research is also supported by Dickens et al.'s (2005) definition of denotative meaning as"that kind of meaning which is fully supported by ordinary semantic conventions" (p.52). It is, thus, the primary meaning of a ST word in its Quranic context. This definition is similar to what Cruse (1997) and Baker (1992) called as the propositional meaning, which is used to describe the relation between a word and its real or imaginary meaning. For example, socks are "a kind of cloth worn on feet". This kind of meaning can be judged in terms of true or false.

RESULTS AND DISCUSSION

Section I: The Identified Losses in Denotative Meaning and how they can be Reduced

Recapitulating the first objective of the study, it aimed at examining the extent

the translators succeeded in rendering the denotative meaning in the translation of the selected *ayahs* from the Holy Quran. Content qualitative analysis was conducted for this purpose. Back-translation was adopted for verifying the findings. The examples to follow indicate the extent the selected two translators succeeded in rendering the denotative meaning in the translation of the Holy Quran. The focus is put on the words that indicate a loss in the denotative meaning in the translation.

Example 1

ST	الْحَمْدُ لِلَّهِ الَّذِي خَلَقَ السَّمَاوَاتِ وَالْأَرْضَ وَجَعَلَ الظُّلُمَاتِ وَالنُّورَ ۖ ثُمَّ الَّذِينَ كَفَرُوا بِرَبِّهِمْ يَعْدِلُونَ
Translit-eration	Alhamdu lillahi allatheekhalaqa assamawati wal-ardawajaAAala aththulumati wannoorathumma allatheena kafaroo birabbihim yaAAdiloon
Abdel Haleem's transla-tion	**Praise** belongs to **God** who created the **heavens** and the earth and made darkness and light; yet the disbelievers set up equals to their Lord "
Ali's transla-tion	**Praise** be **Allah**, Who created the **heavens** and the **earth**, and made the darkness and the light. Yet **those who reject Faith** hold (others) as equal, with their Guardian−Lord (Ali, 1968).

As seen in Abdel Haleem's translation in example 1, a loss in denotative meaning seems to have occurred in translating the

name of Allah the Almighty into "God", which does not seem to be accurate if the TT word is back-translated, it will be equivalent to "الله", and not an equivalent to the ST word الله. In this context, translating the ST word as "God" can create confusion for a reader of the translation, as in other contexts of the Holy Quran there is the word "اله", which can be really translated as "God". In addition, the ST word is a proper noun that refers to Allah the Almighty, and which does not have a plural form. However, "God" can be pluralized. Moreover, the ST word الله is the main name of Allah, which all other names of Allah the Almighty are always attributed to Him; it is the comprehensive name that entails all the attributes of Allah and conveys the principal meaning of Tawheed al Uluhayyah (Monotheism of Worship). Ali seems to be more successful in rendering the ST word as "Allah", which is a kind of transliteration. In this regard, transliteration can be a useful strategy in translating ST words which do not have equivalents in the TL, as suggested by Baker (2011). However, one problem with this strategy is that it might confuse a reader who is not familiar with the ST word. A suggestion is then can be to provide an explanation for the ST word, when it is transliterated for the first time. This will help a reader of the translation of the Quran acquaint himself with the Quranic words that do not have equivalents in the TL. It will also enable him to attain the ST word with its different connotative meanings.

Translating السموات [alssamawati] as "heavens" in the two translations does not

seem to be proper, as if the TT word is back-translated, it will be a near-equivalent to الملكوت or الجنان. Although the word 'heavens" seems more idiomatic and target text-oriented, it does not convey the ST word denotative meaning. The ST word refers to the physical existence of the seven skies that indicate the might and power of Allah the Almighty. Thus, rendering the ST word as 'skies' would have been more informative and accurate. The creation of the seven skies is one of the greatest evidences of Allah's might and power, and which He created in two days. Literal translation will be more proper in translating the Holy Quran if the meaning of the ST is conveyed more accurately. In this regard, Newmark (1981) believed that literal translation was not only the best, but it was the only valid method of translation if it yielded accurate translation of the ST.

In a similar vein, both Abdel Haleem and Ali rendered the ST word الحمد as "Praise", which if back-translated would result in الثناء. It seems that the translations mix-up the word الحمد with the word الثناء. The Quranic word الحمد is different from الثناء ; the former word only belongs to Allah Almighty, and it means to praise only Allah Almighty with knowledge (ibn al Qayem, n.d.). However, the latter can be used to refer to both of Allah Almighty and common people, with the incomparable inferences of meaning when used with Allah Almighty than when used with people. "Praise" refers to expressing approval or glorifying someone such as a divinity (Webster, 2007). While, the Quranic word is only used with Allah Almighty, with

its pregnant meaning. Again, the problem with translating the ST word is the lack of an equivalent item in the TL. Transliteration or periphrastic translation can be sought as proper strategies for rendering the ST words that lack equivalents in the TL.

Another loss in denotative meaning seems to have occurred in translating "اللذين كفروا" as "those who reject Faith", which is divergence from an equivalent that exists in Arabic (i.e. those who disbelieved). Though the TT lexemes "reject Faith" implies disbelief but it is a rather divergence from a more direct equivalent for the ST word. In addition, if we back -translate the TT lexemes, the resulting translation will be يأبى الأيمان, which is different from the ST words. Abiding by the direct lexical equivalents for ST words is more proper in translating an authoritative text such as the Holy Quran.

Example 2

ST	وَهُوَ اللَّهُ فِي السَّمَاوَاتِ وَفِي الْأَرْضِ ۖ يَعْلَمُ سِرَّكُمْ وَجَهْرَكُمْ وَيَعْلَمُ مَا **تَكْسِبُونَ**
Translit- eration	Wahuwa Allahu fee assamawatiwafee al-ardi yaAAlamu sirrakum wajahrakum wayaAAlamu mataksiboon
Abdel Haleem's transla- tion	He is God in the heavens and on earth, He knows your secrets and what you reveal, and He knows what you **do**
Ali's transla- tion	And He is Allah in the heavens and on earth. He knoweth what ye hide, and what ye reveal, and He knoweth the (recompense) which ye **earn** (by your deeds)

As seen in example 2, the Quranic word تَكْسِبُونَ was translated as "earn" by Ali. The English word refers to a positive sense of gaining something such as money, praise or reputation (Sinclair, 2006). However, the Quranic word is more comprehensive, as it refers to every kind of deed (whether good or bad) (Ibn Ashour, 1984), that is done by human beings or Jinn, and for which they will be rewarded or punished. Although the TT word "earn" is similar in meaning to the ST verb تَكْسِبُونَ in its general meaning, it does not seem to be equivalent to the ST verb in this Quranic context. Abdel Haleem's decision to translate it as "do" seems to be more accurate, as the TT verb includes good and bad deeds.

Example 3

ST	قُلْ أَغَيْرَ اللّهِ أَتَّخِذُ وَلِيّاً فَاطِرِ السَّمَاوَاتِ وَالأَرْضِ وَهُوَ يُطْعِمُ وَلاَ يُطْعَمُ قُلْ إِنِّيَ أُمِرْتُ أَنْ أَكُونَ أَوَّلَ مَنْ أَسْلَمَ وَلاَ تَكُونَنَّ مِنَ الْمُشْرِكِينَ
Transliteration	Qul aghayra Allahi attakhithu waliyyan fatiri alssamawati waal-ardi wahuwa yutAAimu wala yutAAamu qul innee omirtu an akoona awwala man aslama wala takoonanna mina almushrikeena
Abdel Haleem's translation	Say, 'Shall I take for myself a **protector** other than God, the Creator of the heavens and the earth, who feeds but is not fed?' Say, 'I am commanded to be **the first [of you] to devote myself [to Him**].' Do not be one of the **idolaters**.
Ali's translation	Say: "Shall I take for my **protector** any other than Allah, the Maker of the heavens and the earth? And He it is that feedeth but is not fed." Say: "Nay! but I am commanded to be the first of those who bow to Allah (in Islam), and be not thou of the company of **those who join gods with Allah**.

As seen in example 3, the ST word ولي was rendered as "protector" in the two translations, which seems to show loss in denotative meaning. If the TT word is back-translated, it will be equivalent to حامي, which is different from the ST word denotative meaning. Makhlouf (1992) mentioned that the Quranic word means 'a worshipped creator and God who supports and helps His creatures' معينا ناصرًا و ربّا معبودًا. However, the word 'protector' means to "to keep someone or something safe from harm, damage, or illness (Procter, 2009). The loss could have reduced by translating the ST word following a periphrastic translation accompanied by transliteration of the ST word. Another option could be transliterating the ST word and adding explanation or periphrastic translation of the word in a footnote.

Similarly, the Quranic word فاطر was rendered by Abdel Haleem as "Creator", while it was translated as "Maker" by Ali. Abdel Haleem's translation sounds more accurate because the Quranic word فاطر means to create without imitating a previous model, or example (Makhlouf, 1995). Ali's

translation sounds inaccurate and shows loss of the denotative meaning, as "Maker" does not necessarily convey doing something which has never been done. If the TT word "Maker" is back-translated, it will yield صانع, which seems to be divergence from the ST word meaning. Although the TT word "Creator", as translated by Abdel Haleem, if back-translated, it will be equivalent to خالق, which is different from the ST word in the context of the *ayah*, the meaning of the English word seems to be close to the ST word. This can be justified by the difference between English and Arabic in distinguishing meaning. In other words, Arabic makes a distinction in meaning between فاطر andخالق . However, English does not make such distinction.

Likewise, a loss tends to be in the translation of مشركين as "Idolaters" by Abdel Haleem. Idolaters implies extreme love (Procter, 2009), or "worshippers of idols; in addition "idols" basically refers to statute that is worshipped (Sinclair, 2006), or an image that is worshipped as "God". Idolaters can be an equivalent for the SL word وثنيين, which is different from the ST word in the above example. The Quranic word means polytheist, that is, to worship others with or without Allah Almighty, whatever the others are. Even believing that someone or something can do you harm or good without Allah Almighty's will is a kind of shirk (polytheism). Ali translated the ST word as "**those who join gods with Allah**", which tends to be close to the ST word meaning. However, one problem with Ali's translation is that it shows overtranslation, as many words were used to render a one ST word. One more option could have been translating the ST word as 'polytheists', which seems to be a direct equivalent for the ST word.

Similarly, Ali translated the Quranic أسلم to "who bow to Allah", which is inaccurate. According to Hacker (2013), "bow" means "to bend the head or body (as in submission, courtesy, or assent)"; this is quite far from the Quranic meaning of the word. The Quranic verb أسلم in the context of the *ayah*, according to ibn Ashour, refers to being the first Muslim in the Islamic nation, and devotion or submission to Allah Almighty only. This comprehensive meaning of أسلم is not conveyed in the translation; there tends to be clear divergence in the translation, which is a semantic loss in denotative meaning. As for Abdel Haleem, he translated the ST word as "the first [of you] to devote myself [to Him]". Abdel Haleem's translation does not seem to be accurate either because if it is back-translated, the equivalent Arabic meaning will be اول واحد منكم يكرس نفسه له. The translation does not seem to be equivalent to the ST verb. Better translation could have been "embrace Islam" or "become Muslim.

Example 4

ST	وَهُوَ الْقَاهِرُ فَوْقَ عِبَادِهِ ۚ وَهُوَ الْحَكِيمُ الْخَبِيرُ (18)
Translitera-tion	Wahuwa alqahiru fawqa AAibadihi wahuwa alhakeemu alkhabeeru
Abdel Haleem's translation	He is the **Supreme Master** over His creatures, the All Wise, the All Aware

Ali's translation	"He is the irresistible, (watching) from above over His worshippers; and He is the Wise, acquainted with all things."

As seen in example 4, the ST Word الْقَاهِرُ was translated as "the Supreme Master" by Abdel Haleem and as "the irresistible, (watching)" by Ali. The two target words do not seem to convey the ST denotative meaning. The ST Word الْقَاهِرُ is one of the names of Allah Almighty; thus, it is a wide-ranging and pregnant word, which cannot be translated into an equivalent lexical item. It is a semantically complex word. Ibn Kathir, in his tafsir, mentioned that القاهر refers to " هو الذي قهر كل شئ و خضع لكبريائه و عظمته و جلاله كل شئ" (p. 267), which means that it is Allah Almighty, Whom everything is subjugated to His control. Allah Almighty makes people die, sleep, and get sick among others, without their being able to defend or help themselves. Thus, Abdel Haleem's translation did not convey the meaning of Allah Almighty's name. In addition, back-translation of the TT word will yield a different word, that is, السيد الأعظم. As for Ali, he translated it as "the irresistible (watching)". Although one of the shades of the meaning of القاهر is that Allah Almighty is irresistible, it does not convey the accurate meaning of the Quranic word, which has far wider shades of meanings. Thus, a loss in denotative meaning occurred in the translation of the Quranic word. A more proper strategy that could have better conveyed the meaning

is transferring the word as it is. In other words, transliterating the word supported by paraphrase as a footnote would have been a more appropriate strategy.

In a similar vein, the ST word عباده in example 4 was translated by Abdel Haleem as "His creatures", which seems to be somehow proper, though it is not a direct equivalent of the ST word. A direct equivalent would be His slaves'; however, the translator rendered the ST word pragmatically. Using a direct equivalent of the ST word (i.e. slaves) would be more proper and conveys the denotative meaning of the ST word. Some translators shy away from using the word 'slaves' because of its negative connotations. However, the word does not have such negative connotations when it is related to Allah Almighty. It is a source of pride to be a slave to Allah Almighty. As for Ali, he translated it as "His worshippers", which is not accurate because all creatures whether they worship Allah Almighty or not are under His control. Thus, Ali excluded all the other creatures from being under the Subjugation of Allah Almighty. This is a denotative loss in the translation of the ST word.

As for الحكيم, it was rendered by Abdel Haleem as "the All Wise", which sounds accurate. However, Ali translated it as "the Wise", which shows partial loss of denotative meaning, as everyone may be wise, but it is only Allah Almighty Who can be the All Wise. In regards to الخبير, which is one of the names of Allah Almighty, it was rendered by Abdel Haleem as "the All Aware", which does not convey the

meaning completely. The Quranic word, according to Alt-Tabari (2004) refers to complete knowledge of the gains and losses of everything, whether explicit or implicit. However, Ali translated it as "acquainted with all things", which expresses the meaning to some extent well. Although, one Arabic word was rendered into four English words, the meaning was somehow conveyed.

Example 5

ST	وَقَالُوا إِنْ هِيَ إِلَّا حَيَاتُنَا الدُّنْيَا وَمَا نَحْنُ بِمَبْعُوثِينَ (29)
Translit-eration	Waqaloo in hiya illa hayatuna alddunya wama nahnu bimabAAootheena
Abdel Haleem's transla-tion	They say, 'There is nothing beyond our life in this world: we shall not be raised from the dead
Ali's transla-tion	And they (sometimes) say: "There is nothing except our life on this earth, and never shall we be raised up again."

The Quranic word "بمبعوثين" in example 5 was translated as "be raised up from the dead" by Abdel Haleem, and as "be raised up again" by Ali. Both of the two translations are inaccurate. They create inaccuracy, and hence loss in the translation. Ali's translation is confusing as the English word 'raise' is defined by Sinclair (2006) as to move to a higher position. Ali's translation created loss of denotative meaning because it is too general and can be confusing. Abdel Haleem's translation conveyed the meaning,

but it could have been more faithful to the ST through the use of more approximate equivalent for the word, say "resurrect".

Section II: Causes of the Identified Losses

The second research question aimed at identifying the causes of the identified translation losses in denotative meaning. A thorough analysis of the results of the research revealed different causes of such translation losses. These losses, based on Baker's (1992/2011) typology, are discussed as follows:

Culture-specific Concepts

Lack of equivalent items in the TL is one of the major causes of non-avertable losses in the translation. Some Quranic ST items are culture-bound, and thus it is hard to find equivalents for them. For example, in example 4, the word القاهر, which is one of the names of Allah Almighty does not have an equivalent item in the TL. Thus the word became semantically complex, which is one of the challenges in translation as mentioned by Baker (2011). A translator seems to have to resort to paraphrasing as a translation strategy to explain the word with its complex meanings. However, a paraphrase may not result in conveying the all shades of the ST word meanings. Transliteration accompanied with paraphrase can be a better option, as it will be a chance to introduce the ST item into the TL. Although Baker (1992) differentiated between semantically complex words and culture-specific concepts, the two terms

seem to overlap sometimes. Many of the culture-bound terms and concepts are semantically complex.

Different Distinctions in Meaning in the SL and the TL

Languages make fewer or less distinctions in meanings from each other. What may be important in one language is not necessarily equally important in the second language. In example 3, the ST word فاطر was inaccurately translated because the SL differentiates between خالق and فاطر. In contrast, the TL does not make such distinction in meaning. As a result the two ST words are likely to be translated as synonyms in the TL.

Differences in Form

It is hardly found equivalent forms in a SL and TL. For example, in English, adjectives are derived from verbs by adding certain suffixes (e.g. work vs. workable); however, it is not the case in Arabic. Hence, translation from English to Arabic must change the form to render the meaning, depending on the context. In example 3, the ST verb أسلم does not have an equivalent verb in English, though the noun 'Islam' exists in English.

Inappropriate Selection of Translation Strategies

As Baker (1992) highlighted, translators use different translation strategies to overcome lack of equivalence problem. However, the problem is that sometimes such strategies are not proper. For example, Abdel Haleem translated the ST word الله as "God" in example ١, which is not proper. Abdel

Haleem used a more general word (i.e. God) to translate a specific word, that is, the name of Allah the Almighty. One motivation behind Abdel Haleem's tendency to use such a strategy might be his aim to translate every single word and the Holy Quran and make it comprehensible by native speakers of English. However, this seems to be improper because الله is a proper noun that should be transferred rather than translated. In addition, even non-Arabs know the word "Allah" and they know that it refers to the worshipped creator.

As seen in the analysis, different examples of losses in denotative meaning were found, which are similar to those found by Ahmed (2008), Abdelaal and Md Rashid (2016), and Al-Kanani and Saidi (2017). Therefore, this study suggests the following solutions to reduce the identified losses in the translation:

(1) A translator should use the direct equivalent of the ST word if it exists in the TL (as in example 1). He should not diverge to other lexemes which might sound more idiomatic and natural in the TL. Accuracy and faithfulness to the ST should be prioritized over idiomaticity due to the sacred nature of the Holy Quran text.

(2) In case a direct equivalent does not exist in the TL, a proper strategy should be adopted as follows:

(a) For culture-bound terms, it is suggested to transliterate the SL words and provide elaborative

explanation in a footnote or endnote (see example 3).

(b) For words, which have equivalents in meaning in the TL but lack equivalents in form (as in example 3), it is suggested to render the ST words into an equivalent TT in meaning and sacrifice form. If possible, a new word can be coined and introduced in the TL. This seems proper in English, which is flexible in accepting words from other languages.

(c) In case, there is a distinction in meaning between words in SL, which does not exist in the TL (see example 3), it is suggested to explain such difference in a footnote providing the ST words in transliteration form and explain the nuances in meaning between them.

(3) Back-translation can be a useful strategy, but it cannot be solely an evidence of a good or poor translation. Peer-triangulation and consulting experts could be a method to reach a better quality in translation.

(4) Using translation memories to help provide a better translation of the Holy Quran

CONCLUSION

This research aimed at identifying the losses in rendering the denotative meaning in the translation of the Holy Quran, and how these losses can be reduced, and the causes of the difficulty in conveying some denotative meanings in the translation of the Holy Quran. For this purpose, a qualitative analysis of five ayahs (verses) from the Holy Quran was conducted. Back translation was employed to check the accuracy of the TT words in relation to the intended meaning in the ST. The results of the research proved that loss in denotative meaning occurs because of different factors that can be subsumed under lack of equivalence in the TL that results from the cultural differences between SL and TL, and under the translation strategies adopted by the translators. Further research about loss in denotative meaning in the Holy Quran and how to be reduced is still needed. It is thus suggested to examine the proper translation strategies to handle loss in translation, especially the denotative meaning.

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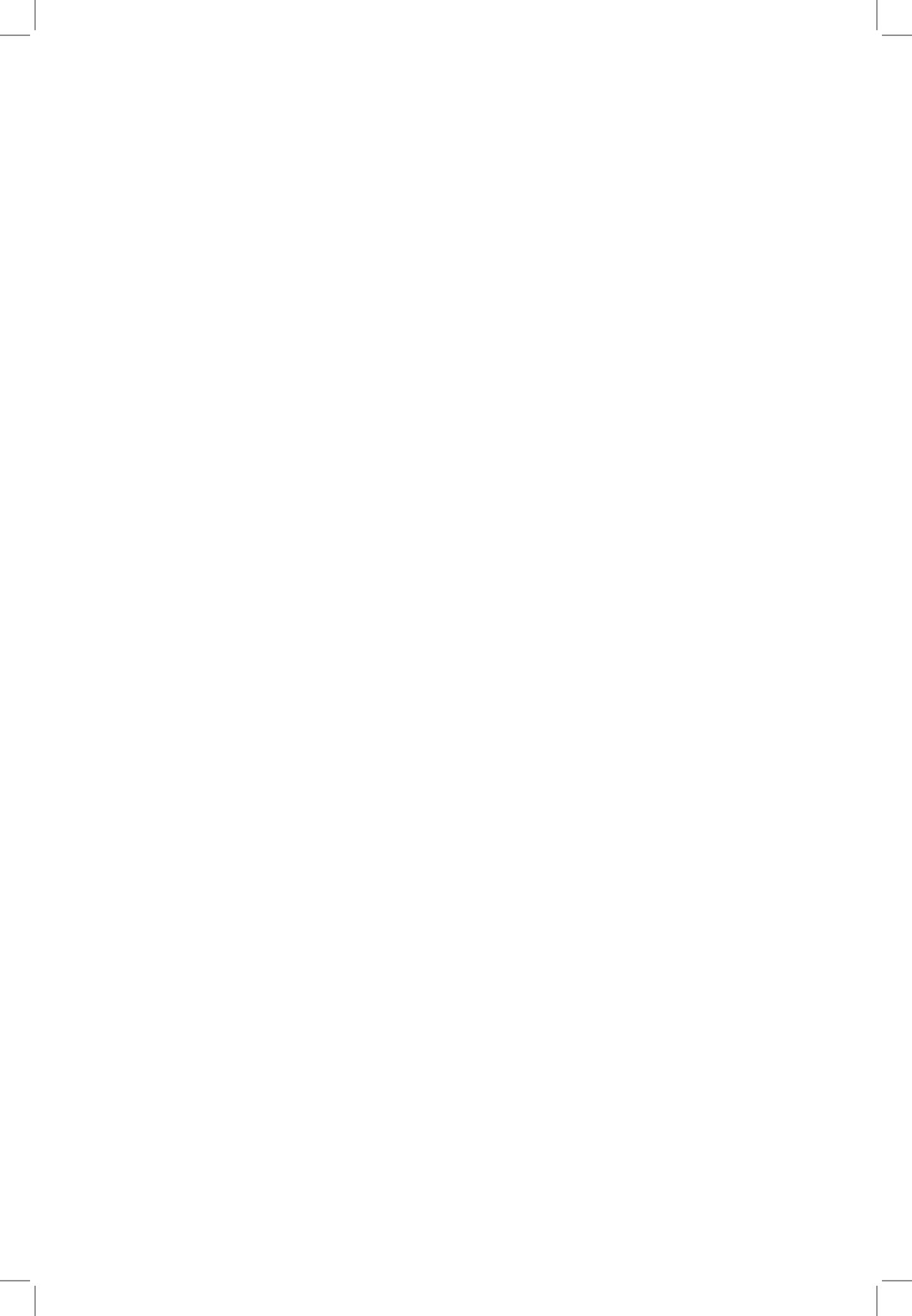
"Facebooking" across Asia – Learning English along the Way?

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ABSTRACT

Facebook (FB) is the most popular social networking sites (SNS) in the world at the moment. This factor alone has prompted many educational researchers to investigate how Facebook can be utilized for educational purposes, focusing on the social interaction between users, particularly in the higher education contexts. In terms of language teaching, researchers are also beginning to be aware of Facebook's potential to enhance and enrich English language teaching and learning at all levels since the written language is the main form of communication in the Facebook environment. Driven by these trends and practices, the researchers carried out an international study involving Malaysia, Japan, Indonesia and Maldives to investigate and compare higher education students' perceptions of Facebook as an environment for learning English. Using survey questionnaire, we find that learners from the four countries view Facebook as an online environment that encourages and facilitates incidental learning of English, but with a few variations according to the countries. Several implications on the use of Facebook for English language teaching and learning in higher education are also discussed.

Keywords: Facebook, incidental learning, learning English, online environment, perceptions of learning English

INTRODUCTION

Facebook (FB) is the most popular social networking sites (SNS) at the moment with 2.167 billion active users (as of December 2018) worldwide (https://www.statista. com). This factor alone has prompted many educational researchers to investigate how FB can be utilized for educational purposes, focusing on the social interaction between users, particularly in the higher education contexts (Godwin-Jones, 2008). FB can have a huge impact on learners in higher education because of the sheer number of college and university students who are active FB users. For example, Junco (2012) in the investigation of a large sample size found that 92% of students in an institution of higher learning used FB and spent an average of 100 minutes a day on it.

In terms of language teaching and learning, researchers emphasize FB's potential to enhance and enrich English language teaching and learning at all levels since the written language is the main form of communication in the FB environment (Blattner & Fiori, 2009; Kabilan et al., 2010). Kabilan et al. (2010) conducted a study with university students on how FB contributed to their English language learning from the incidental learning perspective and concluded that

> *technologies that support FB (Facebook) and features that characterize FB are able to engage students in meaningful language-based activities, even though their initial intention of joining FB is to socialize. If planned appropriately*

> *as part of an educational project, the same technologies and features of FB would be able to facilitate and produce effectual and meaningful learning of English within an online community of English language learners*

Driven by the above trends and practices, we carried out an international study involving Malaysia, Japan, Indonesia and Maldives to investigate and compare higher education students' views of FB as an environment for learning English. We would like to examine and determine if Asian students regard FB as beneficial in terms of learning the English language. Hence, the research questions of this study are:

1. What are students' general practices or uses of FB?

2. Do the students consider FB as an online environment that facilitates their English language learning? If yes, in what aspects?

The significance of this study is that researchers and educators, can now, based on the findings of this study, make informed decisions about using SNS, in general, and FB, in particular, to enhance English language teaching and learning. The comparisons would enable practitioners, academics and teachers in other countries/ settings to glean meaningful practices and apply them suitably when it concerns FB and English language education. In the context of Asian English language learners, this study would increase teachers' awareness of effective language learning activities that they would be able to participate and engage

in with other learners from different settings. This is because FB could be, as Hyland (2004) implied, a 'private domain' that was a rich and meaningful environment for out-of-class language learning since it was 'less threatening to identity and is also easier for the student to control' (p. 180).

Literature Review and Theoretical Perspectives

Studies on the use of FB for educational purposes have proliferated tremendously since 2010, yielding both negative and positive outcomes. Junco (2015) and Junco and Cotten (2012) find negative relations between multitasking and academic grades and performance while using FB among college students. Similarly, Junco's study (2012) establishes that number of logins and time spent on FB by college students are related to lower overall academic results and performances. Kirschner (2015), based on a number of studies on FB and learning concluded that 'there is a long road to travel down' before FB could be 'effectively and efficiently used as tools for knowledge construction and knowledge creation' (p. 4) and reasoned that the tools available in FB could not fulfill satisfactorily the demands of teaching and learning. On the contrary, there are many studies that highlight positively the benefits of using FB for educational aims. In a study of learners' cognitive processing patterns in a collaborative problem-solving teaching activity, Lin et al. (2014) concluded that learners' 'diverse and continuous cognitive processes,' especially application and analysis, were evident in their FB

discussions (p. 55). Likewise, in Bowman and Akcaoglu's study (2014) of the use of FB in mass lectures, students' keenness in using FB for learning had resulted in the cultivation of cognitive and affective learning outcomes. The affective learning factor is also a key element when it comes to the question of whether FB has educational values or not. Jong et al. (2014), for instance, discovered that when there were strong ties among learners/peers, the usage of FB for learning were convenient, deep, meaningful and purposeful, in particular the discussion of educational matters, sharing educational resources, immediacy of learning what teachers posted and interaction with others. Succinctly, the above studies indicate two differing outcomes of using FB for educational aims – one that exposes the downsides, limits and limitations of FB as an educational tool, and the other that promulgates various benefits of FB in the attempt of enhancing learning.

The current study is an effort to show what FB can or cannot do and/or achieve in terms of contributing to learners' meaningful learning and thus, enriching the related literature, specifically the use of FB for English language learning and teaching in the Asian context. In this respect, most studies indicate positive and encouraging outcomes. In comparing face-to-face group (FTF) and a FB group learning English as a foreign language, Akbari et al. (2015), found there was a significant difference, whereby learners in the FB group believed they were more autonomous, competent and related. The notion of becoming competent

and being related was also observed by Shepherd (2015) in his study of writing students and their FB use i.e. the students had the ability to enact skills such as audience awareness, awareness of rhetorical situation, invention, and process writing form their experience on FB. Similar outcomes are also acknowledged earlier by Promnitz-Hayashi's (2011) study of low proficiency Japanese university students using FB to learn English. It is found that meaningful activities created on FB have assisted them to become more comfortable in online discussions, giving opinions and developing close relationships with other learners (Promnitz-Hayashi, 2011). These forms of learning are made possible by the computer mediated communication (CMC) environment and tools in FB, as they are capable of supporting interactions between learners that are mainly in the form of written communication. There are numerous other pedagogical studies on the use of FB for the purpose of English language learning. These studies support the cause for the use of FB to contribute or/and enhance various aspects of English language learning such as language learning strategies (Alias et al., 2012), personality traits (Kao & Craigie, 2014), communication (Shih, 2013), motivation and engagement (Felea & Stanca, 2015) and, interaction and collaboration (Kabilan et al., 2016; Lantz-Andersson et al., 2013,) among others.

It appears that FB is emerging as a meaningful and relevant source or platform to learn English. The tools available in FB allow for interaction and activities that connect learners in 'spaces that combine different sociocultural practices', whereby traditional or conventional forms of learning are 'challenged and new spaces for participation and involvement are made possible' (Lantz-Andersson et al., 2013, p. 300). Such interaction in 'spaces' of sociocultural practices would mean that learners' experiences of the real world are enriched and re-constructed all the time whilst developing language skills (especially reading, writing, communicating/interacting and thinking) in an authentic manner, beyond school language use and in a community of practice. This echoes what Wenger (1998) postulated i.e. as a community of practice (CoP), learners learn language successfully because they were 'focused on the experience of meaning rather than on the mechanics of learning' (p. 266). Blattner and Fiori (2009) further explained of the functions and mechanics of CoP that were built in the FB environment in terms of language learning:

> *... facilitate the development of socio-pragmatic awareness and competence in second language learners through meaningful intervention, and can promote cross-cultural understanding.... present(s) L2 (second language) learners with opportunities for intercultural communication with authentic native speakers of comparable age....develop relationships with native speakers who share similar*

interests and who will interact on a regular basis in L2. (Blattner & Fiori, 2009, p. 22)

The community of practice is an important notion that may well explain how learners in the FB environment may interact, collaborate, share and engage in meaningful socialization activities and processes. Learners work together in FB on 'a shared objective or topic' and thus create and develop a network of people who trust and support each other, leading to a sense of belonging and community (Llorens & Capdeferro, 2011, p. 205) by sharing their personal stories in the form of words, pictures and videos (Cheung et al., 2011). This social element or presence is the most important factor that attracts learners to engage with others for learning purposes in the FB environment (Llorens & Capdeferro, 2011). It is this informal learning experience that augments their potential to construct and re-construct knowledge, and to develop skills.

According to Kabilan et al. (2010), incidental learning is a form of informal learning experience that can be used as an underlying principle in the examination of computer-based technologies used for teaching and learning purposes. It addresses the elements of unintended learning outcomes – positive or negative or both – that may impact the students. This is because incidental learning in education may transpire or begin from other activities, regardless if those activities are academic or non-academic (Kerka, 2000). These activities may then propagate students'

learning that is developed from the concept of 'learning from mistakes, learning by doing, learning through networking, and learning from a series of interpersonal experiments' (Ross-Gordon & Downing, 1995, p. 315). In the FB environment, recent studies show that learning through networking and interpersonal experiments are highly likely and beneficial (Felea & Stanca, 2015; Lantz-Andersson et al., 2013).

METHODS

This research is a comparative study of how university students in Malaysia, Japan, Indonesia and Maldives use FB for the purpose of learning English. It is based on a study carried out Kabilan et al. (2010), who examined Malaysian university students' uses of FB for English language learning. Using an incidental-learning framework, they explored the various learning activities that the students' were engaged with in FB, and it was found that majority of the 137 respondents agreed that FB could be used as a platform for learning English. For the purpose of this study, the methods and approaches used in Kabilan et al. (2010) were replicated for this study, where appropriate. In certain aspects, some adjustments to the questionnaire had to be made to cater to the specific learning conditions in Japan, Indonesia and Maldives.

Participants and Sampling Techniques

The participants for this study were students from the following institutions of higher learning: (1) Malaysia: Universiti Sains Malaysia (USM); (2) Japan: Yokkaichi

University (YU), Kyoto Sangyo University (KSU), and Kyoto University of Foreign Studies (KUFS); (3) Indonesia: Universitas Pendidikan Indonesia (UPI) and; (4) Maldives: Villa College (VC). All students from these institutions were doing a degree programme and were enrolled in an English course. A quantitative survey was administered to all the students from the four countries. This survey examined the students' general practices or uses of FB, and their views on FB as an online platform to learn English.

The sampling technique used was a combination of convenience and purposive sampling techniques. An academic from each university was assigned to identify students as potential participants, select them, distribute questionnaire to them and collect the questionnaires once completed. At the first level of sampling, convenience sampling was employed, whereby the academics identified groups of students who were accessible to them i.e. students whom they had taught previously or whom they were teaching at the time of data collection. The second level of sampling technique is the purposive sampling technique, whereby only students with FB accounts were identified as respondents for the study. As a result, a total of 456 students from all the four countries participated in the study

and returned the completed questionnaire (Table 1).

Instrument and Data Analysis

The questionnaire used for this research was adapted from Kabilan et al. (2010). Only minimal changes were made to questionnaire by the respective academics. The changes were mainly instructional in nature such as revision of standings instructions to suit the local settings, as well as insertion of instruction in the students' own language to facilitate comprehension. Basically, the questionnaire is divided into two main sections. Section A required the students' demographic information and language usage. Section B consisted of a construct with 16 items that investigated students' practices of FB in terms of learning English (Appendix 1). This construct, which used a 5-level Likert scales of 'Strongly disagree' to 'Strongly agree', had a Cronbach alpha score of 0.98, which is very high. This questionnaire was developed by Kabilan et al. (2010) based on studies by Blattner and Fiori (2009); Kabilan (2004); Kabilan and Embi (2006).

As was done by Kabilan et al. (2010), similar data analysis techniques were used. For the analysis of the demographic data, frequency and percentages were used; whereas for the description of the 16 items,

Table 1

Frequency and percentage of respondents

	Frequency (f) and Percentage (%)			Total
Malaysia	Indonesia	Maldives	Japan	
163 (35.7)	87 (19.1)	93 (20.4)	113 (24.8)	456

mean scores, frequency and percentages were utilized to describe and explain the students' practices and views on the use of FB to learn English. It has to be noted here that the data for Malaysia used in this study were secondary data that were obtained from Kabilan et al. (2010).

FINDINGS AND DISCUSSION

General Practices: Activities Undertaken in FB

In general, respondents from Maldives, Malaysia and Indonesia were quite active in FB, engaging in various activities and utilizing many of tools that are available. As for the Japanese respondents, they were quite inactive in FB compared to the other three countries. It was also the same in terms of the language used while undertaking activities on FB. Malaysian and Indonesian respondents were more comfortable in using their national language, and quite frequently, mixing both their national language and English. The Maldivian

respondents frequently used English only as the main language of communication in FB (more often than Dhivehi i.e. the national language of Maldives) as well as a mix of Dhivehi and English when they were communicating with their peers from Maldives. The Japanese students, in comparison to their counterparts, used English the least during activities in FB. Table 2 shows the frequent sharing activities that are done by the respondents in this study. The Malaysians, Maldivians and Indonesians had this in common – they frequently shared ideas (mean scores of 3.34, 3.29 and 3.07 respectively) and opinions (3.42, 3.29 and 3.19 respectively). However, the Japanese tended to share photos (2.76), which was more frequent than the Malaysian and Maldivian students.

In terms of writing comments, the Malaysian, Indonesian and Maldivian students had the same practice i.e. they frequently commented on what others had shared or commented on (Table 3). The

Table 2

Sharing activities on FB

Activities on FB: Sharing of….	Mean Scores			
	Malaysia	Indonesia	Maldives	Japan
personal-intimate-type of feelings	1.99	2.34	2.36	1.61
general-type of feelings	3.15	2.91	2.78	2.15
ideas	3.34	3.07	3.29	2.05
opinions	3.42	3.29	3.19	2.08
daily life events	3.19	2.93	2.27	2.07
photos	2.89	2.59	2.52	2.76
videos	2.17	1.86	1.48	1.61

Table 3

Commenting on FB

Activities on FB: Commenting on….	Mean Scores			
	Malaysia	Indonesia	Maldives	Japan
other's sharing	3.37	3.44	3.65	2.61
other's comments	3.54	3.50	3.66	2.54
own photos/videos	2.48	2.55	2.82	1.98
others' photos/videos	3.13	2.97	3.57	2.48

Japanese students did less on these. They also very seldom commented on their own pictures or videos that they had uploaded (1.98).

For the Malaysian and Japanese students, FB was a helpful way of keeping in touch with friends (mean scores of 3.53 and 2.90 respectively). As for the Indonesian and Maldivian students, the other activity that they frequently engaged in was chatting with friends (mean scores of 3.66 and 4.08 respectively). In general, for all the countries, inviting or searching for new friends was not something the students frequently did, with the Japanese having the lowest mean score i.e. 1.63 (Table 4).

As the data indicate, higher education students at these four nations do engage in various activities using different tools that are available in FB. Some activities are well liked and some are not. Nevertheless, many activities (with mean scores of more than 3) indicate that these activities converge into a socialization process that is both active and dynamic in many ways. According to Yang and Brown (2013), the socialization process in FB is intentionally done by higher education students and 'is connected in complicated ways to their psychosocial well-being' (p. 410). Since culture is an integral component in ones' conceptualization of psychosocial well

Table 4

Mean scores of other activities in FB

Other activities on FB	Mean Scores			
	Malaysia	Indonesia	Maldives	Japan
Asking questions	2.85	2.96	2.74	2.12
Asking for information	2.94	3.21	2.70	2.13
Sending private messages	2.65	2.97	3.00	2.52
Updating your profiles	2.81	2.73	2.90	2.22
Chatting with friends	3.21	3.66	4.08	2.39
Search for old friends	3.28	3.40	2.98	2.26
Invite/Search for new friends	2.96	2.47	2.34	1.63
Keep in touch with friends	3.53	3.33	3.80	2.90

being, such as thoughts and self-beliefs (Lu, 2008), it is easy to comprehend why the students from different cultures in this study prefer certain activities compared to others. In terms of English language learning, an important related issue is how these socialization activities could lead to the learning of English language, which will be analyzed in the next section of findings.

FB As an Online Environment to Learn English

More than half of the respondents agreed (f=261; 57.2%) that FB could be a platform for learning English. This is also reflected in the mean scores of other items that are related to the learning of English such as reading, writing, vocabulary and communication skills (Table 5). Malaysian and Maldivian students, as a result of engaging in FB, were using English more often (mean scores of 3.33 and 3.20 respectively) compared to Indonesian and Japanese students (mean scores of 2.88 and 3.04 respectively). Of the 261 respondents who agreed, the Malaysian

students made up the biggest number with 43.7% (f =114). Both Malaysian and Japanese students had higher mean scores compared to the Maldivian and Indonesian students in this respect i.e. 3.72 and 3.70 respectively. But in terms of vocabulary and enhancing communication skills, it was the Japanese students who emphasized the two items the most – mean scores of 3.90 and 3.94, which also turned out to be the two highest mean scores in this construct.

In terms of motivation, Table 6 shows, on average, respondents from the four countries were motivated to use English in their FB. In communicating with friends from the real world and FB friends, the students were generally motivated to communicate using the English language. However, the Japanese and Indonesian students were not so keen communicating with their lecturers using English as compared to the Maldivian (3.64) and Malaysian (3.44) students. Of all the items in this construct, it also recorded the lowest mean score i.e. 2.85.

Table 5

Mean scores of FB as English language learning environment

Items	Mean Scores			
	Malaysia	Indonesia	Maldives	Japan
Language learning	3.72	3.59	3.57	3.70
Students use English more often in daily life	3.33	2.88	3.20	3.04
Practice reading in English	3.77	3.67	3.61	3.70
Practice writing in English	3.81	3.62	3.60	3.78
Learn new words in English	3.77	3.77	3.66	3.90
Enhance students' English language communication skills	3.81	3.64	3.68	3.94

Table 6

Motivation of using English in FB

Students are motivated to:	Mean Scores			
	Malaysia	Indonesia	Maldives	Japan
communicate with friends in the real world using English	3.34	3.34	3.45	3.52
communicate with FB friends using English	3.23	3.21	3.31	3.38
communicate with lecturers using English	3.44	3.05	3.64	2.85

In a broad spectrum, the respondents in this study had a more positive attitude after engaging in FB activities in terms of the 6 items listed in Table 7. As a group, the Indonesian students now have a more constructive mind-set of English as a second language (3.60). The Maldivians were most positive in terms of not fearing making mistakes in English (3.64), unlike the Japanese who were otherwise (2.85). Nevertheless, the Japanese students believed the use of FB was an interesting way of learning English (3.52) and learning it was useful through FB (3.38). As for the Malaysians, they had a favourable attitude of learning English as a second language (3.44) and deeming it easier to learn than they thought before (3.41).

Respondents from Maldives and Malaysia generally experienced confidence in terms of all the five items in this construct (Table 8). The Indonesian students were confident in certain aspects, while respondents in Japan felt FB did not help much in terms of using English for writing (2.76), speaking (2.71) and reading (2.76). Most of the students from all the four countries agreed that they had gained confidence in learning new English words, with an average mean score of 3.46 (Note: this item has the highest average mean score for all the four countries).

Table 7

Students' positive attitude

Students have a more positive attitude in terms of…	Mean Scores			
	Malaysia	Indonesia	Maldives	Japan
English as a language	3.40	3.60	3.38	3.25
learning English as a second language	3.44	3.40	3.36	3.14
learning English, which is now easier	3.41	3.39	3.40	3.30
learning English, which is more interesting	3.34	3.34	3.45	3.52
learning English, which is more useful	3.23	3.21	3.31	3.38
making language mistakes	3.44	3.05	3.64	2.85

Table 8

Students' confidence

Students has more confidence	Mean Scores			
	Malaysia	Indonesia	Maldives	Japan
in using English in writing	3.27	2.91	3.37	2.76
in using English in speaking	3.17	3.00	3.34	2.71
when reading materials in English	3.45	3.20	3.61	2.76
in learning new English words	3.59	3.50	3.45	3.31
In learning new sentence structures in English	3.30	3.17	3.19	3.17

Though students from these countries show different inclination in terms of English language learning, in general, quite a number of them are positive towards learning of various aspects of the English language using the FB environment, while displaying motivation and confidence in the process. One possible reason is that, FB engages and involves students in various teaching and learning contexts related to reading and writing (Aydin, 2012), as well as encourages learners to be 'willing to express their own ideas in writing and more willing to interact with other people' (Shih, 2011, p. 841). These are done collectively, in a CoP whereby, the students socialise in FB, creating and developing a network of people who trust and support each other (Llorens & Capdeferro, 2011) that lead to having positive attitudes and becoming motivated and confident in learning English.

CONCLUSION

In general, respondents from all four countries agree that FB can and has helped them improve English language learning. Findings show that respondents from the four countries are motivated to use English in their FB as they communicated with friends from the real world and FB friends using the English language. In addition, the respondents have gained some level of confidence in using and learning English with some differing outcomes between the four countries. Hence, this research confirms that, to some extent, learning of English occurs in the FB environment incidentally, as well as structurally, and aided by the students' awareness of FB's capability to enhance their learning of English. Findings related to the motivation and confidence constructs indicate that the respondents are well aware of them learning certain elements of language, specifically communication and learning new words. Such learning is possible when the FB environment is used in pedagogically meaningful ways, which will then facilitate the 'development of socio-pragmatic awareness and competence in second language learners through meaningful intervention' that can also promote cross-cultural understanding (Blattner & Fiori, 2009, p. 22).

Based on the findings of the study, several pedagogical implications can be forwarded to further proliferate and strengthen our

existing knowledge of using FB for effective language learning experiences. It is found that learners from different countries need /prefer /require/ focus on different skills / elements of language learning in the FB environment. For example, the Japanese learners focused very much on learning new words of English and emphasized on communication skills; the Maldivians preferred the learning of English through chatting (synchronous messaging); the Malaysians on writing and; the Indonesians needed to change attitude towards learning English. Therefore, teachers, academicians and researchers, in using FB for learning purposes, ought to identify their learners' interests, patterns of uses and behaviours in the FB environment and how they use FB tools before they plan, organize and implement their teaching-learning activities, ideas or projects. They also need to identify the language learning needs of their learners, and plan and implement accordingly because, as indicated by the findings of this study, different learning contexts mean that there are different learning needs and interests. Identifying and understanding the above are important because, previous literature have strongly suggested that different tools in the FB environment have different purposes, different interaction types and can fulfill different learning needs (English & Duncan-Howell, 2008; Hsu et al., 2011; Lampe et al., 2006; Meishar-Tal et al., 2012). In addition, the role of 'cultures and educational practices in local contexts', as suggested by Manca and Ranieri (2013), should also be considered and taken into account since this study examined learners from four distinct cultures and educational settings.

In terms of further research, this study has opened the door for other possible research questions that need to be explored. The first is 'How can teachers utilize FB to promote learning among students in different countries?' This question directly would help solidify the main pedagogical implication of this study i.e. identifying the patterns, needs, uses and behaviours of learners before implementing FB as a learning platform. The second question 'What are some learning activities that teachers can apply in FB effectively?' which would address the remaining pedagogical implications. Also, studying the use of FB in other countries, contexts and communities would give us more helpful insights into the planning, organization and implementation of FB as an educational environment or platform.

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Appendix 1

Items for aspects of learning English in Facebook

Items	Strongly Disagree 1	Disagree 2	Slightly Agree 3	Agree 4	Strongly Agree 5
Practise writing in English					
Practise reading in English					
Enhance students' English communication skills					
Enhance students' confidence to write in English					
Enhance students' confidence to read English materials					
Enhance students' confidence to communicate using English					
Enhance student's motivation to communicate using English					
Enhance students' motivation to read English materials					
Enhance students' motivation to write in English					
Make learning English more interesting					
Learning English					
Learn new words in English					
Inculcate a more positive attitude towards learning English as a second language					
Inculcate a more positive attitude towards English as a language					
Make learning English easier					
Tolerate language mistakes					

Examining the Factors Mediating the Intended Washback of the English Language school-based Assessment: Pre-service ESL Teachers' Accounts

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ABSTRACT

This paper reports and discusses the quantitative findings of the perceived washback effects of the English language school-based assessment on teachers at the lower-secondary level in Malaysia. It aims to do so from the point of view of a group of pre-service English language teachers so as to provide both pre-service and in-service teachers with a better idea of the roles they need to play and the decisions they need to make about washback. Test washback studies reported in the literature, upon confirming the presence or absence of it, they have attempted to identify the factors within their respective contexts that appear to mediate the intended washback. Considering the recent implementation of the English language school-based assessment at the lower-secondary level intended to minimize the exam-orientedness within the Malaysian education system, the present study was therefore carried out to assess the mediation of factors at both macro and micro levels. The perspectives of a group of pre-service English language teachers were looked into. Specifically, the study looked into the extent to which the perspectives of the teacher-trainees in a teacher training college in the country were in line/in conflict with that of the Malaysian Examinations Syndicate's (MES). Drawing mainly on the data from the survey administered, it was found that these teachers perceived there

were some barriers at both the micro and macro levels, which inhibited the intended washback effect. Findings of the study may help policymakers in minimizing the barriers, which may inhibit the intended washback effect.

Keywords: Mediating factors, pre-service teachers, school-based assessment, test washback

INTRODUCTION

Globally, examinations have been widely used by educational authorities as tools/vehicles of policies to positively influence teaching and learning activities (Brindley, 2008; Shohamy, 2001). Upon closely scrutinising the tests/examinations that have been used for such purposes, it can be learnt that they are paper-and-pencil tests or other performance assessment, which are of high-stakes, mostly administered at the end of teaching and learning processes (*i.e., summative-oriented*) and they serve various purposes such as proficiency, and achievement. (Barootchi & Keshvarz, 2002; Tsagari, 2004). A comprehensive review of literature in both general and language education has revealed that the educational authorities' disposition to use examinations for such purposes has provoked a succession of claims and counter-claims among researchers. For instance, Pearson (1988) had argued that tests/examinations could be used as *lever for change*. Popham (1987) had extended a similar notion with the term of *measurement-driven instruction* (MDI). Taken together, the above-mentioned terms

and others such as *test-curriculum alignment* (Shepard, 1990), *backwash* (Hughes, 1993) and *consequences* (Cizek, 2001) imply that what is tested is what gets taught and learnt in classrooms. In contrast to the above-mentioned terms widely used in the area of general education, washback or backwash in the area of language education is broadly defined as tests influencing teaching and learning (Alderson & Wall, 1993; Hughes, 1989). Upon reviewing its origin, it was learnt that discussions in relation to tests influencing teaching and learning were observed earlier in general education circles as it was only in the late 1980s, scholars in language education began looking into it (Cheng, 2008). In addition, a close scrutiny into its progression revealed that two schools of thought have been recorded, namely the psychometric and the social aspects of the washback phenomenon (Alderson & Wall, 1993; Bailey, 1996; Messick, 1996; Tsagari, 2007). The former propagates that good teaching and learning activities i.e., positive washback can be created by means of the test design. On the contrary, the latter propagates that while validity is a property of a test, other factors/forces from both micro (*classrooms*) and macro (*education systems and societies)* levels may mediate the intended washback i.e., what is intended by the test developers. The present study relied on the second school of thought i.e., the social aspect of the washback effect.

It is worthy of note that critics from both general and language education circles have raised concerns about the usefulness of examinations as the primary measure

of learners' achievement. The reasons for which the critics disapproved of the conventional testing methods are, inter alia, the incapability of conventional testing methods (*summative-oriented*) to provide rich information to assess both processes (*growth*) and products (*achievement*) of learning, stakes which are attached to tests being relatively higher and thus adversely affecting both teachers and learners on curricular, educational and psychological levels, and the problems associated with teacher-made tests, which may potentially focus more on grading than on learning purposes. Alternatively, they call for the integration of 'alternative assessment' (*formative*) along with the conventional testing methods (*summative*) to ensure more reliable and valid measure of learning outcomes (Tsagari, 2007). In response to such concerns, education systems around the world have undertaken assessment reforms within their own contexts. Upon reviewing such reforms, Berry (2011) discovered that in both western and eastern parts of the world, a clarion call was made for education systems to implement both formative and summative assessment, to which education systems had responded in different ways. Specifically, the responses ranged from a total abolition of high-stakes testing in some settings to attempts to strike a balance between classroom and large-scale assessment in a synergistic system. The present context, in which the study was carried out i.e., Malaysia, there is a long history of summative examination-oriented system, in which four major public

examinations have to be taken by students at both primary and secondary levels (Fook et al. 2009; Khan et al., 2016; Lee, 2006; Ong, 2010; Pandian, 2002). The first public examination i.e., Primary School Assessment or the UPSR (*Ujian Penilaian Sekolah Rendah*) is carried out in the sixth year (*end*) of the primary level. The lower secondary assessment i.e., which the present study looked into, was initially known as *PMR (Peperiksaan Menengah Rendah) before it was renamed as Pentaksiran Tingkatan 3 (*PT3*) or Form 3 assessment in the year of 2014, is the next public examination conducted at the end of lower-secondary level (*year 9*) till 2013 and the third public examination is the Malaysian Certificate of Education or the SPM (*Sijil Pelajaran Malaysia*), which is carried out in the fifth year of secondary level (*year 11*) (Khan et al., 2016). With such a system, there was almost no room for the integration of formative assessment in classrooms. However, the government realized the deleterious effects of the high-stakes tests at the primary and lower-secondary levels, which made students to engage more in rote-learning and memorization at the expense of meaningful internalization (Khan & Aziz, 2015). An entirely school-based assessment shifting the paradigm of teaching duties of teachers from 'teaching only' into a 'teaching and assessing their own students' at both levels were introduced. The government's intention of implementing SBA is to promote real learning of the subject matters among the students instead of rote-learning and memorisation (Malaysian

Examinations Syndicate, 2014). However, given the stakes attached to assessments at different levels along with the society's (*macro-level stakeholders*) faith in teachers grading their own students without fear and favour, the Malaysian government had to choose the lower levels of education, namely primary and lower-secondary levels in implementing an entirely school-based assessment in which the role of central agencies is minimised but the teachers' role as assessors is increased.

As it was highlighted earlier, theoretically, the present study relied on the social aspect of the washback phenomenon. Therefore, it has attempted to examine the factors from both macro and micro levels that appear to mediate the intended washback of the English language school-based assessment at the PT3 level. In this regard, the perceptions and attitudes of a group of pre-service English language teachers in the state of Penang, Malaysia were looked into. In the following sections, two bodies of literature i.e., school-based assessment and the washback effects, which concern the present study are reviewed.

School-Based Assessment (SBA)

The way scholars have defined SBA has not been consistent, as it was revealed by the literature. Related studies also indicated that the British writers refer to assessments, which are handled by teachers as formative assessment or teacher assessment whereas similar assessments are referred to as classroom assessment by the writers in the U.S. However, it has

to be noted that such assessment in the context of the U.S. involve a summative-orientation i.e., grading whereas it is not the case in the context of the UK (Brookhart, 2004). Owing to the long-standing history of summative-oriented examinations for accountability and selection purposes in the context of Asia, and the externally mandated examinations have been administered in many centralised education systems in the region, the relatively new paradigm of implementing assessment internally by means of empowering teachers in schools is referred to as SBA.

Upon looking into the definitions of SBA, it was found that Yussufu (1994) defined it as an assessment which involved the cumulative teacher judgment in relation to individual learner's work deriving from a systematic collection of grades or marks. He further highlighted that such an assessment was capable of serving as a monitoring instrument, which might provide diagnostic information to both teachers and learners to adjust their teaching and learning respectively. On the other hand, Ahmed and Williams (1994) defined it as an instrument, by means of which a wide range of assessment tasks and skills were assessed, had flexibility in the form of assessment i.e., written, and oral, and it employed open-ended questions. In addition, Izard (2001) as well as Raivoce and Pongi (2001) explained that SBA was often perceived as the process put in place to collect evidence of what students had achieved, especially in important learning outcomes that did not easily lend themselves to be assessed by the

paper-and-pencil tests. From the definitions provided in the foregoing, it can be seen that having teachers carrying out the internal (*schools*) assessment either on their own or with the assistance of the test developers, depending on the context in which it is implemented has been known under an assortment of names such as classroom assessment, teacher assessment and SBA. In the context of Malaysia particularly, SBA is a form of assessment conducted in schools, and is planned, administered, scored and reported in a mannered way based on the procedures and the guidelines provided by the Malaysian Examinations Syndicate (2011).

Figure 1 illustrates the English language school-based assessment implemented at the PT3 level in Malaysia.

According to Figure 1, there are two components under the PT3 English language

assessment. They are the central assessment and school assessment. The scope of these two assessment components is the national curriculum (i.e., KBSM) and they assess all four language skills. The combination of the two assessments is to complement each other in measuring the learning outcomes more reliably and validly.

The central assessment component is summative-oriented or assessment *of* learning at the end of lower-secondary education. The purpose is to assess learners' achievement at a particular time using instruments of comparable standards. MES prepares the instruments, scoring rubrics and guidelines while teachers administer, score and report the results. Also, listening and speaking (test) components included in this central assessment set it apart from the previous standardised exam (PMR) which was a traditional paper-and-pencil test.
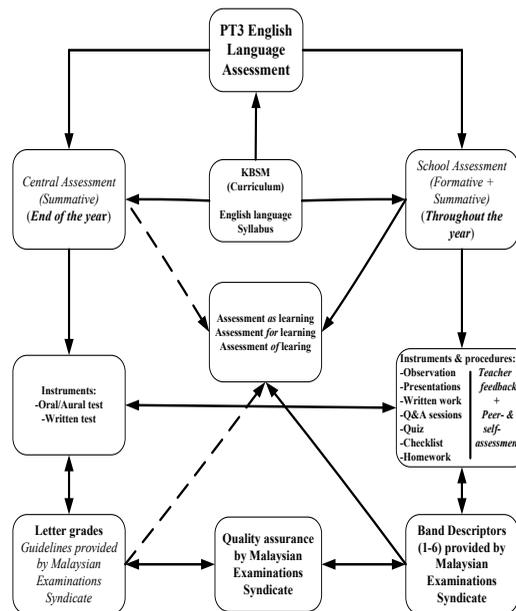
Figure 1. PT3 English language school-based assessment

The school assessment however looks at learners' learning progress and development. It is fully administered by teachers during teaching and learning, can be carried out formatively or summatively. The main focus of school assessment is to assess the learning that has taken place i.e., the acquisition of knowledge, skills and values in every subject learnt. Teachers are required to assess their students against a set of criteria (criterion-referenced assessment): a band scale provided by the MES. The bands range from 1 to 6 where 1 indicates the lowest level whereas 6 indicates the advanced level of learning the language.

Social Aspect of the Washback Effect

Some scholars (Morrow, 1986; Frederiksen & Collins, 1989; Khaniya, 1990) from the circles of both general and language education have widely asserted the existence of washback by heavily relying on the psychometric aspect of it without providing any empirical evidences. In language testing domain, this phenomenon came into prominence in early 1990s when Alderson & Wall (1993) disputed the assertions that a good test would produce beneficial teaching and learning (*positive washback*) and vice versa. In response, Alderson and Wall (1993) argued that a test by itself might not be the reason for the kind of teaching and learning observed in language classrooms as there might be other factors/forces within classrooms, schools, educational systems and society at work, which might hinder washback from happening. They subsequently proposed 15 washback hypotheses in their seminal paper "Does washback exist?" which dealt with '*whats*' and '*whos*' were affected by tests. The 'what*s*' according to them were teaching - rate, sequence, degree and depth of teaching, and, learning - rate, sequence, degree and depth of learning and the 'who*s*' were teachers and learners. Hughes (1993) in his attempt to enhance the understanding of backwash (as he referred to it), broke the consequences down into three broad categories: participants, processes and product. Bailey (1996), synthesized both Alderson and Wall's (1993) and Hughes' (1993) insights and presented the ideas with an addition of 'researchers' into the participants' category in the form of a diagram.

Alderson and Wall (1993) upon raising their arguments about the assertions made about washback effect, they themselves put their arguments to test in a washback study carried out in the context of Sri Lanka or better known as the Sri Lankan Impact study (Wall & Alderson, 1993) in which, they discovered that other than the test itself, there were other factors from both micro and macro levels, which mediated the intended washback effect. This was further confirmed by various other scholars from around the globe (Cheng, 1997; Cheng, 2005; Shohamy et al., 1996; Watanabe, 1996; Yu, 2010). Some of the salient findings of such studies are discussed in the following section.

Mediating Factors

The factors which have been identified by the empirical studies as influential in affecting washback to date are quite a number. They can be classified into four main categories: the teacher, resources, the school and the exam itself (Spratt, 2005). In relation to the teacher factor, four attributes have been cited in various studies i.e., their beliefs, their attitudes, their educational level and experience, and their personalities (Watanabe, 1996). In addition, resources are also said to be another factor which mediates the washback effect (Shohamy et. al., 1996). Among the factors, which have frequently been mentioned are customized materials and exam support materials, such as exam specifications (Shohamy et al., 1996; Watanabe, 2000) and the types of textbooks available (Cheng, 1997; Hamp-Lyons, 1998). As for schools being a factor of washback, its atmosphere and cultural factors such as learning traditions (Watanabe, 2000); how much of pressure are put on teachers by the administrators to achieve results (Smith, 1991; Shohamy et al., 1996). Studies have also indicated that factors related to an exam/assessment itself may mediate the washback effect. Such factors may include its proximity, its stakes, the status of the language being tested, its purpose, the formats it employs (Shohamy et al., 1996), the weighting of individual papers (Lam, 1994), when the exam was introduced and how familiar it is to teachers (Andrews et al., 2002).

METHOD

Participants

The participants of this study were teacher-trainees at one of the teacher training colleges, in the state of Penang. Due to reasons of confidentiality, the sampled teacher training college preferred being anonymous. Therefore, the researchers agreed not to mention its name throughout the study. In addition, none of the respondents' personal details such as their names and ethnicity are revealed here. A total of 32 female and 6 male ($n = 38$) teacher trainees in the sampled teacher training college agreed to respond to the survey. When this study was carried out, it was already four years into the implementation of the English language school-based assessment at the lower-secondary level of education. Owing to the lack of empirical studies looking into the knowledge and skills of assessment among pre-service teachers in Malaysia, along with the inaccessibility for researchers to assess if assessment matters are equally stressed as part of the training, it was deemed necessary to investigate the mediating factors, which these prospective teachers perceive may appear to affect their teaching and assessing practices.

Instruments

It is of utmost importance to know if teaching and learning activities in classrooms are in line with what is expected of teachers and students especially in centralised education systems, in which decisions are made by policymakers at the

ministerial levels. In the case of the present study, as it was only focused on teachers' perspective, the researchers have referred to official documents which were issued by the Malaysian Examinations Syndicate (*MES*) to identify what is expected of teachers at the PT3 (*lower-secondary*) level. The researchers, upon identifying the intended washback, administered a survey which required the respondents (*n = 38*) to record their self-reported responses. They triangulated the responses provided by the pre-service teachers to see the extent to which these pre-service teachers' perspectives were in line or in conflict with that of MES'. Specifically, some mediating factors from both micro (*classroom*) and macro (*education system and society*) levels were included in the survey. These mediating factors in this study were operationalized as the challenges (*i.e., micro and macro levels*) from the perspective of pre-service teachers.

A validated questionnaire by Yu (2010), who conducted a mixed-methods case study on the washback effects of school-based performance assessment on teaching practices among English language teachers in a Hong Kong secondary school, was adapted by this study. The original questionnaire was designed on a 6-point Likert scale, but the researchers had to transform it into a 5-point Likert scale. Therefore, the respondents were required to respond on a 5-point Likert scale ranging from 1 which indicates *Strongly disagree* to a score of 5 which indicates *Strongly agree*. Altogether, there are five sections in the questionnaire (Table 1).

The first test which is usually carried out on the data is the reliability test on the multi-item instruments used in research. The Cronbach's Alpha value is used to test the reliability of the items measuring each variable. While different levels of reliability are required, depending on the nature and purpose of the scale, Nunally (1978) recommended a minimum level of 0.7. It is a reliability measure coefficient that reflects how well items in a set are positively correlated to one another. The adapted questionnaire was revalidated by two local experts in the area of language testing and

Table 1

Sections of questionnaire and Cronbach's Alpha

Section	No. of items	Number of items Discarded	Cronbach's Alpha
I Perceptions on SBA	22	-	0.923
II Teaching Content	9	3	0.841
III Teaching Method	9	1	0.869
IV Assessment activities	9	2	0.846
V Challenges*	10	-	0.873

a master's degree holder from the area of Business management, and a reliability test was run for each section and for the entire instrument. An internal consistency test of the section V of the questionnaire revealed that its cronbach alpha value was at 0.873 (Table 1).

Considering the fact that the pre-service teachers sampled in the present study have yet to experience teaching in schools, the researchers felt that their responses for the first four sections (I, II III and IV) of the instrument may not be valid. Hence, only the results of section V of the survey are discussed in this paper. For the present study, after reviewing the related literature, the researchers were able to identify ten challenges which comprised both macro (*society and education system*) and micro levels (*classroom*). These challenges were mostly investigated in quite a number of washback studies (Wall & Alderson, 1993; Yu, 2010; Watanabe, 1996 & Cheng, 2005). Among the 10 challenges, four of them (i.e., *C1, C2, C4 and C10*) are challenges at the micro level whereas the rest (six) of them (*C3, C5, C6, C7, C8 and C9*) are challenges at the macro level. On reader-friendly grounds, the researchers have coded all the items as C1 till C10.

Following are the challenges at the micro level:

C1 – *students' current English level*

C2 – *Class size*

C4 – *Classrooms with students of mixed-abilities*

C10 – *Students do not prefer being assessed by their own teachers*; and

Following are the challenges at the macro level:

C3 – *inadequate textbooks and other available teaching resources*

C5 – *the lack of teaching and learning aids and facilities*

C6 – *too heavy workload*

C7 – *inadequate time for carrying out the school assessment*

C8 – *lack of information from the ministry*

C9 – *parents do not trust the teachers' grades*

Data Collection and Analysis

Upon obtaining the approval from the state education department of Penang to carry out this study, an acquaintance of the researchers who had been a senior staff member at the teacher training college was approached to assist the researchers with the data collection among the teacher-trainees. The survey forms were completed by the teacher-trainees under the senior staff's supervision with a return rate of 95%. The Software Package for Social Sciences (SPSS, V21) was used to analyse the data. The measure of central tendency was carried out to see the relationship between the relevant demographic data and the challenges (mediating factors) at both macro and micro levels from the perspective of the sampled pre-service teachers.

RESULTS

Demographic Profile

The relevant demographic data of the sampled pre-service teachers in this study are gender, age, language course qualifications, educational qualifications, experience in teaching the English language subject and optionist/non-optionist teachers. The data are presented descriptively i.e., in the form of frequency and percentage (Table 2).

Referring to Table 2, it can be noted that there is a stark contrast between the number of male and female teachers within the sampled teacher training college. This imbalanced gender gap is a reflection of the overall statistics of teacher-trainees enrolled at teacher training colleges and even the statistics of in-service teachers at both primary and secondary schools nationwide. The tables below (Table 3, 4 and 5) indicate such imbalanced gender gaps observed at the enrolment rate in teacher training colleges and the teaching force of the country. These tables were cited from the official documents from the Ministry of Education (*quick facts* for the year of 2015).

In relation to age, 37 of the respondents were of 20-29 years old whereas only one respondent was of 30-39 years old. As for the language courses qualification, 36 of them reportedly had SPM level English language qualifications. As for the educational qualifications, majority of the respondents reported that they were at Bachelor's degree level. The researchers

Table 2

Relevant demographic data of pre-service teachers

Demographic Profile		Frequency	Percentage (%)
Gender	Male	6	15.8
	Female	32	84.2
Age	20-29	37	97.4
	30-39	1	2.6
Language Courses Qualification	SPM	36	94.7
	MUET	1	2.6
	IELTS	1	2.6
Educational Qualifications	Bachelor's Degree	35	92.1
	Doctorate (PhD/EdD)	1	2.6
	Other	2	5.3
Experience in teaching English	less than 10 years	38	100.0
Did you opt to teach English as preferred subject?	Yes	38	100.0

Table 3

Enrolment of teacher trainees in institutes of teacher education

Institute of Teacher Education		Enrolment		
		Male	Female	Total
1.	PGM Kampus Perlis	368	624	992
2.	IPGM Kampus Darul Aman	437	938	1375
3.	IPGM Kampus Sultan Abdul Halim	409	1223	1632
4.	IPGM Kampus Pulau Pinang	282	827	1109
5.	IPGM Kampus Tuanku Bainun	391	1050	1441
6.	IPGM Kampus Ipoh	498	1341	1839
7.	IPGM Kampus Bahasa Melayu	282	875	1157
8.	IPGM Kampus Bahasa Antarabangsa	209	489	698
9.	IPGM Kampus Ilmu Khas	235	691	926
10.	IPGM Kampus Pendidikan Teknik	259	454	713
11.	IPGM Kampus Pendidikan Islam	419	947	1366
12.	IPGM Kampus Raja Melewar	457	1406	1863
13.	IPGM Kampus Perempuan Melayu	147	870	1017
14.	IPGM Kampus Tun Hussein Onn	450	1263	1713
15.	IPGM Kampus Temenggong Ibrahim	477	1370	1847
16.	IPGM Kampus Tengku Ampuan Afzan	370	961	1331
17.	IPGM Kampus Dato' Razali Ismail	375	945	1320
18.	IPGM Kampus Sultan Mizan	344	571	915
19.	IPGM Kampus Kota Baharu	514	969	1483
20.	IPGM Kampus Gaya	233	522	755
21.	IPGM Kampus Kent	195	485	680
22.	IPGM Kampus Tawau	182	271	453
23.	IPGM Kampus Keningau	198	344	542
24.	IPGM Kampus Batu Lintang	288	755	1043
25.	IPGM Kampus Sarawak	258	532	790
26.	IPGM Kampus Rajang	243	489	732
27.	IPGM Kampus Tun Abdul Razak	293	625	918
TOTAL		8813	21837	30650

Source: Institute of Teacher Education, MOE

Table 4

Number of in-service teachers at the primary level by gender

Age Group	<25	25-29	30-34	35-39	40-44	45-49	50-54	55-58	>58	Total
Male	1839	7748	13806	13604	11103	10922	7943	4402	831	72198
Female	3559	18117	36862	34546	28767	23701	17448	5642	697	241537
Total	5398	25865	25865	50668	48150	39860	34623	25391	10444	241537

Source: School Management Division, MOE (Data as of 31 May 2015)

Table 5

Number of in-service teachers at the secondary level by gender

Age Group	<25	25-29	30-34	35-39	40-44	45-49	50-54	55-58	>58	Total
Male	106	5375	8081	7856	8724	10747	9176	4200	593	54858
Female	440	16896	27961	21730	21730	20740	13438	4141	413	127616
Total	546	22271	36042	29713	30454	31487	22614	8341	1006	182474

Source: School Management Division, MOE (Data as of 31 May 2015)

would like to highlight that these teachers were undergoing their teacher training at their first degree level. Therefore, they have yet to earn their Bachelor's degree. However, it is considered their highest qualification because they were at their final stages of their training program when this study was carried out. It can be argued that these pre-service teachers may not have taught the English language in schools at all. However, it is noteworthy that these teachers have the component of practicum embedded within their teacher training programs, in which they are supposed to teach the English language in schools. To the knowledge of the researchers, teachers from teacher training programs undergo their practicum for an estimated 6 months. Thus, they fall under the category of teaching experience with less than 10 years as stated in the instrument. As for opting to teach English, all of them opted to teach English as their preferred subject.

Means Comparison Test

The Means procedure is useful for both description and analysis of scale variables. The Means procedure calculates subgroup means and related univariate statistics for dependent variables within categories of one or more independent variables. The following tables present the means comparison in which the participants' (*teachers'*) mean score of selected items of their demographic profile (*i.e., gender and experience of teaching English*) are compared against the mean score of perceived challenges.

From Table 6, we can see that overall, fairly high mean scores (> *3.5*) are recorded for almost all the challenges. However,

it is quite interesting to note that of the total ten challenges (*C1 – C10*), the highest mean scores were observed at C4. Notwithstanding, the mean score of C4 for male participants is not the highest, unlike the female participants. The highest mean score for male participants was observed at C1 (*4.67*). The second highest mean score was recorded at C7 (*3.97*). However, it is noteworthy that it is also the highest mean score for the female participants but not for the male participants. On the contrary, the second highest mean score for male participants was recorded at C3 and C4 (*3.83*). Interestingly, the responses provided by the male respondents considerably contradicted with their female counterparts. Specifically, the male participants did not perceive C5, C6, C9 and C10 as significant challenges whereas their female counterparts perceived almost every challenge as a significant one.

Referring to Table 7, it can be noted that all the participants sampled in this study had less than 10 years of teaching experience. It was earlier discussed in this paper as to why these teachers had less than 10 years of teaching experience. It is noteworthy that almost every challenge was rated as significantly challenging by the participants of the study. The highest mean score was recorded at C4 (*4.05*). The second highest mean score was recorded at C7 (*3.97*) and the lowest mean score was recorded at C2 (*3.50*).

Table 6

Means comparison (gender & perceived challenges)

Gender		C1	C2	C3	C4	C5	C6	C7	C8	C9	C10
Male	Mean	4.67	3.50	3.83	3.83	3.00	3.33	3.50	3.50	2.83	3.00
	N	6	6	6	6	6	6	6	6	6	6
	Std. Deviation	0.516	0.837	1.169	0.753	1.414	1.033	1.643	1.761	1.472	1.549
Female	Mean	3.63	3.50	3.78	4.09	3.97	3.97	4.06	3.81	3.81	3.62
	N	32	32	32	32	32	32	32	32	32	32
	Std. Deviation	0.907	0.842	0.706	0.689	0.822	0.861	0.840	0.859	0.780	0.907
Total	Mean	3.79	3.50	3.79	4.05	3.82	3.87	3.97	3.76	3.66	3.53
	N	38	38	38	38	38	38	38	38	38	38
	Std. Deviation	0.935	0.830	0.777	0.695	0.982	0.906	1.000	1.025	0.966	1.033

Table 7

Means comparison (English teaching experience & perceived challenges)

English Teaching Experience		C1	C2	C3	C4	C5	C6	C7	C8	C9	C10
Less than 10 years	Mean	3.79	3.50	3.79	4.05	3.82	3.87	3.97	3.76	3.66	3.53
	N	38	38	38	38	38	38	38	38	38	38
	Std. Deviation	0.935	0.830	0.777	0.695	0.982	0.906	1.000	1.025	0.966	1.033
Total	Mean	3.79	3.50	3.79	4.05	3.82	3.87	3.97	3.76	3.66	3.53
	N	38	38	38	38	38	38	38	38	38	38
	Std. Deviation	0.935	0.830	0.777	0.695	0.982	0.906	1.000	1.025	0.966	1.033

DISCUSSION

From the foregoing results, we can deduce that the sampled pre-service teachers have unanimously raised the issue of one particular micro level challenge i.e., classrooms with students of mixed-abilities (*C4*) as the most significant one for them. Interestingly, for both categories of gender and teaching experience, the pre-service teachers responded that this micro level challenge is of the most significant. The researchers feel that the sampled pre-service teachers may not have been equipped with sufficient knowledge base in relation to formative assessment which is about diagnosing students' weaknesses and using the test-/assessment-derived information as feedback and feedforward to help improve their own teaching and helping their students at the same time by means of peer- and self-assessment. In addition, it is also felt that these teachers may lack innovativeness in relation to mixing low-performing, mediocre and high-performing students

within classrooms to make teaching and learning activities more meaningful and fun. The researchers are also of the view that these teachers may have the disposition to focus more on individual activities rather than doing group activities, discussions, etc., which may help deal with the micro level issue they have raised. Therefore, the pre-service teachers' perspectives in relation to classrooms with students of mixed-abilities are in conflict with that of MES'.

Moving on, inadequate time for carrying out the school assessment (*C7*) i.e., one of the challenges at the macro level, recorded the second highest mean score for both gender and teaching experience categories respectively. It is again the researchers' view that the sampled pre-service teachers may not realize that the school-based assessment which is presently implemented at the lower-secondary level is a synergistic one in which, the central assessment which comes at the end of the year and the ongoing school assessment complement each other. More importantly, the school assessment is

considered low-stakes as it involves various classroom activities (Figure 1) throughout the years of form 1, 2 and 3. It does not directly involve the MES in assessing the students' language learning outcomes due to the recent decentralization of decisions in relation to assessment activities. The main focus for the school assessment component should be on the growth or the process of language learning over a period of time rather than the products (*i.e., grades*). The researchers also wonder if these teachers are aware that the PT3 test battery itself is considered low-stakes as it does not involve any certification. In other words, it does not involve any serious implications on the students' lives except for moving on to the next form i.e., form 4. These teachers' response in relation to this macro level challenge indicates that the overarching exam-orientedness which the MoE wants to minimize, after four years into the implementation of English language school-based assessment, have yet to taper off.

The male pre-service teachers' responses were to some extent, contradictory to those of their female counterparts'. Specifically, they felt that the lack of teaching, learning aids and facilities (*C5*) and parents did not trust teachers' grades (*C9*) i.e., challenges at the macro level were not real challenges for them. It may indicate that these particular male teachers may have been creative and innovative, and acted on their own initiative to supplement the limited resources available and their experiences indicated that parents whom they encountered do indeed trust the grades assigned by teachers. Notwithstanding, their female counterparts thought otherwise. Lastly, these respondents who have less than 10 years of English teaching experience felt that the micro level challenges of class size (*C2*) and students did not prefer being assessed by their own teachers (*C10*) were not significant. It implies that these teachers may have positive attitudes about teaching classes of considerably bigger sizes and their own experiences may have indicated that students do indeed prefer being assessed by their own teachers.

As the teachers sampled in the present study had yet to experience real teaching, their responses, which were found contradicting (between males and females for instance), may reflect the level of exposure to assessment matters. The researchers feel that pre-service teachers are required to be given more exposure to the synergistic assessment system that has been implemented in recent years as part of their training activities. Such training activities may serve as a foundation for them to pursue assessment matters better when they begin teaching in schools. More importantly, such an exposure may help create positive washback.

CONCLUSION

It is of utmost importance to highlight the limitations of the present study to help researchers who intend to pursue the issues raised in the present study accurately. The present study employed only a survey, by means of which, it investigated the contextual factors at both

micro and macro levels, which mediated the intended washback effects of the English language school-based assessment from the perspective of the sampled teacher-trainees. The researchers were not able to carry out methodological (interviews) and data triangulation (policymakers' and parents' perspectives) to triangulate the responses provided by the teacher-trainees in their self-reported questionnaires. However, it is noteworthy that classroom observations were not carried out in the present study as it only involved teacher-trainees who were not involved in regular teaching practices. Considering the respondents of the present study were sampled from one of the teacher training colleges in the northern region, generalizing the findings to other states and contexts should therefore be done with caution. Despite some of its limitations, the present study has shed some light on the challenges that these prospective teachers perceive they may encounter upon being posted to schools in the country.

To the knowledge of the researchers, not many studies to date have focused on studying the attitudes and behaviours of teacher trainees in relation to the English language school-based assessment. Therefore, more studies are needed to better understand their views, knowledge and understanding on this new assessment system which may culminate in helping policymakers making necessary adjustments in their policies and more importantly, teachers can be better trained while undergoing their training before being posted to schools. The success of training the teachers well by means of

strengthening their knowledge base and understanding may help the MoE spare financial incentives which may have to be spent for in-service training for teachers.

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PERTANIKA
J O U R N A L S

MA-TEFL Thesis Writing Regulations in Iran: Supervisors and Examiners' Comments and Feedback

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ABSTRACT

Scrutinizing the MA theses, as the culmination of candidates' MA studies, in terms of oral and written feedback, the current research was conducted to pinpoint the mostly addressed regulations of thesis writing by both supervisors and examiners. Furthermore, the chapters receiving more feedback/comments on the part of supervisors and examiners, and the potential differences between oral and written feedback were also probed. To these aims, 23 viva sessions along with 24 first drafts of theses submitted to supervisors were gathered as corpora. The corpora were analyzed based on adapted framework to find out the thesis writing regulations addressed more frequently by supervisors and examiners. Finally, Chi Square analysis was run to see if there is any significant difference between oral and written feedback concerning thesis writing regulations and chapters receiving feedback. The findings of the investigation revealed that universal framework for thesis writing was found to be addressed more frequently in providing oral and written feedback. Furthermore, Chapter Two and Chapter One were the target of most of supervisors and examiners' feedback, respectively. The result of Chi square analysis revealed that there was a significant difference in terms of both, thesis writing regulations as well as chapters. It is hoped that the findings of the study will contribute to the process of thesis writing and facilitate successful viva sessions to both, the candidates and supervisors.

INTRODUCTION

As a partial fulfillment of their qualifications, MA candidates are expected to write a thesis. Chandrasekhar (2002) stated that a thesis was the evidence of candidates' ability to carry out a piece of research independently benefiting from supervisors' guidance. Thomas and Brubaker (2000) believed that a thesis was written to achieve two main objectives: 1) to help students in conducting a research by providing some guidelines, and 2) "to contribute to the world's fund of knowledge or improve the conduct of some activity". A well-written thesis is the culmination of hours of research and writing. Akin to this statement, Chandrasekhar (2002) claimed that a thesis might bring the candidates "lifelong benefits" and influenced their academic life even after graduation. Since it is their first time and they have not taken any special training to undertake the task of writing a thesis, they may leave pieces of work with some errors and problems that require the supervisors and examiners' feedback to render their submitted work more accurate and acceptable. Therefore, the importance of the supervisors and examiners' feedback cannot be neglected. Feedback has great potential for student learning and is "one of the most potent influences on student learning" (Jonsson, 2013). Irons (2008) argued that providing feedback was a central aspect of the teacher's role in higher education. In compliance, according to Kumar and Stracke (2011) feedback is the information from the supervisor that may help the students to close the gap between current level and actual level, and become an experienced researcher in a specific field. Both supervisors and examiners may provide feedback on aspects such as *writing style, methodological issues, and language* that need more improvement. Kumar and Stacker (2007) proposed that in the process of providing feedback, supervisors and candidates might undertake a communication with each other. Feedback is embedded in supervisory relationships. The supervisor/supervisee relationship can propagate a powerful relationship in which one is the master and the other the learner. An important type of information provided by feedback is that it helps candidates understand the expectations of their disciplinary community. It "conveys implicit messages" about the values and beliefs of the discourse community, the nature of disciplinary knowledge and student identities in the community (Hyland, 2009).

Also as Parr and Timperley (2010) contended, one of the conceptual functions of feedback is to shut or shorten the gap between the current and target level of performance. In the same line, Stracke and Kumar (2010) stated that since feedback provided developmental experiences, it might lead to the occurrence of self-regulation. The fact that feedback should result in "dissertation, clarification, and negotiation" is the cornerstone of this argument. In the eyes of East et al. (2012), postgraduate research supervision was an important component of the university teaching and learning environment. Franke

and Arvidsson (2011) argued that research supervision involved both a *knowledge* process and a *relational* process through which the research student was given the opportunity to develop the knowledge and skills needed to carry out research effectively.

The fact that writing a theses or dissertations will influence the students' academic life after graduation makes them leave a very accurate piece of research as their academic representation. Having the original potential to contribute to the world knowledge is another distinctive characteristic of theses or dissertations. Hence, the above-mentioned functions and characteristics of thesis emphasize and necessitate the role of feedback on thesis provided in the process of writing as the first draft as well as on the end product at viva sessions. As Hattie and Timperley (2007) maintained feedback exerted a significant influence on learning and achievement, and had considerable power to improve teaching and learning. Supervisors' constructive and detailed feedback on written work has been identified as a key characteristic of good research supervision (Engebretson et al., 2008). Furthermore, Bitcheneret et al. (2011) had proposed that since feedback in many respects replaced the type of instruction other students received in lecture and classroom approaches, it was particularly important for thesis candidates. Moreover, Kumar and Stracke (2017) stated that the examiners judged the quality of the theses and decided if the candidate had reached

the required goals and criteria to gain the degree.

REVIEW OF THE RELATED LITERATURE

Feedback in postgraduate studies can be considered as a less investigated area in higher education system. Some of the studies undertaken on the supervisors' feedback delved into doctoral dissertations. Kamler (2008) stated that doctoral research was the main source of new knowledge production in universities. However, the doctoral candidates are deprived of adequate instruction and/or structural support. It is argued that supervisors' co-authorship is beneficial to pedagogical practice and may enhance the quality of the publication output and robustness of the work. However, there is a need to consider this co-authorship, as a pedagogic practice, more deeply and explicitly and aid doctoral publication. Along the same lines, considering the self-regulated scholars as the main aim of the doctoral program, Stracke and Kumar (2010) investigated how candidates link the written feedback received to self-regulated learning process and became an independent expert. They analyzed Distribution of Vera's feedback according to speech functions and concluded that referential feedback including praise, criticism, and opinion played a major role in the supervising process. In another study, Kumar and Stracke (2017) analyzed doctoral examination reports from three disciplines to understand whether the examiners' role was that of an evaluator or

a teacher. The majority of the examiners provide assessment and feedback in the form of summative assessment. Nevertheless, the choice between assessment and feedback is based on the individual preference rather than expectation of how candidates fill the critical gap in their theses. They argue that the examiners must provide the candidates with some feedback to fix the critical issues of theses. Under these circumstances, the role of assessment for learning is realized.

The other line of investigations has focused on students' perspective of the supervisors' feedback. In a thorough report, Bitchener et al. (2011) investigated the supervisors' and students' view of the best practices in feedback in New Zealand universities in three disciplines of humanities, science/mathematics and commerce. Moreover, the researchers tried to find out the potential differences regarding supervisors' and students' perspectives. Some advice was also provided to both supervisors and students to have more effective feedback practice in theses supervision. Furthermore, they delved into students' strong and weak points and found out that creating coherence in writing was the main weakness of the candidates. Content, accuracy and appropriateness were the areas that received more feedback. Dealing with the system of providing feedback, it was concluded that most of the supervisors' enjoy face-to-face feedback and a small proportion tended to give written feedback on drafts of texts.

In another study considering the students' perspectives toward the feedback,

East et al. (2012) scrutinized what research students received from their supervisors as feedback and what they considered to be effective. On the basis of the data gathered from interview and questionnaire, students reported the received feedback was in three broad areas of content, organization, and language. Face-to-face feedback was the most utilized feedback system by supervisors as candidates claimed. Interestingly, linguistic background of the candidates may influence how they consider feedback as effective. For L1 students, conducive feedback was direct, less challenged, and language-based. However, L2 students preferred feedback focused on language and organizational matters equally.

Looking at the feedback through a novel perspective, Wang and Li (2011) investigated the effectiveness of the supervisory feedback on international students' thesis writing process. The data for exploratory study were gathered through semi-structured interviews with a group of international doctoral students with non-English background. The findings revealed both positive and negative feedback experiences. Additionally, it was shown that the feedback provided by the supervisors may be culturally embedded. According to the findings, it was suggested that it was essential for the feedback provided to international students to be dialogic and culturally sensitive. The students confirmed the implication for enhancing doctoral supervision with international students.

As the concise review of literature helped reveal, the available body of research on

thesis writing regulations and requirements is still inconclusive. Furthermore, as Kavaliauskien and Darginaviciene (2010) argued, feedback and its efficacy for thesis/dissertation writing had been inspected insufficiently at the university context. Thus, in the current study, an attempt was made to scrutinize thesis writing regulations and thesis chapters addressed more by supervisors and examiners while providing feedback in written and oral forms. In so doing, the researchers attempted to find answers to the following research questions:

RQ1: What thesis writing regulations are addressed more frequently by supervisors and examiners?

RQ2: Which chapters of the theses are mostly targeted by supervisors and examiners' feedback?

RQ3: Is there any significant difference between oral and written feedback in terms of the thesis writing regulations on which feedback is provided?

RQ4: Is there any significant difference between oral and written feedback in terms of chapters receiving feedback?

It is possible to put forth null hypotheses only for the last two research questions in the following manner:

H01: There is no significant difference between oral and written feedback in terms of thesis writing regulations on which feedback is provided.

H02: There is no significant difference between oral and written feedback in terms of chapters receiving feedback.

METHOD

Design of the Study

To approach the thesis writing regulations as well as the chapters that are addressed more frequently, 23 viva sessions as well as 24 first drafts of theses gathered from various universities were analyzed. For some research questions descriptive analysis based on corpus analysis was reported. Therefore, enjoying ex-post-facto design, the current study adhered to descriptive design and more closely to corpus analysis.

Corpus

The corpus needed for the study was composed of two parts. The first part dealt with the written feedback applied by theses supervisors/advisors on the first draft of MA theses submitted by candidates. In so doing, 27 theses were gathered as the original corpus of the study. Unfortunately, three of the gathered theses from supervisors and MA candidates were excluded from final corpus as they were incomplete. With regard to the second part, which was concerned with oral feedback provided by examiners on the semi-final draft of theses in viva sessions, 25 viva sessions were recorded by the researcher. Akin to the first part of the investigation, two of the recorded viva sessions were not included in the final corpus because of low voice quality. To sum it up, 24 written drafts of theses along with 23 recorded viva sessions comprise the corpus of the current study. The corpus was gathered from Urmia University, Tabriz University, Shahid Madani University, Azad University

of Tabriz, Azad University of Urmia, Pardis Campus of Urmia University, University of Maragheh, and Azad University of Ahar.

The Criteria for Analysis of Thesis Writing Regulations

In order to analyze the collected corpus, the researchers needed to adapt a framework. The concise explanation of the framework adapted from Shirzad (2013) is as follows:

Language

The CF provided in terms of *grammar, word choice, and spelling* was categorized under the language problems.

Departmental Guidelines for Thesis Writing

Every university is supposed to provide general guidelines for writing a thesis as a piece of research to make the developmental process of research relatively straightforward. Among the above mentioned universities, only students from Urmia University students were found to be more exposed to detailed guidelines for thesis writing including *font, size, pagination,* and *space*.

Universal Guidelines for Thesis Writing

All around the world, there is a wide range of guidelines for composing a piece of research published by universities, like the ones offered by Cornell University and the University of California. In fact, these guidelines deal with articles rather than theses or dissertations.

The first subcategory of this criterion is APA Style including issues such as tabling, referencing and citation, and punctuation. Additionally, based on Manan and Noor (2014), the content of each chapter is a universal and agreed-upon framework. Therefore, the second subcategory belongs to framework and contents that should be covered in each chapter of the thesis. Last but not least, it was the academic writing style that should be considered under universal guideline for thesis writing. In this regard, issues such as use of personal pronoun (*I* instead of the researcher) were analyzed.

Methodological Issues in Conducting a Research

In conducting every piece of research such as a thesis, some issues and rules should be followed by researchers. The test employed for data analysis, selection of participations, sampling, validation and reliability of the questionnaires and interviews utilized, and implications of the study fall into this category.

Data Analysis

To analyze the first four research questions, descriptive statistics were reported. Simply put, the frequency of the feedback provided on each category and chapter was counted. However, to analyze research questions three and four chi-square analysis was used to find out whether any difference between the oral and written feedback on thesis writing regulations and chapters exists.

RESULTS AND DISCUSSION

The Occurrence of Written and Oral Feedback on Thesis Writing Regulation

In dealing with the first research question, initially the 4071 feedback instances provided by supervisors were categorized under the four groups of *language problems*, *departmental guidelines*, *universal framework for thesis writing*, and *methodological issues in conducting research*. Among these categories, universal framework for thesis writing (N=2431) was addressed more frequently. The findings of the study, concerning the first research question, are shown in Table 1.

On the basis of the results regarding the first research questions, *Universal Guidelines for Thesis Writing* (N=2431) received most of the provided feedback by both supervisors and examiners. Additionally, among the subcategories of this framework, most of the feedback was applied to *APA Style* including tables, referencing and citation, as well as punctuation and word capitalization. Looking through the subcategories of the *Universal guidelines*, it can be concluded that as far as oral feedback is concerned, there is no considerable gap between the content (N=132) and APA Style (N= 134). Regarding the subcategories of the *language,* grammar was given more feedback by examiners in viva sessions. However, in the case of written feedback on linguistic issues the focus was mostly on *vocabulary and word choice*. According to Casanave and Li (2008), because of the fact that students

Table 1

The frequency of written and oral feedback on theses writing regulations

Thesis Writing Regulation	Type of Feedback	
	Written	Oral
Language		
Grammar	590	74
Vocabulary	721	48
Spelling	32	5
Departmental Guidelines		
Font	25	7
Space	46	5
Outline	157	27
Universal Guidelines		
APA style	1471	134
Content and Organization	621	132
Academic writing style	339	17
Methodological issue	59	78

have difficulties regarding the sentence-level structure, the grammar should also be noticed and commented by the supervisors. The high number of feedback and comments provided by supervisors on the theses (N=590) is indicative of their emphasis on this aspect of thesis writing. Additionally, in line with the findings of the current study, Basturkmen et al. (2014) revealed that the linguistic accuracy was one of the concerns of supervisory feedback. Moreover, only a small portion of the feedback provided on first and semi- final drafts of theses is allotted to *Departmental Guidelines*.

APA Style is further analyzed in detail to give a more transparent picture regarding the issues covered in this subcategory. Table 2 delivers the findings regarding subcategories of APA Style clearly.

Table 2 shows most of the supervisory feedback was targeted to *Punctuation and word capitalization*. On the other hand, it was *Referencing and Citation* that attracted most of the examiners' feedback and comments in viva sessions. In both types of feedback, *tabling* did not receive much of the feedback from either supervisors or examiners.

In line with this result, Shirzad (2013) came up with a similar result in his investigation. He found that the majority of MA candidates' problems regarding their theses might refer back to APA style of writing and therefore more feedback was needed in this regard. Additionally, in Shirzad's (2013) investigation, *Style* category, akin to the current study, was followed by *language*, in that it was claimed that most of the final versions of MA theses in the field of TEFL suffered from language problems. Similar to the current findings, he indicated that methodological problems were the least observed problem in theses and were in need of less feedback.

Furthermore, the findings of the present study are also supported by Bitchener et al. (2011) who concluded that most of the teachers' feedback was targeted toward content of the theses. In accordance with our finding, in Bitchener et al.'s (2011) investigation, after content language and accuracy received the highest feedback from supervisors. Moreover, Stracke and Kumar (2010) came up with similar results claiming that supervisors' feedback mostly focus on content of the thesis and editorial

Table 2

The frequency of written and oral feedback on APA style

APA Style	Feedback	
	Written	Oral
Table and Figure	231	19
Referencing and Citation	509	87
Punctuation and Word Capitalization	731	28

issues (accuracy and grammatical points). Basturkmen et al. (2014) in their study on focus of the feedback showed that most of the feedback provided by supervisors were directed to content.

For most of the candidates, writing a thesis is their first experience of academic writing during their academic life. The lack of previous experience and/or qualified instruction could lead the candidates to have more erroneous productions in some areas and regulations than others. Hence, universal framework for thesis writing was addressed more frequently in the findings of the current study, both in first and semi-final drafts, in comparison to other regulations. As a consequence, Hartely (2008) argued that MA students should be trained to write a scientific work (e.g. thesis) before undertaking the process. Similarly, Bailey (2004) believed that scientific writing education might provide the learners with an awareness of basic writing skills and paved the way toward achievement. Also, the fact that the methodology and methodological issues are written and finalized under supervisors' supervision – as an experienced researcher and expert in the field– justifies the result that methodological issues received less written and oral feedback (N= 59, P= 1.44 %). However, this frequency rose to N= 78, P= 15.14 % in viva sessions since the examiners might ask candidates to clarify their methodology, data analysis, or results. Furthermore, in providing both oral and written feedback, spelling in *language category* received the least amount of corrective moves. One

of the main reasons for this occurrence may be existence of technology. All of the candidates type their theses in computers equipped with dictionaries that suggest the correct word spelling in the case of wrong or inappropriate ones.

The Occurrence of Written and Oral feedback on Chapters of Thesis

In their attempt to pinpoint the chapters of thesis that mostly received feedback, the researchers calculated the frequency of feedback provided by supervisors and advisors for each of the chapters. The total number of the provided feedback toward 24 first drafts of thesis equaled 4071. Out of the mentioned number, acknowledgments, table of contents, list of abbreviations, abstract, Persian abstract, and final referencing, which were not considered as chapters, received 520 feedback instances. Table 3 shows the frequency of the written and oral feedback on each chapter.

Chapter Two, encompassing theoretical background and related literature, was the target of the majority of the feedback given by supervisors (N= 1292). On the contrary, the last chapter received the lowest number of the feedback directed to first drafts (N= 370). In accordance with oral feedback, *Chapter One* received the most and chapter five the least number of feedback.

One reason for this finding may be the length of the second chapter. The second chapter, reviewing the previous literature and theoretical background, is typically the longest chapter of a thesis and hence it is the target of more WF compared to other

Table 3

The frequencies of written and oral feedback on each chapter

Chapters	Feedback	
	Written	Oral
Chapter 1	674	142
Chapter 2	1292	73
Chapter 3	567	126
Chapter 4	648	91
Chapter 5	370	39

chapters. The more the bulk of the chapter, the more the frequency of feedback and comments by supervisors.

The Difference between Oral and Written Feedback in Terms of the Thesis Regulations

Table 4 shows the result of chi square analysis regarding the potential difference between oral and written feedback directed to thesis writing regulations.

Table 4 shows that there is a significant difference between oral and written feedback in terms of thesis writing regulations addressed in semi-final and first drafts of theses ($p = 0.001 \leq 0.05$) and therefore, the first null hypothesis is rejected. Also this

difference is depicted in Table 5 in a more elaborate manner.

Table 5 depicts that frequencies of language (N = 1353, P = 33.24%), departmental (N = 228, P = 5.60%) and universal areas (N = 2431, P = 59.72%) in providing written feedback are significantly higher than OF group. The frequencies of these areas in OF group are (N = 124, P = 24.08%), (N = 35, P = 6.80%) and (N = 278, P = 53.98%), respectively. Also, as shown in Table 5, the frequency of methodological area in OF (N = 78, P = 15.15%) is significantly higher compared to WF group (N = 59, P = 1.45%).

Table 4

Chi square results for the comparison of OF and WF on thesis regulations

X2	302.66
Df	3
Sig	0.001

*Sig level ≤ 0.05

Table 5

Oral and written feedback in terms of thesis writing regulations

Group	Language		Departmental		Universal		Methodological		Total
	Frequency	Percent	Frequency	Percent	Frequency	Percent	Frequency	Percent	
Oral	124	24.08	35	6.80	278	53.98	78	15.15	515
Written	1353	33.24	228	5.60	2431	59.72	59	1.45	4071
Total	1477		263		2709		137		4586

The Difference between Oral and Written Feedback in Terms of Chapters Receiving Feedback

Table 6 illustrates the Chi square results for the comparison of oral and written feedback on different chapters of theses.

Based on the results of Chi square test, there is a significant difference between oral and written feedback in terms of chapters that receive feedback in viva sessions as final draft or in the process of thesis writing as first draft ($p = 0.001 \leq 0.05$). The second null hypothesis, therefore, is rejected.

Furthermore, the detailed findings regarding this difference are shown in Table 7.

In accordance with Table 7, frequency and percentage of written feedback provided on chapter 1 (N = 674, P = 18.98%), chapter 2 (N = 1292, P = 36.38%), chapter 3 (N = 567, P = 15.97), chapter 4 (N = 648, P = 18.25%), and chapter 5 (N = 370, P = 10.42%) in WF are significantly higher than the OF group. To sum it up, there is a significant difference between oral and written feedback in terms of chapters receiving feedback**.**

Table 6

Chi square results for the comparison of OF and WF on different thesis chapters

X^2	109.21
Df	4
Sig	0.001*

Table 7

Comparing oral and written feedback in terms of the chapters receiving corrective feedback

| Group | Chapter 1 | | Chapter 2 | | Chapter 3 | | Chapter 4 | | Chapter 5 | | Total |
	Frequency	Percent	Frequency	Percent	Frequency	Percent	Frequency	Percent	Frequency	Percent	
Oral	142	30.15	73	15.50	126	26.75	91	19.32	39	8.28	471
Written	674	18.98	1292	36.38	567	15.97	648	18.25	370	10.42	3551
Total	816		1365		693		739		409		4022

CONCLUSION

The researchers in the current study strived to investigate the thesis writing regulations and chapters addressed more by supervisors and examiners. The result of the scrutiny regarding regulations revealed that universal guidelines for thesis writing received most of the feedback on the part of both supervisors and examiners in viva sessions. Among the subcategories of the universal framework for thesis writing, APA Style was the most targeted dimension. However, departmental guidelines for thesis writing were followed well by the candidates since they received the lowest feedback. The present study, according to its aims and findings, would make its greatest contribution to the MA candidates who are endeavoring in the challenging process of thesis writing. Based on the findings of the study, the MA candidates will be aware of the regulations of thesis writing that are more focused by examiners and supervisors. Curriculum developers and designers are the other group that may profit a lot from the findings of the current study. They may aim to design and compile the university curricula and materials in a way that paves the candidates' way as it regards thesis writing. Adopting material which gives better account of academic writing, research process, and thesis writing may be more advantageous for postgraduate students. However, it is difficult to generalize the findings due to the small size of corpora, and more generalizable and safer results may be obtained via drawing on larger corpora.

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Reading and Vocabulary Knowledge Development: Sustained Independent Reading (SIR) Among Malaysian Tertiary Students

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ABSTRACT

Language educators and researchers frequently advocate two things in language acquisition: vocabulary learning and reading for pleasure. Vocabulary knowledge plays a crucial role in language mastery and extensive reading is deemed extremely fitting for vocabulary learning. For one, it is considered a pedagogically efficient approach as both reading and vocabulary acquisition can occur simultaneously. Sustained Independent Reading (SIR) is a vocabulary knowledge development intervention based on the belief that self-selection motivates readers to read, broadly and independently, over a sustained period of time. The present study was carried out in a public university in Malaysia over the course of one semester, involving two groups of 25 Malaysian participants each. The first group (Experimental) experienced 10 weeks of SIR while the second group (Control) did not. The participants were enrolled in the same remedial English proficiency course at the university and were matched in terms of vocabulary size. Results from the pre-, post- and delayed post-tests show greater lexical gains for the Experimental group with respect to vocabulary size, indicating that SIR is an effective method for motivating English language learners to read (broadly, independently and over a sustained period of time) and more importantly, for vocabulary knowledge development. This study's findings are relevant to stakeholders of English language education, specifically with regards to promoting extensive reading at the tertiary level, shaping Malaysian ESL policy in higher education, and providing direction for future related research.

Keywords: ESL/EFL, learner autonomy, Malaysian tertiary learners, motivation to read, Sustained Independent Reading (SIR), vocabulary knowledge development

INTRODUCTION

There is no doubt that English language teaching and learning has evolved over the years, distinguishing varied trends in the course of its history. Interestingly, vocabulary has been the highlight in recent decades despite it being an undervalued and often overlooked component in the earlier stages (Tan, 2016). This reorientation is reflected in three areas: classroom practices, education-related policies, and second/ foreign language acquisition research. This permits us to make a fair conclusion as to the central importance of vocabulary knowledge in language mastery, and in turn, literacy development as well as overall academic achievement.

There are two broad approaches to vocabulary learning. The first is incidental learning, which occurs via the process of inferring word meanings when the learner encounters unknown or unfamiliar words during reading and listening. The second is intentional learning, which relies on explicit vocabulary study or instruction (e.g., the use of vocabulary worksheets and dictionaries). Another element that helps to separate the two is the element of focus. The difference between intentional and incidental learning, as highlighted by Ellis (1999), is based on the distinction between focal and peripheral attention. Ellis explained that "intentional learning requires focal attention to be placed deliberately on the linguistic code (i.e., on form or form-meaning connections)" whereas "incidental learning requires attention to be placed on meaning (i.e., message content) but allows peripheral attention to be directed at form" (pp. 45-46).

Reading or extensive reading is a method that largely draws on incidental learning and although scholars have yet to come to a conclusive position as to whether reading, extensive or otherwise, can necessarily result in substantial vocabulary knowledge development, the general consensus is that vocabulary knowledge is important and that reading can be useful if students are, in the first place, motivated to read in the target language. In fact, students themselves regard vocabulary knowledge to be of chief importance and are of the opinion that many of their difficulties in terms of language use result from inadequate vocabulary knowledge (Nation, 1990), in tandem with British linguist David Wilkin's assertion that "without grammar very little can be conveyed, without vocabulary nothing can be conveyed." (Wilkins, 1972, p. 111). As for the benefits of reading, perhaps no one puts it more aptly than language acquisition scholar Stephen Krashen who stated the following:

"Reading is good for you. Research supports a stronger conclusion, however: Reading is the only way, the only way we become good readers, develop a good writing style, an adequate vocabulary, advanced grammar, and the only way we become good spellers." (Krashen, 1993, p. 23)

More recently and closer to home, calls are emerging for extensive reading programmes to be carried out in universities in Malaysia, highlighting the lack of such programmes in Malaysian tertiary-

level ESL/EFL settings. According to Azmuddin et al. (2014), extensive reading is "particularly absent in tertiary education in Malaysia" (p. 109), stressing that it is time to make extensive reading a part of English language courses at the tertiary level.

It is also worth noting that research advocates learner independence or autonomy with respect to vocabulary learning. This is because it is impractical to expect students to learn, and teachers to teach, all the vocabulary needed to master a target language; there are simply too many words to learn and a certain level of autonomy and accountability on the learner's part therefore becomes essential (Tan et al., 2017). In addition, Luu (2011) noted that autonomy does not only afford students the fundamental skills necessary for long-term learning but also the motivation to pursue a task with sustained interest.

In light of the importance of vocabulary knowledge and the supposed advantages of reading in the target language independently and substantially, it is fitting to study the effects of such a reading programme (i.e., SIR) on the lexical development of Malaysian tertiary-level English language learners, a cohort that has been reported to suffer from a serious lack of vocabulary knowledge and in turn, proficiency in the English language.

Problem and Aims

Consistently, Malaysian graduates' prospects of employment have been adversely affected by their lack of proficiency in English (Malaysia Budget 2015). Time and again, studies have reaffirmed that Malaysian graduates fall short of industry standards with one of the central and oft-quoted themes being their incompetency in the English language (Lim, 2011; Pandian & Ghani, 2005).

According to Yuksel and Kavanoz (2010), extant studies have revealed vocabulary size and overall language proficiency to be significantly correlated. Indeed, various correlation studies have documented the reciprocal relationship between vocabulary size and proficiency in specific language skills. For instance, between vocabulary size and reading comprehension (Beck et al., 2002); and writing ability (Llach & Gallego, 2009); and spoken communication (Oya et al., 2009); and listening comprehension (Milton et al., 2010).

Various studies conducted over the years within the Malaysian context have demonstrated lexical paralysis among local tertiary students (e.g., Mokhtar et al., 2010; Mohamed et al., 2008; Sankaran et al., 2004). Kaur et al. (2008) underlined the severity of this predicament, classifying lexical paralysis as a primary contributor to students' inability to read, write, listen and speak competently in English.

The present study has two broad aims. The first is to estimate the English vocabulary size of Malaysian tertiary-level English language learners, and the second is to examine the effectiveness of SIR, an extensive reading approach aimed at improving English vocabulary knowledge. It is hoped that the findings of this study

provide better direction for policy-makers, instructors and course designers with regards to the feasibility of implementing SIR or any other reading programme similar to it.

Research Questions

The present study is guided by the following research questions:

RQ1: What is the initial English vocabulary size of Malaysian tertiary-level English language learners?

RQ2: To what extent is Sustained Independent Reading (SIR) effective in terms of vocabulary knowledge development among Malaysian tertiary-level English language learners?

RELATED LITERATURE

Vocabulary Size and Reading for Vocabulary Knowledge Development

Over the years, numerous studies have focused on language learners' vocabulary size in view of the positive effects that vocabulary knowledge has on language proficiency and overall academic achievement. It is useful to know a learner's vocabulary size and how much vocabulary learning is needed in order for him or her to reach a level necessary for comfortable language use. As pointed out by Nation (1993), vocabulary knowledge enables language use and language use in turn enables one's vocabulary knowledge to grow.

Another primary reason for measuring learners' initial vocabulary size rests in emerging suggestions that while extensive reading is useful for vocabulary knowledge development, it may not necessarily be a suitable method for those with a vocabulary size of below 3,000 word families. This is because without a relatively sizable word knowledge base, lexical inferencing – the process of guessing word meanings from contextual clues – can be difficult and fraught with uncertainties. Take, for instance, the following example:

"The filthy vagrant sprawls himself on the curb, utterly dazed to the world, unable to grapple with the severity of the transgressions that surround his being. His vagabondish lifestyle over the years having finally caught up with him, he feels incomprehensibly powerless and comes to the realisation that life is eccentric – almost grotesque – and often a confusing entwinement of hope, humour, absurdity, fear, and chastisement." (Tan et al., 2016, p. 21)

The text above is likely to be comprehensible to learners with a good vocabulary size because even if they were to encounter several unknown words, they would possess sufficient existing vocabulary knowledge to successfully infer the meanings of these words. In contrast, it is unlikely that learners with a small vocabulary size would be able to comprehend the text, let alone experience lexical development as the text is simply too dense with words unknown to them.

In essence, although some lexical gains are certainly acquired incidentally via extensive reading, there are researchers who believe the method to be ineffective

for those with a relatively small vocabulary size. According to Davidson et al. (2011), for instance, it seems fairly conclusive that 3,000 word families are the minimum that a learner needs in order to be able to read effectively in a language other than their mother tongue. Nation and Meara (2010), meanwhile, pointed out that the first 2,000 to 3,000 most frequent words might be best dealt with thorough explicit instruction.

Extensive Reading

Extensive reading has been defined in various ways by both educators and researchers. The first known person to apply the term 'extensive reading' in second/foreign language pedagogy was Harold Palmer, a prominent applied linguist in British twentieth-century language teaching and learning (Richards & Rodgers, 2003). Palmer defined extensive reading as the reading of book after book, whereby the reader's attention should ideally be on the meaning of the text (Day & Bamford, 1998).

The crux of the approach is straightforward – a lot of reading. More specifically, it involves reading in large quantities over a continual and sustained period of time. Day and Bamford (*ibid.*) underscored that the main aim of extensive reading is "to get students reading in the second language and liking it" (Day & Bamford, 1998), and identified the features found in successful extensive reading programmes:

1) Students read as much as possible;

2) A variety of materials on a wide range of topics is available;

3) Reading materials are well within the linguistic competence of the students;

4) Students select what they want to read;

5) Students read for pleasure, information and general understanding;

6) Reading is individual and silent;

7) The reading rate or speed is usually faster;

8) Reading is its own reward;

9) The teacher is the role model of a reader, an active member of the classroom reading community;

10) Students are oriented to the programme's goals, given guidance, and their progress tracked.

Extensive reading is fundamentally an approach set against the backdrop of reading for pleasure. Students are encouraged to select their own reading materials and read for pleasure instead of reading to achieve specific goals. Even when reading materials are provided, they should cover a wide range of topics to suit different interests and should be well within the students' comprehension levels so as to not turn the experience into a burdensome decoding task.

Self-Selection

One of the working definitions of extensive reading is that students get to choose the materials that they want to read. However, there is to date no consensus as to how far the extent of self-selection should extend. Day and Bamford (1998) highlighted what students really enjoyed about extensive reading was self-selection. In fact, students were even encouraged to stop reading

anything that they found uninteresting or too difficult.

However, while self-selection is ideal, it is worth noting that absolute self-selection is perhaps impractical if an extensive reading programme is meant to achieve specific linguistic developments. For instance, absolute self-selection can be problematic when it comes to lexical development because students may opt for reading materials that are too easy for them. Progress cannot be achieved if students are constantly reading materials with a very low lexical load, a process which promotes reading speed and fluency instead of vocabulary acquisition. Krashen (2009, 1982) noted that progress could only be achieved when learners were exposed to input that was slightly beyond their current level.

Within the context of the present study, the participants of the Experimental group were encouraged to select their own reading materials, but were advised to not opt for overly easy ones. Also, they were given guidance in terms of selection and their chosen materials were checked throughout the treatment period.

Learner Autonomy

It is widely proposed that learner independence or autonomy is largely the ability to put one's own study into effect. Barillaro (2011) was of the opinion that defining the term 'learner autonomy' was no simple task as there was little consensus on its precise meaning and it had been defined in many ways over time. For instance:

" ... a capacity and willingness to act independently and in cooperation with others, as a social, responsible person." (Dam et al., 1990, p. 102)

" … Autonomy is a capacity – for detachment, critical reflection, decision-making, and independent action ... The concept of autonomy ... implies that the learner enjoys a high degree of freedom. But it is important to insist that the freedoms conferred by autonomy are never absolute, always conditional and constrained." (Little, 1991, pp. 4-5)

"Learner autonomy means taking responsibility for someone's own learning ... the learning process can be more effective when learners take control of their own process of learning, because they learn what they are ready to learn." (Lazăr, 2013, p. 460)

Luu (2011) explained that learner autonomy actually provided great relief for students in terms of vocabulary learning as, apart from catering to the individual needs of learners at all levels, it also affords them the following:

1) Enhancement of motivation which leads to more effective learning;

2) Provision of more opportunities in terms of language communication;

3) Mastery of the basic skills necessary for long-term learning.

Cotterall (2000), in her study of two short courses which incorporated measures aimed at fostering learner autonomy, concluded that not only was motivation enhanced, but that students were also found to possess the ability to manage their

learning in ways which contributed to task performance.

Motivation

Drawing on the Expectancy-Value theory, Day and Bamford (1998) emphasised the use of comprehensible texts as well as reader enjoyment. It is postulated that the more students see the likelihood of being able to understand a text and take pleasure in the reading process, the more likely it is that they will continue reading, thus allowing learning to take place. In this context, self-selection is therefore pertinent as students are often likelier to comprehend and take pleasure in self-selected materials.

Positivity towards reading is also achieved when students see the value of the task in terms of importance, usefulness and enjoyment. For example, students who want or need to possess better English proficiency will be motivated to read in English if they perceive that by doing so their command of the language will improve.

John Atkinson first developed the Expectancy-Value theory in the 1950s in efforts to understand motivation and achievement. The theory was expanded by Jacquelynne Eccles in the 1980s to specifically include the field of education. Broadly, the theory suggests that proper task performance is determined by one's expectancy of success as well as how one perceives the task at hand. *Expectancy* refers to how confident an individual is with respect to being able to succeed in a task while *Value* refers to how important, useful or pleasurable the individual perceives the task to be (Eccles, 1983). Figure 1 offers a summary of the theory.

METHODOLOGY

The present study employed a quasi-experimental design, utilising the pre-, post- and delayed post-testing approach. The delayed post-testing was a triangulation measure to confirm the results obtained from the post-tests. Two groups (Experimental and Control) of 25 participants each were involved in the study, and purposive sampling was used with random assignment of groups. It is important for studies that
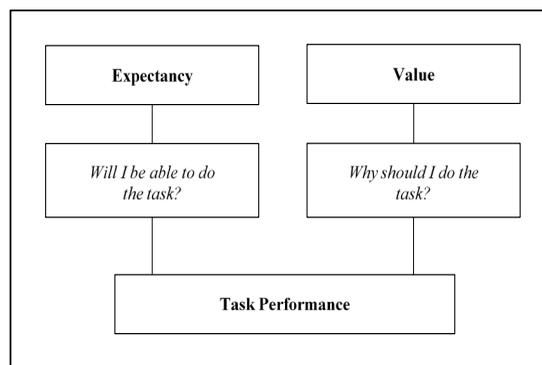
Figure 1. Summary of Expectancy-Value Theory

employ the pretest-posttest design to ensure that involved groups are of adequate and comparable size; according to Hogg and Tanis (2005), any sample of 25 and greater is considered suitable.

The participants, composed of Malaysian undergraduates enrolled in the same remedial English language proficiency course (coded EL101) at a public university in Malaysia, were matched for English vocabulary size using Nation and Beglar's (2007) Vocabulary Size Test (VST). Initial results indicated that the participants were at the same baseline level and were suited for independent extensive reading with scores well above 3,000 word families each.

The intervention period covered approximately 10 weeks and pre-, post- and delayed post-testings were conducted using the VST to measure for vocabulary knowledge development. Figure 2 shows some sample items from the VST. The online version of the test can be accessed at: https://www.lextutor.ca/tests/levels/recognition/1_14k/

In terms of procedure, the participants of the Experimental group experienced a dual-factor approach: Sustained Independent Reading (SIR) for 10 weeks while undergoing EL101. The participants of the Control group, meanwhile, underwent a single-factor approach: EL101. Both groups were subjected to all three testing tiers (pre-, post- and delayed post-testing) at the same time and participants of the Experimental group were asked to complete a brief questionnaire at the end of the

First 1,000

1. SEE: They **saw** it.

a. cut
b. waited for
c. looked at
d. started

Fifth 1,000

1. DEFICIT: The company had a large **deficit**.

a. spent more money than it earned
b. went down in value
c. had a plan for spending that used a lot of money
d. had a lot of money in the bank

Tenth 1,000

1. AWE: They looked at the mountain with **awe**.

a. worry
b. interest
c. wonder
d. respect

Fourteenth 1,000

1. CANONICAL: These are **canonical** examples.

a. examples which break the usual rules
b. examples taken from a religious book
c. examples that are regular and widely accepted
d. examples discovered very recently

Figure 2. VST sample items

semester. Figure 3 illustrates the research procedure and timeline.

With regards to SIR, the participants were encouraged to bring their own English reading materials and read independently in class for 30 minutes each week. They were guided in terms of selection to prevent the use of overly easy materials, and were also encouraged to read on a variety of topics. Their materials were checked throughout the 10-week intervention period. It is to be noted that the treatment was not implemented as a compulsory activity and the students were
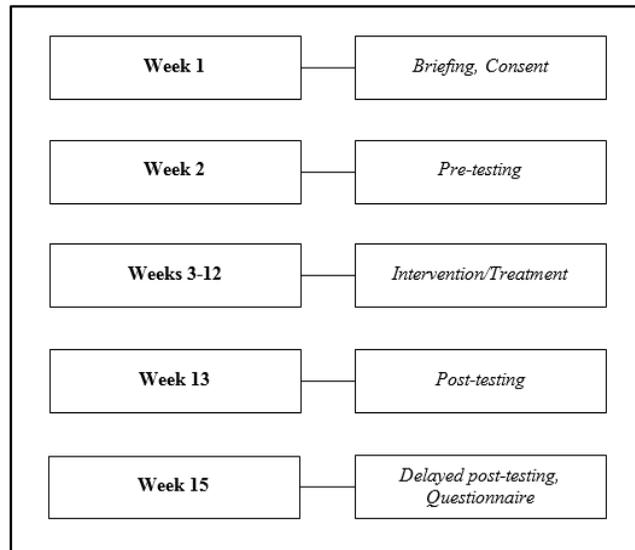
Figure 3. Research procedure and timeline

free to refrain from participating at any point of time. However, via observation, all the participants of the Experimental group demonstrated fidelity to SIR throughout the intervention period.

FINDINGS

Pre-Testing

This section reports on the pre-test results of both groups, Experimental and Control, and addresses the first research question (RQ1: What is the initial English vocabulary size of Malaysian tertiary-level English language learners?).

Table 1 shows the pre-test (VST) scores of the Experimental group as a whole and indicates that on average, the vocabulary size of the participants was, at the initial stage, approximately 4,000 word families with a mean of 3,928 word families (*SD* = 320.83). As mentioned earlier, although extensive reading is a useful method for lexical development, it may not be suitable for those with a vocabulary size of below 3,000 word families. The results in Table 1 demonstrate independent extensive reading to be a feasible method for the participants of the Experimental group.

Table 1

Pre-test results: experimental group

Participants	Total Score	Mean	SD
n = 25	98,200	3,928	320.83

Table 2 shows the pre-test (VST) scores of the Control group as a whole and indicates that on average, the vocabulary size of the participants was also approximately 4,000 word families at the initial stage with a mean of 3,988 word families ($SD = 410.61$). The results demonstrate baseline similarity between both groups.

Post-testing

Table 3 shows the post-test (VST) scores of the Experimental group as a whole and indicates that on average the vocabulary size of the participants, post-treatment, was approximately 4,700 word families with a mean of 4,752 word families ($SD = 568.71$).

Table 4 shows the post-test (VST) scores of the Control group as a whole and indicates that on average the vocabulary size of the participants at Week 13 was approximately 4,300 word families with a mean of 4,304 word families ($SD = 488.6$).

Table 5 compares the pre- and post-test (VST) scores of both groups. At the pre-test level (Week 2), each group started off with an approximate mean of 4,000 word families, indicating baseline similarity. Their total pre-test scores were also found to be similar with each group clustered within the 95,000 to 100,000 range (Experimental = 98,200 and Control = 99,700).

At the post-test level (Week 13), the Experimental group achieved a total score of 118,800 while the Control group garnered a total score of 107,600. In terms of lexical development, the Experimental group clearly outperformed the Control group with

Table 2

Pre-test results: control group

Participants	Total Score	Mean	SD
$n = 25$	99,700	3,988	410.61

Table 3

Post-test results: experimental group

Participants	Total Score	Mean	SD
$n = 25$	118,800	4,752	568.71

Table 4

Post-test results: control group

Participants	Total Score	Mean	SD
$n = 25$	107,600	4,304	488.6

Table 5

Increase in Lexical Gains: experimental and control groups

Group	Total Pre-Test Score	Total Post-Test Score	Increase (%)
Experimental $n = 25$	98,200	118,800	21
Control $n = 25$	99,700	107,600	7.9
			Sig. = 0.004

an increase of 21% in vocabulary size. The Control group managed an increase of 7.9%. With regards to statistical significance, a *p* value of .004 was achieved ($p < 0.05$), indicating that the disparity between scores could not have occurred by random chance.

Delayed Post-testing

As reflected in Table 6, the Experimental group as a whole achieved a total VST score of 120,100 with a mean of 4,804 word families ($SD = 525.58$) at the delayed post-test level.

As shown in Table 7, the Control group as a whole achieved a total VST score of 108,300 with a mean of 4,332 word families ($SD = 519.39$) at the delayed post-test level.

Table 8 shows the sustainability of lexical gains for both the Experimental and Control groups. At the post-test level (Week 13), the Experimental group achieved a total VST score of 118,800 and at the delayed post-test level (Week 15), the total score increased slightly to 120,100. This indicates that the gains recorded at Week 13 were sustained through to Week 15. Also, the *p* value garnered, at $p = 0.738$ ($p > 0.05$), indicates no statistically significant differences between the scores, thus denoting sustainability of lexical gains.

Table 6

Delayed post-test results: experimental group

Participants	Total Score	Mean	SD
$n = 25$	120,100	4,804	525.58

Table 7

Delayed post-test results: control group

Participants	Total Score	Mean	SD
$n = 25$	108,300	4,332	519.39

Table 8

Sustainability of Lexical Gains: experimental and control groups

Group	Total Post-Test Score	Total Delayed Post-Test Score	Sustainability	Sig.
Experimental *n* = 25	118,800	120,100	Evident	0.738
Control *n* = 25	107,600	108,300	Evident	0.845

Meanwhile, the Control group achieved a total VST score of 107,600 at the post-test level and the score also increased slightly to 108,300 at the delayed post-test level. This indicates that the gains recorded at Week 13 were sustained through to Week 15 as well. The *p* value garnered (p = 0.845, p > 0.05) indicates no statistically significant differences between the scores, which denotes that the lexical gains were indeed sustained.

Questionnaire

The participants of the Experimental group were also subjected to a brief questionnaire in Week 15. The five-point Likert scale questionnaire was administered after delayed post-testing and the results are as follows:

As evident from Table 9, all the participants of the Experimental group enjoyed Sustained Independent Reading (SIR) with 16% agreeing and 84% strongly agreeing with the first item/statement. The participants also indicated that they enjoyed being able to select their own reading materials (Agree = 16%, Strongly Agree = 84%), and 100% indicated that they always brought something to read in each session. This is in tandem with what was observed during the reading programme whereby each participant demonstrated fidelity to treatment by bringing English reading materials to each session of SIR throughout the intervention period.

As for motivation, responses to the fourth and fifth items clearly indicate that the participants felt more motivated to read in English (Item 4) and that they wanted to continue reading because the task was not too complex or overwhelming for them to manage (Item 5). With regards to Item 4, 12% agreed and 88% strongly agreed. As for Item 5, 16% agreed and 84% strongly agreed. Many of the participants also indicated that they liked the calm setting of SIR (Agree = 16%, Strongly Agree = 80%) and that they felt more relaxed when reading (Agree = 16%, Strongly Agree = 84%).

In terms of vocabulary, 68% of the participants strongly agreed with the statement 'I find that I understand more words after going through SIR' while 24% agreed, 4% disagreed and 4% remained neutral. As for the ensuing statement (I find that I am better at figuring out word

Table 9

Questionnaire results

Item	1 (%)	2 (%)	3 (%)	4 (%)	5 (%)
1. I enjoy Sustained Independent Reading (SIR).	0	0	0	16	84
2. I like it that I get to choose my own reading materials.	0	0	0	16	84
3. I always bring something to read in each session.	0	0	0	0	100
4. I feel more motivated to read in English.	0	0	0	12	88
5. I wanted to continue reading because it was not too difficult for me.	0	0	0	16	84
6. I like the calm setting of SIR.	0	0	4	16	80
7. I feel more relaxed when reading.	0	0	0	16	84
8. I find that I understand more words after going through SIR.	0	4	4	24	68
9. I find that I am better at figuring out word meanings.	0	4	4	20	72
10. I will definitely read more (in English) in the future on my own.	0	0	8	44	48
11. I believe SIR can improve students' English.	0	0	0	0	100
12. I think more students should experience SIR.	0	0	0	0	100

1: Strongly Disagree; 2: Disagree; 3: Neutral; 4: Agree; 5: Strongly Agree

meanings), 72% strongly agreed, 20% agreed, 4% disagreed and 4% remained neutral.

The majority of the participants also indicated that they would definitely read more in English in the future (Agree = 44%, Strongly Agree = 48%). With respect to the last two items, all of the participants strongly believed that SIR can improve students' English and that more students should experience it.

DISCUSSION AND CONCLUSION

On the whole, the researchers found that Malaysian tertiary students enjoyed

Sustained Independent Reading (SIR) and that those engaged in the programme did not merely experience motivation to read – and continue reading – in English, but also enjoyed sustained lexical gains.

As mentioned, the participants of the Experimental group demonstrated fidelity to treatment by bringing English reading materials to each session of SIR throughout the intervention period, which indicates that they favoured SIR and were interested to continue participating in the programme despite it not being made a compulsory activity. In addition, the participants indicated that they enjoyed being able to select their own reading materials, wanted to continue reading because the task was not too difficult for them, and strongly believed that SIR can improve English proficiency. This is in line with the Expectancy-Value theory whereby pleasure, doability and task importance result in task performance. In other words, the students found SIR to be enjoyable, feasible and useful, and were thus motivated to continue participating in the programme. In fact, 92% of them were certain that they would definitely read more in English in the future; this is both interesting and encouraging, coming from remedial English language learners, and presents scholars with a promising platform to further explore the Expectancy-Value theory specifically in relation to autonomous ESL/EFL reading.

In terms of lexical gains, the participants of the Experimental group experienced vocabulary development after 10 weeks of SIR. At the post-test level, the Experimental group clearly outperformed the Control group with an increase of 21% in vocabulary size as the latter only managed an increase of nearly 8%. It is also important to note that the gains were sustained over time as the delayed post-test results do not demonstrate any lexical knowledge erosion.

Although the two-week interval between post-testing and delayed post-testing was relatively short, it was established due to time constraint (imposed by academic term durations) and because course groups do not advance to the subsequent semester as an intact cohort. In this regard, the present study replicates the design of similar research concerned with vocabulary learning. See, for example, Liu (2011) and Pauwels (2012).

The findings of the present study are largely consistent with the reports of previous research (e.g., Cohen, 1999; Herda & Ramos, 2001; Pilgreen & Krashen, 1993; Von Sprecken & Krashen, 1998), specifically with regards to recreational reading and the development of reading motivation. However, there are reports that suggest otherwise. For instance, a comprehensive review by Dwyer and Reed (1989) noted that the approach might not necessarily result in positive outcomes; some students had reported negative perceptions, leading to concerns about providing a conducive environment as well as a sense of purpose for reading (i.e., students experience linguistic gains). The current study's findings demonstrate the provision of both elements. Also, in terms of lexical development, the study's findings

support those of past research (e.g., Elley & Mangubhai, 1983; Guo, 2010; Rosszell, 2007). It is noteworthy, however, that Guo's study involved adapted reading passages and Rosszell's experiment utilised graded readers whereas the current study had no such specifications or restrictions. These avenues could perhaps be explored in future research within the Malaysian context and at the tertiary level.

The present study has produced encouraging findings which indicate that Malaysian tertiary students enjoy Sustained Independent Reading and can gain positive effects from it, specifically in terms of lexical development and motivation to read. Also, SIR appears to have generated in them the interest to continue reading in English in the future, sans supervision or monitoring, which also indicates their enjoyment of learner autonomy and their ability to manage their own long-term learning via exposure to reading.

SIR is a practical learning method that is both cost- and time-effective; a substantial amount of reading materials can now be accessed for free online, and SIR is essentially an independent approach that does not require extensive contact hours. As mentioned earlier, extensive reading is "particularly absent" in Malaysian tertiary education (Azmuddin et al., 2014, p. 109) and it is perhaps time to initiate a change.

It is hoped that policy makers and course planners would formally implement SIR in efforts to enhance our students' English proficiency, in tandem with the Malaysian government's emphasis on English language mastery for better employability.

In essence, SIR represents an option that adult learners in particular can continue to pursue independently in the long run, and is also a fitting accessory to the government's initiatives to encourage reading among Malaysian students as part of its efforts to become a fully developed nation.

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ESL Reading Activities on Facebook among Malaysian University Students

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ABSTRACT

The integration of Facebook into English as a Second Language (ESL) environment are prevalent in many higher institution settings, but not many focuses on the receptive skills of reading. This study examines university students' perceptions of Facebook for ESL reading activities. To accomplish this, three methods of data collection were employed; a questionnaire, an informal Facebook group (IFG), and interviews. The findings show that students with good reading ability undertook more reading activities on Facebook, perceived the highest development of language skills after using Facebook and had the most positive attitudes towards English language learning on Facebook compared to students with moderate and poor reading ability. The students saw the effectiveness of the IFG in ESL, but, participated more as silent readers and believed that a higher involvement from the moderator would further enhance ESL progress. They preferred to read non-academic content on Facebook, particularly creative productions like short stories and poems to further cultivate ESL reading habits, develop reading comprehension and boost reading interest.

Keywords: English as a Second Language (ESL), Facebook, Malaysian university students reading ability, reading activities

INTRODUCTION

In an English as a Second Language (ESL) environment, reading is a fundamental skill that needs mastery. It is through reading that students recognise the relationships between letters and sounds (Al-Awidi & Ismail, 2014), become aware of new

vocabulary, learn new ideas and concepts, acquire skills such as skimming, scanning and making references and inferences, as well as flourish creatively and critically. Furthermore, content reading provides students with models of language forms and functions, that expose and transform them into good language users (Reid, 2011). For instance, recent studies on Facebook and English language learning reported students' improvement in online communicative abilities and intercultural communication by observing and reading the interactions among peers (Kasuma, 2017; Özdemir, 2017). Krashen (1993) summarised the benefits of reading as the only way we become good readers and spellers with decent writing styles, ample vocabulary, and advanced grammar.

However, many ESL classrooms suffer from time constraints and differing language abilities among students, which restrict in-depth engagement and prolonged activities. Furthermore, Azmuddin et al. (2014) stated that a branch of reading, i.e. extensive reading, was particularly absent in tertiary education in Malaysia. The lack of reading interests among Malaysian students urgently calls for new strategies to cultivate reading habits and interests. This could be more conveniently done on popular and accessible platforms of social media as the current generation of students are frequent consumer of social media content, highly competent and function at the forefront of multimedia creation (Zdravkova, 2016).

Manca and Ranieri (2013) believed that the new generation of students were ready for a technological change in the classroom. They are the digital generation who flourish in online environment, and the consumer of a copious amount of multimedia content. Despite their physical presence in the classrooms, the students' minds and activities are perpetually connected to the social media realms such as Facebook and Instagram, connected by their mobile gadgets (Richards, 2015). Their constant social media interactions with online users and content, urge educators to indirectly reach them in their spaces (Manca & Ranieri, 2013). The students' dependence on mobile technology allows exposure to a variety of reading content at their fingertips; hence grounds the incorporation of technology-based instructions into the syllabus (Sah, 2015).

This study incorporates an informal Facebook group (IFG) to support students' ESL learning. Based on their experience in the IFG, their perceptions of reading on Facebook are examined.

Problem and Aim of the Current Study

Many studies on ESL reading and technology have shown positive results (Lin, 2014; Yunus et al., 2013). For instance, a group of students who used mobile devices to conduct English reading activities achieved better results and showed greater appreciation towards the Extensive Reading Programme (ERP), than that of their peers who used PC (Lin, 2014). Furthermore, the participants in Reid (2011) read for pleasure on Facebook, hence, were not concerned with formal English and the necessity to appear diligent

and in control of their reading. Accordingly, many teachers saw the use of ICT in ESL reading and writing activities as attracting attention, facilitating learning, improving vocabulary and promoting meaningful academic processes (Yunus et al., 2013).

In keeping up with students' progressive technological needs, many scholars justified bridging formal and informal learning, that calls for the harnessing of social media potential in academia (Chen & Bryer, 2012; Davis III et al., 2015; Thorne & Reinhardt, 2008). A form of social media, the social networking sites (SNS) are popular among internet users. SNS are defined as web-based services that allow individuals to construct public or semi-public profile within a bounded system, articulate a list of other users with whom they share a connection, and view and traverse their list of connections and those made by others within the system (Boyd & Ellison, 2008). The two terms (SNS and social media) are used interchangeably in this study, although social media is more commonly used in many previous literatures.

Looking at the benefits of social media in ESL, this study examines university students' perceptions of Facebook for ESL reading activities. Facebook is chosen due to its popularity among the demography of college and university students (Akarsu & Darıyemez, 2014), accessibility and stability. Essentially, students showed a positive perceptions of using SNS for educational purposes (Lim & Richardson, 2016) and Facebook is viewed favourably as a platform to deliver learning material in a flipped classroom for language teaching and learning (Quyen, 2017). This study follows Lankard's (1995) notion of incidental learning, that views learning as a byproduct of other activities. In this case, the leisure reading of ESL content may improve students' language acquisition. Incidental learning is articulated in an earlier study by Kabilan et al. (2010) that highlighted Facebook's ability in assisting university students' ESL development in terms of vocabulary, sentence structures, and writing styles. However, it was also emphasised that students learn better when they focus their attention to the language forms and functions (Kabilan et al., 2010).

This study has two broad aims. The first is to identify the university students' perceptions of reading on Facebook to improve their ESL abilities and attitudes. The second is to examine the effectiveness of a Facebook group created to promote ESL reading engagement. Many studies that investigated the effectiveness of Facebook in ESL environment reported positive findings in terms of vocabulary development, writing styles and organisation, and content engagement (Mabuan et al., 2017; Shih, 2011). It would, thus, be fruitful to examine whether Facebook as a SNS add values to ESL reading activities. It is hoped that the findings of this study would provide some suggestions to elevate reading activities in online environment.

This study observes the following research questions:

RQ1:

a) What is the relationship between the

university students' perceptions of their reading ability and the reading activities they undertake on Facebook?

b) What is the relationship between the university students' perceptions of their reading ability and their English language development from their engagement with Facebook?

c) What is the relationship between the university students' perceptions of their reading ability and their attitudes towards English language learning on Facebook.

RELATED LITERATURE

Issues Related to Facebook and ESL Reading

Reading is a fundamental literacy skill that governs students' capacity to succeed academically. In ESL, students are taught many reading strategies such as skimming and scanning, making references and inferences, and critical thinking. Academic researchers have painted the pictures of social media such as Facebook as facilitating reading abilities, especially in the acquisition of vocabulary and sentence structures (Mingle & Adams, 2015; Shih, 2011). Students also benefitted from reading the conversations and comments on Facebook as they learned the way to effectively respond to and communicate with other people (Chiu, 2009; Kasuma, 2017).

However, not many studies have specifically examined the effect of Facebook on reading skills. Existing studies were more focus on writing skills, communicative abilities and vocabulary learning, with the underlying presumptions that all of these

happen when students engage with and read the content on social media. For example, a group of Romanian students improved their vocabulary knowledge from their interaction in a Facebook group by doing reading, translating, and comparing activities (Ariana & Mirabela, 2014).

In many Asian countries, the cultural and environmental factors posed many challenges to ESL/EFL reading due to the lack of interactive opportunities in the target language, examination-oriented learning process, and language learning anxiety (Yen et al., 2015). Relatedly, many Malaysian students of Malay descent who lived in the rural areas disliked English language reading, faced writing and grammar issues, and had general difficulties learning English language (Asraf &Ahmad, 2003). There are also some challenges to using social media for language learning, especially when it involves students from low socio-economic backgrounds and those living in remote areas (Alnujaidi, 2017). The students and teachers in Saudi reported that their poor EFL reading comprehension skills stemmed from many reasons including the lack of exposure to the language, low motivation, limited vocabulary, inadequate parental involvement, insufficient reading skills trainings for students, and restricted teacher training programs that lead to poor teaching skills (Qahtani, 2016).

Many ESL/EFL strategies were implemented by educators to overcome the issues. Al-Awidi and Ismail (2014) revisited Computer Assisted Language Learning (CALL), and discovered that CALL helped

students develop reading strategies and boost learning motivations by widening opportunities for active interactions and differentiated instructions. However, there is often a lack of resources of suitable hardware and software in institutions to warrant continuous use of CALL activities in the classrooms (Al-Awidi & Ismail, 2014). Therefore, the availability of Facebook as a popular, cost-effective and accessible social media might fill the technology gap in the ESL/EFL classrooms.

Research that examine the use of social media in ESL/EFL environments is progressing at a slow rate, as the effort is not consistent and concentrated (Toetenel, 2014). Even with their potential to increase students' learning cognitively and affectively, the roles of SNS in the classroom is unconvincing (Akcaoglu & Bowman, 2016). Another issue raised by Golonka et al. (2014) was, in spite of the copious amount of literature on technology in ESL/EFL environment, its evidence of efficacy was limited. Likewise, a number of studies reported a mismatch between students' potential interests/perceptions and actual behaviours when Facebook was presented to them for academic purposes (Donlan, 2014; Irwin et al., 2012; Kasuma & Wray, 2015). While they saw the values of Facebook in facilitating learning, they were not ready to participate actively in the process of knowledge creation and contribution. However, they accessed and read the shared information when it is student-directed, on their terms, and has a definite purpose and relevance.

The current study thus hopes to add more knowledge to the field of reading activities on Facebook to fill in the gap outlined in previous literature.

The Benefits of Facebook in ESL Environment

Social media incorporation into ESL/EFL environments offers tremendous benefits for both instructors and students in the development of language skills and critical literacy from online writing and discourse functions (Alnujaidi, 2017; Buga et al., 2014; Ekoc, 2014; Pempek et al., 2009; Sah, 2015). In these studies, Facebook was often used as the online platform that assists ESL learning.

Mabuan et al. (2017) and Özdemir (2017) used Facebook groups to conduct online discussions. The experience resulted in the students to view Facebook positively as an innovative and strategic alternative tool that delivered ESL lessons. In the Facebook groups, they engaged with content, created a space for self-expressions and promoted intercultural communicative competence. Likewise, the Thai students in Tananuraksakul (2015) saw Facebook group as a tool that enhanced English learning through error corrections. They felt that the platform was convenient, easily navigated, and gave a sense of power balance between teachers-students.

Facebook is also commonly integrated in blended and flipped classrooms. In ESL/EFL writing, the use of Facebook in blended learning environment was effective as students reported improvement in their

content knowledge and language ability, i.e. grammar, writing structure and organisation, and vocabulary and spelling (Shih, 2011). Students learned more interactively and collaboratively with each other at the pre-writing stage when Facebook was used (Razak et al., 2016) and improved their writing ability based on peer feedback they received on Facebook (Wichadee, 2013) Besides writing skills, it was discovered that the students who underwent flipped or inverted instructions on Facebook and Twitter became active learners who improved their verbal communication skills (Tazijan et al., 2016).

Realising the importance of tying social media technology with ESL writing, Yen et al. (2015) and Yunus et al. (2016) and suggested a number of suitable activities, such as combining Facebook and Skype in role-playing activities to improve their ESL/EFL speaking and writing skills synchronously and asynhcronously. Similarly, the combination of Facebook and Moodle have positively contributed in easing learning processes and building a sense of community among students by reinforcing communication skills and engagement in formal collaborative processes (Dogoriti et al., 2014).

In accordance with online learning, social presence plays important roles in determining students' engagement with community and resources (Kear et al., 2014). Kear et al. (2014) discovered that personal profiles and photos assisted online learners to feel more connected with each other. Lim and Richardson (2016) stated that the

intensity of using SNS did not significantly correlate to students' perceive social presence, but positively influenced students' perceptions of using SNS for educational purposes. In a collaborative writing tasks on Wiki and Skype, it was shown that social presence and team leadership significantly affected knowledge sharing and students' participation (Hiew & Tan, 2014). Hanif and Hammond's (2016) findings added values to social presence as they discovered that in the online environment, users felt obliged to help their communities in return or as a 'pay forward' for help they received in the past; which may have also increased social presence. However, while social presence is positively related to the quality of cognitive presence, high cognitive presence density does not equate the promotion of higher order thinking skills (Lee, 2014).

Previous studies have identified many benefits of Facebook in the ESL/EFL environment, mainly in the productive skills of speaking and writing. This study adds to the literature by focusing on the receptive skill of reading on Facebook.

METHODOLOGY

Procedure

This study primarily examines university students' perceptions of ESL reading activities and attitudes on Facebook, as well as the effectiveness of a Facebook group to promote ESL reading activities. The data collection was conducted in three stages.

First, 621 students answered a questionnaire that gauged their perceptions and attitudes towards reading activities on

Facebook. The students were asked to rate their reading ability from three scales (i.e. Poor, Moderate, Good).

Second, they participated in an informal Facebook group (IFG), created to assist language development by content reading, and promote interaction with an instructor and peers. The group activity was conducted for 10 weeks, and had approximately 400 members. In the IFG, the instructor and members shared a variety of social posts and ESL content and interacted with each other. The content included ESL reading articles from newspapers and online resources, weblinks to ESL exercises and texts, grammar quizzes, videos and music. In an earlier study, Reid (2011) similarly identified that tutors used a closed Facebook group to share interesting readings, newspaper texts and YouTubes to encourage interactions and participations.

Third, 25 students were interviewed to discuss their perceptions, experiences, and effectiveness of the IFG in improving reading skills and cultivating reading habits.

Participants

The study was conducted at a research university in Malaysia. The participants were selected based on convenient sampling.

All 621 questionnaire respondents reported to having at least one Facebook account that they used daily. The students were enrolled in a similar English proficiency class for the semester. They were a mix of students from various disciplines with the highest from the schools of Arts, Education, Communication, Pharmacy, and Management. Others included Social Science, Physics, Biology, Chemistry, Mathematics, and Industrial Technology.

The students rated their reading ability as shown in the Table 1. Table 1 shows that a majority of the students rated their reading ability as moderate, then good, and poor. More students perceived that they had good reading ability, compared to those who rated their reading ability as poor. The extracts below support this notion.

IW8: My reading skills during MUET was rated the highest, but my listening is the weakest. Yes, listening where we listen and we answer the questions.

IW10: My writing is okay, reading and listening are also okay, but reading comprehension is the worst.

Thus, in terms of their receptive skills, the interviewees in majority saw their reading ability as good, but found ESL listening difficult.

Table 1

The participants' perceptions of their reading ability

Reading Skills	Poor	Moderate	Good	Total
f	43	435	143	621
%	7	70	23	100

Data Analysis

There were three stages of data analysis. First, the questionnaire was analysed in terms of the following: a) the students' perceptions of their reading ability, b) the relationship between their reading ability and reading activities they conducted on Facebook, c) the relationship between their reading ability and English language development after engaging with Facebook, and d) the relationship between their reading ability and attitudes towards ESL after engaging with Facebook. Some sample questions from the questionnaire are:

Part A: Activities on Facebook

Instruction: Select the frequency of doing these activities (Never, Seldom, Sometimes, Frequent, Always).

1. I do the following activities on Facebook:

  a. Interact with friends and family.

  b. Read and share opinions.

  c. Read and share useful information.

  d. Read and share multimedia elements.

  e. Read and share academic related information with my course mates and lecturers.

  f. Create networks of friends for academic purposes.

Part B: The Effects of the Facebook Environment on English Language Skills Instruction: Select one response for the statements (No, Unsure, A little, Moderately, A Lot).

1. Ever since I began using Facebook, I find that:

  a. My English proficiency has increased.

  b. I am more confident to read in English.

  c. I am more confident to speak in English.

  d. I am more confident to write in English.

  e. I use English more often than before.

  f. I learn new English words.

  g. I learn new English sentences.

  h. I am motivated to communicate in English.

  i. I like learning English as a second language.

  j. Learning English is easier.

  k. Learning English is more interesting.

Two statistical tests are used to analyse the items: a) the Kruskall Wallis test identifies any significant differences between more than two categories of variables, and b) the mean scores test determines the group of students who scored higher than others.

Second, the threads from the questionnaire were gathered to examine students' interactions. The interactions do not necessarily contribute to the findings and discussions of the study, but are important in showing students' level membership and participation in the IFG. The interaction threads were gathered and analysed qualitatively using content analysis to derive at relevant themes. Arguably, it is difficult to differentiate students' consumption of reading materials on their general Facebook pages and the IFG due to the rapid circulation

of information. In this sense, it could only be done by asking the students specifically of the reading activities they undertook in the IFG group or motivated by the IFG group, during interview sessions.

Third, 25 members of the IFG group were conveniently selected to be interviewed for their perceptions of their reading activities in the IFG. The data were analysed qualitatively to derive at relevant themes. The results are used to substantiate and triangulate the quantitative findings from the questionnaire.

FINDINGS AND DISCUSSIONS

The findings are presented and discussed by triangulating both questionnaire and interview data. Some samples of interaction threads from the IFG are presented to support the arguments.

Research Question 1: What is the relationship between students' perceptions of their reading ability and the reading activities they undertake on Facebook?

Table 2 shows the relationship between students' reading abilities and reading activities they undertake on Facebook. The Kruskall Wallis test indicates significant differences between the students' reading ability and the reading activities they undertook on Facebook. The students with good reading ability scored the highest mean scores for all three items; while the students with poor reading ability scored slightly higher for items (b) and (c), i.e. Read and shared multimedia and academic information, than the students of moderate ability. Despite the majority in numbers, the moderately-abled students participated less frequently than the students with good and poor ability in reading and disseminating information on Facebook.

The students reported that they became members of the IFG to improve ESL knowledge, interact with friends, and gather new information about the English course.

IW6: I wanted to participate and comment, but I don't know how to get involved in other people's conversations ...

IW11: I want to see the activity in the group, the ESL posts, so that I can improve my English language command … You [the moderator] like to share articles and English

Table 2

The relationship between students' reading abilities and reading activities they undertake on Facebook

Activities	Mean Scores		
	Reading Skills		
	Poor	Moderate	Good
a) *Read and shared useful info	3.7442	3.7494	3.9375
b) *Read and shared multimedia	3.5000	3.4437	3.6923
c) *Read and shared academic info	3.4773	3.3419	3.5833

**Items that show significant differences based on Kruskall Wallis Test*

cartoons from which we can improve a little …

IW25: I feel confident with my English. It is my chance to improve it and to express my eagerness. The IFG helps me a lot to speak and comment in English.

This emphasises the benefits of the IFG as an avenue for university students to improve ESL; by passively engaging in silent reading activities or actively interacting with other members. This highlights the importance of an online ESL group to cater to students' technological needs and support learning.

Research Question 2: What is the relationship between students' perceptions of their reading ability and their English language development from their engagement with Facebook?

Table 3 shows the relationship between students' reading ability and English language development after engaging with Facebook.

The students with good reading skills scored the highest mean scores for all four items; which indicates their willingness to use English language daily, perhaps, as a practice, or as a natural way of communication. Perhaps, it was due to this that they had a more positive outlook that their reading activities on Facebook improved vocabulary and sentence structures, than that of the students with moderate and poor reading ability. Notably however, the students with good reading ability scored much higher for items (b), (c) and (d), compared to item (a); hence shows that despite their reading ability and enthusiasm for English learning on Facebook, they were still quite hesitant about using English more in daily lives.

Accordingly, many interviews reported that they experienced improved language skills in terms of reading and speaking ability, as well as self-confidence. They were also able to recall past lessons such as

Table 3

The relationship between students' reading ability and English language development from their engagement with Facebook

Reading ability / English language development	Mean Scores		
	Reading		
	Poor	Moderate	Good
a. Use English more in daily lives	2.8864	3.1148	3.3776
b. Learn new English words	3.3256	3.6659	4.0909
c. Learn new English sentences	3.3864	3.5691	4.0352
d. More confident to read in English	2.9318	3.4720	4.1538

grammar (e.g. tenses) and develop new ideas from the ESL reading activity in the IFG.

IW13: When we comment, we generate new ideas where we have to think about the structure of the language, so it improves the way we talk. I think I can improve English through chatting. The way they post and get information can influence our way of thinking and improve ideas.

IW15: I participated in the conversation because it helps me a lot to improve my English writing and it is fun to see the feedback and share some thoughts.

IW24: Facebook helps people who have low confidence. They can try to improve their confidence from Facebook … from reading skills and speaking skills … they may improve all of it as Facebook has Skype or video calls …

Many of the interviewees reported the IFG's ability to improve ESL knowledge from the variety of content it circulated. At times, the students were challenged to think about the accuracy of common English phrases they used in daily lives. This, to some extent, suggests that the content in the IFG developed critical thinking and correct wrong English usages.

IW4: There are interesting content … the picture of the grammar mistakes … the one on past tense, present tense … that is interesting because in class I make a lot of mistakes like that, so, there should be more pictures like that …

IW7: Try and comment correctly in the correct grammar, sentence … no shortcut or short form …

IW12: In some ways [it improves my language skills] … like I said, the *thank you* and *congrats* really make me think. I was thinking before replying which one was the best … so, it increases my fluency. Facebook improves English interaction, but, when it comes to English grammar and vocabulary, especially spellings, we use a lot of short forms, which spoils it a bit.

In accordance with the above argument, Mingle and Adams (2015) found that Facebook improved Ghanaian students' reading skills and the sharing of resources; but negatively affected grammar and spelling, learning progress, and academic achievement.

On the other hand, the students with poor reading skills, obtained the lowest mean scores, especially for item (a), which suggests lower English language usage in daily lives. The finding could be seen in relation to their self-confidence and interest in approaching the subject of English language. Item (d) substantiates that the students with poor reading ability had the lowest confidence to read English language content, compared to the students with moderate and better reading ability.

IW16: Recently, you [the moderator] posted about a movie, a romantic one … Notting Hill. I have written a comment to respond to say that it's my favourite movie. I felt embarrassed so, I deleted it. I just read and like [the posts and comments] here and there. I think these are the types of posts that would be attractive to students … movies … current issues do attract a lot of silent readers because not many are aware of them …

In the above excerpt, IW16 was interested to respond to a post, but decided against it due to the lacked confidence to publicly use the English language.

Research Question 3: What is the relationship between students' perceptions of their reading ability and their attitudes to learn English language after their engagement with Facebook?

Table 4 shows the relationship between the participants' reading ability and their attitudes towards learning English on Facebook. The students with good reading ability scored the highest mean scores across all three items, which indicates the highest positive attitudes towards learning English on Facebook. Perhaps, these students felt more comfortable and motivated with the language and content presented.

The students of poor reading ability were highly positive that they liked learning ESL on Facebook. However, they scored the lowest for all items, especially noticeable is item (b); in which they disagreed that learning English was easier on Facebook. Perhaps, the students preferred teachers' explicit guidance in learning English language and were not aware that the content on Facebook could contribute to their knowledge. For example, several interviewees believed that it was the group moderator's task as an authority to circulate relevant ESL content in the group.

IW1: It's because you [moderator] keep on posting, so we read the posts because I'm naturally passive.

IW18: You [group moderator] should be responsible to share the content so that we learn something from it.

This thus calls for language instructors to actively create, share and circulate a variety of ESL content in cultivating students' reading skills when Facebook is used to support learning. Nevertheless, several interviewees perceived that their language ability would have been further improved if more participants participated actively in the IFG:

Table 4

The relationship between the students' reading skills and their attitudes towards English language learning on Facebook

Reading Ability / Attitudes	Mean Scores		
	Reading		
	Poor	Moderate	Good
a. Liked learning English as a second language	3.5455	3.8972	4.2958
b. Learning English was easier	2.6429	3.1145	3.6783
c. Learning English was interesting	3.2791	3.6238	4.1469

IW13: It's quite hard if we want to improve because not everyone participated in the group.

IW20: Yes, I think that everyone wants to improve their language, but at the same time you can see the lack of English grammar. I admit that my grammar is not that good but at least I try to … I do feel a bit embarrassed because I don't post anything. I don't have anything to share but the group is unexciting … very dull …

From the above excerpt, we could see that while IW20 felt the need to improve her language ability, she required other people (i.e. peers and authorities) to help her achieve it. The students' dependency on others could be related to her prior learning experience; where spoon-feeding was common to cater to exam-oriented curriculum (Musa et al., 2012).

Academic vs Non-Academic Content on Facebook

In accordance, many interviewees felt that non-academic content are more interesting to be read on Facebook than academic ones. These include newspaper articles, interesting facts, and games (e.g. crossword puzzle).

IW4: I like the grammar quizzes. The one on tenses was fun. It jogs my memory of what I've learned in school.

IW12: I read English newspapers a lot, but since I got into university, I have lesser time to do it.

IW19: Not academic, non-academic things like news or interesting science facts might attract people to read the posts.

Besides that, from prior learning experience, the students felt strongly that creative productions such as short stories, excerpts from popular novels, movie reviews, and poems should be circulated more frequently in the IFG as they improved reading interest and language skills.

IW10: [Do more] short stories because they're easy to read, you could teach some words too, like how to use the words and make sentences, as I'm quite poor at that. I don't know how to use the words because I don't know their meanings, but sometimes when you [people] speak to me [using the words], I know what to say [how to respond], but I don't know how to use it.

IW14: It's like poems in books, although we don't practice it, when you read it once you will remember it.

IW19: My friends don't read grammar books, they read stories and English newspapers. I also love to listen to English songs on YouTube, I find the song title with lyric, but I don't like the videoclip, then I read the words. When I don't understand the words, I search in dictionaries. My teacher teaches poem and she will relate it to past tense, she uses different ways like poems to teach us…. In the group [IFG] I just read …

IW22: For example, in [the course] there are a lot of grammar and short stories so, we can discuss short stories. From the short stories we learn grammar rather than "okay today is grammar past participle" …

Short stories in the form of storytelling have always been associated positively with language learning as it develops language skills, improves comprehension,

creates classroom interactions, builds communities, and promotes multi-cultural understanding (Nguyen et al., 2014). A UK-based study highlighted that teenagers' reading habits and motivation predicted their comprehension and summarisation skills and text reading speed; and these traits were especially related to fiction books (McGeown et al., 2015). These scholars asserted that our brains were wired to comprehend best through narratives, thus, storytelling in fictional content would highly benefit the development of L2 skills, comprehension and interaction (McGeown et al., 2015; Nguyen et al., 2014). Therefore, promoting short stories as reading materials on Facebook might boost the students' reading interests, enhance ESL acquisitions, and encourage reading attainment.

Silent Readers in Online ESL Environment

It is not unusual to discover that students with better ESL ability have higher confidence to use more of the language. This is because, effective learners are usually aware of the language learning strategies they use (Alias et al., 2012). Thus, with more ESL knowledge and familiarity, the students with good ability may feel at ease using it.

On the other hand, the students with poor reading ability were the least developed in English language acquisition and self-confidence and had the least positive attitudes towards ESL on Facebook. Like IW16 (earlier excerpt), IW6 demonstrated low self-confidence of her ESL ability that she would type and delete her comments without postings in the IFG.

IW6: I really wanted to participate, but I don't know why I will type and delete my comments. I did that many times.

This occurrence is quite common among students with poor English language skills; and the reasons for low proficiency have been identified as; having fewer opportunities to be exposed to the L2, the lack of L2 teachers' expertise, a general dislike towards English language reading, difficulty in the mastery of grammar and writing, lack of motivation and parental involvement, as well as anxiety (Al-Qahtani, 2016; Alnujaidi, 2017; Asraf & Ahmad, 2003; Yen et al., 2015)

Nevertheless, many of the interviewees saw reading on Facebook as a natural process. Many of them participated as silent readers who wished to be exposed to more language input by the moderator and their peers. They concurred that they read most of the input shared in the IFG and preferred to access and read the content than actively interacting.

IW4: I'm naturally quiet on Facebook. I rely on notification, so I read everything shared in the group, but I don't participate.

IW7: It depends on how I feel. Usually when I'm in no mood to participate I'll just read everything shared. If I like a post, I will click like.

However, the interviewees agreed that difficulty with grammar further hampered their active involvement in the IFG, as they believed that grammar mastery makes them better students. Consequently, they worried about committing grammar mistakes on Facebook that would attract negative comments and criticisms.

IW3: I emphasise grammar, because I'm always confused whether I'm using them correctly.

IW14: I want to contribute more to the group, but I'm scared I'll be criticised by using the wrong grammar.

Although a concern, this situation illustrates the perfect opportunity for Facebook to be used as a non-intrusive ESL learning environment. As reading is the best way that students receive a variety of language and semantic input, educators should play active roles in sharing quality ESL content on social media; in this case, the IFG.

Several interviewees asserted that they were happy to play the roles of observers in the group and learn from other member's

sharing. They will make their contribution when they feel more comfortable in the group. This finding follows the results of previous studies that concluded pedagogical lurkers' tendency to digest shared online content, and participate once they grow more in confidence and become familiar with the environment (Chiu, 2009; Dennen, 2008). Figure 1, Figure 2, and Figure 3 show IW1 and IW4's interactions. They started as silent readers in the IFG, but as the group activities commenced, they became more active by interacting and sharing more ESL content with their peers.

Nonnecke et al. (2004) identified a number of principal reasons for lurking behaviours that resonated with the finding; the students just wanted to read/browse
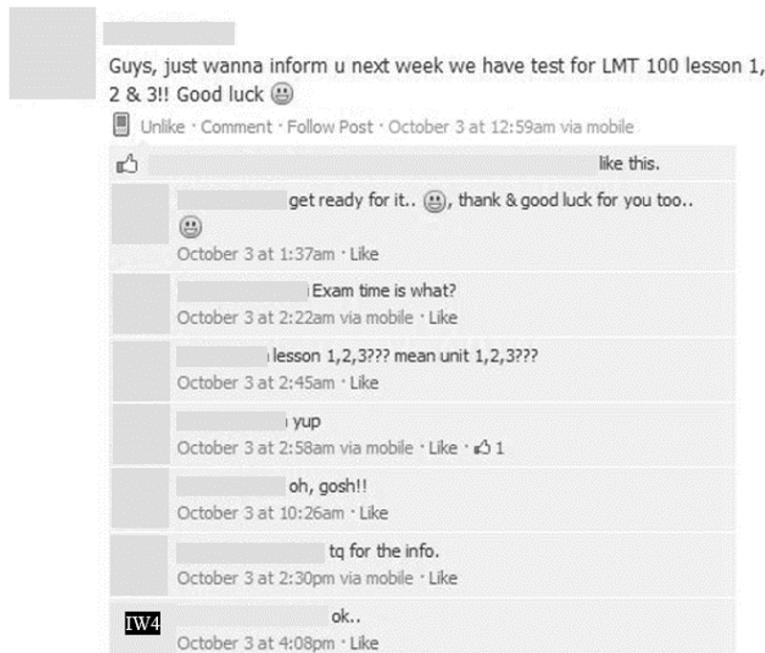
Figure 1. IW4 interaction in the IFG that started as a short comment
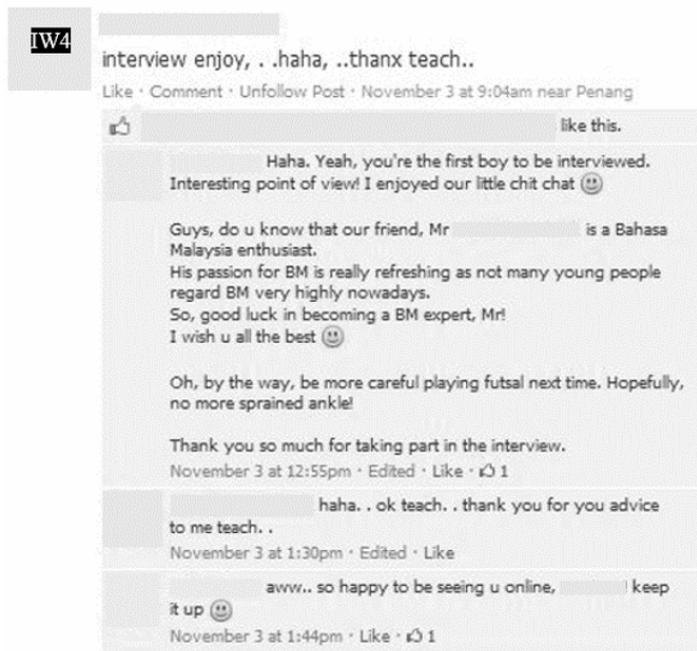
Figure 2. IW4's interaction in the IFG that developed as a post
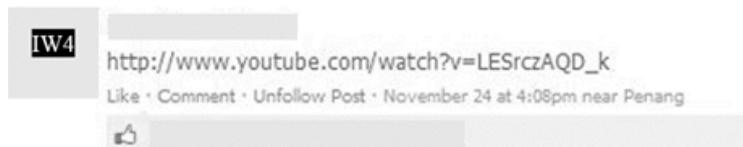
Figure 3. IW4's interaction in the IFG that developed as an academic multimedia post

for information, the students felt that their needs were met by observation rather than public participation, they were still learning about the group, and they were observing a temporary period of non-posting. Alternatively, when the students did participate publicly in the group, it may be due to their human traits to help other members and also the observation of the practice of an online community (Hanif & Hammond, 2016). However, while lurking is not viewed as a negative behaviour, lurkers were identified as less optimistic and less positive than those who posted (Nonnecke et al., 2006).

The Effectiveness of a Facebook Group in Promoting ESL Reading Engagement

Facebook exposes students to new vocabulary and sentence structures, and boost confidence to read English language materials. Many of the students with good reading ability perceived highly that they acquired new English vocabulary and sentence structures from their engagement with Facebook. This, thus, indicates two

things. First, the Facebook community that they associated with disseminated high quality English language content, hence enabling them to frequently acquire new vocabulary. Many interviewees agreed that the IFG was a good platform to expose them to more ESL input.

IW2: The group is good because I've been learning English for a long time, but I still haven't mastered it. I feel confused whether I'm using it correctly.

Accordingly, Akarsu and Darıyemez (2014) concluded that media and technology affected their students' reading habits, as they now spent hours daily in front of their computers. The frequent exposure to content written in English language may improve reading ability and attitudes towards ESL.

Second, the students were more aware of the learning process that might have taken place from their engagement on Facebook. This argument could be seen in relation to a previous study, where Facebook and YouTube were used by a group of high-intermediate and advanced Taiwanese EFL students to produce informative videos on YouTube and Facebook for international students on campus (Sun & Yang, 2015). Despite having high English language abilities, the participants felt that the social media project had polished their public-speaking skills, built confidence to speak in English, and developed preferred learning processes and strategies. Accordingly, many interviewees agreed that the content shared in the IFG improved their grammar acquisition, which is an important reason for their participation.

IW1: The interaction in the group helps, because I am not very good in English, so when I read posts with correct grammar, I learn. All these while I've been making mistakes. I learn from there, so I don't repeat it in the future.

Thus, in the right social media context and at suitable levels of English language content, good students could further advance in their language ability. In support of this, Kao and Craige (2014) discovered that the Taiwanese university students regarded English usage on Facebook as the strongest predictor of their EFL achievement, rather than personality traits. The students felt that Facebook widens their opportunities to use English language through its many features such as discussions, comments, and questions, in an otherwise restricted classroom environment. Accordingly, the students from 15 US and Canadian institutions reported a higher interest and perceived values in course content, as well as felt closer to the course and instructors, when they participated in a class Facebook group (Akcaoglu & Bowman, 2016).

CONCLUSION

In comparison with the students with moderate and poor reading ability, the students with good reading ability conducted more reading activities on Facebook, experienced more developed English language ability, and demonstrated more positive attitudes towards English language learning, after using Facebook.

The members' participation in the IFG group indicated their desire to improve ESL ability; thus, emphasises the importance of online ESL reading and interactive groups that support students' formal learning. The exposure to ESL input they received from the IFG improved not only reading interest, but other language skills including speaking and writing ability, grammar, vocabulary and sentence structures. They also acquired new ideas from reading other people's conversations, recalled past ESL knowledge from the activities and experienced a boost of self-confidence over a gradual period.

The students were aware that they needed to improve their ESL ability to advance in education and future career. Their participation in the IFG demonstrated their awareness that active participation in content creation and interaction were required to master the language. Despite this, they did not feel highly responsible over their learning in the IFG, as they believed that it was the moderator's role to circulate course-relevant ESL content that improve knowledge and learning opportunities. This expectation of an authoritarian role demonstrates a strong influence of their past learning experience that emphasises spoon-feeding and exam-oriented productions. Nevertheless, some members who initially participated as silent readers/pedagogical lurkers gradually increased their participation to become more active by sharing course-related ESL information. A prolonged IFG is thus required and would benefit many more of the students who lacked confidence to publicly use English language to express themselves.

In a technology-infused learning environment, ESL content are easily discovered, retrieved and circulated, which makes reading a lot easier. Based on past learning experience, the students suggested many non-academic reading materials; mainly creative productions of short stories, poems and movie reviews, as well as newspaper articles and ESL games. With the convenience of synchronous and asynchronous platform of Facebook, students might get more exposure and opportunities to explore and engage with a variety of ESL content that could develop reading skills and comprehension.

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Teachers' Work Culture in an Islamic Junior High School in Lampung, Indonesia

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ABSTRACT

Islamic Junior High School also known as *Madrasah Tsanawiyah* was introduced to the Indonesian education system to produce quality education. But in reality, the quality of education is still low. One of the reasons for this phenomenon is the performance of teachers which is below standard. One of the factors to elevate these standards is to improve the ethics of work culture. Work culture is a set of behavioral patterns that are inherent in almost every individual in an organization. Building a culture also means improving and maintaining positive sides. This study was conducted with Focus Group Discussion and interviews with teachers, leaders, school committees, staff and students from three different schools to see how the cultural values such as integrity, professionalism, innovation, responsibility and exemplariness were utilized. Based on the results, it was observed that the results were far from satisfactory. The reasons for this were lack of communication, limited human resources in the field of technology, and poor understanding of rules and applicable laws. Therefore, it is pertinent for the Ministry of Religious Affairs and *Madrasah Tsanawiyah* to work closely to ensure a good working environment is achieved.

Keywords: Integrity, Islamic junior high school, Madrasah Tsanawiyah, professionalism, innovation, responsibility, exemplariness

INTRODUCTION

According to the Director General of Islamic Education Ministry of Religion, the low quality of education in Indonesia, both education in Islamic schools (*madrasah*) and public schools, is due to the low quality

of teachers ("Kualitas guru", 2015). As part of the government's, initiative, the Ministry of Religious Affairs has sought to overcome these problems by establishing quality madrasah.

In addition, *Madrasah Tsanawiyah* boots the existence of a quality and a positive work culture. Work culture is a system of disseminating trust and values that develop in an organization and directs the behaviour of all members of the organization. Organizational culture refers to a system of shared meanings adopted by members that distinguish the organization from other organizations. Budi Paramita (as cited in Ndraha, 2005) defined work culture as a group of basic thoughts or mental programmes that could be used to improve work efficiency and human cooperation shared by a group of people. Work culture is a combination of qualities in an organization and its employees that arise from what is generally regarded as appropriate ways to think and act (Manju, 2013).

Furthermore, work culture is generally a philosophical concept that brings people together in an organization and motivates them to deliver their level best. Such work culture binds students and teachers in *Madrasah Tsanawiyah*. By standardizing work culture, with certain applicable rules and regulations, the leaders and teachers will indirectly be bound so that they can form attitudes and behaviours in accordance with *Madrasah Tsanawiyah*'s mission and vision. The formation process will ultimately produce professional leaders and teachers who have high integrity.

Building teacher performance must be with emotional intelligence, motivation and professional leadership that will become part of the school culture (Patimah, 2018). It is defined as the basis of assumptions, norms and values, and the culture of artifacts distributed by school members, which can affect school functions (Maslowski, 2001). The values and goals of a school are held together through assistance and cooperation among school community, who together plan for the future, and jointly solve the problems faced (Germiston & Wellman, as cited in Zamroni, 2016).

Based on a previous survey of *Madrasah Tsanawiyah* in Lampung Province, it was found that the implementation of work culture did not run optimally, as evidenced by teachers who did not comply with work discipline, displayed tardiness and attitudes of non-compliance to uphold the school's mandate to carry out their duties and obligations as a teacher, as well as behaviour that reflected non exemplary values and attitudes in teaching and learning activities. In terms of productivity, teachers only rely on textbooks provided by the Ministry of Education and the Ministry of Religious Affairs as learning resources, with limited use of audio-visual aids in their teaching. During this time, many teachers who were already civil servants were too late to apply for promotions because of difficulties in publishing scientific papers, a requirement for promotion.

Further research on the work culture of *Madrasah Tsanawiyah* teachers is necessary to provide a comprehensive description of the

application of values, rules, philosophy and behaviour habits of *Madrasah Tsanawiyah* teachers as stated in the five values of the work culture of the Ministry of Religion. Based on the research background above, this study aims to answer the following research question: How is the work culture (integrity, professionalism, innovation, responsibility and exemplariness) of *Madrasah Tsanawiyah* teachers in Lampung Province?

LITERATURE REVIEW

The Indonesian word for culture is derived from the Sanskrit term, *budhayah* which means the power of the mind. In Widagdo's (2004) words, "culture is the power of the mind in the form of creativity, intention, and taste. Hence culture or the development of culture is the result of creativity, intention, and taste." According to Nurkholis (2006), culture is basic assumptions and beliefs among members of groups or organizations. Additionally, Fattah (2000) defined culture as a mental attitude and old habits that were inherent in every activity and work. Zamroni (2000) considered culture as a view of life that was shared by a community or group that included ways of thinking, behaving, attitudes, and values that were reflected both in physical and abstract forms. Likewise, according to Komariah and Triatna (2008) culture is a way of life that embodies values, norms, habits, work, experiences, and traditions rooted in a society and which influences the attitudes and behaviour of each person or community.

Thus there are several elements that must be fulfilled so that they are referred to as culture; specifically, culture is the result of human thoughts, feelings, and beliefs about something; culture is a habit or belief that becomes a guideline or view of human life; and culture influences the behaviour of human life itself. In community life or organization, humans need a work culture as a set of behavioural patterns that are inherent in each and every individual in an organization. Building a culture also means improving and maintaining positive aspects, and trying to get used to (habituating process) certain behavioural patterns in order to create new and better ones. Nawawi (2003) explained that work culture was a habit that was repeatedly carried out by employees in an organization; violation of this habit was not strictly sanctioned but must be adhered to in order to carry out the work to achieve the goal.

Meanwhile, according to Osborn and Plastrik (2003): "Work culture is a set of behaviours and psychological frameworks that are deeply internalized and shared by members of the organization". Thus, work culture is a philosophy where values become the nature, habits, and driving force shared by each individual in the work environment of an organization. If it is associated with the organization, the work culture in the organization shows how organizational values are learned or imposed and declared with the frequent use of certain modes so that people can observe and feel it.

The scope of meaning of each value of the work culture is explained as follows:

1. Discipline: Behaviour that is always

based on applicable rules and norms inside and outside the company. Discipline includes adherence to legislation, procedures, traffic, work time, interacting with partners, and so on.

2. Openness: Readiness to give and receive correct information from and to fellow partners for the benefit of the company.

3. Mutual respect: showing respect for individuals, duties, and responsibilities of other fellow partners.

4. Cooperation: Willingness to give and receive contributions from and/or to partners in achieving company goals and targets (Moekijat, 2006).

The function of work culture aims to build human resource beliefs or instil certain values that underlie or influence consistent attitudes and behaviours, and familiarize staff with a way of working in their respective environments. The existence of a strong belief and commitment reflecting certain values, for example, getting used to quality work according to standards, or according to customer expectations (organization), are effective and productive. The fundamental purpose of work culture is to build human resources that everyone realizes are in a 'customer-supplier' relationship that demands communication with others effectively, efficiently and encouragingly. An individual with high work culture strives to transform traditional communication into the behaviour of modern management so that it implies trust and a spirit of high cooperation and discipline.

According to Ndraha (2005), work culture can be divided into two elements, namely:

1. Attitudes toward work: the preference for work compared to other activities, such as relaxing, or simply obtaining satisfaction from the business of his own work, or feeling forced to do something only for his survival.

2. Behaviour at work: diligence, dedication, responsibility, caution, thoroughness, strong willingness to learn their duties and obligations, and tendency to help fellow employees.

The Ministry of Religious Affairs has a slogan citing sincere charity as the basis for the culture of existence which must be implemented in all institutions within the Ministry of Religion of the Republic of Indonesia, including *Madrasah Tsanawiyah*. The five basic cultural values are integrity, professionalism, innovation, responsibility, and exemplariness. These five values are then interpreted and elaborated in the form of positive and negative indications. By guiding the 5 values of work culture, all Ministry of Religion members are expected to carry out their duties and functions as well as possible through high-performance and to avoid all forms of violations and irregularities. By applying these values, the school culture will produce good performance and impact the competence of qualified graduates. According to Voronov et al. (2018), such steps must be undertaken through savings and budget financing of the educational function implementation in general and paying more attention to the education quality as well as the results, i.e., graduates' competence and their ability to work.

In 2015, the application of these five values of work culture was simultaneously introduced to the Ministry of Religion throughout Indonesia. The following are the five components of the Ministry of Religion's Work Culture Value (Ministry of Religion, 2017).

1. Integrity

Integrity is the balancing between heart, mind, words, and actions that are good and right. Integrity is defined as a concept that shows consistency between actions and values and principles. In ethics, integrity is defined as the honesty and truth of one's actions.

2. Professionalism

Professionalism means working in a disciplined, competent and timely manner with optimum results, with competence and expertise. Professional employees must be able to carry out the mandate well in order to obtain optimal processes and results. Managing the tasks and responsibilities to obtain mastery in their field of work, which means being professional in their field.

3. Innovation

It means perfecting existing systems and creating new and better ideas that benefit the community. One must innovate to create new ideas since innovations bring many benefits in accordance with the context.

4. Responsibilities

Responsibility means working thoroughly and consistently. Employees must have the awareness to fulfil their organizational obligations through dedication, hard work, and perseverance.

Ministry of Religion employees must be fully aware that their work must be accounted for. This will fortify their stance to always be on track when carrying out their respective duties. The task that lies ahead is to determine how to be able to improve the Ministry of Religion namely in terms of responsibility towards each other, superiors, the community, and above all, to God, as our creator.

5. Exemplariness

Exemplariness means being a good example for others. It reminds us that as members of the Ministry of Religion, we must be examples in our respective environments because we are in the institution of the Ministry of Religion, an institution that serves religion. Direct and indirect public perception is that we who understand religion must have in-depth knowledge of religion and disseminate this knowledge to those in search of it.

METHODS

This study used a descriptive qualitative approach. The data was collected through observation, in-depth interviews, and Focus Group Discussions (FGD). FGDs are capable of generating discussions that expand ideas on certain matters.

Research Location

This research was carried out in Lampung Province, Indonesia and focused on *Madrasah Tsanawiyah* teachers in Bandar Lampung, Way Kanan Regency and South Lampung Regency as the research subjects. Interviews and FGDs were conducted with

leaders, teachers, employees, *madrasah* committees and students who had information related to the teacher's work culture. This research began with sorting out secondary data obtained from the Lampung Ministry of Religion, and the results of field observations, from the information obtained by the researcher carrying out research in three three schools in Lampung Province namely; *Madrasah Tsanawiyah* in Bandar Lampung (accreditation A), *Madrasah Tsanawiyah* in South Lampung (accreditation B), and *Madrasah Tsanawiyah Ma'arif I Bumi Mulya Way Kanan* (a representative of the private *madrasah*). The use of the data obtained was based on the belief that the data is valid and can be accounted for.

Data Analysis Method

Data analysis consisted of three steps that occurred simultaneously, namely: data reduction, data presentation, and conclusion drawing/verification as discussed below:

a. Data reduction is an electoral process, continuously focusing on simplifying, abstracting and transforming rough data that comes from written records. Data reduction is a form of analysis that sharpens, classifies, directs, discards unnecessary data and organizes relevant data in such a way that conclusions can be drawn and verified.

b. Presentation of data involves the possibility of drawing conclusions and taking action based on the prepared data.

c. Efforts to verify conclusions were carried out continuously by the researcher through interviews while in the field. In addition, data pertaining to work culture was also obtained via descriptive qualitative data from the triangulation of results of observation, documentation, and interviews related to the teachers in *Madrasah Tsanawiyah* in Lampung Province.

RESULTS AND DISCUSSION

In general, the implementation of work culture in *Madrasah Tsanawiyah* in Lampung Province is guided by the five values of the work culture of the Ministry of Religious Affairs which include integrity, professionalism, innovation, responsibility and exemplariness. The five values in their implementation were reflected in the following aspects:

1. The integrity of the *Madrasah Tsanawiyah* teachers is high. The teachers desire to perform well. There is no indication of corruption of funds, but there are still teachers who commit time corruption; that is, they do not go to their classes on time and tend to return home early. Good habits and positive behaviour to form a professional organization culture must be fostered. This is because building a culture of an organization is very important. Khan (2016) in his research concluded that organizational culture was one of the critical components for any organization to attain competitive advantage. Organizational culture is born from the habits of the members of the organization which are measured in four dimensions, namely: involvement, consistency, adaptability, and mission.

2. Professionalism was shown by the teachers' performance in accordance to their job and their competency, earnestness in carrying out their tasks, doing the work, measured in accordance with the specified target, and receiving applicable awards and penalties in accordance to the applicable rules. One of the weaknesses of *Madrasah Tsanawiyah* teachers is that they do not follow the changes that occur in the world of education. This can be observed in the way of their teaching - using conventional methods, and limited learning resources. Teachers must have an attitude of open-mindedness and they must be ready to accept changes. This can be a challenging task as results of research by Hongboontri and Jantayasakorn (2016) in Thailand showed that good teaching practice determined the development of teacher professionalism. Lack of cooperation between teachers, individualism attitudes, and unwillingness to share between teachers is a culture that does not support teacher professionalism.

3. The majority of *Madrasah Tsanawiyah* teachers have obtained Masters degrees in their education and have attended several years of training, but there are still some teachers who lack the motivation to increase their personal capacity. Cooperation between the Ministry of Religion and *Madrasah Tsanawiyah* is needed to create an atmosphere that supports good work culture.

4. Responsibility is indicated by the attitude of the teacher who is responsible to completing the task on time, preparing lessons in advance, and promptly resolving problems of students, parents, or fellow teachers. However, there are still some teachers, especially senior teachers, who have no commitment to their duties and responsibilities.

5. Attitude-wise, the *Madrasah Tasanawiyah* teachers have shown a commendable attitude and are able to be examples for students and all school residents. Services provided to students and school residents are getting better.

The five cultural values of *Madrasah Tsanawiyah* in Lampung Province also had positive impacts, both internally (including educators and education personnel) and externally in the community. This was evidenced by the improvement in the performance of educators and community services. This is in line with the results of the study by Kadir et al. (2016) who reported that an organization had to be conducive in order to produce teachers who were motivated to enhance their performance to a higher level. In Khuzaenil et al.'s (2013) study, work culture affected employee performance; work stress had no effect on employee performance; and job satisfaction had no effect on performance. Khuzaenil et al. (2013) established that a strong working culture decreased work stress and increased job satisfaction, which ultimately improved employee performance.

Challenges that hampered the implementation of the five work culture values in *Madrasah Tsanawiyah* in Lampung Province were;

1. Lack of communication especially for private *Madrasah Tsanawiyah* in Waykanan

because the location is quite far from the provincial city so communication access is very limited. This condition is also experienced by other private *Madrasah Tsanawiyahs* in Lampung.

2. Limited human resources in the field of technology. Based on the results of the data analysis, most of the *Madrasah Tsanawiyah* teachers still lack knowledge in technology which leads to teachers using very basic teaching tools in their classroom.

3. Teachers' unawareness of the rules of the Ministry of Religion which include the criteria for promotion and violation of work ethics hinders good working culture.

Some of the solutions that can be recommended for the problems on work culture found in this study are; 1) improving professional communication between *Madrasah Tsanawiyah* and the Ministry of Religion; 2) training *Madrasah Tsanawiyah* educators in IT; and 3) disseminating information in regulations regarding promotions for teachers and also that of disciplinary violations.

This research theoretically had implications for the firm beliefs held by people regarding actions and goals that should be used as the basis in carrying out activities, setting organizational goals or choosing from several other alternatives when carrying out actions. In optimizing the internalization of the five values of the work culture in *Madrasah Tsanawiyah* which are Islamic education institutions, they must be able to show the outside world that *Madrasah Tsanawiyah* is able to compete with other educational

institutions. With the internalization of the five values by the teachers of *Madrasah Tsanawiyah*, it is expected to improve the quality and competence of Islamic education in *Madrasah Tsanawiyah*. According to Dewi (2008), the good work culture also provides benefits including; maintaining a harmonious work environment, creating regular working conditions, creating orderly and safe working conditions, ensuring the implementation of work rights and obligations, creating prosperous workers, and enhancing high and dynamic work ethics.

The practical implications of the research resulting from the internalization of the five cultural values of the Ministry of Religion for the development of *Madrasah Tsanawiyah* are:

1. Helping owners of educational institutions/foundations and other *Madrasah Tsanawiyah* residents to understand the concept of the five cultural values of the Ministry of Religion, and their application in the educational world from comprehensive management of input, learning processes and output;

2. Assisting teachers and *Madrasah Tsanawiyah* heads in understanding performance indicators for teachers and heads respectively, and the five values of the Ministry of Religion's work culture and higher quality *Madrasah Tsanawiyah* development strategies; and

3. Helping educators and education staff to understand the organizational paradigm, work culture and quality of *Madrasah*

Tsanawiyah, the values of which cannot be separated from one another. Various studies show the importance of work culture because it will affect other components of a school. To offer an example, Machwati and Wibowo's (2015) results of hypothesis testing showed that there were positive and significant effects of the teachers' work culture, commitment, and motivation on schools' organizational atmosphere (Adjusted R^2=0.418).

CONCLUSION

The five work culture values of *Madrasah Tsanawiyah* teachers in Lampung Province have a positive impact, both internally (including educators and educators) and externally (the community.) This is evidenced by the improvement in the performance of educators and community services. Challenges that hampered the implementation of the five cultural values of work in *Madrasah Tsanawiyah* are: (i) communication that is less than optimal; (ii) limited human resources in the field of technology; and (iii) poor understanding of the applicable rules set by the teachers.

The solutions to these problems are: (i) improving the professional development of communication of the teachers; (ii) conducting technology and informatics training for teachers, (iii) disseminating rules and regulations that apply to the teachers and civil service apparatus of the Ministry of Religion; and (iv) providing appropriate reward and punishment standards.

The most dominant work culture that must be possessed by the teachers of *Madrasah Tsanawiyah* in Lampung Province is the aspect of professionalism and about being role models, because to become a teacher, one must be able to prioritize aspects of professionalism and become a role model for students and the community. In addition, students' character building is also influenced by a competent teacher.

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An Effective Leadership Model for *Madrasah* Principals in Indonesia

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ABSTRACT

This study aims at creating an effective leadership model for *madrasah* (Private Islamic High Schools) principals in Indonesia and in doing so getting an overview of the characteristics that nurture visionary leadership which encompass noble character, intelligence, communication skills, entrepreneurial spirit, leaders that uphold deliberation and establish a *madrasah* culture that is conducive; all of which help in the implementation of dynamic leadership at *Madrasah* in Indonesia. The effective leadership model of the *madrasah* principal is independently developed by research through the methodology which is adapted from Borg's research and development procedures. The findings of this study; (1) identified character traits synonymous with noble character, intelligence, effective communication, strategies in maintaining open climates, strategies in having an entrepreneurial spirit, and strategies in shaping *madrasah* culture; (2) provided an overview of the effectiveness of the effective implementation of the *madrasah* principal leadership at *Madrasah Aliyah* that is related to traits that are common to (a) visionary leadership in an effective manner; (b) effective attitudes; (c) effective intelligence; (d) effective ability to communicate; (e) ability to maintain open climates; (f) ability to encourage entrepreneurial spirits; and (g) ability to shape *madrasah* culture. This *madrasah* leadership model can be used in *madrasah* in South Sulawesi, Indonesia.

Keywords: *Madrasah* principals, leadership model, religious studies

INTRODUCTION

Education is a conscious and planned effort to develop human potential and to empower human community to exist and develop. In other words, education is a process of engineering humans and human society whose core efforts are directed towards empowerment, development and improvement of human resources (Umaedi, 2002).

In the community there are still frequent complaints about the leadership of *madrasah* leaders who are unqualified and ineffective. This includes the Private Islamic High Schools in Southeast Sulawesi. This statement is in line with the statement of Umaedi (2002) that the noble purpose of education to date has not been achieved. The status quo in the human community today is contrary to educational goals such as low discipline and diminishing morality. One of the culprits behind the worsening condition of human community is inefficient leadership.

School is a social organization that provides learning services for the community. As an organization, school is an open system because it has relationships with entities in the environment. In addition to being a vehicle for learning, the environment is also the place where school inputs originate. School input is all the input needed by the school for processes to get the expected output (Komariah, 2005). Effective schools are schools where student achievement scores (student success) do not vary greatly in terms of their socioeconomic status. There are 5 (five) characteristics of effective schools, namely: (1) strong leadership; (2) high expectations for learning achievement; (3) emphasis on basic skills; (4) regularity and controlled atmosphere; and (5) frequent assessment of student achievement (Syafaruddin, 2008).

Ideally a school principal must have three abilities, that is, besides being a leader, he also must be an entrepreneur and role model - role model where self-control is attached to it. (Baedhowi, 2007). According to Mantja (2008), a leader is supposed to have SASETO competencies (statesperson leadership, administrative leadership, supervisory leadership, educational leadership, team leadership and organization leadership). Such a model of leadership can help school principals in effective management of their schools which in turn can influence the quality of their output. The leadership model of the principal must receive serious attention – it needs to be revitalized and reviewed. In this context, *madrasah* heads, as leaders and managers, are expected to show visionary leadership, have good morals, have intelligence, have effective communication skills, have entrepreneurial spirit, and effectively uphold deliberation, so that in addition to improving *madrasah* performance, the quality of education also increases. This view is supported by Muhammadi et al. (2015) who wrote that an increase in the effectiveness of the headmaster's leadership would be followed by an increase in the quality of the *madrasah*. The higher the leadership qualities of the headmaster, the higher the quality of the *madrasah*.

The ability of the *madrasah* principal is important especially in relation to overcoming the five major problems in the Private Islamic Senior High School PESRI Kendari, Southeast Sulawesi (henceforth referred to as *the madrasah*). There is absence of leadership, low quality of output, lack of facilities and infrastructure, lack of financial support, lack of working spirit of both teachers and staff, lack of work discipline, low learning discipline and low teacher performance.

This problem (low performing *Madrasah*) is further compounded by the graduation percentage achieved in MAS PESRI Kendari Southeast Sulawesi education unit in 2015 and 2016 which are below the target set by the Head of the Regional Office of the Ministry of Religion, Southeast Sulawesi Province, Indonesia. Academically, they only achieved moderate ability qualifications. Another condition expected of *madrasah* is that as a center for excellence in the province of Southeast Sulawesi, it must accommodate the best learners and prevent them from going to other regions.

Problem Formulation: (1) What is the effective leadership model of the *madrasah* principal in managing *madrasah* in accordance to the conditions prevailing in the Islamic Senior High School PESRI Kendari Southeast Sulawesi?; (2) How is the conception of the effectiveness of the visionary leadership accomplished in accordance to the conditions of Islamic Senior High School PESRI Kendari Southeast Sulawesi?

LITERATURE REVIEW

Leadership is the ability to motivate and influence people to be willing to act to achieve common goals, by giving them courage to make decisions on the activities to be undertaken (Shulhan, 2018). According to Lako (2004), leadership is an action to conduct and persuade the activities of the group members, provide vision, joy, excitement, love, trust, passion, obsession and consistency to the members of the organization.

Leadership Model

In relation to this research, a model is interpreted as a pattern or example of reference. If it is associated with leadership, then the meaning it contains is the pattern displayed by a leader in carrying out the task he leads. Thus, the pattern of leadership of *madrasah* principal is a pattern or form of appearance of the *madrasah* principal that describes the competencies he has for managing *madrasah*s so as to achieve optimal results.

Effective Leadership of School Principals in *Madrasah*

Effectiveness is a dimension of management objectives that focuses on the expected results, objectives, and targets. Effective schools are schools that determine success in inputs, processes, outputs, and outcomes that are characterized by the quality of the system components.

Effective schools are led by principals who are effective leaders (Goldring et al., 2009). The leadership of an effective

madrasah head would refer to leadership that can achieve optimal results. The optimization of a *madrasah* principal's achievement is inseparable from his role and responsibility as an educational leader. Mantja (2008) divided it into 6 competencies namely statesperson leadership, educational leadership, organizational leadership, administrative leadership, supervisory leadership and team leadership. Principals also need to develop their knowledge, skills, and dispositions necessary to influence the instructional practices of teachers to increase students' academic performance (Bethman, 2015).

In order to achieve optimal results, it is necessary for *madrasah* principal to have strong leadership skills which not only accommodate the competencies of the *madrasah* principal as mentioned above but also have elements of visionary leadership, having noble character, intelligence, communication skills and entrepreneurial skills. The principal is expected to maintain open climates and shape the school's culture (Chirichello, 2010).

Visionary Leadership

Bennis and Nanus (2003) defined vision as something that articulated a view of a realistic, credible, attractive future for the organization; a condition that was better in some important ways than what existed at present. Visionary leadership is the ability of leaders in creating, formulating, communicating, socializing, transforming, and implementing ideal thoughts that come from themselves. These thoughts

may also result from social interaction between members of the organization and stakeholders that are believed to be the future ideals of the organization that must be achieved or realized through the commitment of all personnel. Hard work is a form of business that is directed at getting an outcome by using energy itself as input or working capital (Poniman et al., 2008).

Noble Character (A*khlak al-karimah*)

Morals are a commendable attitude that must be possessed by a person. The leader instructs his subordinates to be of good character, as well as a good teacher. A good attitude, a smile, and radiant expression can eliminate the limiting distance between a leader and his subordinates, between a teacher and his students. Other noble qualities that must be possessed by leaders and education personnel are: (a) sincerity b) good intention (c) honesty; (d) fairness; (e) humility (f) bravery; (g) healthy sense of humor; (h) patience; (i) verbal control; and (j) good attitude and behavior.

Intelligence

Intelligence has a great influence on the success of leadership of an organizational leader (Thoha, 2007). Before Gardner (1995) proposed the concept of multiple intelligences, traditional intelligence tests assessed only a limited range of abilities. In Gardner's model, among these multiple intelligences were abilities related to music, interpersonal relations, athletics, and verbal intelligence. Additionally, Goleman (2017) introduced emotional

intelligence (emotional intelligence) as a type of intelligence that must be possessed for one's success. Emotional intelligence is the ability to understand, appreciate, and express emotions correctly and adaptively; the ability to understand emotions and emotional knowledge; the ability to access and / or arouse feelings when thinking about something; and the ability to regulate emotions in ways that help thinking (Antonio, 2015). Emotional intelligence is the ability to recognize our own feelings and those of others, the ability to motivate ourselves, and the ability to manage emotions well in ourselves and in relationships with others. Then, there is also what is called spiritual intelligence (SQ). Agustian (2007) states that Spiritual Intelligence (SQ) is the foundation needed to enable IQ and EQ to function effectively.

Communication Skills

In carrying out an educational program, the activity of disseminating and conveying ideas and intentions throughout the organizational structure is very important. This process of conveying or communicating includes more than merely channeling thoughts, ideas, and intentions orally or in writing. A leader with effective communication skills: (a) has a desire to succeed; (b) is clear about actions that must be done; (c) believes that the recommended changes will bring positive results; (d) believes in equal opportunities for all members; (e) desires for freedom to determine, reject, or accept what is recommended; (and f) has a tendency to judge (based on morals and ethics, which

he adheres to) what is recommended, before implementation. (Purwanto, 1998).

An effective leader is responsive to various problems. Responsiveness is based on the approach of: (a) listening actively and carefully; (b) understanding precisely and completely; and (c) responding appropriately and positively (Prayitno, 2009). Besides being responsive, an effective leader also possesses the characteristics of a transformative leader (Ministry of Religion, 2004).

Maintaining Open Climate

Open climate is a joint agreement in deciding on how to deal with a problem. Soetjipto (2003) stated that the leader moved subordinates starting from the view that humans were the most noble creatures, always trying to synchronize the interests and goals of the organization with subordinate personal interests and goals, prioritizing cooperation in achieving goals, giving freedom and guiding subordinates, striving for subordinates to be more successful than themselves, and always developing their capacity as leaders.

Entrepreneurial Spirit

It is very necessary for a principal of the *madrasah* to have entrepreneurial skills. According to Tasmara (2000), such leaders care for changes in the world, the physical and spiritual realms. Mulyasa (2007) stated that one of the aspects of effective leadership was entrepreneurial skills which included the following characteristics: (1) confidence, (2) creativity; (3) positive

thinking ability; (4) result-oriented; (5) risk-taking capability; (6) having a leader's soul; (7) original thoughts; (8) forward-oriented and (9) liking challenges. The main capital in entrepreneurship is building trust and trustworthiness (*al-amen*), and then having technical competence related to business (Antonio, 2015).

Establishing *Madrasah* Culture

Human beings are the only creatures that can educate and be educated and therefore they can have culture. Individuals are the result of culture and culture itself is the result of education which in turn produces cultural capital. Cultural capital is the capital for the development of a society (Tilaar, 2007).

So far not all *madrasah* principals have realized the importance of self-supervision, in terms of the era of SBM (School Based Management) / MBM (*madrasah*-based management). Cultural changes are needed to encourage SBM. This change can be initiated by applying integrated quality management principles, including: (1) focusing attention on customers (customer satisfaction); (2) planning school changes continuously, and (3) enforcing the effective use of school resources (Arismunandar, 2006).

School culture was formulated by Philips (1993) as "The beliefs, attitudes, and behaviors which characterize a school." In this definition, values, beliefs, attitudes and behaviors are essential cultural components that shape the character of the school.

METHODS

This research was carried out at the Private Islamic Senior High School PESRI (referred to as *the madrasah* in this article) in Kendari, Southeast Sulawesi Province. It took place from March to August 2017. The study has an Educational Research and Development (R & D) design which is conceptually seen as a process for developing and validating educational products (Borg, 1983).

Model Development Procedure

The development of this *madrasah* head leadership model methodologically was adapted from Borg (1983). The steps for developing the model are as follows: *potentials and problems, data collection, conceptual design, validation of conceptual design, revision of conceptual design, limited testing, product revision, and developed product.*

Model Validation

The target validation group is education stakeholders namely experts, bureaucrats and education practitioners. For education management experts, it is expected that validation can be obtained with input regarding the support of theory or other important information in accordance with their expertise. For educational bureaucrats, it is expected that with validation, other inputs can be obtained from them based on the guidelines and mechanisms that are in accordance with the corridor based on their experience for further guidance, as well as to obtain high quality designs.

The subjects of this study were divided into two groups, namely the subjects of conceptual model validation and the subjects of limited trials. The subjects of conceptual model validation consisted of 3 education management experts, 2 education bureaucrat officials, 2 city education council members, 1 *madrasah* principal, 2 supervisors, 6 teachers (curriculum director + senior teacher), and 2 *madrasah* committee officials. Thus, the total number of conceptual validation subjects was 18 people. On the other hand, the subjects of the trial consisted of 1 *madrasah* head, 2 supervisors, 4 teachers from the *madrasah*, totaling 7 people. A purposive sampling technique was followed to select the samples because this research had a specific purpose and the selected cases were considered appropriate based on the expected objectives.

The number of subjects measuring needs was 15 people consisting of 2 members of the city education council, 4 supervisors, 2 *madrasah* committee officials, 1 madrassa head, and 6 teachers. All of these subjects were part of conceptual model validation, chosen based on the consideration that they understood and were well-aware of the educational needs of the *madrasah*. They were also highly experienced as education practitioners in *madrasah*.

Data collection techniques used in this developmental research were non-test techniques in the form of:

Questionnaire - a number of items developed by the researcher to collect data about the effectiveness of the *madrasah* head leadership model developed (conceptual model validation test and limited model testing);

Focused discussion - the activity of researchers in an effort to capture complementary data from the target group so that the data obtained in this developmental research are regarded complete. The intended respondents are education management experts, education bureaucrats and education practitioners mentioned above (conceptual model validation);

Interviews - complementary data retrieval instruments related to limited model trials; and

Observations - complementary data retrieval instruments related to limited model testing.

Data Analysis

Data analysis technique used was descriptive analysis technique using the following percentage formula:

The percentage of answers $= \frac{F}{N}$ x 100%

where F stands for frequency of subjects who choose alternatives and N for the total number of research subjects (Sugiyono, 2014).

As an effort to provide meaning in decision making related to the draft revision of the effective leadership model of *madrasah* leadership, the researcher also used data interpretation tables and follow-up of model development product validation in terms of categories, percentages, qualifications and follow-up (Table 1).

Table 1

Cut-off points for product validation on the development of effective leadership model of madrasah heads

Category	Percentage	Qualification	Follow-up
4	91-100 %	Very good	No Revision Needed
3	76-90 %	Good	Revisions needed
2	56-75 %	Weak	Replace with a new proposal/ discard
1	0-55 %	Bad	Eliminate if $\geq$ 77% propose this

The level of effectiveness of the implementation of an effective *madrasah* principal leadership model (through limited trials as an approach to determining interpretation and research results), (P-Kim) is as in Table 2.

Table 2

Cut-off points for the effectiveness of leadership model implementation

No.	Category (%)	Qualification	Recommendation	Annotation
1.	86-100	Very Effective	Maintained and improved	Accepted
2.	76-85	Effective	Improved as needed and developed	Accepted with correction where necessary
3.	66-75	Quite Effective	Repaired as needed and improved	Accepted with some improvement
4.	$\leq$ 65	Less Effective	Fundamentally improved and enhanced	Accepted with fundamental changes

RESULTS

Identification of Needs

The dimensions and indicators of the leadership (of the head of the *madrasah*) considered an effective leader as an individual with visionary leadership, *akhlakul karimah* (noble character), intelligence, ability to communicate, deliberation, entrepreneurial spirit, and building *madrasah* culture. The results of the measurement and analysis of data revealed that 6 people (40%) stated 'yes', which means that the current leadership of the *madrasah* was effective, while the other 7 (47%) expressed doubt, and there were 2 people (13%) who evaluated the current leadership as ineffective. This was revealed in question number 1. In connection with this, there were 15 people (100%) stating that the existence of an effective *Madrasah*

head leadership was needed so that its performance would be effective. This was revealed through question number 2.

Data also revealed that the *madrasah* manager has visionary leadership, has *akhlakul karimah*, has intelligence, has the ability to communicate, upholds the concept of deliberation, has an entrepreneurial spirit, and builds positive *madrasah* culture. This is in line with the respondents' answers to questions 3-8 which state that all indicators offered are important and necessary in managing *madrasah*s effectively.

Results of the Development of a Conceptual Model

The results of the conceptual development of the effective leadership Model of the *madrasah* leader in MAS PESRI Kendari showed a number of characteristics of the effective leadership of the *madrasah* head, which consists of 7 dimensions (visionary leadership, moral character, intelligence, communication skills, upholding consultation, entrepreneurial spirit, and building *madrasah* culture). Each dimension contained several indicators, which would total up to 45. The 45 indicators consisted of 94 items. Out of these items, 79 items were accepted after the validity trial of the instrument.

The results of the focused discussion showed that the effective leadership model offered for the *madrasah* head was ideal and very relevant to the current condition of Islamic religious education including in Kendari (in particular) and Southeast Sulawesi in general. But there were some issues that needed to be addressed and improved, among which was effective leadership, which was the focus of this study.

The data from interviews and observations show that in the presence of the effective leadership model of the *madrasah* head (from the results of this study), there have been significant changes and improvements in some aspects of the leadership of the *madrasah* head when compared with the previous one.

Instrument Validity Test Results

The trial of the research instrument resulted in the development of an effective *madrasah* head leadership model. Data was obtained from the 14 respondents on the 94 items in the instrument showed that there were 15 invalid items. Therefore, the instrument items declared valid were finally items.

Results of the Conceptual Model Validation

The prototype of the leadership development model was sent for validation. Experts on education / administration education management, the education bureaucracy, education practitioners and education managers at the education unit level evaluated the prototype using validation questionnaires. Data obtained from the validators, is shown in table 2. All indicators of each dimension of leadership of an effective *madrasah* head were assessed with a range of values from 1 to 4, with 4 signifying 'very good and no need for

revision', 3 showing 'good but revision needed', 2 showing 'not good, to be replaced/discarded', and 1 signifying 'not good, to be eliminated/replaced (if 77% of validation experts propose this)'.

The validation results of the conceptual model, after being processed, were tabulated according to the values given by each validator based on their respective target groups, namely education / education management experts, education bureaucracy, education practitioners or education managers. The average percentage of validator assessments reached 89.1%, which shows that the conceptual model developed is of good value in the eyes of the validators. In other words, the responses and suggestions given by the validators do not actually change the substance of the existing indicators.

Limited Model Test Results

The results of the trial were limited to the implementation of an effective *madrasah* head leadership model. It was assessed by a questionnaire. Items 1 to 4 cover the *madrasah* head leadership indicator of MAS. The description of the attitude of the head of the *madrasah* related to the indicator 'having high ideals and setting standards of excellence' reached an average of 93% (processed from items 5-6).

Other characteristics (Processed from items 7-10), such as 'possessing and growing inspiration, enthusiasm, excitement and commitment', only reached an average of 46.25%. Furthermore, 'creating meaning for members of the organization' and

'reflecting the uniqueness or idiosyncrasy of the organization' reached an average of 50%, which means it was less effective in its implementation (items 11-12). The characteristic of 'being able to apply values that are upheld by the organization in practice' only reached an average of 57%, which indicated the less effective category. The head's ability in 'paying close attention to the organization's relationship with the environment and the history of the development of the organization concerned' was considered effective with an average of 64%. In terms of 'enthusiasm for the development of the institution which he leads', the head scored 57%, while 71% is the score for 'enabling his institution to be highly accepted by the community' (items 16 and 17).

Indicators assessed on the pillars/ dimensions of morality are described in the following. 'Having good behavior and being emulated' reached 86%, which meant the head was very effective in this (item 18). Indicators for 'sincerity at work' and 'success in encouraging co-workers' showed 65%, revealing quite effective level of leadership (items 19 and 20).

The score for the characteristic of 'keeping to his word' and 'being in accordance with his actions' was 72% and considered quite effective (items 21 and 22). Then, the characteristics of 'having integrity, trustworthiness, honesty and fairness towards subordinates' had an average of 50% which meant it was considered to be less effective (items 25 and 26). Characteristics related to 'having

the character of *tawadhu'* and 'being brave in seeking the truth' reached 64% indicating less effective category (items 27 and 28).

The characteristics of 'being patient' and 'having healthy humor' showed an average of 50%, indicating a less effective level (items 29 and 30). The characteristics of 'transparency and accountability in carrying out their duties' and 'being the protector of their subordinates' showed an average of 43% (items 31-33). The next dimension is intelligence. The head must have adequate knowledge as required, such as education level of S.1 or S.2 or even S.3. The score was 71% which indicated it was favorable and quite effective.

Madrasah heads must also be able to 'adapt to the community environment'. This revealed an average of 71% which means it was quite effective. 'Having the ability to monitor themselves and control themselves in dealing with problems' with an average value of 43% showed it was less effective and it needed to be improved (items 36-37). In addition, the head of the *madrasah* must have 'the ability to give spiritual meaning to the thoughts, behavior and activities of the institution' which was scored at 71.5% showing a quite effective level (items 39-40).

The dimension of communication skills of the head showed a score of 86% which meant that it was very effective. The head of the *madrasah* must also have 'the ability to communicate with superiors or officials with regards to his duties'. This reached 71%, which meant that it was quite effective. 'Communication relations with the press,

radio and television institutions' revealed a score of only 19%, which meant it was less effective, so it needed to be improved (items 44-46). 'Effective communication with parents and the community in the *madrasah*', and 'effective communication links with the local government' showed a score of 71%, indicating a quite effective level. The ability to convey the results achieved by *madrasahs* to the community as a form of *madrasah* accountability to the public is very necessary in the development of *madrasah*s. Dimensions uphold deliberation. Deliberation is very necessary in managing *madrasah*s because deliberation move *madrasah* programs to achieve the expected goals.

For the indicator 'has an open attitude and can be a good and polite listener' only 43% agreed, so it was in the less effective category (items 51-52). 'Being able to create relationships with other institutions / organizations and colleagues' was considered quite effective (items 57-58). The dimension of 'head has entrepreneurial spirit' is in the category of less effective (items 63-64).

DISCUSSION AND CONCLUSION

The analysis of the development needs of an effective *madrasah* principal leadership model at *Madrasah* Aliyah in Indonesia shows that the offered model is seen as an effective guide to streamline the leadership of *madrasah* principals.

Based on the data and the results of the conceptual model validation analysis, it can be interpreted that the average number

of 89.1% of the validator's assessment shows that the effective leadership model of the *madrasah* principal of MAS PESRI Kendari is considered 'very good'. This indicates that it can be applied to other *madrasah*s in Southeast Sulawesi. This is very grounded because the study of leadership models developed so far does not have advantages such as the findings of this study, which in addition to the finding related to the dimensions of effective leadership of *madrasah* leaders, it also came with the formulation of indicators and their respective practice descriptions in detail.

The effective leadership model (Figure 1) of the *madrasah* principal that suits the conditions of the *madrasah* reflects the leadership of VB5M (Visionary Leadership, has a noble character, has intelligence, has the ability to communicate, upholds effective deliberation, has an entrepreneurial spirit, and builds an effective *madrasah* culture).

The description of the effectiveness of the manifestation of the VB5M leadership dimension are as follows: (a) the realization of visionary leadership; (b) the realization of having an *akhlakul karimah* (c) the embodiment of having intelligence (d) the realization of having the ability to communicate e); (e) the embodiment of having an entrepreneurial spirit; (f) the realization of building a *madrasah* culture.

The advantage of this research finding is that *madrasah* principals can easily check which dimensions show weaknesses in leadership and can even find out directly in which indicators and which points of practice weaknesses are present without having to do complex investigations.

The results of this study can also serve as a driving force for principals to take action to change. Similarly, it becomes a practical guide for *madrasah* heads who want their leadership in *madrasah*s to be more effective. Sagala (2008) stated that the effectiveness of the organizational function of schools was strongly influenced by subordinate support and clear leadership guidelines in *madrasahs*.

Based on the results of the analysis of the limited trial in the implementation of an effective school principal leadership model in practice, it can be interpreted that the head of the *madrasah* has implemented an effective *madrasah* principal leadership model even though it requires further improvement in terms of both quantity and quality.

This condition shows that even though the leadership model of the school principal is effective, the results of this developmental research have many advantages compared to the leadership models of other school leaders. However, it must be remembered that the desire, determination and innovation of a school principal to implement it becomes a factor that contributes to greater effectiveness levels. Therefore, to strengthen the success of the implementation of the leadership model of this school principal, it takes determination, innovation and the prioritizing of clients. Also, the school principal must have the sincerity to make improvements to everything that has been implemented by him.

CAPABLE OF INSTILLING GOOD SCHOOL CULTURE
(8 practice activities)
(1) Having the attitude and trust of people who are in school and outside of school;
(2) Maintain school cultural norms;
(3) Maintaining relationships between individuals within the school;
(4) Having humanitarian values and professionalism;
(5) Empowering and maintaining an artifact culture.

VB5M LEADERSHIP
(Each dimension / pillar is realized in practical activities)

VISIONARY LEADERSHIP
(17 practice activities)
(1) Has vision with clear goals and directions;
(2) Has goals and standards of excellence;
(3) Fosters inspiration, spirit, enthusiasm, and commitment;
(4) Creates meaning for members of the organization that reflect the uniqueness or features of the organization;
(5) Able to imply values upheld by the organization;
(6) Pay close attention to the relationship of the organization with the environment and the development of the organization concerned;
(7) Has enthusiasm for the development of the institution he leads;
(8) Directs the institution to the community as a populist *madrasah*.

UPHOLD FORUM DISCUSSIONS
(11 practice activities)
(1) Has an open attitude and can be a good and polite listener;
(2) Accommodating, wisdom and receiving feedback;
(3) Acting fairly and being able to delegate tasks proportionally;
(4) Able to cooperate with subordinates;
(5) Able to create relationships with institutions / organizations and other colleagues;
(6) Able to solve problems properly;
(7) Able to influence and foster trust with other parties.

POSSESS NOBLE CHARACTER
(16 practice activities)
(1) Have good behavior and is exemplary;
(2) Is sincere in working and is an encouragement to his co-workers;
(3) Keep the words in line with the actions;
(4) Have integrity, trust, honesty and fairness towards subordinates;
(5) Has the character of *tawadhu* and be brave in the truth;
(6) Have a patient nature and a healthy sense of humor;
(7) Be transparent and accountable on duty and be the protector of subordinates.

HAVE A SPIRIT OF ENTREPRENEURSHIP
(10 practice activities)
(1) Makes a positive change carefully;
(2) Understands the scope of duties and responsibilities correctly;
(3) Oriented towards improving the quality of learning for customer satisfaction;
(4) Have a strong determination and dares to take risks on the result of a joint decision;
(5) Work diligently to create something in the form of productive effort to *madrasah's* progress and welfare of subordinates;
(6) Build trust and be trustworthy and have technical competence in accordance to their fields.

HAVE COMMUNICATION SKILLS
(9 practice activities)
(1) Has the ability to communicate effectively in a school environment;
(2) Has the ability to communicate with superiors or officials with regard to their duties;
(3) Able to communicate effectively with the press, radio and television and other institutions;
(4) Able to communicate with parents and the community in the *madrasah* environment;
(5) Able to communicate effectively with the regional government;
(6) Able to convey the results achieved by *madrasahs* to the public as a form of *madrasah* accountability to the public.

HAVE INTELLIGENCE
(8 practice activities)
(1) Have adequate knowledge, as required;
(2) Able to adapt to their environment (*madrasahs* and communities);
(3) Have the ability to monitor themselves and control themselves in dealing with problems;
(4) Responsive to the needs of *madrasah* institutions and citizens;
(5) Have the ability to give spiritual meaning to the thoughts, behavior and activities of institutions / *madrasahs*;
(6) Have the intelligence to judge that one's way of life is more meaningful than others.

Figure 1. Final effective leadership model for the *madrasah*

Based on the results of the interpretation above, it can be recommended that the effective leadership model of the school principal be used as a reference for creating effective leadership of school principals in *madrasahs*. In the same context the effective leadership of the school principal will be very prominent if the items related to teaching are implemented properly. This is consistent with the statement that in order for the school principal to be effective in his leadership at the *madrasah*, one of his activities is to supervise learning. Supervision of learning is very important because it also determines the quality of the output.

The results of this study can still be subjected to the possibility of weaknesses, because of the factor of limited trials and the fact that it is not a tested school principal leadership model that is proven to be widely effective. Therefore, it is recommended that the results of the research on the development of an effective school principal leadership model be applied in all *madrasahs* in Southeast Sulawesi for the moment.

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Exploring College of Education Students' Aversion to Teaching

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ABSTRACT

This study sought to ascertain the intentions of College of Education students towards the teaching profession using a questionnaire. The sample consisted of 464 students drawn from nine education majors at the College of Education at Sultan Qaboos University, Sultanate of Oman. The study revealed that while many of the students intended to join the teaching workforce, a fairly large portion did not seem to share the same interest. There is a range of internal and external factors that contribute to the positive and negative views students develop about teaching. Students' views reflected their perceptions about the status of the teacher and teaching in general. The study concluded that despite being admitted to the College of Education, student teachers were vulnerable to internal and external factors that could affect their decision and destination and consequently impact employment plans to fill the many teaching vacancies in the country. This research has important implications for pre-service and in-service teachers, teacher educators, researchers and policy makers, all of whom play a crucial role in enhancing the quality of the teaching workforce. While this study was conducted in Oman, its implications are applicable globally as teacher shortages have become a wide-reaching concern.

INTRODUCTION

Education is considered the key to sustainable economic and social development of societies. The teacher is the main pillar

of educational development. Teachers' perceptions and motivation determine their willingness to enter the profession and more importantly their level of commitment to student learning. Many countries are facing challenges in recruiting and retaining quality teachers at a time of escalating teacher shortages (Watt & Richardson, 2007). In fact, the shortage of high quality teachers has become a global problem due to different reasons, among which are teacher attrition, retirements, increase in student population, low pay, and school conditions. Many teachers leave their job even before they reach the retirement age. While information about the actual percentage of teacher attrition varies from one context to another, it is estimated to range from 5% to 50% in the first five years of employment (Schaefer et al., 2012). The problem is further complicated by the fact that teacher demand is on the rise as a function of changes in student enrollment and shifts in pupil-teacher ratios. Consequently, staffing classrooms with a workforce of competent and stable teachers who are able to cope with the ever-changing and intricate needs of students and societies remains one of the hardest challenges facing policymakers around the globe (Podolsky et al., 2016). Many countries including the USA and many of the European Union countries are facing difficulties recruiting teachers either because of the ageing teaching workforce or the lack of interest in teaching among the new generation (Richardson & Watt, 2006). Many countries find themselves in a situation where they

have to hire untrained teachers to cover the severe shortages (Sutcher et al., 2016). Many people attribute the shortages in the teacher labor market to the low financial perks and limited career advancement opportunities and the increasing frustrating school conditions (Berry, 1986). Such work conditions will surely lure away many bright college students from becoming teachers.

Many studies have been conducted on in-service teachers' attitudes towards teaching but very little is known about the intentions of students who are still enrolled in teacher preparation programs and have not yet joined the teaching profession. It is now acknowledged that teachers' attitudes about the profession are shaped early and before they start teaching. Such beliefs and conceptions undoubtedly influence teachers' attitudes and performance. It is therefore important that such perceptions are identified at an early stage and plans are put in place to change the negative and distorted views student teachers may hold about teaching. Some of these views are shaped by how students are treated in college as well as by what they hear and see in schools during teaching practicum.

Factors Affecting Teachers' Attitudes

Different factors can affect teachers' attitudes towards the profession. Podolsky et al. (2016) had identified five main factors that influenced people's decision to enter, remain or leave the teaching profession, namely: a) salaries and other compensation, b) preparation and costs to entry, c) hiring and personnel management,

d) induction and support for new teachers, and e) working conditions, including school leadership, professional collaboration and shared decision-making, accountability systems, and resources for teaching and learning. A better understanding of these factors is crucial in improving the quality of teaching. As Watt et al. (2012) put it:

> Understanding influential motivations for individuals who choose teaching as a career has important implications to enhance the effectiveness of recruitment and retention efforts, which can then target those motivations that are most relevant, rather than relying on traditional messages such as the desire to help children and make a social difference. Further, such understandings are critical for teacher education and early career induction.

Another way to look at the factors is to divide them into intrinsic and extrinsic. Intrinsic factors include passion for teaching, working with children or adolescents and serving the society. Having a positive attitude towards teaching is particularly important given the nature of the job which has always suffered greatly from attrition. Extrinsic factors include finance, influence from others and job security. Salary rewards and the status of teachers and teaching in the society greatly impact prospective teachers' perceptions about teaching and desire to join the profession (Watt et al., 2012). In some cases, extensive motives outweigh the intrinsic ones due to the tough nature of the teaching profession (Yong, 1995). In Brunei Darussalam, Yong (1995) found that most of the teachers chose the profession based on extrinsic incentives. However, work conditions have also been found to play a major role attracting and retaining teachers (Ladd, 2011). These include things like workload and school policies. Such school context variables affect teachers' job satisfaction and motivation towards the profession (Skaalvik & Skaalvik, 2011). For example, in the USA, Sutcher et al. (2016) found that:

> "administrative support is the factor most consistently associated with teachers' decisions to stay in or leave a school. Authors' analysis found that teachers who find their administrators to be unsupportive are more than twice as likely to leave as those who feel well-supported".

There have also been studies on factors affecting pre-service teachers' perceptions about the profession. For example, Egwu (2015) investigated the attitudes of third and fourth year education students in Nigeria. The students showed negative attitudes towards teaching due to the low salary and the tedious nature of the job. A more recent study found a positive correlation between students' personality types and attitudes towards teaching (Üstüner, 2017) in that students of certain personality types tended to hold more positive views about the profession. In fact, some researchers proposed that focus should be shifted to recruitment instead. That is to say, more

efforts should be invested in recruiting the best and most enthusiastic students into teacher preparation programs. This would be a more efficient and effective approach (Podolsky et al., 2016). Given the demanding nature of teaching, nations need effective teacher preparation programs that can produce effective teaching cadres. Recruitment can start at high school when students are considering different major options.

To date, there has not been any research on the employment decisions of the College of Education students at SQU. It is probably because it is taken for granted that since these students have 'voluntarily' joined the teacher preparation program they will aspire to become teachers. Therefore, this study attempted to fill that gap. More specifically, the study aimed at ascertaining SQU education students' intention to become school teachers and the factors influencing their decision.

METHODS

The Context

In Oman, teachers are prepared in five different higher education institutions. These are spread across the country. There has been an increasing demand for school teachers. The number of schools has risen drastically from 16 schools in 1970 to 1124 schools in 2017, and the number of teachers has also multiplied from 196 in 1970 to 56385 teachers in 2017 (Ministry of Education, 2017). Like other world nations, Oman has also suffered from

teacher shortages. The government has recently taken different measures to manage the crisis. For example, it has increased the number of teacher preparation programs to cater for the increasing shortage of teachers in schools due to teacher retirements and increase in school children which are draining the ability of the existing teacher preparation programs to produce adequate numbers of teachers. In the past, the country has relied heavily on expatriate teaching force but due to the rapid increase of student population compared with the very small number of graduates from teacher preparation programs together with teacher attrition, the government decided in 2016 to increase the number of students entering teacher education programs by licensing the opening of new teacher preparation programs in private and government higher education institutions and offering more scholarships for students to enroll in government and private higher education institutions. In addition, many reforms have taken place in order to improve the teaching caliber, such as increasing the financial perks, instating more rigorous recruitment criteria, giving schools more decision making authority, reducing teaching load, professionalizing teaching. It is still too early to measure the impact of such reforms on the profession. However, the requests from existing teachers for retirement have been on the rise but the government have been putting these on hold in order to avoid disastrous effects on teaching. What all of this indicates is the continuing gap between demand and supply for many years to come.

The present study took place at Sultan Qaboos University (SQU) in the Sultanate of Oman. SQU is the first and only government university in the country. It has an annual enrolment rate of more than 3000 students spread across nine colleges. This is the largest enrollment in any single higher education institution in the country. The College of Education at SQU is one of the oldest colleges on campus. It was among the first colleges when the university was opened in 1986. The teacher preparation program at SQU is oldest and largest in the country. The enrollment number has recently increased from 300 in year 2014-2015 to more than 400 students in 2016-2017 in order to meet the dire demand for more teachers. In fact, the number would have gone higher if resources were available. The College of Education offers nine different majors, namely Arabic language, English language, Science, Mathematics, Islamic Education, Physical Education, Art Education, Early Childhood, and Educational Technology. There is an equal gender representation in most of the majors. The teacher preparation program lasts four years during which students earn 120 credit hours. Students take courses in foundations of education, subject area, teaching methods, psychology, etc. and receive a bachelor degree in education. The SQU teacher preparation program was recently accredited by the Council for the Accreditation of Educator Preparation (CAEP) in the USA in 2016. All the nine majors were also accredited by the specialized accreditation associations in the USA in the same year. This certainly reflects the high standards the college maintains.

Sample

The sample for the study consisted of 464 (29%) students out of 1614 registered students in the nine teacher preparation programs at the College of Education at Sultan Qaboos University in year 2016-2017 when the study was carried out. The students were chosen randomly as intact classes but considerations were given to gender, major and year of study as potential factors in the study.

Instrument

The students answered a questionnaire prepared by the researcher (see Appendix 1). The questionnaire consisted of two main parts, one on demographic information (gender, major and year of study), and another on students' attitudes towards teaching. The second part about attitudes contained several questions about students' intentions with regards to teaching and other employment plans. There was also a final question about what the College could do to allure students into the teaching profession. The questionnaire was validated by a group of professors at the College.

Data Analysis

Data from the closed items of the questionnaire was analyzed using the statistical package SPSS in order to calculate the frequencies and percentages as well

as the relationship between the students' responses to the different questions through cross-tabulation and Chi-Square tests. The qualitative data was analysed manually by identifying common themes and eliminating repetitions in the students' responses to the questions.

RESULTS

As mentioned earlier, 464 students participated in the study. There were 144 (31%) males and 315 (67.9%) females (five students did not indicate their gender). The students represented nine majors with the English major being the highest, 80 students (17.2%), and the early childhood the lowest, 22 students (4.7%). This reflects the disproportionate enrollment numbers in the nine majors. With regards to year of study, the majority of the students, 199 (43.7%) were in their fourth year, 126 (27%) in their third year, 91 (20%) in their fifth year, and the remaining students were thinly scattered across the first, sixth and seventh years at the time of data collection (Fall and Spring semesters of 2016-2017 academic year).

Moving to the questions about intention for teaching at admission, the results showed that 342 (73.9%) of the students intended to become school teachers when they joined the College while 121 (26.1%) did not. The students gave different reasons for wanting to become teachers. Some students had "the passion for teaching" while others saw it as their duty towards educating people and equipping them with the skills they need" and saw teaching as the best way to "improve societies". Others noted that teaching "fits

their abilities and interests". Other students were allured into teaching because of their love for the subject matter. This was especially the case with the mathematics students who stated their plan to "make school kids love mathematics through fun activities". It was also true with the majors that require specific physical skills or certain talents/interest such as physical education, art education and educational technology. One educational technology female student even said that she "liked the subject more than the job". An interesting comment was made by a second year male Arabic major student who was apparently not satisfied with his school teachers' teaching approach said that he wanted to become a teacher in order to "to show school teachers the right approach to teaching and make the Omani student love learning and the school". There is a group of students who focused on the practical aspects of teaching, such as "working in an all-lady work environment", "comfortable for women", "being close to home", "availability of jobs", etc. A few students had dreamed of becoming teachers since childhood. Some students were already thinking ahead and thought that teaching would give them the opportunity to "pursue higher education". Others were inspired by their high school teachers, as is the case with a fourth-year English major male student who said: "I had really great teachers when I was studying in the school and I wanted to be like them, I want to make a great teacher and make a change". A few students chose teaching upon their parents' wish. This is not atypical in such

a conservative society where some parents tend to dictate what career options their children, especially females, should pursue. One science major second year female student saw her mission as to "to change the disillusion that learning is difficult and that knowledge is the result of rote learning", while another student wanted to produce "school children who are great thinkers". They saw teaching as a social responsibility to "to change children's attitudes towards school" and "produce responsible citizens".

The 26.1% of the students who did not have initial interest in teaching also offered their reasons. Some saw it as a "routine and boring job", while others did not think they had "the confidence to stand in front of children and speak fluently". Other students mentioned other hurdles such as "tedious job", "lack of societal appreciation", "unfair school policies" and "scarce employment opportunities". Other students blamed "the magnitude of non-teaching responsibilities teachers are tasked with". Parental influence was evident in many of the students' responses. Many of the students stated that they entered the profession due to pressure from their families and that they did not particularly intend to become teachers.

The researcher ran cross-tabulation to look for significant differences in the responses based on major, year of study and gender. There were a few variations in the responses, but these were not significant according to the Chi-Square test. However, it is worth pointing out the noticeable, though not significant, difference between male and female students. More than 50% of the students who said they had the intention for teaching were females compared to 24% of the males, as shown in Table 1.

The students were then asked if they had changed their mind during the course of their college study. 109 (23.6%) of the students indicated that they changed their mind compared to 353 (76.4%) who did not. The difference between those who changed their mind and those who did not was found to be significant, according to the Pearson Chi-Square test, X^2 (1, N = 461) = 93.10, p < 0.001. In order to determine the direction of the change in students' intention, the researcher grouped the responses to Question 2 and Question 3 in the questionnaire into four categories, as shown in Table 2.

Table 1

Intention for teaching by gender crosstabulation

		Gender		Total
		Male	Female	
Intention for teaching	Yes	109	230	339
	No	34	85	119
Total		143	315	458

Table 2

Coding for direction of change in intention

Code	Nature of change	Explanation
1	Negative	The student initially intended to be a teacher but later changed his/her mind.
2	Neutral negative	The student did not intend to be a teacher from the start and did not change his/her mind later.
3	Neutral positive	The student initially intended to be a teacher and did not change his/her mind.
4	Positive	The student did not initially intend to be a teacher and then changed his/her mind.

The results showed that the neutral positive change was the highest among the four (64.9%) as shown in Table 3. That is to say, the students who initially intended to be teachers maintained the same interest over the course of their study. The other three trends scored consistently low even though the positive trend was slightly higher (14.5%) which signals that a reasonable fraction of the students developed interest in the profession at some stage in their academic study.

The researcher then compared the figures in the four trends by gender and major but did not find any significant differences between them. This means that the trend of change is not affected by gender or major.

When asked about the reasons for change in intention, the students cited many different ones. The students who were not initially going to enter the teaching profession and later changed their mind during the course of their college study gave different reasons for the change. Some said

Table 3

Results of direction of change in intention

		Frequency	Valid Percent
Valid	1.00	42	9.1
	2.00	53	11.5
	3.00	299	64.9
	4.00	67	14.5
	Total	461	100.0
Missing	System	3	
Total		464	

that the college courses gave them better understanding about teaching and learning. They also "acquired new knowledge and skills in their major". Others commented that "the university life helped overcome fears about standing in front of students". There were also students who said they realized their "potential to deal with school children". Other students praised their college faculty for helping them realize their potential as prospective teachers. Field experience and teaching practice were also mentioned as factors causing students to love teaching.

Conversely, there were those who were originally planning to become school teachers but later changed their mind. The reasons given for the change are: "the challenging and boring nature of the educational courses", "after realizing that the teacher has many responsibilities on his shoulder and it is a big trust at the same time", "the changing nature of the job market where teaching has become less attractive", and "inability to deal with students of this generation". One English major fourth year male student commented: "the change was not due to changes in my opinion about teaching but rather to the difficulties we encounter in our studies to earn the degree".

The students were then asked to indicate the year they changed their mind. The results showed that the change has occurred largely in the second 33.7% or third year 36.5% with a small percentage in the first or fourth year, 12.5% and 14.4% respectively, according to the students' responses.

The students were asked to list alternative jobs if they did not intend to become teachers. The alternative jobs differed according to the major. For example, the Arabic language students suggested "translator" and "editor". The science majors mentioned jobs such as "laboratory specialist" and "astronomer". The educational technology majors mentioned "computer programmer", "computer technician" and "graphic designer". Other students wanted to teach but, in the military, or at the university level.

In response to the question about whether they would advise a friend or a relative to enter school teaching, 84.6% responded positively and 15.4% negatively. However, it was interesting to note that many of the students who did not intend to become teachers said they would advise friends and relatives to join the teaching profession. This could mean that while they value the importance of teaching and see it as a "noble job", "as a means to improve nations" and "it is the basis for other jobs", they did not think they themselves had the interest or ability for teaching while at the same time they would advise more capable individuals to do it. Some of the students would not advise others to join teaching because it is a "daunting and challenging job", "routine job", and "unrewarding". Others seemed reluctant to give any clear advice because they felt that it should be a personal choice. Generally speaking, many of the respondents were aware that teaching requires certain qualities and personality type. For them, teaching requires:

1. perseverance
2. flexibility
3. adventure
4. interest
5. ethics
6. a sense of responsibility

The last question in the questionnaire asked for suggestions for improvements in the teacher preparation program at SQU. The students offered many suggestions which can be categorized into the following groups:

1. Teaching methods: use variety, use innovative methods and do not depend on memorization and recall, give practical examples

2. Degree plan: reduce course load, focus on practice more than theory, dropping irrelevant courses, focus on local issues

3. Assessment: Focus on understanding more than memorization, reduce assignments and eliminate irrelevant assignments

4. Focus on practice: increase teaching practice, involve students more in classroom work during teaching practice, re-instate microteaching, build model school on campus,

5. Student involvement: seek student feedback on course content, delivery and assessments

6. Admission criteria: use strict admission criteria to improve quality

7. Relationship with students: college faculty should be more approachable and modest)

8. Attracting more students to the program by raising awareness about the role of teachers in the society.

DISCUSSION

The results have shown that more than two thirds of the College of Education students plan to join the teaching force in public school. These students seem to be genuinely interested in the profession. In many cases, the students' attraction to teaching stems from their love for the subject. Some of the students wrote that they were not dissuaded by the demanding nature of teaching and noted that in fact that this acted as an incentive for them to choose teaching as a career and accept the challenging nature of the job. This is similar to the findings by Richardson and Watt (2006) whose respondents also rated intrinsic value for teaching, the desire to make a difference in the society and interest in working with children, as the highest motivations for choosing teaching as a career among students in three universities in Australia. It was gratifying to see that the students who expressed interest in teaching gave intrinsic reasons, such as 'love for teaching', 'passion for working with children', 'serving the community' and focused less on the financial aspect of it. This is in contrast with Egwu's (2015) study where students' views towards teaching were primarily motivated by extrinsic factors.

The female students appear to be more likely to consider teaching than male students because of the social factors where teaching is seen as the most appropriate job

for women as they would not have to mix with men, could find a job close to their home, etc. This was evident in the responses of the female teachers who see teaching as a better fit for their social responsibilities, compared to their male counterparts who see it as a job. This reflects international concerns about the lack of males entering the teaching career (Carr, 2004; Richardson & Watt, 2006).

However, the results showed that there is a relatively large percentage of the students (26%) who are reluctant to do so. This is higher than percentage reported by Alkhateeb (2013) in Qatar which was 15%. As a dynamic profession, teaching requires a positive attitude. The teacher's effectiveness depends largely on how he/she feels towards the learning and teaching. The students cited many factors that kept them away from teaching some of which are hurdles inherent in the challenging nature of the teaching profession. As Chapman et al. (2012) put it, "if teachers remain in teaching because they lack employment alternatives, it can result in disillusioned teachers which can translate into lower quality instruction".

Given the context of this study, the resentment to teaching among about two thirds of the education is alarming. SQU is the only government university and it contains the largest teacher preparation program in the country. Admission is very competitive and the country is in dire need for school teachers. Theoretically speaking, students are admitted into the program based

on interest, national needs and resources available. Thus, when students join the teacher preparation program it is expected that all or at least the vast majority of them will enter teaching. However, this does not seem to be the case here, at least based on students' intentions. The relatively high percentage of students who are considering not to enter the teaching profession is worrying. Many do not seem to be interested in teaching and use the certificate as a springboard for other jobs.

Teacher preparation programs tend to be very expensive and complicated to run due to the many and different players involved, but the expenses and the efforts could be justified if they are going to be effective in producing highly qualified and committed teachers who will subsequently help produce well educated citizens. Still students' aversion to teaching is likely to result in waste of resources and can badly affect the quality of education. In addition, unemployment among Omani youth is on the rise, approaching 44,000 job seekers in 2017 (National Center for Statistics and Information, 2017a). While certain sectors have become saturated, there is great potential for employment in the education sector. The number of expatriate teachers in government schools alone has reached 9,392 out of the total number of 56428 teachers in year 2016-2017 (National Center for Statistics and Information, 2017b). It is important that these teaching jobs are replaced by competent and highly

enthusiastic and committed individuals. It is known worldwide that teacher recruitment and retention are permanent problems in many countries around the globe (Cochran-Smith, 2004).

There are clearly various factors that influence students' decisions. These range from personal perceptions and experiences about one's abilities, to economic and financial and social factors and finally school-related factors. The students' views seem to change overtime. The study also showed that at this early pre-service stage, prospective teachers realize the enormous responsibilities bestowed on school teachers and that has made some of them reluctant to join the profession. The students believe that the schools will not provide them with favorable work environment where they could flourish and prosper. Other students are concerned about the amount of voice they will have in the school.

Furthermore, the students raised concerns about some perceived weaknesses in the teacher preparation program. Based on the students' responses, there seems to be a gap between theory and practice. The students demanded that college courses address contemporary school issues. This discrepancy between what is covered in college courses and school curriculum can lead to confusion. Other students expressed concern about assessments in content courses that encourage memorization and recall. These practices undoubtedly convey to students the wrong message and they may in fact contradict what the school curriculum requires. Other students reported that they experienced difficulties in their college studies and this led to their change of opinion about teaching. Such students need counseling. This calls for the evaluation of the effectiveness of the academic advising system and the extent to which it is effective in identifying such students and alluring them to teaching.

In addition, some of the students pointed out the negative experiences they had at school and college. The public school experience has taught these students that teaching is not stimulating. The students were influenced by the poor practices of their former school teachers who were not creative and simply followed the teacher's manual, as was pointed out by a number of respondents. School teachers have to act as good role models because their behavior clearly influences the students who may consider to become their successors. The same applies to college faculty who are seen as role models and a source of inspiration for future teachers. The learning experience plays a major role in shaping one's attitudes and perceptions which are essential ingredients for creative, innovative and interactive teaching. As Andronache et al. (2014) put it, "… teaching profession attitude is an important variable because it can seriously influence the effective manifestation of knowledge and skills appropriate to teaching profession".

In some cases, the students' aversion to teaching was influenced by the views of the society. One example of this was among the females students reported being forced into the profession as a few of them indicated

that they joined the teacher preparation program at their parents' will and they did not originally intend to become to school teachers. Oman is certainly one of those cultures where parents tend to have a great influence in their children's choice of teaching as a job (Hall & Langton, 2006).

In Oman, many reforms have taken place in order to improve the teaching caliber, such as more rigorous recruitment criteria, and giving schools more decision making authority. However, there is still reluctance among some local youth to enroll in the teaching profession. Efforts have to be made to win the minds of these students so that the gap between demand and supply be closed more effectively. Different measures should be taken to improve the image of teaching and lure more people into the profession. Higher salaries alone do not result in long lasting changes in people's perceptions about the social value of teaching even though in some cases such financial benefits may have a short-term impact which may not last for very long (Watt et al., 2012).

CONCLUSION

The study has shown that while many of the students have the intention to join the teaching force, a significant portion of them do not. It is of paramount importance that the views of these prospective teachers are sought to explore their level of interest in the profession so that preventive measures could be taken (Lowery, 1920). The "initial commitment to teaching is an important predictor of both job satisfaction and retention" (Chapman et al., 2012) especially at a time when teacher shortages have become a global issue. This and similar studies are important as an attempt in trying to understand the career expectations of these students as potential entrants to teaching. Despite being in the College of Education, student teachers are vulnerable to factors that can affect their decision. There is a range of internal and external factors that contribute to the positive and negative attitudes students have about teaching. School reform alone is not enough. Something has to be done to change the perceptions of prospective teachers. This is particularly important at a time when demand for school teachers is on the rise due to increase in student enrollments and high teacher attrition. People and the society need to be made aware about the realities of teaching and the crucial role teachers play in educating children.

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APPENDIX

Appendix 1: The questionnaire

Dear students,

I am collecting information about the College of Education bachelor level students' intention to enroll in the teaching profession in schools. Could you please answer the questions in this simple questionnaire?

Thank you

1. Please circle the right option.

Major	Islamic Education	Arabic Language	Science	Math	Social Science

Major	English Language	Physical Education	Art Education	Instructional Technology

Year of study	1	2	3	4	5	6	7

Gender	Male	Female

2. When you joined the College, did you intend to become a school teacher? Yes No Why/why not?

3. Have you changed your mind about becoming a school teacher? Yes No Why/why not?

If yes, at what stage of your study at SQU did you change your mind about becoming a school teacher?

4. If you do not intend to become a school teacher, what other jobs do you plan to take?

5. Would you advise a friend or family member to become a school teacher? Why/why not?

6. What could the College of Education have done to make you want to become a school teacher?

Teachers' Practices in Encouraging Self Directedness in Learning English as a Second Language

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ABSTRACT

The development of self-directed language learning needs to be seen not only from the point of view of the learners, but also from the perspective of the teachers. Teachers play a critical role in encouraging self-directedness and it is important to examine how they may or may not, either directly or indirectly, create opportunities to encourage self-directedness amongst their students. Although many teachers acknowledge the benefits of self-directedness, lessons in the classroom still tend to be teacher-centered. In this study, several English language teachers at a public tertiary level institution were observed over a period of two weeks to determine the extent they used techniques that encourage self-directedness. An observation checklist based on the four stages of the Staged levels of Self-Directedness model was used. Instances of when self-directedness was supported were also noted together with when opportunities to do so were missed. It was generally found that although practices that encouraged self-directedness were observed, teachers often missed opportunities to do so in the classroom. There were also few instances of practices that reflected the higher levels in Grow's model, indicating that teachers were either hesitant or unable to practise student self-directedness in the classrooms.

Keywords: Language learning, language teaching, self-directed learning, staged self-directed learning (SSDL)

INTRODUCTION

In today's higher education landscape, students are expected to play active and participatory roles in the learning process while teachers act as facilitators to motivate and guide them to acquire strategies needed for self-directed learning (Koçak, 2003). According to Knowles (1975), self-directed

learning (SDL) is a process where the learner takes the initiative to discover his or her needs during the process of learning, sets learning objectives, identifies resources, adopts suitable learning strategies and evaluates the outcomes of learning. In order to be successful in this process, the learner must have the correct attitudes, personality characteristics, abilities and motivational level (Littlewood, 1999; Wiley, 1983).

While classroom teaching in the Asia-Pacific region is sometimes perceived as being traditional, largely teacher-led, and occurring in a passive learning environment (Fatima & Ahmad, 2013), educational reform in many of the countries in the region now see an emphasis on the development of self-directed and autonomous learning skills. In Malaysia, for example, The Malaysian Ministry of Education, in its National Education Policy Blueprint (2013-2025) has expressed strong encouragement towards the development of independent and life-long learning skills among students (Malaysian Education Blueprint 2013-2025). Educational practices that are in line with this focus on learner autonomy such as school based assessment and student portfolios are also being implemented in the country (for example, see Singh & Samad, 2013) to slowly reduce the impact of standardized national examinations on teaching and learning. Central to such a new direction are the teachers who must now adopt and implement relevant activities that involve critical thinking, creativity and problem-solving to allow students to develop a sense of responsibility for their own

growth. Some of these activities include searching for information, and commenting on or sharing information (Shahin & Tork, 2013). Despite this awareness of their roles, there are still concerns that teachers are either not doing enough to encourage self-directedness among their learners or lack the skills to do so. Hiemstra (2013), for example, noted that "numerous teachers, including instructors of adults, still rely primarily on teacher-directed approaches and fail to tap into that SDL potential among their students" (p. 23). Similarly, a study by Shien and Akiko (2009) indicated that teachers' teaching methods, when not congruent with students' true needs and expectations, could to some extent, hinder students from developing a greater degree of autonomy in language learning. There is therefore a need for direct observation of what actually occurs in the classroom and whether the teachers' practices encourage self-directedness.

In this study, four language teachers in a Malaysian university were observed to identify the kinds of activities that they conducted in the classrooms and whether their instructional practices encouraged self-directedness among their students. The Staged Self-Directed Learning model of Grow (1991), which consists of four stages, was used in order to examine the three major research questions for the study which are stated as follows:

1. Do teachers use practices that can encourage self-directedness of their students, and if so, do the use of

these practices reflect the stages of self-directedness?

2. What are some examples of the specific practices that the teachers use as observed in the lessons?

3. What are some missed opportunities for teachers to encourage self-directedness as observed in the lessons?

This paper is part of a larger study that also consists of a postgraduate student's study on students' readiness for self-directed learning in English as a Second Language (Xuan, 2017).

LITERATURE REVIEW

Self-directedness in learners can generally be considered as a learning inclination that is formed through the combination of specific attitudes, relevant abilities and appropriate support from relevant sources. It does not preclude the role of the teacher, but rather requires the teacher to take up new roles in the classroom. In second language teaching and learning, self-directedness among learners is a prized characteristic, given that learning a language requires much intrinsic motivation. Motivation is often seen as a prerequisite factor that influences the extent to which learners are ready to engage in self-directed learning, and teachers may have to develop student motivation before they can effectively train them to become self-directed (Spratt et al., 2002). Wolters (2003) further argued that self-directedness make learners become more intrinsically motivated, requiring less motivation from

external factors such as rewards, scores or threats. Encouraging intrinsic motivation is especially important in learning the English language in Malaysia as many studies indicate that Malaysian students are more extrinsically motivated (Bidin et al., 2009; Zubairi & Sarudin, 2009). Another benefit that has been noted is that self-directedness can be a predictor of academic success (see for e.g. Khodabandehlou et al., 2012; Mahdavinia & Nabatchi, 2011; Mohamadpour, 2013; Shien & Akiko, 2009).

Culture exerts a strong influence on the effective implementation of self-directed learning in classrooms. In their study, Guglielmino and Guglielmino (2011) showed the positive relationship between societies that favour individualism over collectivism and the extent of self-directed learning. Similarly, Frambach et al. (2012) indicated that self-directed learning is related to cultural as well as educational backgrounds. In their study comparing students from three cultures, they found that students from non-western cultures expressed "feelings of uncertainty about the independence required in self-directed learning, a focus on tradition that impeded the uptake of a new approach to learning, a dependence on hierarchical sources rather than oneself or one's motivation to learn." (Frambach et al., 2012, p. 744). Other factors such as a teacher-centred secondary education and an examination oriented outlook were also cited as an example of how educational experiences may influence acceptance towards self-directed learning. Amirkhiz et al. (2013) also

showed how culture played a role in how quickly students could become self-directed in their comparison between Iranian and Malaysian culture. They concluded that the "collectivist orientation is tangibly stronger among Malaysian participants than among their Iranian counterparts" (Amirkhiz et al., 2013, p. 271) and that unsuccessful attempts to implement innovative approaches to teaching and learning could be blamed on "insensitivity to the cultural and contextual exigencies" (Amirkhiz et al., 2013, p. 276) of the learning settings.

Two learning theories – humanism and constructivism - directly support self-directedness among learners and provide insights on how teachers can develop this trait among learners. Humanistic education is largely based on the belief that "learners should have a say in what they should be learning and how they should learn it, and reflects the notion that education should be concerned with the development of autonomy in the learner" (Nunan, 1988, p. 20). Besides having a significant influence on language teaching and communicative activities (see for example Wenden, 1991), the humanistic movement also provides strong encouragement for teachers to promote learner autonomy in the classroom. In this learning theory, teachers are encouraged to show respect to the learner and value the learner; to view learning as a form of self-realization and self-actualisation; to offer learners a large number of opportunities in the decision making process, and to play the role of facilitator in the classroom. Within this learning tradition, Koçak (2003) also argued that autonomous learners should also

be taught and expected to use metacognitive strategies such as self-monitoring and self-evaluation in order to become more autonomous. In addition to humanism, constructivism is a second learning theory that supports learner centeredness. Constructivism refers to a situation where, "learners actively construct knowledge by integrating new information and experiences into what they have previously come to understand, revising and reinterpreting old knowledge in order to reconcile it with the new" (Kerka, 1997, p. 1). As this learning paradigm proposes that learning is a search for meaning, instructors can support students' learning by asking relevant questions, listening to students' needs, and creating environments that allow students to make choices that reinforce the overall goals for courses (Reeve, 2009).

The Staged Self-Directed Learning Model "proposes that learners advance through stages of increasing self-direction and that teachers can help or hinder that development" (Grow, 1991, p. 125). Grow argued that this model is based on the Situational Leadership model of Hersey and Blanchard (1988) and that progression through each stage of the model is encouraged through the use of pedagogical practices that accurately matches characteristics of self-directedness of the teacher with those of the learners.

In the four staged model, teachers who encourage self-directedness can be described as an authority or coach at the lowest level (stage 1) to a motivator or guide, a facilitator and finally a consultant or delegator at the highest level (stage 4).

Similarly, the student or learner progresses along the stages of self-directedness from being dependent to interested, involved and finally self-directed. The characteristics of both the teacher and the learner are represented in Table 1 which is taken from Grow (1991).

Table 1 also describes examples of teaching practices that would normally and most appropriately be used for each stage, ranging from coaching with immediate feedback at the lowest stage of self-directedness to internship at the highest stage.

Table 1
The staged self-directed learning model

Stage	Student	Teacher	Examples
Stage 1	Dependent	Authority, coach	Coaching with immediate feedback, Drill. Informational lecture. Overcoming deficiencies and resistance.
Stage 2	Interested	Motivator, guide	Inspiring lecture plus guided discussion. Goal-setting and learning strategies.
Stage 3	Involved	Facilitator	Discussion facilitated by teacher who participates as equal. Seminar. Group projects.
Stage 4	Self-directed	Consultant, delegator	Internship, dissertation, individual work or self-directed study-group.

Source: Grow (1991)

Grow (1991) argued that the best teaching-learning situation that could promote self-directed learning was when there was a match between the student and teacher characteristics as indicated at each stage. Hence, a dependent student at stage 1 can be slowly led to become more self-directed if taught by a teacher authority or coach, provided of course, if both teacher and student share the same desire regarding wanting to promote student self-directedness. The types of activities used in the classroom should similarly be appropriate for the level as indicated in Table 1. Alternatively, the biggest mismatch that hinders progression in self-directedness occurs when either a student at stage 1 is taught by a teacher with stage 4 characteristics or a student at stage 4

is being taught by a teacher with stage 1 characteristics. It is therefore apparent in this model that a teacher's characteristics as well as his actions and activities in the classroom are central to the development of self-directedness among students.

Research on the role of the teacher in promoting self-directedness has been less frequently conducted compared to those that focus on the learner. When conducted, these studies most often use interviews to obtain teacher opinions regarding self-directed learning (Hiemstra, 2013; Nasri, 2017). While instructor comments regarding self-directedness are generally positive, Hiemstra (2013) argued that classroom practice remained largely teacher led. Studies on self-directedness that employ classroom observations as data collection

techniques are therefore needed to help provide greater insight into the actual practices in the classroom, including episodes where opportunities to encourage self-directedness were either exploited or missed.

METHODS

A qualitative research design, consisting of observations and an observation checklist with observation notes was used for this study. The following sub sections describe the research context, participants, instruments, as well as data collection procedures and analysis used in the study.

Research Context and Participants

The study was conducted at a public university in Malaysia. The respondents were four English language teachers teaching an English language course that focused on academic reading comprehension skills. Each respondent was observed teaching over a two-week period during the semester. Three of the four teachers were female and while three had at least five years of teaching experience; the fourth had been a teacher for only about two years. In this study, the respondents would be referred to by pseudonyms in order to protect their identities. Their pseudonyms, however, would indicate their gender. Hence, Rose was a young novice teacher; Jasmine and Julia had both taught for more than five years at the institution, while Reza was new to the institution but had taught for several years at a different institution. All teachers were trained as English language teachers with three holding first degrees in teaching English and the forth holding a Master's degree. Their students were from the foundation programme of the university and were all required to take the class as part of their English language academic programme requirements. The students can all be considered of intermediate proficiency in the English language based on their performance on the Malaysian University English Test (MUET), which is a prerequisite entrance examination in applying for admissions into public universities and colleges. The age of the students in the study was between 18 to 19 years old. Academically, they can be considered as being above average.

Research Instruments

The researchers developed an observation checklist (see Appendix A) based on the staged levels of self-directed learning proposed by Grow (1991). This model contained four progressive levels of self-directed learning demonstrated by teachers – i.e. coaching, motivating, facilitating and delegating – and statements were written for each level of the model. Instruments used in other studies on self-directed learning such as the Learner Autonomy Readiness Instrument (LARI) from Koçak (2003); Self-Rating Scales of Self-Directed Learning (SRSSDL) from Williamson (2007); Self-Directed Learning Readiness Scale (SDLRS) from Stewart (2007) and Yan (2007) were also referred to in order to finalize the list of statements eventually used in the checklist. The observation

checklist contained 22 statements that described teacher actions that represented the four stages of self-directed learning with 6 statements each for the first two stages (coaching and motivating) and 5 statements each for the other two stages (facilitating and delegating). The checklist was used to indicate whether or not the teachers demonstrated the actions in their teaching as described in the statements. A third option to indicate that the actions were only partially done was also included. Description of other forms of teacher action that reflected each stage was also allowed and overall comments could also be made by researchers in the observation checklist. In order to ensure a degree of reliability among the four observers, prior to the actual observations in the study, the researchers used the checklist when observing a teacher and later discussed how they each completed the checklist.

Data Collection Procedure and Data Analysis

Researchers were non-participant observers during the lessons and sat at the back of the classroom to complete the observation checklist and take relevant notes during the lesson. Three observations of each teacher were conducted over a period of 10 days with each observation lasting approximately 30 minutes. Of special interest was whether the statements that described practice reflecting each stage of the Staged Self-Directed Learning model were observed during the lessons. The number of statements for each stage and each teacher that were recorded as Y (for present), N (absent), and P (partially present) were then counted and tabulated. Comments regarding teacher practice made by the four observers were also recorded in order to note and provide examples of how self-directedness was encouraged in the classroom or how the teachers failed to exploit opportunities to encourage self-directedness among their students.

RESULTS AND DISCUSSSION

The results of the study are provided and discussed in the following three sub-sections that correspond to the research questions posed at the beginning of this paper.

Responses to the Statements in the Check-List

The results based on the observation checklist are presented in Table 2.

The results in Table 2 are interesting in several ways. Firstly, it can be observed that the actions that were most often observed were those that characterized the coaching characteristic (59 observations), followed by the motivating (29), facilitating (19) and delegating (2) characteristics of teachers. This observation corresponds to the four stages in the Staged Self-Directed Learning model as it should be expected that more actions in the early stage of model would be observed compared to the fourth and final stage of delegating. Thus, the results seem to validate the notion of a progressive or staged development in Self-Directed Learning.

Secondly, the frequency of affirmative responses to statements changes over the period of the three observations (O1, O2 and

Table 2
Responses to statements according to stage and observation

	Respondent		1. Coaching			2. Motivating			3. Facilitating			4. Delegating		
			Y	P	N	Y	P	N	Y	P	N	Y	P	N
1	Rose	O1	5	0	1	4	2	0	3	2	0	0	3	2
		O2	6	0	0	4	1	1	2	1	2	0	3	2
		O3	6	0	0	1	4	1	4	0	1	0	1	4
2	Jasmine	O1	4	1	1	4	0	2	1	3	1	0	0	5
		O2	4	1	1	2	0	4	1	1	3	0	0	5
		O3	3	1	2	2	0	4	2	0	3	0	0	5
3	Julia	O1	4	0	1	0	2	4	1	0	4	0	0	5
		O2	5	0	0	1	2	3	0	0	5	0	1	4
		O3	4	1	1	1	2	2	2	0	3	0	1	4
4	Reza	O1	6	0	0	2	0	4	1	0	4	0	0	5
		O2	6	0	0	4	0	2	1	0	4	0	0	5
		O3	6	0	0	4	0	2	1	0	4	2	0	3
	Total		59	4	7	29	13	29	19	7	34	2	9	49

Y = Yes, P = Partially, N = No, O1, O2 and O3 refer to observations 1, 2, and 3 respectively.

O3). It is interesting to note that, over the three observations, the affirmative responses for the first two stages – i.e. the coaching and motivating stages - generally decrease over time, while there is a slight progressive increase in these responses for the third and fourth stages. Both these observations seem to indicate that the teachers begin the early part of the semester with lower staged (stage 1 and stage 2) practices in self-directedness but gradually increase the use of practices that reflect the latter stages (stages 3 and 4) as the semester progresses.

Thirdly, the observed use of the self-directed practices of at least 3 of the 4 stages by the teachers may indicate that it may not be accurate to describe teachers as belonging singularly to one stage or another. Rather, these stages represent some form of hierarchy and hence, a teacher who exhibits the characteristics of a facilitator can also

use practices that reflect the coach (stage 1) and the motivator (stage 2). However, this may not occur in reverse with a teacher-coach at stage 1 may not necessarily being able to use the practices of the motivator, the facilitator and the delegator at the higher stages of the model.

Finally, individual teacher characteristics also seem to have some influence on the kind of teaching practice used. For example, the two younger teachers, Rose and Reza, were observed to use coaching practices more often than their more experienced counterparts. This may be an indication of their need to exert some form of authority or classroom presence through a more teacher led approach especially in the early years of their teaching career. However, it is also refreshing to note that the same younger teachers are also more keen to attempt delegation practices (stage 4) and it may be

possible to attribute this to greater exposure to this concept, having graduated more recently with teaching degrees compared to their more experienced counterparts.

Examples of Teacher Actions that Encouraged Self-Directedness

This study also attempted to document instances of teaching where learner self-directedness was encouraged according to the four stages of the Staged Self-Directed Learning model. Observation of these instances is reported here together with the stage (C for coaching, M for motivating, F for facilitating, and D for delegating) and statement number as in the observation checklist. For example C3 would refer to statement 3 in the coaching stage and M4 would refer to statement 4 in the motivating stage (please refer to Appendix A).

Coaching, the first stage of the model, yielded the most examples of teacher practice. Some of the examples of the coaching stage that were observed include providing clear-cut objectives and straightforward techniques (C2), reflected by the teacher's advice to the students to "familiarise yourself with the topic before you come to class". It is not surprising that this stage provided many examples as teachers were at the very least expected to give students some advice on how to learn.

In the second stage, teacher practices are reflected through statements made by the teacher as well as observations made of the teachers' actions. In M1, for example, the teacher is recorded as asking the students: "Why is taking notes important and what is

it for?" Similarly, the use of jokes and praise (M2), training the students to use basic self-directed learning techniques in M3 (e.g. Did you predict the content of the text before you read), and use of the teacher's own personal experience in learning in M6 (e.g. experiences with students who had problems with plagiarism) all point to teachers being familiar with the practices that represent this stage of the self-directed model. Once again, teachers should be expected to motivate the students to learn and motivating them to use learning strategies such as reflection should also be a minimum requirement to effective teaching and developing self-directedness among students.

The third, and especially the fourth, stages of the model were the least represented in the actions teachers took in their classrooms. Observations where teachers conducted some discussion based on content (F4) and teacher suggestions for students to look up resources, e.g. policy on plagiarism (F3), indicate that teachers did demonstrate characteristics of a facilitator. As for stage four (delegating), there were hardly any instances of the teachers using any of the practices. The only two observed were by Reza in his third class lesson. These two stages represent a "letting go" of teacher authority and centrality in the classroom and unsurprisingly represent the most difficult aspect of encouraging self-directedness for teachers. Some of the overall remarks of the observers also reflected how the teachers maintained a close control of the proceedings in the classroom. One observer commented that "the lesson was teacher-led"

and that "much of the interaction revolves around the teacher eliciting responses from students". Another observer noted that "largely, how the students should learn is based on what the teachers say".

Missed Opportunities in Encouraging Self-Directedness

The observations also uncovered several instances when the teacher could have encouraged self-directedness but missed the opportunity to do so. In one instance, as an example, when one of the teachers was going through the answers for a previously assigned take-home task, she announced to the class "This is the answer. Anybody got anything different? What did you get?" In this particular situation, the researcher present in the classroom felt that the teacher missed the opportunity to be a delegator as she could have begun her review by asking who had the answer, react to any response given, followed only then by offering the correct answer. Subsequently, she could have then asked her students whether they agreed with the answer and discussed their responses. This tendency to use answers to questions as the basis of class discussion was seen as a general approach taken by at least one of the teachers. This approach, however, tends to preclude discussion of student answers as students will wait for the answer to be given by the teachers and will be discouraged from volunteering their own answers.

The kind of student-teacher interaction in the classroom is also a good indicator of how much attention the teachers give

to the development of their students' self-directedness. As mentioned earlier, the lessons observed were largely teacher-directed. While this may not necessarily be detrimental to student directedness, the kind of student-teacher interaction in the classrooms observed did not encourage student self-directedness. Two situations reflect this situation. Firstly, one of the researchers observed how the teacher tends to go straight to the teaching point or points and does not discuss the content before leading up to these points. Once again, just like when the teachers focus directly on the answers without attempting to first elicit student answers, going straight to the teaching points pre-empts any kind of student discussion. The other instance is seen in how there is a lack of confirmation checks on the part of the teacher. Teacher explanation was observed to be uninterrupted and continuous with little evidence of the teacher checking on student comprehension, let alone allowing for student involvement.

In another instance, a teacher was observed to have asked her students how many of them used note cards to take notes. The researcher-observer noted that while this was a good way to make students aware of their learning strategies, the teacher missed the opportunity to dwell deeper into the issue and encourage the students to reflect into their own learning by asking them whether they thought that using note cards was an effective strategy and give reasons why they thought so. By only asking how many students used note cards without eliciting their responses

regarding the effectiveness of this learning strategy, the teacher seems to show that he was more interested in the quantity of those who used the strategy but not the quality or effectiveness of the strategy.

Clearly, the teachers who were observed did not demonstrate that they were at stage 4, i.e. delegators, of the Staged Self Directed Learning model. As indicated earlier in Table 2, only twice were actions associated with delegators observed. It is also noted that, generally, the approach taken by the teachers was to show the expected answers and then discuss the answers based on the expected answers. They could have asked for student responses first and then only offer the expected answers. Largely, therefore, it can be implied that what the students learn in the classroom is almost completely determined by the teacher. Even during revision, input comes from the teacher rather than the students. Similarly, predictions during pre-activity were not encouraged.

One reason that this could be occurring is that much of the interaction in the classroom revolves around the class assignment and the teachers eliciting responses from students related to the assignment. Teachers tend to go immediately to the teaching and not discuss student opinions of the content. From a language teaching and learning perspective, there was a lack of spontaneity and natural conversation in the classroom. Interaction that elicits student personal response and opinion can encourage greater student self-directedness. For example, there could have been more confirmatory

checks made by the teacher – e.g. Do you understand this? How and why did this happen? – used in the classroom. In addition to discouraging self-directedness, this classroom situation is also detrimental to language learning which requires exposure to natural language input and interaction just as much as, if not more than, focused and direct instruction by the teacher.

CONCLUSION

The role of the teacher in encouraging self-directed learning cannot be over-emphasised. This is especially so in contexts where classrooms have traditionally been teacher fronted as is in the case of many Asian cultures. The results of a study by Xuan (2017) indicate that learners hold high intrinsic motivation in self-directed learning, yet lack the techniques, especially language learning strategies, to learn autonomously throughout the English learning process. Hence the teacher should be well equipped to guide the students towards becoming self-directed learners, including training them to become more familiar with the use of appropriate language learning strategies. Some notable instructional learner-centred activities that can be conducted to promote the use and development of metacognitive strategies are peer review, reflective learning journals, analysis and synthesis (Shien & Akiko, 2009). Certainly, the opportunities to further self-directed learning among students in the classroom should not be missed or neglected. Teachers must be more sensitive to opportunities to encourage self-directed learning. This is especially so in a

passive learning culture where traditionally, students do not express a strong inquisitive nature and are generally accepting of what is taught while in the classroom. As Adler et al. (2000) noted from his study, educator respondents stated that a major impediment to learner-centred approaches included learning culture, especially among Asian students who they saw as being less actively involved in their learning. The observation data, however, present some differences in the practices of teachers according to their years of experience, with younger teachers seemingly more willing to attempt practices that encourage self-directedness. Further studies could examine teaching trends related to self-directedness based on these differences using other techniques such as interviews and longitudinal case studies.

The observation data also indicated that although there were instances where teachers encouraged self-directedness among the learners, the data also revealed that the lessons were generally still teacher-centred. The majority of class time involved teachers speaking and instructing the students as to what should be done and how it should be done. One possible reason for this situation could be the teachers' lack of exposure to SDL strategies. As the teachers were observed to be dependent on written materials such as the assignments and textbooks, it is suggested that such strategies be incorporated into these textbooks so that they are constantly reminded of the need to prioritize learner autonomous development. Another reason may be the time they are given to teach as well as the curriculum

they are expected to teach. Teachers who are concerned with the limited amount of time, fast pace of the foundation studies programme and the amount of language materials mandated in the programme, might not be able to render sufficient and effective monitoring, feedback and attention to the development of students' SDL, nor ensure positive student experiences in reflection, self-evaluation and critical thinking skills (Shien & Akiko, 2009). Hiemstra (2013) noted the same phenomenon as he cited colleagues who told him that the short time frame of the term or semester was a factor in not giving attention to SDL. Some instructors in his study express a belief in developing SDL but do not wish to sacrifice the routines and habits they are familiar with through a change of approach. Other reasons include the lack of trust in the students' abilities and the "sense of identity" normally associated with instructors teaching at higher institutions.

This study has shown that although the practices teachers use in the classrooms are mostly from the first two stages of self-directed learning, some practices do come from the higher stages, especially the third stage of facilitating. The number of practices from these three stages also increases as the semester progresses. Both these observations are rather encouraging as they reflect that teachers seem to have some inclination towards encouraging self-directedness among their students. Nevertheless, if SDL is to become a common learning approach in the Malaysian education system, teachers must not only have the correct mind-set

for the classroom, focusing on creating opportunities as well as taking every opportunity to encourage self-directedness. This may require a support system that trains and encourages the teachers to implement a student centred teaching pedagogy. This step is not uncommon as some professional bodies such as the Liaison Committee for Medical Education [LCME] (2018) in the United States have endorsed SDL as a requirement of the curriculum in their discipline in their Standards for Accreditation. Clearly, teachers may need a change in their perspective towards teaching and, possibly, greater preparedness to adopt a complete change in their teaching practice including relinquishing some of the authority they normally wield in more teacher-centred classrooms.

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APPENIDX

Instructional Observation Checklist (Grow, 1991)

Date:_____ Week( ) Observation 1 / 2 / 3 Observer: _____

Title of the Lesson:_____ Language instructor evaluated:_____

	Staged Self-Directed Learning (SSDL) Model	Response			Comments
	Categories	Y	P	N	
Stage 1: Coaching					
C1	Prescribe definite deadlines for activities.				
C2	Prescribe clear-cut objectives and straightforward techniques.				
C3	Assign structured activities and drills.				
C4	Mainly one-way and clear communication.				
C5	Assess classroom activities /drills objectively.				
C6	Provide immediate, frequent and task-oriented feedback.				
	Others:				
Stage 2: Motivating					
M1	Give clear explanations of why the skills are important and how the assignments help to attain them.				
M2	Use highly supportive approach and focuses on personal interaction. E.g. praises, encouraging feedback				
M3	Train students in basic self-directed learning skills such as goal setting.				
M4	Match teaching students' interest to the subject.				
M5	Two-way communication e.g. Teacher-led discussion, demonstration by teacher followed by practice				
M6	Shares personal experiences on how skills were learned				
	Others:				
Stage 3: Facilitating					
F1	Assign open-ended, student developed group projects without close supervision				
F2	Use learning contracts, written criteria, evaluation checklist tohelp students monitor their own progress				
F3	Refers students to books and / or on-line resources that are relevant to the classroom lesson.				
F4	Creates opportunities for students to *use* the language skills meaningfully and in context				
F5	Provides feedback to students on ways to improve their work (n/b: not focus on correction and accuracy but meaning)				
	Others:				

Stage 4: Delegating					
D1	Discusses with students how they think they should be assessed				
D2	Encourages students to express how they have progressed				
D3	Encourages students to cooperate and consult with each other (n/b: not just to discuss in groups)				
D4	Encourages students to reflect on what and how they have learned in the lesson				
D5	Elicits from students how they prefer to learn				
	Others:				

Development of a Metacognition Scale in Learning Mathematics for Senior High School Students

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ABSTRACT

The purpose of the study was to develop a scale of metacognition in mathematics for senior high school students using a confirmatory approach. There were 250 participants of tenth grade students from two senior high schools in Jakarta, Indonesia. The sample of the study was selected through simple random sampling technique. Data analysis was done by using the Exploratory Factor Analysis (EFA) and Confirmatory Factor Analysis (CFA). The study revealed that (1) 52 scale items were validated by a panel of experts with reliability coefficient among panellists that amounted to 0.830; (2) after piloting the metacognition scale with 250 students, 46 items were found with the validity range (0.197 to 0.804) and the reliability coefficient of 0.938; (3) Next, by using EFA analysis revealed three factors were found which were tested by CFA and yielded: constructs' reliability of the self-regulation skills of 0.990, the type of knowledge to 0.980, and the executive control skills of 0.982. The final measurement model comprised 46 items and three factor were more appropriate as a scale for measuring the students' metacognition in mathematics on senior high school level.

Keywords: Confirmatory factor analysis, construct validity, metacognition, reliability

INTRODUCTION

Metacognition plays an important role in raising awareness of learning and in the development of students' mathematical thinking skills. In particular, the mathematical habit enables students to develop both mathematical thinking and disposition. According to NCTM (2000), students' mathematical disposition are manifested in

the confidence in using mathematics, high expectations for one's self, paying attention in class, persistence in problem solving, a high level curiosity, the desire and ability to communicate one's opinion with others and metacognition.

In relation to the instruction, there are some studies show that there is significant relationship between academic success and metacognition. Students who have high metacognitive skill perform better in mathematics lessons than students who have low metacognitive skill (Boekaerts, 1997; Jaafar & Ayub, 2010; Özsoy, 2010).

Furthermore, students' metacogntion on a mathematics assignment refers to they start thinking what they know and how they are applying it before they start the assignment itself. Metacognitively speaking, a myriad of knowledge or abilities alone is not enough without having the ability to make appropriate decisions, organize, control, and use them in problem solving. Therefore, the ability of metacognition can be classified as involving executive skills, managerial skills, and self-control skills with regard to the learning of mathematics.

There are widely differing views of 'metacognition'. However, generally, it emphasizes the importance of the two components which consist of knowledge about cognition and the regulation of cognition (Boekaerts, 1997; Fernandez-Duque et al., 2000; Flavell, 1976; Sperling et al., 2004). The concept of metacognition refers to the level of the learners' knowledge about their own memories, cognitive monitoring, and regulation of cognition.

Moreover, the regulation of cognition refers to how well the students could regulate their own learning system (i.e., matching to goal setting, carrying-out strategies, and awareness of their problem faced). Schoenfeld (1992) argued that organizational skills and control and monitoring was of paramount importance in the process of resolving the problem. Since they are so important within the realm of the metacognitive, these processes should be emphasized by teachers in teaching and learning activities which use the problem-solving approach. The term self-regulation, monitoring, and control are covered within the definition of metacognition.

By developing metacognition skills, students know how to recognize the weaknesses and shortcomings in the process of thinking, revealing what people think, restoring the efforts that they have made, and deciding which element is understandable and not understandable. The more complete concept relating to metacognition is made clear by Marzano et al. (1988) who elucidated that metacognition was a skill that could be organized into multiple domains, namely: (1) self-organization (self-regulation skills), including a commitment to academic tasks, positive attitude of students toward academic work, and controlling attention to the needs of academic work, (2) the use of the kinds of knowledge (types of knowledge) which include; declarative knowledge, procedural, and conditional knowledge, and (3) control of the implementation (executive control skills), which include: skills to evaluate, plan and monitor the process skills.

Furthermore, Nitko (2001), using a 5-point scale to assess metacognition, argued that the use of sub categories of metacognition skills, could be realized by writing a statement that described the process of thinking, belief, or awareness of the types of special events. Assessment consists of two parts, covering the task itself and the criteria for assessing the student performance known as a rubric.

There were some previous studies which focusess on developed scale for measuring metacognitive was so called Metacognitive Awareness Inventory (MAI) (Schraw & Dennison, 1994; Sperling et al., 2002, 2004). The MAI was used as the basis to developing instrument which was self-report to measure metacognitive ability of students in mathematics lessons (Desoete, 2007; Özcan, 2010; Panaoura & Philippou, 2003). The studies above developed only two dimensions of metacognition on the primary school level, namely knowledge of cognition and regulation of cognition.

However, the current study develops metacognition scale with three dimensions in learning mathematics on the senior high school level. This metacognition scale is a prominent thing to be understood and it plays a significant role in instead of on supporting the students' performance in learning mathematics. Therefore, the aim of this study is to examine the construct validity of metacognition scale which comprises of three dimensions, namely self-regulation skill, type of knowledge, and executive control skill based on theory of Marzano et al. (1988) using confirmatory factor analysis.

METHODS

Participants

There were 250 students (female=152, male=98) at the tenth grades of two senior high schools in Jakarta who participated in the study. Conformity of the items with dimensions and indicators, were assessed by the 13 (thirteen) expert panelists. The expert panelists consisted of three high school Math teachers who had experience teaching mathematics for more than 10 years and have been teaching high school at the tenth grades, three psychology professors, five lecturers in mathematics, as well as each 1 expert in linguistics and the researcher who participated as an expert to judge contruct validity of the metacognition scale (e.g., blue print, face, content, dan items).

Measures

Construct validity assessment was done by using the "Quantification of Content Validity" developed by Gregory (2004, p. 99). The scale used, 5-point Likert scale ranging from 1 (very inappropriate), 2 (inappropriate), 3 (less appropriate), 4 (appropriate), and 5 (very appropriate). Thus, the higher scores were given by the panelists indicated the more appropriate items measure the indicator of metacognition on mathematical tasks.

Determination of construct validity based on an assessment of panelists using content validity index formula accuracy/constructs, are as follows:

$$V = \frac{\sum n_i |i - l_0|}{N(c-1)} \quad \text{(Aiken, 1996, p. 91)}$$

Where

V = content validity index

n = count of point scale rater assessment results

i = point scale to-i (i = 1, 2, 3, 4, 5)

l_0 = lowest scale point

N = number of rater (expert)

c = number of points scale

Based on the results of assessment by the expert panellists using the index validity (V), it was revealed that of the 60 item metacognition scale, 52 were considered as valid (as appropriate), and 8 as invalid (dropped), i.e., the item numbers: 9, 16, 22, 29, 36, 45, 51, and 58. V index values from 52 valid items which were recommended by the expert panelists as the appropriate items to measure the three factors of metacognition which ranging (0,65 – 0,90) with the reliability of inter-panellist at .830. Furthermore, the scale weight value was determined empirically using 250 high school students of the tenth grades in Jakarta as the respondents. The method used was Method of Successive Interval (MSI). It was a method to converse the items on ordinal scale to interval scale. Results of the study revealed that of the 52 items measuring metacognition obtained 49 item instrument that can be weighted in the continuum scale 1, 2, 3, 4, and 5. Each item was measured on a 5-point Likert scale ranging from 1=never, 2=very seldom, 3=seldom, 4 = often and 5=very often. Examples of items are ''Before deciding to use one of Math formulas, argument, or definition in finishing Math task, I asked to myself, which idea supports to finishing the test,''

and ''In solving Math task, I double check what part has been well mastered or has not yet, and on what part I should pay more attention or concentration.'' Thus, the higher scores of participants indicate the higher metacognition on mathematical tasks.

Furthermore, using product moment correlation, on the 49-item scale metacognition, there were 46 valid items had a validity range (0.197 to 0.804), as well as Cronbach's Alpha coefficient of 0.938. The second order path diagram of metacognition on mathematical task comprises of 46 items and three factors, namely self regulation skill (SRS), type of cognitive (TK), and executive control skill (ECS). Self regulation skill contained 16 items, type of cognitive consisted of 12 items, and executive control comprised 18 items.

Procedure

Procedure of development of the item using the stages according Djaali and Mulyono (2008) as follows: (1) the construct was based on the theory of variable metacognition, (2) developing the dimensions and indicators of variables, (3) making a blue print, (4) establishing the range parameter, (5) writing items, whether positive and negative, (6) validation through examination of experts, (7) revisions based on expert advice, (8) limited replication for testing purposes, (9) the process of empirical validation, through piloting items, (10) the analysis of items with EFA and CFA, (11) calculation of the reliability coefficient, and (12) compiling the accepted items for the final instrument.

Generally, the procedure of the development of metacognition scale in this study consists of three stages, namely define, design, and develop. The design of the development of metacognition scale can be presented in Figure 1 below.
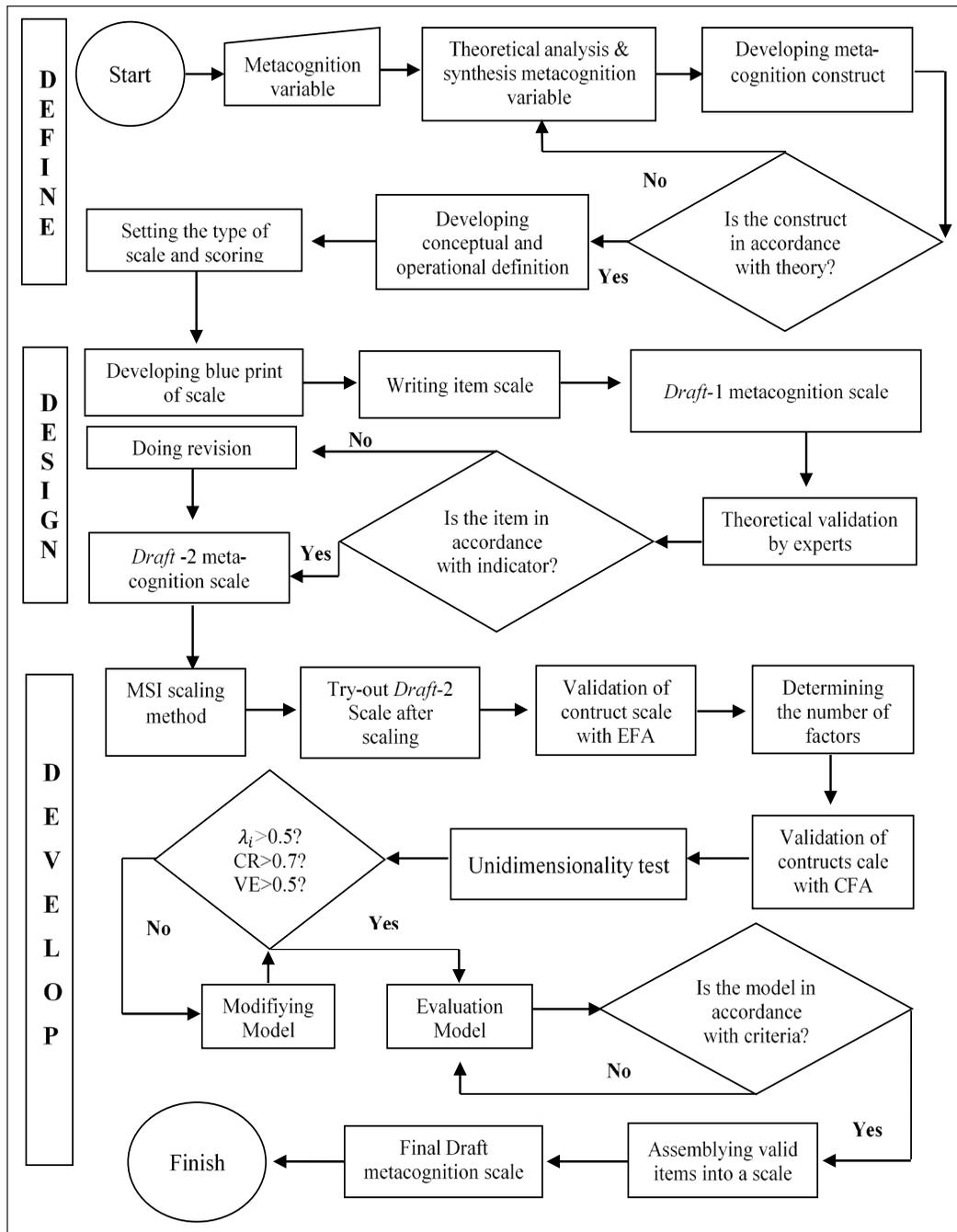
Figure 1. The developmental design of metacognition scale

Based on the design procedure as seen in Figure 1, it was described as follow: *The define stage* started from analyzing and synthesizing various thoeries to formulate construct, dimension, and indicator of the metacognition variable. For example, the metacognition dimension, namely self-regulation skills, types of knowledge, and executive control skills. Furthermore as the example from the indicators of metacognition dimension as mentioned above, they are commitment to an academic task, positve attitude toward an academic task, controlling attention to the requirements of an academic task, declarative knowledge, procedural knowledge, conditional knowledge, evaluation skill, planning skill, and regulation process skill. Once the construct has been appropriate with the theory, then the conceptual definitions of metacognition variables are developed. The conceptual definition of metacognition that is used in this research is: "an awareness of the student's ability about their own thought processes, and the cognitive monitoring mechanisms during the completion of math tasks." The next step is to choose the type of scale, i.e., Likert scale with score range (1-5).

The design stage began with developing the blue print of metacognition, and then followed by writing the item scale to get the scale draft-1. The draft-1 is then validated by expert panelists using a method proposed by Aiken (1996). Expert panelists were required to assess the accuracy of items in measuring the indicators by applying the rating scale: 1 (very inappropriate), 2 (inappropriate), 3 (less appropriate), 4 (appropriate), and 5 (very appropriate). In addition, the panelists also provided corrective records to each item. Then, the items were revised according to the panelists' inputs to get the scale draft-2.

The develop stage started with the development of scale using *Method of Successive Interval* (MSI) based on the *draft*-2 to convert the ordinal scale into a continuum scale with involving participants of 250 tenth-grade students of senior high school. For example, an item "I do not do my math tasks which given by teacher, if I follow another activity at school" with 5 scales, namely: never=5; very seldom=4; seldom=3; often=2; and very often=1, are converted using the MSI into never=4.72; very seldom=3.52; seldom=2.51; often=1.69; and very often =1.00. Furthermore, the draft-2 in which has been converted then analyzed by using EFA approach to determine the number of the factors, and obtained three factors. The next step was a unidimensional test to assess the accuracy of the item in measuring the construct or factor using CFA approach and obtained contruct reliability. The next step was evaluating the fit model to decribe whether the items which measuring the construct had fit with data. This evaluation was to ensure that the construct measuring item was correct or in accordance with the data. All valid items were assembled into the final metacognition scale instrument.

Data Analysis

To determine the number of construct of metacognition variable, exploratory factor analysis (EFA) was used. Furthermore, to determine the validity of each construct of confirmatory factor analysis (CFA) was used. The both EFA and CFA analysis technique were subsequently used to determine the factors that make up the construct of the metacognition scale. Item factors obtained from EFA by using SPSS 23 then were tested with CFA by using Lisrel 88.00. Data were entered and screened using SPSS 23. Data were checked for missing data, outliers and multivariate normality prior to the CFA. In the present data analysis, the multivariate skewedness and a kurtosis test were used to test the assumption of multivariate normality.

CFA is considered done empirically with a valid indicator to measure the construct if the estimated standardized loading factor (λ) > 0.5 or have a statistical value of the t-test with p-value <0.05. An indicator is said to be dominant as forming constructs if it has $\lambda^2 \geq 0.70$. Determination of Composite Reliability is based on internal consistency composite indicators measuring the construct. In general a construct, unidimensional, precise, and consistent can be measured by indicators /items, if Estimated coefficient $CR \geq 0.70$ and $VE \geq 0.50$ (Hair et al., 2010). Calculations Construct Reliability (CR) and Variance Extracted (VE) were determined by using the formula:

$$CR_i = \frac{\left(\sum_{i=1}^{k} \lambda_i\right)^2}{\left(\sum_{i=1}^{k} \lambda_i\right)^2 + \left(\sum_{i=1}^{k} \theta_i\right)}$$

and

$$VE_i = \frac{\left(\sum_{i=1}^{k} \lambda_i^2\right)}{k}$$

Where:

λ_i = loading factor to indicator to-i, θ_i = error variance indicator to-i

k = number of indicator in the model

According to Hair et al. (2010), using 4—5 criteria *goodness of fit* were regarded adequately to assess the feasibility of a model. These criteria mensioned should represent in the *absolut fit indices*, *incremental fit indices*, and *parsimony fit indices*. Absolute fit indices, covers recommended fit values: Chi-Square (p) > 0.05, the root mean square error of approximation (RMSEA)< 0.08, and goodness of fit index (GFI)> 0.90. Incremental fit indices covers: adjusted goodness of fit (AGFI)> 0.90, normal fit index (NFI)> 0.95. comparative fit index (CFI)> 0.90, incremental fit index (IFI)> 0.90, relative fit index (RFI)> 0.90. Parsimony fit indices covers: expected cross validation index (ECVI)-default < ECVI saturated and ECVI independence, Akaike's information criterion (AIC) default < AIC saturated and AIC independence, Consistent Akaike's information criterion (CAIC) default< CAIC saturated and CAIC independence, and parsimonious goodness of fit index (PGFI)> 0.60.

RESULTS

Exploratory Factor Analysis (EFA)

Determining the number from 46-item scales using EFA. Test Result of adequate factors by EFA in Table 1.

Table 1
KMO and Bartlett's Test

Kaiser-Meyer-Olkin Measure (KMO) of Sampling Adequacy		0.934
Bartlett's Test of Sphericity	Approx. Chi-Square	5915.989
	df	1035
	Sig.	0.000

Based on analysis result as seen in Table 1, it shows that the feasibility test samples with obtained figures KMO of 0.934 which means very good , the figure was also above 0.5 and Bartlett's significance test $\chi^2 =$ 5915.989 the degree of freedom (df) = 1035 far below 0.05, then H_0 is rejected or an item that is already adequate for factor analysis.

The number of factors are formed from 46-item scale in Table 2.

Table 2
Factor variance explanation percentages of metacognition scale

Factor	Initial Eigen-values		
	Total	% of Variance	Cumulative %
1	42.275	91.902	91.902
2	2.265	4.924	96.826
3	1.018	2.213	99.039

Based on analysis result as seen in Table 2, it shows that through EFA, there are three factors formed by Eigen value above 1.0. All three of these factors turned out to have total variance of 99.039% or greater than 65% as the criterion, thus empirically, is formed of three factors or dimensions that measure metacognition scale.

Confirmatory Factor Analysis (CFA)

CFA analysis techniques aim to re-estimate the accuracy of the items scale that measure factors that have been prepared based on a theoretical construct. CFA analysis technique used was Structural Equation Modeling (SEM) measurement model. Through analysis of the CFA, factors estimated were: (1) self-regulation skill, (2) types of knowledge, and (3) executive control skills. Summary results of the estimation, in Table 3.

The results of the analysis in Table 3, shows that all the standardized factor loadings are much larger than the recommended minimum criteria of 0.50. This means that every item of factors such as for self-regulation skills, types of knowledge and executive control skills has excellent validity and as the main factor in determing metacognition scale. Futhermore, it shows that the estimation of reliability metacognition scale gives a value of 0.984, or very good categorized and greater than the minimum criteria of 0.70.

Table 3
Standardized factor loading λ, construct reliability, and variance extracted

Factor and items	Standardized Factor Loading (λ)	Composite Reliability (CR)	Variance Extracted (VE)
Self regulation skill	**0,999**		
SRS1	0.983		
SRS2	0.994		
SRS3	0.994		
SRS4	0.997		
SRS5	0.991		
SRS6	0.997		
SRS7	0.999		
SRS8	0.997	0.990	0.989
SRS9	0.997		
SRS10	0.999		
SRS11	0.994		
SRS12	0.994		
SRS13	0.986		
SRS14	0.999		
SRS15	0.999		
SRS16	0.999		
Types of knowledge	**0.885**		
TK17	0.974		
TK18	0.992		
TK19	0.999		
TK20	0.988		
TK21	0.992		
TK22	0.984	0.980	0.979
TK23	0.992		
TK24	0.996		
TK25	0.999		
TK26	0.973		
TK27	0.996		
TK28	0.992		
Executive control skills	**0.932**		
ECS29	1.000		
ECS30	1.000		
ECS31	0.992		
ECS32	0.994		
ECS33	0.992		
ECS34	1.000		
ECS35	0.997		
ECS36	0.994		
ECS37	0.997	0.982	0.993
ECS38	0.997		
ECS39	0.997		
ECS40	1.000		
ECS41	0.997		
ECS42	0.997		
ECS43	0.997		
ECS44	1.000		
ECS45	0.997		
ECS46	0.989		
Total	-	0,984	0,988

Model Fit

Testing suitability models aimed at studying how precise the measurement model proposed could fit the research data. The results of the analysis relating to the size of the model fit are in Table 4.

The analysis in Table 4, shows that except GFI and AGFI, all indicators for Goodness of Fit were fulfilled. This means that the test results scale conceptual model of metacognition in mathematics learning of the proposed turned out to fit or match the data.

Table 4
Summary of fit model indices

Goodness of Fit	Fit Indicators	Result	Judge
Chi-Square (χ^2)	p > 0.05	p = 0.999	fulfilled
RMSEA	< 0.05	0.000	Fulfilled
GFI	> 0.90	0.872	Unfulfilled
AGFI	> 0.90	0.860	Unfulfilled
NFI	> 0.90	0.995	Fulfilled
CFI	> 0.90	1.000	Fulfilled
IFI	> 0.90	1.000	Fulfilled
RFI	> 0.90	0.995	Fulfilled
ECVI (a)		4.719	
ECVI for Saturated Model (b)	(a) < (b)<(c)	8.683	fulfilled
ECVI for Independence Model(c)		872.305	
Model AIC (d)		1030.487	
Saturated AIC (e)	(d) < (e) < (f)	2162.000	fulfilled
Independence AIC (f)		217204.006	
Model CAIC (g)		1455.504	
Saturated CAIC (h)	(g) < (h) < (i)	7049.699	fulfilled
Independence CAIC (i)		217411.993	
PGFI	> 0.6	0.796	fulfilled

DISCUSSION

Using self-report instruments, think aloud protokols, interview, and teacher questionnaires to measured metacognition have many limitations and difficulties in application and not the actual performance (Desoete, 2007; Sperling et al., 2002). This study was aimed at testing the construct validity of metacognition scale. Through the results from EFA and CFA, this study shows there are three factors formed, namely self-regulation skills, types of knowledge, and executive control skills. Furthermore, this study suggests that the three factors have very good internal consistency, amounting to 0.990; 0.980; 0.982 respectively. The achievement of an internal consistency through student engagement is in compliance with expert assessment results that also establish three

factors of construct metacognition, in which the reliability of the inter-expert-panelist is in a good category. Thus, all items to measure the construct metacognition recommended by the expert-panelists, are empirically valid through the engagement of participant students.

Self-regulation Skills

The metacognition scale items in the self-regulation skill dimension consist of student awareness to control the commitment, attitude, and attention to the task of Math subjects. The item scale of the *commitment to an academic task* contains the decision-making by students to complete the task, whether the task is pleasant or unpleasant. An example of the item is "Although a math assignment given by the teacher is not fun, I still try to do it my best." The *positive attitude toward an academic task* contains the views related to the independence in completing the tasks. The essence of this view is that the successful completion of the task lies in the hard work of each, not on the luck, talent, or the help of others. Example of the item is "I am pleased to solve the mathematics tests that are given by the teacher in different ways." Furthermore, the scale item of the *controlling of attention to the requirements of an academic task* is the awareness of the students to adjust their focus and attention to the objectives of the task completion. Example of the item is "When I am reading a mathematics book, I just focus on the important parts that are related to the mathematics tasks."

Types of Knowledge

Metacognition scale items in the dimensions of types of knowledge consist of three types of knowledge that students use to respond to the mathematics tasks, namely declarative, procedural, and conditional knowledge. The *declarative knowledge* scale item is the knowledge that students use to accomplish the mathematics tasks, eg factual information needed, understand what must be done, and what will be doing. Example of the item is "I firstly solve the easier questions in doing the mathematics tests." The items of the *procedural knowledge* scale related to the use of appropriate strategies to accomplish the task. Example of the item is "In order to be easier to understand the story type of the mathematics test, I start with posing questions: what is known? What is asked? and what data must be fulfilled?" Furthermore, the *conditional knowledge* scale item related to student awareness to find the reasons why certain procedures, strategies, or conditions are more appropriate to use. Example of an unfavorable item is "I confuse choosing formula/method to be used in solving the mathematics tests."

Executive Control Skills

The metacognition scale items on the dimensions of executive control skills include the skills of evaluating skill, planning, and regulation processes skill. Item *evaluation skill* is the students' assessment of the knowledge, identification of materials needed, and assessing the purpose of the tasks. Example of the item

is "After finishing mathematics tasks, I asked to myself what I have learnt from the tasks." *Planning skills* are used when students deliberately choose the procedures and strategies before and during the task. Example of the item is "In finishing the mathematics tests, I made some ways, then choosing the best one." Furthermore, item *regulation processes skills* scale is the students' skill in monitoring the progress of the tasks' completion. Example of the item is "In finishing the mathematics tasks, I observe the successful part, failure part, and the part that is carefully revised."

The findings above are slighly different from Schraw and Dennison (1994) who found two factor supporting awareness metacognition, i.e., knowledge of cognition and regulation of cognition. Internal consistency of these two factors are very well, ranging from 0.88 to 0.93. The finding also different from Özcan (2010) who founded that there was one factor and 14 items as construct validtiy of the scale of young pupils' metacognitive abilities in mathematics scale in Turkish culture and the reliability was high (0.88).

The findings above are in line with Flavell (1976) theory that metacognition is knowledge or awareness of a person regarding the cognitive, for example, know the rules are relevant to the information and controlled consequently to the process which is associated to with cognitive objects in the problem solving process. Furthermore, the implications of measuring metacognition in the learning of mathematics requires metacognition strategies to facilitate students control weaknesses in learning and then fix this, the students can determine the best way of learning according to their own abilities, can solve mathematical problems, problems related to the learning process, and students can understand the extent of the success he has achieved in the study. This synergizing of metacognition in the learning process is appropriate to Du Toit and Du Toit (2013), at the eleventh grade students who found that the behavior of metacognitive corresponded to the first three stages of Polya (1956), i.e., understanding the problem, divising a plan, carrying out the plan, but did not correspond with stage-four, namely looking back. This respect resembles to Özsoy (2010), that there is significant and positive correlation between metacognition and mathematics achievement in the fifth-grade students. Furthermore, research results showed that 42% of total variance of mathematics achievement could be explained with metacognitive knowledge and skills.

The finding of this study asserts that the theory and the concept of metacognition as expressed by Marzano et al. (1988), that it is a skill that can be organized into: self-regulation skills, the use of types of knowledge, and executive control skills. This finding implies that metacognitive skills can help to identify weaknesses and deficiencies in the process of thinking mathematically, reveal what people think clearly, restore the efforts that have been made, and decide which element is understandable and not understood unidimensional, right and consistently be explained by three factors and 46 items, as conceptualized by the theory of metacognition.

CONCLUSION

The conclusions of this study are three factors that must be included in the development of a metacognation scale for mathematics high school students: (1) self regulation skill as measured by commitment to the task, positive attitude toward the task, and control of attention to the task. (2) Types of knowledge consisting of declarative knowledge, procedural, and conditional. (3) Executive control skills are measured by the skills of evaluating, planning, and regulating processes. The three factors are the main factors which determining the students' metacognition on the mathematical tasks.

Development of scale to measure metacognition in mathematics learning needs to be expanded in scope both populations, a branch of mathematics, material characteristics, approaches and strategies as well as education levels. This investigation is an important issue for future research, it might be possible to elaborate and use a different, such as combining aspects of the disposition and skill of metacognition. Moreover, the findings of this study have a number of important implications for future practice, especially in developing instrument metacognition for assessing mathematics learning. It is suggested that training in metacognitive learning and assessment models for teacher in secondary education can be taken into consideration. It may be important to promote the importance of metacognition for supporting student learning.

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The Use of the Fair Value Accounting Method for Investment Property in Indonesia

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ABSTRACT

The purpose of this research was to examine the factors that motivate companies in selecting an accounting method to record their investment properties. This study was conducted during the adoption of International Financial Reporting Standards (IFRS) in Indonesia, i.e. the enactment of Financial Accounting Standards Guidelines (*Pernyataan Standar Akuntansi Keuangan*) (PSAK) No. 13 (2015) on *Investment Property*. Research conducted on 54 companies listed on the Indonesia Stock Exchange, which reported investment property on their financial statements for the period of 2008–2011. The results were consistent with the motivation to protect creditors through the choice of more conservative accounting methods. The results indicated that it was less likely that a company with high leverage would choose the fair value method. Additionally, this research proved that the motivation to reduce information asymmetry was associated with choosing the fair value method, whereas opportunistic motivation was not associated with choosing the fair value method. Additional findings showed that companies in the property industry were less likely to choose the fair value method. This is consistent with the political cost hypothesis, i.e. a company in the property industry avoids potential increases in tax burden due to an increase in fair value.

Keywords: Accounting choice, cost method, fair value method, investment property

INTRODUCTION

This study was motivated by the enactment of PSAK No. 13 Investment Property. This standard is an adoption of IAS 40 *Investment Property*, which was first published in 2007 and has been effective since 1 January 2008[1]. PSAK No. 13 (DSAK, 2015) is

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[1] Latest version of the PSAK No. 13 which was substantially the same with previous version was

one of the revised Indonesian accounting standards, which was implemented as part of the IFRS convergence in Indonesia. In addition to using historical costs*, PSAK No. 13 (2015) provides an alternative method of measurement using the fair value. Previously, the accounting treatment for investment property had been regulated in accordance with PSAK No. 13 (1994), Accounting for Investments, which only allowed the measurement method using historical costs without depreciation. The adoption of IAS 40 into PSAK No. 13 (2015) is a unique research opportunity because of the significant changes made, along with the emergence of more than one alternative measurement and the increase in disclosure requirements compared to the previous accounting standard applicable in Indonesia.

PSAK No. 13 (2015) is the first to introduce the fair value method for the recognition of long-term, non-financial assets. Companies can select cost or fair value method for reporting on their investment property in the financial statements. The difference between the fair value and the net book value is recognized in the income statement for the period. Any company that chooses the cost method must disclose the fair value of assets in the notes to the financial statements.

Research about the selection of accounting methods has always been an interesting topic to examine. The true reason for a company to opt for an accounting method has never been categorically determined. The selection of accounting method is based on management considerations and is never truly understood by the financial statements users (Ishak et al., 2012). Research about the selection of accounting methods can only predict the factors by which a company is influenced when implementing a particular accounting method and excluding the others. In relation to the alternatives where either the cost method or fair value method is applied on investment property, it is interesting to understand the reasons why a company would prefer the fair value method, while other companies keep applying the cost method.

A previous research project showed that when a company was faced with voluntarily choosing between accounting methods, then the choice tended to become 'sticky' or resistant to changes (Cairns et al., 2011). This means that, in spite of existing alternative accounting methods being made available by the new accounting standards (namely the fair value method), a company tends to opt for the new method according to the standards, and yet that is done by using the unrevised version (in this case it would be the cost method). However, the fact of the matter is that there are several listed companies in Indonesia that have opted for the fair value method for reporting on investment property since PSAK No. 13 (2015) became effective. Therefore, it is interesting to investigate the factors that affect the selection of the fair value method for applying to investment property.

published in 2015, so hereinafter referred to as PSAK No. 13 (2015)

There are only a few studies about the option of using the fair value method for non-financial assets, similarly in Indonesia, there are no study which examined the selection of fair value method of non-financial assets. Manihuruk and Farahmita (2015) included Indonesia as their observations, explained that the selection of the fair value method of listed firms in ASEAN was closely related to companies' size, fixed-asset intensity, leverage, and liquidity. Large companies tend to use the cost method, while companies with higher fixed-asset intensity, leverage and liquidity tend to use the fair value method. The decision to use the fair value method for non-financial assets is interesting to examine since there are different conditions when compared to financial assets, wherein the fair value of an asset may not be available in active markets. This condition is exaggerated in emerging market, such as Indonesia, as most of non-current assets do not have active markets, hence it makes fair value applications a real challenge. Furthermore, as feedback on the IFRS convergence in Indonesia, this kind of study is needed. This study is expected to add to the literature regarding the IFRS adoption and the choice of accounting methods.

Previous studies identify several factors affecting the selection of the fair value method for investment property. According to Muller et al. (2008), a company opting for the fair value method is a company with a more disseminated ownership, showing a high commitment to transparency for financial reporting and is a company that reports the significant differences in the fair value amount in order to maximize reported profit. Additionally, Quagli and Avallone (2010) revealed the reason why companies were more likely to select the fair value method, which was for efficiency purposes, and was by reducing political expenses and protecting creditors using conservative accounting methods.

The objective of this study is to examine the factors that motivate companies to opt for the fair value method in reporting on investment properties after PSAK No. 13 (2015) became effective. The factors to be examined in this research are the factors that have been documented in the literature regarding the selection of accounting methods (Fields et al. 2001). These factors are (1) protection for creditors, for which this study uses a proxy of leverage to examine the motivation for protecting the contract with creditors; (2) political costs, for which this research uses firm size to examine the motivation to lower political costs; (3) information asymmetry, for which this study uses the market-to-book ratio (MTB) to determine the effect of information asymmetry on selecting accounting policies; and (4) opportunistic motivation from managers, for which this research will also look at through the gain recorded from the increase in fair value.

The four selected factors represent management motivation when choosing accounting policies (Fields et al., 2001) and have been studied in previous research (Ishak et al., 2012; Muller et al., 2008; Quagli & Avallone, 2010). The differences

of this research with previous research is that this research combines variables that have previously been studied separately by previous researchers. This research combines these variables based on framework of accounting choice proposed by Fields et al. (2001). This research is more comprehensive because the tested variables represent every motivation identified as management reasons in accounting choices presented by Fields et al. (2001). In addition, prior research was undertaken in Europe that had already adopted IFRS, while research was conducted in Indonesia, as a developing country in the Asian region which also began to adopt IFRS. Choice of accounting methods between cost and fair value method is one of IFRS adoption feature which gives opportunity to the researcher to observe management behaviour in choosing the accounting method.

This study is expected to contribute in the following ways. First, to add to the literature regarding the implementation of the IFRS in Indonesia by documenting the choice between the cost and fair value accounting methods. This choice may affect the comparability of financial statements between firms, which may be the basis of future studies investigating this comparability issue. Since this study found that some companies choose to measure the investment property with fair value method with efficient motives and some others are still measure with cost method, next research can explore whether the difference in accounting method affects the comparability of financial statements.

Second, extant studies in Indonesia rarely examined issue of fair value choice especially in the context of non-current assets such as investment property. The result of this study shows that management choose fair value method to protect lenders' rights and to reduce asymmetry information may provide a theoretical contribution on determinants of fair value method, especially for non-current assets. Third, the research findings are expected to assist the Financial Accounting Standards Board in Indonesia and practitioners to comprehend the characteristics and conditions that affect a company's decision on an accounting method, particularly ones involving the decision to use the fair value method. By referring to the research findings of Cairns et al. (2011), which stated that the comparability of financial statements between companies would increase when most companies opted for the same accounting method, then it was important for the Indonesian Financial Accounting Standards Board and practitioners to understand the characteristics of companies that chose the fair value method. Since the result of this study found that companies choose fair value with efficient motives, thus this study provides a positive feedback for the revised accounting standards for investment property.

LITERATURE REVIEW AND HYPOTHESIS

This section explains the surrounding issues, literature review and hypotheses development.

Literature Review

PSAK No. 13 (2015), regarding investment property, prescribes the accounting treatment for investment property and its disclosure. An investment property is defined as property (land or a building-or part of a building-or both) held (by the owner or by the lessee under a finance lease) to earn rentals or for capital appreciation or for both, rather than for: (a) use in the production or supply of goods or services or for administrative purposes; or (b) sale in the ordinary course of business.

The focus of this research is the method of measurement after the initial recognition. After the initial recognition, PSAK No. 13 (2015) gives a choice of methods for measuring investment properties, namely (1) the fair value model or (2) the cost model. The fair value model requires the investment property to be measured using the fair value, and changes in the fair value are recognized in the income statement as income for the current year and are not depreciated. If an entity chooses the cost model, then the treatment follows PSAK No. 16 (2015), concerning property, plants and equipment; that is, investment properties are measured at cost and reduced by the accumulated depreciation and impairment losses.

Companies that measure investment properties using the cost model, while not recognizing changes in the fair value in profit or loss, should also disclose the fair value of investment properties on notes to the financial statements, unless the fair value cannot be determined reliably. An entity that chooses the fair value method should disclose the basis and assumptions used to determine the fair value and whether the determination of the fair value is acquired by using the services of an independent appraiser. Under the fair value method, the changes in the fair value, as required in PSAK No. 13 (2015), are reflected in the profit or loss, and not in other comprehensive income, such as PSAK No. 13 (2015) or PSAK No. 16 (2015). Consequently, as it affects the firm's profit or loss, managers should be aware that their choice of accounting policy for investment property will have a different impact on the profit or loss in terms of the recognition of fair-value differences.

Fields et al. (2001) classified the determinants of the choice of accounting method into three groups, namely (1) contracting, i.e. accounting policies selected to influence one or more contractual agreements, such as contracts with management, company owners and lenders; these motives are consistent with efficient contracting perspective (Watts & Zimmerman, 1986). (2) information asymmetry, meaning that accounting policies are determined by information asymmetries that seek to influence asset valuations/prices (Levitt Jr., 1998); and (3) externalities, meaning that certain accounting policies were chosen to influence external parties other than the owner or prospective owner of the company.

Hypotheses Development

The analysis in this study is based on an assumption that refers to Schipper's (2007) study in which recognition in the financial

statements is more value relevant than the disclosure. In this case, the difference between the fair value of the investment property recognized in the income statement (fair value method) is not equivalent to the difference in the fair value disclosed in the notes to the financial statements (cost method). Likewise, according to Francis et al. (2004), the recognition of the fair value and cost accounting methods affects the numbers differently. The fair value method is more value relevant and it provides profit figures that are more predictable and timelier, since it is more oriented to the future cash flows. On the other hand, the cost method supports conservatism, the quality of accruals and a more proportionate profit (smooth) because it only recognizes the realized change in value. Thus, the future cash flow information extracted from the fair value will be appreciated by the market (analysts and investors) because it can reduce information asymmetry. While, on the other hand, the cost method is more supportive of income smoothing and efficient contracting where conservatism is preferred. Or, in other words, each method theoretically has its own strengths and weaknesses, and the actual choice will depend on the condition of the company. The different impacts that result from these two methods imply that the selections of the accounting method have different backgrounds according to the condition of the company.

Selection of a more conservative accounting policy will reduce agency costs through higher protection for creditors. According to Beatty et al. (2008), investors want a certain level of conservatism in their debt contracts. Holthausen and Watts (2001), and Watts (2003) suggested that conservatism existed because it helped to mitigate agency problems. Badia et al. (2017) found evidence that firms holding higher proportions of financial instruments measured at Level 2 and 3 fair values (where there was no active market available), reported more conditionally conservative income attributable to fair value measurements. Investment property is one example of assets which rarely has active market.

The selection of the cost method would be in line with a more conservative accounting policy in efficient contracting theory, and, in order to boost protection for creditors, it is highly probable that the manager will select the cost method and less probable that they will choose the fair value method. By choosing the cost method, management will avoid to presenting assets that do not have an active market price at an overstated value to creditors. This research takes an opposing position from the debt covenant hypothesis, which states that managers prefer the fair value method in order to avoid breaching contract debts. The debt covenants hypothesis (Watts & Zimmerman, 1990) is less appropriate in this context since, normally, the profit from the difference in the revaluation of the fair value is not taken into account in the debt contract evaluation (Christensen & Nikolaev, 2008; Taplin et al., 2014). Thus, the first hypothesis is as follows:

> **H1: The level of debt negatively affects the possibility of selecting the fair value method for investment property.**

Based on the political cost hypothesis (Watts & Zimmerman, 1990), it is predicted that managers will be less likely to select accounting methods that increase profitability. By choosing the fair value method, the value of the asset tends to increase as well as increase the amount of profit. A large amount of profit being reported would impact the increase in the size of the company (asset). Increasing the company size means higher political costs since the company's visibility will also rise. The political costs, in this case, are reflected in the increasing spotlight that results from more regulations being issued by regulators or more tax regulations coming from tax authorities.

Jung et al. (2013) proposed that smaller firms had a greater incentive to choose fair value method to provide more value-relevant information to investors. Previous studies such as Barth et al. (2001) found that information on fair value was more value-relevant then historical cost. This in turn will increase information content of accounting information. Zeghal (1984) found that information content of accounting information was negatively related to firm size. Quagli and Avallone (2010), and Ishak et al. (2012) found that firm size negatively affected the choice of fair value method which meant in accordance with the political cost hypothesis, i.e. the company did not choose the fair value method and applied the cost model to avoid the unfavourable regulations.

This argument of negative effect of firm size on the probability of selecting fair value is in accordance with Quagli and Avallone (2010), and Ishak et al. (2012), thus the next hypothesis would be as follows:

H2: Firm size negatively affects the possibility of selecting the fair value method for investment property.

In situations where information asymmetry is found, managers may select an accounting method that could help to inform the market about the 'true value' of the company. Thus, assuming that the disclosure is not equivalent to the recognition (Schipper, 2007), as described previously, it can be assumed that a high level of information asymmetry will be a positive influence on the probability of management selecting the fair value method (Quagli & Avallone, 2010). Information asymmetry on the firms' assets value can be mitigated by departure from the historical cost accounting method. Through use of fair value, a firm may disclose to outsiders the underlying economic value of its assets and hence its actual financial condition (Brown et al., 1992).

Early studies used the MTB as a proxy for information asymmetry, which departs from the intuition that the market value captures the present value of the opportunities for growth of companies, whereas the book value reflects the value of existing assets. By choosing the fair value method, the asset will more reflect its fair value. Thus, using the fair value method for investment property will reduce information asymmetry since it increases the book value of assets to its fair value (Seng et al., 2010). Therefore, the next hypothesis is as follows:

H3: The information asymmetry will positively influence the possibility of selecting the fair value method for investment property.

Furthermore, both Quagli and Avallone (2010), and Muller et al. (2008) captured the existence of opportunistic motivations behind the selection of the fair value method for investment property. These opportunistic motivations are revealed by the accounting method selected for performance improvement through improved earnings. Muller et al. (2008) identified that the higher the gains resulting from the difference in the fair value of the investment property, the more probable it was for management to select the fair value method, so that the benefits gained could boost reported earnings. This argument is in line with Fargher and Zhang (2014) who argued that the use of fair value provided additional rooms for managerial discretion in fair value measurement, and they found that this higher discretion was associated with a higher probability of earnings management. Thus, the following can be hypothesized:

H4: The reported amount of gains from revaluation from the application of the fair value method will be a positive influence on the probability of selecting the fair value method for investment property.

METHODS

Sample and Research Design

The population of the sample in this study were all companies that had owned and reported on investment property assets in the period after PSAK No. 13 (2015) became effective, namely from 2008–2011. The period observed was the first period in which the companies applied the accounting method for investment property, which is between the years 2008 and 2011. Years before 2008 or after 2011 are not relevant because to examine the motivation of choosing voluntary accounting methods is most effectively conducted in the periods around changes in accounting standards. These are companies that owned investment properties in 2008, added to new companies that have investment properties from 2008–2011. It is important to study the accounting policy choice in the early years of the standard effective date, as firms do not have the flexibility in changing their accounting policy once it was chosen. PSAK No. 25, adopted from IAS No. 8, *Accounting Policies, Change in Accounting Estimates and Errors* states that "An entity is permitted to change an accounting policy only if the change is required by a standard or interpretation; or results in the financial statements providing reliable and more relevant information about the effects of transactions, other events or conditions on the entity's financial position, financial performance, or cash flows."

The differences among the years of observation, from 2008–2011, are not considered significant because they cover a short period of time. In order to not reduce the number in the already small sample, this research does not only observe the companies in the property and real estate industry, but also all the companies that

have investment property from any kind of industrial sector. The research model enters a dummy variable of the type of industry to control the differences in conditions between companies in the property industry and other industries that also affect the possibility of selecting the fair value method.

The sampling criteria are as follows: companies that (1) are listed on the Indonesia Stock Exchange in the period 2008–2011 – the total number of companies listed on the Indonesia Stock Exchange is 442 (www.idx.co.id); (2) owned investment property during the period from 2008–2011; (3) have disclosed the accounting method used to measure investment property; (4) have selected the cost method and disclosed the fair value of assets in the notes for the financial statements; and (5) have complete data for hypothesis testing.

The hypotheses will be tested using a binomial logit regression model (1) as follows:

$$P\_FV_i = \beta_0 + \beta_1 LEV_i + \beta_2 LNTA_i + \beta_3 MTB_i + \beta_4 FV\_GAIN_i + \beta_5 D\_PROP_i + e_i \qquad (1)$$

where P_FV is dummy variable for investment property accounting method; 1 if the company chooses the fair value method and 0 if it chooses the cost method. LEV is leverage (the corporate debt level) as measured by the ratio of total debt divided by total assets at the end of the year. $LNTA$ is the firm size, using a natural logarithm from the end balance of the total assets. MTB is market to book which represents the

information asymmetry, which is measured using the Market To Book (MTB) ratio. FV_GAIN is the gain from the fair value revaluation, measured by the gain from the fair value revaluation reported in the profit or loss (if the fair value method is applied), or the difference between the fair value disclosed in the notes to the financial statement and the carried amounts of investment property in the balance sheet (if the cost method is applied). This value is then deflated by the total assets. D_PROP is the dummy variable for the companies included in the property and real estate industries (1 if the company is included in the property and real estate industries and 0 otherwise).

The logit regression is popular and appropriate because its results are relatively easy to interpret. We follow previous research that also employed logit model such as Muller et al. (2008), and Quagli and Avallone (2010). This study also performed univariate analysis. Correlation test was conducted as preliminary examination about the correlation between variables. Mean different tests would be conducted for additional analysis of whether firms in the property industry had a different characteristic with non-property industry.

Sensitivity tests were performed using the following: (1) exchanging variable FV_GAIN with indicator variable DFV by separating the differences in the fair value, with those above the median as the group with a high difference in fair value (DFV = 1) and those below the median as the group with a low difference in fair value (DFV

= 0); and (2) including all companies that had selected the cost model, but had not disclosed the fair value on the notes to the financial statements.

RESULTS AND DISCUSSION

Sample and Descriptive Statistics

The results of the sample selection can be seen in Table 1, and depict that, of the 108 companies reporting on investment property in their financial statement, 85.2% have selected the cost model. Of the total of 92 companies that selected the cost model, there are 50% of them unwilling to disclose the fair value of assets in the notes to the financial statements, although it was mandatory. There are two possible reasons for this: (1) the fair value of the assets cannot be determined reliably, and, under PSAK No. 13 (2015), this condition should be disclosed; or (2) the company is not aware that the benefits of disclosing the fair value exceeds the cost of obtaining this information. To disclose the fair value of assets, an enterprise should measure the fair value of the assets reliably. A company may use the services of an independent appraiser to calculate the fair value of its assets and it should be disclosed. An independent appraiser's services would mean additional

costs, and, in this case, if the company deems the potential increase in fair value is not significant enough to be disclosed, the companies would be reluctant to calculate and disclose the fair value of the asset in the notes to the financial statements.

Table 1
Selected samples

Descriptions	Number of Firms
The years that the firm reported on investment properties in the period of observation, with a choice of the method, comprising:	108
- Fair value method	16
- Cost method	92
Less the years that the firm used the cost method, but did not disclose the fair value in the notes to the financial statements	**(46)**
The number of observations with incomplete data	**(8)**
The final sample, comprising:	**54**
- Fair Value Method	12
- Cost method	42

Table 2 presents the descriptive statistics of the sample. The portion of the sample that selected the fair value method is 22%, as shown by the average variable P_FV. The companies that belong to the property industry (D_PROP) represent 37% or 20 companies out of the sample of 54.

Table 2
Descriptive statistics

	P_FV	LEV	TA (Million Rupiahs)	MTB	FV_GAIN	D_PROP
Mean	0.222	0.219	3,209,974,621	3.050	0.092	0.370
Median	0.000	0.193	2,248,405,785	1.494	0.010	0.000
Maximum	1.000	0.643	17,236,040,000	37.130	0.719	1.000
Minimum	0.000	0.000	64,936,512	0.005	-0.127	0.000
Std. Dev.	0.419	0.183	3,500,510,814	5.756	0.160	0.487

Mean Difference and Correlation Test

Table 3 shows the mean difference in the sample of companies in the investment property and real estate industry plus the samples submitted from other industries. As detailed in Table 3, the company size (LNTA), MTB ratio (MTB), and the difference in fair value (FV_GAIN) for property companies in the sample are significantly higher than for companies in other industries that are in the sample. However, it is shown that the fair value method (P_FV) is preferred by non-property companies, or, in other words, the average property company is more willing to select the cost method for measuring investment properties. This indicates a direction that is not consistent with the predictions. If a company chooses the fair value method, considering that the average differences in the fair value among the property companies are higher than for non-property companies, then the property companies should be able to boost performance through an increase in profit for the current year. But, in reality,

the average property company prefers to use the cost method. The average difference in every significant variable indicates the need to control the sample of firms in the property industry or other industries by using a model of hypothesis testing.

Table 3
Mean difference test group between the property industry and non-property industries

Variable	Industry	Mean
P_FV*	Property	0.0500
	Non Property	0.3235
LEV	Property	0.2045
	Non Property	0.2285
LNTA*	Property	21.8309
	Non Property	20.8873
MTB*	Property	5.0944
	Non Property	1.8482
FV_GAIN*	Property	0.1994
	Non Property	0.0302

, * Significant at the 5% level and 1% level, respectively

Table 4 demonstrates the correlation between variables using Pearson's correlation test. In Table 4, it can be seen that

Table 4
Correlation between variables

	LEV	LNTA	MTB	FV_GAIN	P_FV
LEV	1				
LNTA	0.254	1			
	*0.032 **				
MTB	0.240	0.110	1		
	*0.040 **	*0.214*			
FV_GAIN	0.048	0.141	-.044	1	
	0.364	*0.154*	*0.377*		
P_FV	-0.222	-0.205	-0.020	-0.202	1
	*0.053 **	*.069 **	*0.443*	*0.072 **	

Figures in italics and bold are the probability of significance Pearson correlation; **, * Significant at the 5% and 10% level, respectively

correlation between significant dependent and independent variables generally shows a direction consistent with the hypothesis. The level of leverage (LEV) and firm size (LNTA) are significantly and negatively correlated with the fair value method selected (P_FV). The correlation of the difference in fair value (FV_GAIN) with P_FV is not in line with the hypothesis. The correlation between the independent variables reveals a significant positive correlation between the level of leverage (LEV) with the size of the company (LNTA) and information asymmetry (MTB). This means that a company with a high debt level is a large-sized enterprise and has high information asymmetry as well.

Hypothesis Testing

The results of the hypothesis testing using a logit model (1) are presented in Table 5. Based on the hypothesis testing, variable LEV significantly (level 5%) and negatively affects the probabilities for the fair value method. This means that companies with higher leverage will be less likely to select the fair value method. Thus, hypothesis H1 is supported, since the higher the level of leverage of a company, the more likely it is for it to apply a more conservative accounting policy (the cost method, in this instance). This is consistent with the hypothesis for efficient contracts with creditors, in which companies applies conservative accounting policies as protection for creditors (Beatty et al., 2008; Watts, 2003; Watts & Zimmerman, 1986).

Firm size (LNTA) does not affect the probability of selecting the fair value method. This implies that the political cost determined by the company size is not a consideration when choosing a fair value measurement method for the company's investment property. This result is not consistent with the findings of Ishak et al. (2012), and Quagli and Avallone (2010). Therefore, hypothesis H2 is not supported. It is possible that firm size proxies for other firm characteristics, such as risk and growth (Scott, 2015). Firms with higher risk and higher growth may positively affect the selection of fair value, as those firms want to be perceived by investors as less riskier and able to maintain higher growth in the future. On the other hand, from political cost perspective, larger company tends not to choose fair value method to lower firms exposure. As firm size may reflects all of these characteristics, the positive and negative effect of firm size maybe offset (i.e. insignificant).

The choice of fair value maybe use to attract external financing, due to higher reported income. Thus, another alternative explanation is smaller entities may have incentives to realize cash flows more quickly to fund their operations, whereas larger entities may not have the same concern due to the fact that their larger size means that they are much less likely to experience liquidity problems than smaller entities (Ehalaiye et al. 2017).

The variable MTB has a positive significant effect (at the level of 10%) on the selection method for measuring the fair value

Table 5
Logit regression results

$P\_FV_i = \beta_0 + \beta_1 LEV_i + \beta_2 LNTA_i + \beta_3 MTB_i + \beta_4 FV\_GAIN_i + \beta_5 D\_ROP_i + e_i$ (1)

Variable	Predicted sign	Coefficient	z-Statistic	Prob.
LEV	H1: (-)	-4.1813	-3.7320	0.03**
LNTA	H2: (-)	-0.0191	-0.1293	0.47
MTB	H3: (+)	0.0833	2.9029	0.07*
FV_GAIN	H4: (+)	-1.6574	-0.6479	0.37
D_PROP	(+)	-2.5151	-4.1570	0.01**
C		0.3872	0.1251	0.47
McFadden R-squared			0197	
Prob (LR statistic)			12.04**	
% *Correct estimation*			77.78%	

*, ** Significant at the 10% level and 5% level, respectively; N = 54 observations

of investment property. That is, companies with higher information asymmetry will have a higher probability of selecting the fair value method for confirming the true value of the company. These results are consistent with the research of Quagli and Avallone (2010). Thus, hypothesis H3 is supported. The market value depicts the present value of the growth opportunities and the book value represents the value of existing assets. According to Seng et al. (2010), the use of the fair value method has the effect of reducing information asymmetry since the application of the fair value method will increase the book value of assets.

Variable FV_GAIN does not affect the probability of the fair value method being selected as the measurement instrument for investment property. This implies that having a greater difference in the fair value that is reported in the income statement does not necessarily affect the probability that a company will select the fair value method for measurements. A bigger fair value gain, which is reported in the income statement

for the current period, does not make the company choose the fair value method to record its investment property. Hence, there is no visible predisposition for opportunistic motives for selecting the fair value method. This result does not correspond with the research of Muller et al. (2008) and thus hypothesis H4 is not supported. This implies that the factors affecting the probability of a company selecting the fair value method for investment property is not based on the goal to gain a high profit from the difference in the recognized fair value. Firms choose the fair value model may indicate a sign of their commitment to transparent financial reporting (Muller et al., 2008).

Control variable D_Prop has a significant negative effect (level 5%) on the probability of selecting the fair value method. The test results are not consistent with the prediction that the companies in the property industry are more likely to select the fair value method. The test results prove that companies in the property industry are less likely to select the fair value method,

despite the average differences test showing that property companies report a higher level of holding gains from fair value compared to non-property companies. In other words, companies in the property industry, on average, reported a high difference in the fair value of investment property, yet the companies in the group prefer to use the cost model for measuring their investment property.

This finding may be explained through the political cost hypothesis (Watts & Zimmerman, 1990). Property companies are reluctant to select the fair value method and recognize the difference in fair value on the income statement in order to avoid government regulations that could potentially cost the company money. As we know, there is a tax regulation for charging a final tax of 10% of the difference in the fair value revaluation of assets (from the Regulation of the Minister of Finance [*Peraturan Menteri Keuangan*/PMK] No. 79/2008, Revaluation of Fixed Assets for the Company's Interest Taxation). Although the PMK regulates fixed assets, the existing tax regulation does not distinguish between fixed assets and investment property; therefore, investment property is categorized in the group of assets referred to in this regulation. Although taxes are charged against the asset revaluation and for tax purposes only, in practice this is more of a grey area. It is not impossible that, through later development, new regulations will appear enforcing tax on the difference in the revaluation of the value of assets for a company specifically engaged in the property or real estate industry. Therefore,

property companies are more likely to select the cost model in order to avoid the risk of tax regulations that would cause an increase in tax payments. This finding at once implies that the hypothetical political cost in the context of this research is more related to the type of industry – namely, whether the company belongs to the property or other industries – and is not determined from the company size.

Sensitivity Tests

A sensitivity test was first performed by exchanging variable FV_GAIN with the indicating variable DFV by separating the difference in the fair value into those above the median as the group with a high difference in fair value (DFV = 1) and those below the median as the group with a low difference in fair value (DFV = 0). The results are consistent with the main test: LEV and D_PROP are significantly in line with the prediction, and variable DFV has no effect on P_FV (please see Table 6.).

The second sensitivity test was done by including all companies that have selected the cost model and yet have not disclosed the fair value on the notes to the financial statements. Referring to Table 1, the 46 companies that did not disclose the fair value on the notes to the financial statements are included with an FV_GAIN value of 0, and thus obtaining a sample of 100 observations[2]. In accordance with the description in the descriptive statistics section, companies that have not disclosed the fair value are

[2] See Table 1, with 54 observations plus 46 observations = 100 observations

Table 6
Sensitivity test using DFV

Variable	Predicted sign	Coefficient	z-Statistic	Prob.
LEV	H1: (-)	-4.1204	-3.6706	0.0332**
LNTA	H2: (-)	-0.0755	-0.4370	0.4135
MTB	H3: (+)	0.0745	2.3502	0.1200
DFV	H4: (+)	-0.8310	-1.5716	0.2160
D_PROP	(+)	-2.2362	-4.3230	0.0153**
C		1.7569	0.4776	0.4056
McFadden R-squared			0.211	
Prob(LR statistic)			0.03**	
% *correct estimation*			79.63%	

** Significant at the 5% level; N = 54 observations

companies considering the high cost of acquiring information to measure the fair value of the assets compared to the extent of the benefits disclosed. By retaining the assumption that recognition is more value relevant than disclosure, a company that selects the cost model and estimates the fair value of its investment property does not differ significantly from the carrying value at the end of the current period is reluctant to disclose the fair value in the notes to the financial statements. This means that the companies estimate a difference in fair value that is too low to be disclosed. Although the disclosure requirement for the fair value is mandatory, this behaviour shows rational management actions.

The results (Table 7) are consistent with the main test. Variables LEV, MTB and D_PROP are significantly on the same course as predicted, and variables LNTA and FV_GAIN still have no significant effect.

Table 7
Regression result with n = 100

Variable	Predicted sign	Coefficient	z-Statistic	Prob.
LEV	H1: (-)	-1.1015	-3.1217	0.0593*
LNTA	H2: (-)	0.0558	1.2121	0.2722
MTB	H3: (+)	0.0381	2.9119	0.0727*
FV_GAIN	H4: (+)	0.5819	1.0235	0.3044
D_PROP	(+)	-1.1265	-7.0215	0.0002***
C		-1.497362	-1.5570	0.2181
McFadden R-squared			0.110	
Prob(LR statistic)			0.09*	
% *correct estimation*			76,33%	

** Significant at the 5% level; N = 100 observations

CONCLUSION

This research focused on the selection of accounting methods for investment property. This research aimed to examine the factors that motivate companies to select the fair value method to record their investment property after the introduction of PSAK No. 13 *Investment Property* (2015). The factors studied were (1) the protection of creditors, based on efficient contract hypothesis for the creditor; (2) the political costs, based on political cost hypothesis; (3) the reduction of information asymmetry; and (4) the opportunistic motivations for managers to increase reported earnings through accounting method selected.

Protection for creditors is measured using the level of leverage, the political costs is measured using company size, information asymmetry is measured using the MTB ratio, and opportunistic action is measured using the ratio of profit margin from the difference in fair value that is recognized than the total assets of the company.

The findings show evidences consistent with the efficient contract hypothesis for the creditors and the motivation to reduce information asymmetry. This means that it is less probable that companies with higher levels of leverage will select the fair value method, and it is more probable that the companies with lower leverage will select a conservative method (choose the cost method) for recording the investment property. This shows a form of protection for creditors, since creditors have higher preference for companies (their debtors) to adopt a conservative policy to reduce the risk of overstatement of the asset value. The cost method is seen as a conservative accounting policy because it does not cause earnings to fluctuate and does not run the risk of giving a less reliable presentation of company value in the financial statements, such as the fair value method may do. Furthermore, companies with high information asymmetry will have a higher probability of selecting the fair value method so that they can present the true value of the company. This research did not find indication that companies selected fair value method due to opportunistic motivations of managers to increase reported earnings.

The additional findings of this research indicate that property companies, on average, have a higher fair value gain to report on their income statements compared with non-property companies. Further analysis has shown that the companies in the property industry, on average, are less likely to select the fair value method to avoid the political scrutiny due to higher earnings and also to minimize the possibility of tax regulations to change tax regulations that will increase their corporate tax expenses. These findings are consistent with the political cost hypothesis.

The implication of this research is that the characteristics and motivations of management will influence the selection of accounting method; thus, it will add to the very limited literature on assessing the factors that motivate management to choose the fair value method. The result of the study

implies that the management try to satisfy contract with lenders, reduce asymmetry information, and avoid the political cost.

This research has its limitations because it only evaluates some of the factors that have been presumed to motivate a company when selecting the method of recording investment properties. There are still other factors that can be tested in further research, such as the company's shares or if investment property is a major line of business for the company. In the case of using a proxy to represent the opportunistic motivation, it is also limited in the amount of gains on fair value that may be recognized. Further research could use another proxy to evaluate the presence of opportunistic motivations when choosing the method of recording investment property, such as income smoothing activity. This research is also limited to companies in Indonesia with a limited number of companies in the sample. The small number in the sample causes a difficulty in incorporating other proxies into the model, according to factors identified by Fields et al. (2001). In addition, a low number in the sample may affect the bias of the regression estimation results. Further research could be done on multiple countries in order to add more observations.

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Relationship between the Industry Specialist Auditors and Financial Reporting Timeliness under MFRS

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ABSTRACT

This paper aims to identify the association between financial reporting timeliness and the presence of industry specialist auditors. The auditor's report lag (ARL) is used as a proxy for the financial reporting timeliness. The association between the two factors was examined through the resource dependence theory. Data comprise the 2012 annual reports of 796 Malaysian public listed companies and 342 of these companies had fully complied with the Malaysian Financial Reporting Standards (MFRS). From the results noted, it appears that financial reporting timeliness can be improved through the engagement of industry specialist auditors. This outcome contributes to the existing literature in auditing by enlarging the empirical evidence that was assessed with four different methods.

Keywords: Audit report lag, industry specialist auditor, MFRS, timeliness

INTRODUCTION

In an emerging economy such as Malaysia, the issuance of timely financial reporting is a major concern for regulatory bodies because timely financial information is crucial in decision making. Section 169(1)

of the Companies Act 1965 stipulates that company directors are responsible for tabling the company's financial statements at the company's general meeting. This has to be done within 6 months after the financial year ended. The Listing Requirements of Bursa Malaysia, in particular those stated in Chapter Two (para. 2.03(2)) and Chapter Nine (para. 9.23(1)) for public listed companies, state that all public listed companies should issue their annual reports not more than 4 months after the financial year ended (Bursa Malaysia, 2016). Chapter Two and Chapter Nine are

among the 16 Chapters noted in the Listing Requirements that spell out the requirements for companies whose shares are listed on the Main Market. Therefore, companies are required to produce their financial reports soonest possible. In this regard, listed companies have no choice but to be timely in producing their annual reports after the financial year ended.

The issuance of timely annual reporting depends on a few factors which include preparation of the accounts by the management team of the company and the time engaged by auditors to complete the audit assignment. The longer the time taken by auditors to complete the audit assignment, the longer the delay in the issuance of the audited accounts. This delay is known as the ARL, which is the period of time that exists between the fiscal year end and the auditor's report date (Afify, 2009; Alkhatib & Marji, 2012; Ashton et al., 1987; Leventis et al., 2005; Lee & Son, 2009; Owusu-Ansah, 2000).

The ARL is used interchangeably with the audit report delay and audit report lead time (Owusu-Ansah, 2000) because both terms measure the same period of time. Timely issuance of such accounting information can reduce the level of information asymmetry that exists between the management of a company and investors in the capital markets (Yan, 2012). Leventis et al. (2005) claimed that market efficiency could be enhanced when the period between the fiscal year end and the issuance of audited financial statements was reduced. In this regard, it appears that

the ARL is the most appropriate factor that can be used to proxy and measure financial reporting timeliness.

Para 2.03(2) of the Bursa Malaysia Listing Requirements (BMLR) requires financial information to be made available to stakeholders in a timely manner. However, the requirement of the IFRS (International Financial Reporting Standards) that expects lengthier explanations and detailed disclosures can be more burdensome for auditors because these preparations of the financial statements per the requirements of the IFRS are time consuming. In this regard, external auditors need more audit hours to perform the audit assignment. Non-specialist auditors, are auditors who are not experts in particular industries, may take an even longer time to verify all these requirements set forth by the newly acquired IFRS-compliant framework. This full adoption of the IFRS into Malaysian standards took effect on or after January 1st 2012 and replaces the previous FRS (Financial Reporting Standard) that was in place since 2006. This imposition justifies why using industry specialist auditors is more appropriate for companies in coping with the complexity laid down by the Malaysian Financial Reporting Standard that will be fully complied to the IFRS. Industry specialist auditors possess the adequate knowledge about the industry and as experts, they can also offer a competitive edge besides serving as a form of differentiation strategy (when compared to non-specialist auditors) that can attract more clients. Since the timely issuance

of financial reporting is a major concern of regulators and stakeholders, hiring an industry specialist auditor to audit the company's accounts may help to resolve the issue of timeliness. Based on this deduction, the research objective of this paper is to examine if the presence of industry specialist auditors may help to reduce/improve financial reporting timeliness for companies adopting the new MFRS regime that is IFRS compliance. This paper contributes to the existing literature by first, providing empirical evidence which demonstrates the extent of financial reporting timeliness and the influence of industry specialist auditors during the convergence of the IFRS in 2012. Second, by examining the ARL 1 year after the MFRS implementation, this study hopes to detect the immediate impact of the MFRS on the timeliness of financial reporting thereby, extending on the previous works of Ahmad et al. (2016). The outcome of this paper should be of interest to many in the auditing domain but in particular, regulators of Bursa Malaysia and the Securities Commission where the findings could be used as a benchmark to make comparisons of public listed companies that were pre- and post-MRFS compliant.

The remainder of this paper is organized as follows: The introduction paves the background to the study. This is followed by the literature review, which discusses the current topic. The next section discusses the theoretical framework and the development of the hypotheses while the subsequent section emphasizes on the research method used. The analysis of results and discussion follows next. Finally, the conclusion section discusses the implications followed by the limitation and recommendation for future studies.

LITERATURE REVIEW

The issue of corporate reporting timeliness is among the main concerns of many users of financial information such as investors, regulators, and bankers. Owusu-Ansah (2000) argued that the timely reporting of financial information could reduce information leaks, insider trading as well as market rumours. These reasons precisely served as the relevant and appropriate causes that led to the many concerns of the timely issuance of financial information, something very much relied on by bankers, shareholders, and investors as a reliable source of reference that is available in the market. Therefore, as highlighted by Leventis et al. (2005), it is important for companies to ensure the timely issuance of their financial reporting.

Some related studies looking at the issuance of financial reporting have been conducted in developed countries such as the United States and New Zealand (see Ashton et al., 1987; Habib & Bhuiyan, 2011; Knechel & Payne, 2001); and in Greece (Leventis et al., 2005). Other studies focused on Egypt (Afify, 2009), Zimbabwe (Owusu-Ansah, 2000), Bahrain (Al-Ajmi, 2009); Jordan (Alkhatib & Marji, 2012), and Malaysia (Abidin & Ahmad-Zaluki, 2012; Che-Ahmad & Abidin, 2001, 2008; Naimi et al., 2010; Nelson & Shukeri, 2011; Yaacob & Che-Ahmad, 2012). With the core of the

study being focused on timeliness, these studies had also utilized various indicators of financial reporting timeliness that include the ARL, financial statement issue delay and annual general meeting delay (Karim et al., 2006). Of these, the ARL is more widely used in previous studies as an indicator of financial reporting timeliness (see Afify, 2009; Alkhatib & Marji, 2012; Ashton et al., 1987; Knechel & Payne, 2001; Leventis et al., 2005; Owusu-Ansah, 2000). In that regard, the importance of the ARL is further exploited in the following section.

Industry Specialist Auditor and Audit Report Lag

In the field of finance and banking, an industry specialist auditor is a term used to refer to a recognized audit firm that has the specific skills and expertise of the industry that is very much higher than any normal auditor (Craswell et al., 1995). These specialist auditors are also known for their compliance with industry-specific regulations and stringent reporting requirements (especially in the finance and banking industries). It is these skills that make these specialist auditors gain greater auditor concentration within such industries (Abidin & Ahmad-Zaluki, 2012). In this regard, their expertise and capability serves as a reasonable supposition that can help to explain why these industry specialist auditors are needed. It is deduced that these specialist auditors will be able to adhere to and complete the audit procedures for public listed companies in a timely manner (Yan, 2012). Such a practice can improve

audit timeliness (Habib & Bhuiyan, 2011; Yan 2012). However, a deduction such as the one made here, may not always be true for Abidin and Ahmad-Zaluki (2012) found that industry specialist auditors do not necessarily perform faster auditing procedures than non-specialist auditors do (Abidin & Ahmad-Zaluki, 2012). In their work, Che-Ahmad and Abidin (2001) noted that there were no significant results in the determination of time taken to complete the audit assignments. Previous studies focusing on the association between industry specialist auditors and the ARL have been diverse in findings. A recent study by Ahmad et al., (2016) documented that industry specialist auditor had a negative association with ARL.

Knechel and Payne (2001) provided examples such as incremental audit effort (e.g., hours), resource allocation of audit team effort measured by rank (partner, manager, or staff) and the provision of non-audit services (management advisory services and tax) as audit-related characteristics that could potentially affect audit delay or financial reporting timeliness. In contrast, Owusu-Ansah (2000) observed that the complexity of operation, company size, company age and month of financial year end could also be significantly associated with the ARL.

Generally, studies looking at the relationship between industry specialist auditors and the ARL, as a proxy for financial reporting timeliness, have been conducted in different geographical segments and markets (Habib & Bhuiyan, 2011; Leventis

et al., 2005; Owusu-Ansah, 2000) and they have produced different findings. This discrepancy suggests that further studies focusing on industry specialist auditors need to be conducted by using different measurements in order to arrive at a more accurate result for such a determinant.

MRFS and Audit Report Lag

A full adoption of the IFRS (MFRS in Malaysia) by companies will probably extend the time taken by auditors to conduct an audit fieldwork. This delay can be attributed to the complexity of the IFRS standards implemented by companies. The adoption of fair value accounting (IFRS 13), for instance, requires the auditor to carry out detailed examinations of the adequacy of the judgment made by the management of the company including their determination of the value of the company. In this regard, auditors need to have an in-depth knowledge and expertise in understanding the adoption of the IFRS.

Since January 1st, 2006, public listed companies in Malaysia have been exposed to a major challenge as a result of the 21 IFRS adoption made by the MASB (Malaysian Accounting Standard Board). It was the MASB's intention to move Malaysia closer to the global convergence of accounting standards (Yaacob & Che-Ahmad, 2012) hence, between 2006 until 2011, there was a piecemeal adoption of the IFRS before full implementation was imposed in 2012. This IFRS-compliant framework applies to all non-private entities for annual periods starting on or after 1 January, 2012 except for the application of MFRS 141 (*Agriculture* and/or Interpretation IC Interpretation 15 *Agreements for the Construction of Real Estate*.)

The implementation of the IFRS increases audit risks (Marden & Brackney, 2009) because auditors have to verify an increased level of managerial judgments that were imposed by the principle-based standard-setting approach pursued by the International Accounting Standards Board (IASB). This practice foisted by the IASB creates more audit procedures and so it increases work hours. Such a process prolongs the ARL as is evident in Yaacob and Che-Ahmad (2012) who found the FRS 138 was complex due to its significant positive association with audit delay. As a result, more audit efforts and time were incurred in completing the audit assignments.

Numerous studies (see Abidin & Ahmad-Zaluki, 2012; Knechel & Payne, 2001; Nelson & Shukeri, 2011; Yaacob & Che-Ahmad, 2012) have examined this issue and these studies have broadly discussed the various company-specific attributes or audit-related attributes that could affect the ARL both in developed and developing countries. As one of the emerging economies, Malaysia is not isolated from the discussion. Che-Ahmad and Abidin (2008) reported that the mean audit delay of public listed companies in Malaysia for 1993 was approximately 114 days, a duration that was longer than that in the United States, which was stated to be 68 days (Knechel & Payne, 2001). In other studies, Abidin and Ahmad-Zaluki

(2012), Nelson and Shukeri (2011) and Yaacob and Che-Ahmad (2012) documented a more consistent finding of 101 days in the Malaysian context.

Despite such studies, little emphasis has been placed on the impact of industry specialist auditors on financial reporting timeliness since 1 January, 2012, when all non-private entities were required to comply with the MFRS. The expectation deduced from the convergence of the MFRS is assumed to prolong the ARL due to the complexity of the MFRS requirements. However, in light of the industry specialist auditor, the ARL is expected to be reduced and this can consequently, lead to an improved financial reporting timeliness. Therefore, this study contributes to the current literature by providing evidence on the influence of industry specialist auditor toward financial reporting timeliness in the period immediately after full MFRS convergence, beginning on or after 1 January, 2012.

Framework and Hypothesis

The Resource Dependence theory has been widely used in organizational theory and strategic management. It is a theory that helps to explain how the behavior of an organization can be affected by the external resources of that organization (Hillman et al., 2009). This means that organizations are not independently self-sufficient, that is, i.e., organizations and the external environments are interdependent. In view of this, the industry specialist auditor acts as an external party who provides resources

in terms of knowledge and expertise in their specialized industry. Industry specialist auditors function as the reviewer and auditor of the financial statements of a company. As experts, industry specialist auditors are expected to have the capability to deal with complex issues particularly those related to the MFRS, which are relevant and applicable to the respective industries that they specialize in. Consequently, they should be able to reduce the audit report lag.

Based on the IFRS convergence which occurred in 2012, it is hypothesized that the presence of the industry specialist auditors is able to reduce the ARL. This can lead to a shorter time taken by the company to announce and publish their annual reports and because of this, financial information can be delivered in a timelier manner to shareholders. The hypothesis conjectured is thus as follows:

H: There is a negative relationship between the presence of industry specialist auditors and financial reporting timeliness under MFRS.

METHOD

Sample Selection

As mentioned earlier, the objective of this study is to investigate the association between industry specialist auditors and financial reporting timeliness under the new MFRS regime. The current study will extend the previous findings of Ahmad et al. (2016) by including more measurements for the ARL, that is, by adding the industry specialist auditors as another variable.

Data were manually collected from the 2012 annual reports of 796 public listed companies, following previous studies (Afify, 2009; Ahmad et al., 2016; Che-Ahmad & Abidin, 2008; Habib & Bhuiyan, 2011) and it involved companies listed in 13 sectors as indicated by Bursa Malaysia. The special purpose acquisition company (SPAC) is one sector that was excluded from the sample due to its lack of publicly available information. In the sample, hotels, infrastructure project companies, closed-end fund companies, and mining industries were grouped together under "others" because in total, they comprised less than 10 companies. Table 1 summarizes the sectors, the population, and the MFRS-compliant companies in terms of percentages.

Table 1
Part A: Sectors from the sample

Sector	Population No. (%)	MFRS-compliant companies No. (%)
Construction	43 (5.4)	7 (2.0)
Property	83 (10.4)	5 (1.5)
REIT	17 (2.1)	14 (4.1)
Technology	28 (3.5)	19 (5.6)
Plantation	40 (5.0)	9 (2.6)
Consumer Products	130 (16.3)	47 (13.7)
Industrial Products	241 (30.3)	121 (35.4)
Finance	34 (4.3)	19 (5.6)
Trading/Services	168 (21.1)	94 (27.5)
Others	12 (1.6)	7 (2.0)
N	796	342

Part B: Sample selection

Detail	N
Total companies in 2012	801
Less : No publicly available information	5
Companies with available information (net)	796
Less : Companies that are not MFRS compliant in 2012	454
Companies that comply with MFRS (net)	342

The new MFRS framework is IFRS-compliant and it applies to all non-private entities for the annual periods starting on or after 1 January, 2012. To identify the MFRS-compliant companies from other transitioning entities, the information has to be manually transferred from the notes to the financial statements. In that regard, the information would have stated the relevant financial accounting standards, which had been adhered to. These are shown in Table 1 where only 342 companies from various sectors adhered to the MFRS, which is consistent with the findings of Ahmad et

al. (2016). However, there were as much of 454 companies that had deferred the MFRS-compliance from a total of 801 companies available during 2012. This issue was highlighted by PWC (2012) who noted that many companies defer compliance by 1 year.

Measurement of Variables

Dependent Variable. The dependent variable of this study is the ARL (Audit Report Lag). It represents the timeliness factor of financial reporting. The ARL is the length of time noted between the financial year end and the date of issuing of the auditor's report or audit report (Afify, 2009; Alkhatib and Marji, 2012; Ashton et al., 1987; Leventis et al., 2005; Lee & Son, 2009; Owusu-Ansah, 2000).

Independent Variable. The independent variable of this study is the industry specialist auditors. Previous studies had shown that two different measurements had been used to determine which audit firm is the industry specialist auditor. This is based on the number of audit clients and the audit fees. Consistent with Ahmad et al., (2016), Iskandar and Aman (2003), and Rahmat and Iskandar (2004), this study utilized the auditor's industry market share by referring to the number of audit clients it had as a measurement to identify the industry specialist auditor. Using audit fees can be another measurement but there are limitations. For example, there could be some bias. The amount of audit fees imposed by the auditor is highly dependent

on the number of hours needed to perform the work, as has been documented by Kim et al. (2012). It was shown that audit fees had increased significantly in the post-IFRS period. Furthermore, high audit fees may not be a direct indication that the auditors are specialized in a particular industry. Instead, the high audit fees may be incurred due to the extra hours of work and consultation with the audit client in completing the audit assignment.

On the contrary, utilizing number of audit clients as the base has some bias on large audit firms since large audit firms usually have more resources to meet the demand of auditing for larger clientele. Larger audit firms are also able to create more branches and overcome the geographical disadvantages as compared to small firms. Furthermore, Balsam et al. (2003) pointed out even if an auditor had a number of small clients in the industry, the knowledge base to be a specialist might be captured by having a number-of-client-based measure and not by a sales-based measure. Bonner and Lewis (1990) suggested that task-specific experience and training, often provided the best explanations of auditor expertise. Therefore, industry specialization is acquired when firms gain the industry specific experience from servicing large number of clients in the industry. Based on these arguments, the current study has chosen to utilize number of audit clients as the method of measuring industry specialist auditor.

The following formula of measurement that was derived from the number of audit clients was based on Iskandar and Aman

(2003). The following equation is applied to determine the audit market share and the presence of industry specialist auditors:

$$\frac{\text{The number of audit clients for the firm(s)}}{\text{The number of audit clients for all firm(s)}} \times 100\%$$

In considering the four criteria of the audit market share as a means to determine the industry specialist auditors for each industry studied, this study has an important contribution to offer to the current literature. The four criteria (hereafter, referred as SPEC) adapted from previous studies (Habib & Bhuiyan, 2011; Rahmat & Iskandar, 2004) are summarized in Table 2. They are used to make comparisons when examining their associations with the ARL.

Based on the criteria expressed in Table 2, the industry specialist auditor of each sector can be determined and summarized, as shown in Table 3. According to SPEC 1, as shown in Table 4, Ernst and Young (E&Y) serve as the industry's specialist auditor for eight out of 10 sectors. However, based on SPEC 2, an industry specialist auditor cannot be determined for five sectors (construction, technology, consumer products, industrial products, and finance) because none of the auditors meet this criterion. Based on SPEC 3, E&Y dominates as an industry specialist auditor because it meets this criterion for five sectors: property, REIT, plantation, finance, and others. Finally, in the case of SPEC 4, the results are mixed as E&Y and KPMG were identified as industry specialist auditors for three similar sectors namely REIT, finance, and others. In fact, PricewaterhouseCoopers (PWC) was also identified as an industry specialist auditor for the finance sector. Its record level is the same (more than 20% threshold) as E&Y and KPMG. On the other hand, Crowe Horwath was identified as an industry specialist auditor for the technology sector while E&Y was identified as the only industry specialist auditor for the other

Table 2

Criteria used to identify industry specialist auditor

Independent variable	Criteria for Industry Specialist Auditor	Prior studies
SPEC 1	Audit firm that holds the largest percentage of audit market share in a particular industry.	Habib and Bhuiyan (2011)
SPEC 2	Audit firm that holds: 1) the largest percentage, AND 2) 10% or more of audit market share in a particular industry than the second largest auditor.	Habib and Bhuiyan (2011)
SPEC 3	Audit firm that holds: 1) the largest percentage, AND 2) 30% or more of audit market share in a particular industry.	Habib and Bhuiyan (2011)
SPEC 4	Audit firm(s) that holds 20% or more of audit market share in a particular industry.	Rahmat and Iskandar, (2004); Ahmad et al. (2016)

remaining sectors. Overall, the results imply that E&Y is the most prominent industry specialist auditor appointed by companies in all sectors, as is clearly shown in the samples. As many as 80 companies from the 342 in total had appointed E&Y as their auditors.

Table 3
Identification of industry specialist auditor for each sector

| Sector | Criteria | | | |
	SPEC 1	SPEC 2	SPEC 3	SPEC 4
Construction	E&Y (20.93%)	None	None	E&Y (20.93%)
Property	E&Y (33%)	E&Y (33%)	E&Y (33%)	E&Y (33%)
REIT	E&Y (35.29%)	E&Y (35.29%)	E&Y (35.29%)	E&Y (35.29%) and KPMG (23.53%)
Technology	Crowe Horwath (21%)	None	None	Crowe Horwath (21%)
Plantation	E&Y (52.5%)	E&Y (52.5%)	E&Y (52.5%)	E&Y (52.5%)
Consumer Products	KPMG (19.2%)	None	None	None
Industrial Products	E&Y (24.5%)	None	None	E&Y (24.5%)
Finance	E&Y (35%)	None	E&Y	E&Y (35%), KPMG (21%) and PwC (32%)
Trading / Services	E&Y (26%)	E&Y (26%)	None	E&Y (26%)
Others	E&Y (50%)	E&Y (50%)	E&Y (50%)	E&Y (50%) and KPMG (25%)

Control Variables. Five control variables namely, client size, profitability, industry, audit complexity, and leverage were included into the regression model as they were found to affect the ARL (see Afify, 2009; Che-Ahmad & Abidin, 2008; Leventis et al., 2005; Yaacob & Che-Ahmad, 2012). In this instance, company size may influence the ARL since large companies may have strong internal controls, which auditors can rely on. Consequently, larger company size may reduce the amount of substantive audit procedures that has to be undertaken by the auditors (Che-Ahmad & Abidin, 2008).

In terms of profitability, it was noted that if clients experience low profitability, then business risk is potentially high.

Subsequently, this would push auditors to conduct a more cautious and thorough audit assignment (Che-Ahmad & Abidin, 2008). Auditors should have a high professional skepticism about the company's management so that they can detect intentional fraud or unintentional errors. This practice may literally require more audit work. Previous literature have divided industries into two groups (i.e., financial and non-financial) for analysis purposes as companies in the financial sector are expected to have a shorter ARL than those in the non-financial sector (Afify, 2009). Furthermore, it has been claimed that companies in the financial sector may hold lesser volume of inventory and non-current assets than non-

financial companies such as those in the manufacturing sector (Bamber et al., 1993). Since the former is less complex on auditing, it could also shorten the ARL.

In addition to client size and profitability, another control variable is audit complexity. The number of subsidiaries of the companies have been extensively utilized in previous studies as a proxy for audit complexity (Che-Ahmad & Abidin, 2008; Yaacob & Che-Ahmad, 2012). In this regard, it is expected that the ARL for companies with a significant number of subsidiaries will be longer. This is due to the complexity of auditing that may involve comprehensive inspection of consolidated accounts by the auditors in order to ensure the adequacy of the financial information reported (Habib & Bhuiyan, 2011).

The last variable to be included is leverage (Yaacob & Che-Ahmad, 2011). It is predicted that leverage will have a significant positive relationship on the ARL as companies with higher leverage are expected to bear higher financial risk hence, longer ARL. This is due to the lengthy time needed by the auditors to conduct a transparent audit due to the financial risk potentially faced by the company.

Regression Models

The following regression models are applied to examine the association of the explanatory variables on the ARL, which consequently, influences financial reporting timeliness.

$$ARL = \beta_0 + \beta_1 (SPEC^*) + \beta_2 (SIZE) + \beta_3 (PROFIT) + \beta_4 (IND) + \beta_5 (COMPLEX) + \beta_6 (LEV) + \varepsilon$$

In the aforementioned models, β_0 refers to constraint coefficients, β_1 refers to the coefficients of the independent variables, β_2, β_3, β_4, β_5 and β_6 are the coefficients of the control variables of regression and ε is the error term. There are four models derived from the four specs to measure the industry specialist auditor (SPEC*). Hence, β_1, will be the coefficient representing four different specs. The definition and operational measures of the dependent variable, independent variable and control variables of this study are summarized in Table 4.

Table 4
Summary of variables and its operational measures

Variable	Operational measure
Dependent variable	
Audit Report Lag (ARL)	Number of days from the end of the financial year to the date of audit report.
Independent variable	
Industry Specialist Auditor (SPEC)	Auditor's industry market share based on the number of audit clients and on the fulfillment of one of four criteria (SPEC 1–4) mentioned earlier.
Control variables	
Company Size (SIZE)	Natural log of total assets of company as proxy to measure company size.
Profitability (PROFIT)	Return on equity: proportion of net profit to shareholders' equity.

Table 4 *(continue)*

Variable	Operational measure
Industry (IND_FIN)	A dummy variable coded '1' for financial companies (bank, finance, insurance, securities and investment sectors) and '0' for non-financial companies.
Audit Complexity (COMPLEX)	Square root of the number of subsidiaries as a proxy to measure audit complexity.
Leverage (LEV)	Ratio of total liabilities to total assets.

Here, it is noted that five control variables will be applied and their respective short forms are projected.

RESULTS AND DISCUSSION

Descriptive Analysis

Based on the analysis of the 342 MFRS-compliant listed companies, it can be noted that none of the companies had breached Bursa Malaysia's requirement of 180 days maximum period to lodge the annual report. The timely issuance of the annual report may reduce information asymmetry between the management of the company and investors (Owusu-Ansah, 2000). Overall, the mean ARL of the current study is 98 days, which is lower than what Naimi et al. (2010) and Nelson and Shukeri (2011) had documented—101 days and 100 days, respectively. In the present study, the ARL ranged between a minimum of 8 days to a maximum of 120 days for the entire 342 listed companies. This description complies with the MFRS requirement.

Table 5 provides information on one of the control variables according to industry types—finance and non-finance companies. All other industries were included under the category of "Non-finance" standing at 94.4% while those in the finance industries comprise 5.6%.

Table 5 highlights the reality that most of the companies were non-finance companies. Following this, Table 6 demonstrates that majority of the sample companies were audited by a non-specialist auditor with only 26.6% of the study samples being audited by an industry specialist auditor, based on criterion 1 (SPEC 1), which states that the auditor is assumed to be an industry specialist auditor if it holds the largest percentage of audit market share in that particular industry (Habib & Bhuiyan, 2011).

Table 5
Frequency table

Variable (N = 342)	Category	Frequency	Percentage (%)
IND_FIN	FINANCE	19	5.6
	NON-FINANCE	323	94.4

Note: IND_FIN = Assigned as 1 for financial companies (bank, finance, insurance, securities and investment sectors) and 0 for non-financial companies.

Table 6
Frequency table

Variable (N = 342)	Category	Frequency	Percentage (%)
SPEC 1	ISA	91	26.6
	NON-ISA	251	73.4
SPEC 2	ISA	33	9.6
	NON-ISA	309	90.4
SPEC 3	ISA	18	5.3
	NON-ISA	324	94.7
SPEC 4	ISA	94	27.5
	NON-ISA	248	72.5

Note: **SPEC 1 =** Assigned as 1 for company audited by industry specialist auditor (audit firm holds largest percentage of audit market share in a particular industry) and 0 otherwise; **SPEC 2 =** Assigned as 1 for company audited by industry specialist auditor (audit firm holds largest percentage and 10% or more of audit market share in a particular industry than second largest auditor) and 0 otherwise; **SPEC 3 =** Assigned as 1 for company audited by industry specialist auditor (audit firm holds largest percentage and 30% or more of audit market share in a particular industry) and 0 otherwise; **SPEC 4 =** Assigned as 1 for company audited by industry specialist auditor (audit firm/firms holds 20% threshold or more of audit market share in a particular industry) and 0 otherwise; **ISA** = Industry specialist auditor; **NON-ISA =** Non-industry specialist auditor.

In the case of the second criterion noted (SPEC 2), the industry specialist auditor is the one that holds the largest percentage and 10% or more than the second largest auditor of the audit market shares in that particular industry (Habib & Bhuiyan, 2011). In this regard, it was observed that 90.4% of the companies being examined in this study were audited by a non-specialist auditor. This proportion increases to 94.7% (324) when assessment is valued based on the third criterion for industry specialist auditor (SPEC 3); the audit firm holds the largest percentage and 30% or more of the audit market share in that particular industry (Habib & Bhuiyan, 2011).

The fourth criterion (SPEC 4) as noted by Ahmad et al. (2016) states that the audit firm/firms should hold 20% or more of the audit market share in that particular industry (Rahmat & Iskandar, 2004). In this study,

the output is similar to Ahmad et al. (2016), showing that 94 companies or 27.5% of the total study sample had engaged an industry specialist auditor.

Overall, it can be deduced that these results indicate that even when different criteria for the industry specialist auditor were used, most companies were still audited by non-specialist auditors. From Table 5b, it can be seen that for all the four criteria (SPEC 1–4) specified, more than 70% of the sample companies were audited by a non-specialist auditor.

Correlation Analysis

Table 7 shows the correlation between the ARL and the industry specialist auditor (SPEC) for all models. Statistics show that there is no concern on multi-collinearity as results show a negative association and are significant at the 5% percent level for Model

Table 7
Correlation analysis

Pearson's Correlation – Model 1 (SPEC1)							
	ARL	ISA_SPEC1	SIZE	PROFIT	IND_FIN	COMPLEX	LEV
ARL	1	−0.141**	−0.133*	−0.275**	−0.271**	0.156**	−0.026
ISA_SPEC1		1	0.018	0.094	0.027	0.011	−0.022
SIZE			1	0.040	0.197**	0.246**	0.220**
PROFIT				1	0.105	−0.058	0.049
IND_FIN					1	0.066	0.321**
COMPLEX						1	0.218**
LEV							1
Pearson's Correlation – Model 2 (SPEC 2)							
	ARL	ISA_SPEC2	SIZE	PROFIT	IND_FIN	COMPLEX	LEV
ARL	1	−0.115*	−0.133*	−0.275**	−0.271**	0.156**	−0.026
ISA_SPEC2		1	0.166**	0.095	−0.079	0.088	0.033
SIZE			1	0.040	0.197**	0.246**	0.220**
PROFIT				1	0.105	−0.058	0.049
IND_FIN					1	0.066	0.321**
COMPLEX						1	0.218**
LEV							1
Pearson's Correlation – Model 3 (SPEC 3)							
	ARL	ISA_SPEC3	SIZE	PROFIT	IND_FIN	COMPLEX	LEV
ARL	1	−0.271**	−0.133*	−0.275**	−0.271**	0.156**	−0.026
ISA_SPEC3		1	0.166**	0.232**	0.286**	0.018	0.110*
SIZE			1	0.040	0.197**	0.246**	0.220**
PROFIT				1	0.105	−0.058	0.049
IND_FIN					1	0.066	0.321**
COMPLEX						1	0.218**
LEV							1
Pearson's Correlation – Model 4 (SPEC 4)							
	ARL	ISA_SPEC4	SIZE	PROFIT	IND_FIN	COMPLEX	LEV
ARL	1	−0.293**	−0.133*	−0.275**	−0.271**	0.156**	−0.026
ISA_SPEC4		1	0.154**	0.059	0.337**	−0.003	0.100
SIZE			1	0.040	0.197**	0.246**	0.220**
PROFIT				1	0.105	−0.058	0.049
IND_FIN					1	0.066	0.321**
COMPLEX						1	0.218**
LEV							1

** Correlation is significant at the 1% level (2-tailed).
* Correlation is significant at the 5% level (2-tailed).
Note: **ARL** = Number of days from the end of the financial year ended to the date of audit report; **ISA_SPEC4** = Industry specialist auditor based on criterion that audit firm/firms holds 20% threshold or more of audit market share in a particular industry (Rahmat & Iskandar, 2004; Ahmad et al., 2016); **SIZE** = Natural log of total assets of company; **PROFIT** = Proportion of net profit to shareholders' equity, which represents return on equity as a proxy for profitability; **IND_FIN** = A dummy variable coded '1' for financial companies (bank, finance, insurance, securities, and investment sectors) and '0' for non-financial companies; **COMPLEX** = Square root of the number of subsidiaries as a proxy to measure audit complexity; **LEV** = Leverage of the company, which is represented by ratio of total liabilities to total assets.

2. For the other models, result is significant at 1% level. The negative relationship shows that the correlation matrix is consistent with the expected sign of the independent variable and the dependent variable (ARL) of this study. Therefore, results initially support the hypothesis where the presence of an industry specialist auditor is able to shorten the ARL.

In addition, all the criteria for the industry specialist auditor (ISA_SPEC2 to ISA_SPEC4) were noted to have a significant positive relationship with SIZE except for ISA_SPEC1. With regards to the association between PROFIT and all four criteria, results indicate that all of them show a positive sign except ISA_SPEC3 that is significant at 1% level. With regards to the association of the industry specialist auditor criteria and IND_FIN, results appear to vary. For instance, ISA_SPEC3 and ISA_SPEC4 have a significant positive relationship at the 1% level. Meanwhile, ISA_SPEC1 has an insignificant positive association with IND_FIN. In contrast, ISA_SPEC2 has a negative correlation but insignificant relationship with IND_FIN. From the correlation matrix, it can be seen that there is a positive relationship between industry specialist auditor for Model 1, Model 2, and Model 3 and COMPLEX but not for Model 4. Nevertheless, all four models were not significant with COMPLEX.

Apart from that, only ISA_SPEC1 has a non-significant and negative association with LEV, whereas ISA_SPEC2, ISA_SPEC3 and ISA_SPEC4 have a positive association with LEV. In addition, the relationship between LEV and IND_FIN shows a positive association in all models and the highest value for each model was noted to be at 0.321. Model 4 also shows a similar output as that of Ahmad et al. (2016) where IND_FIN and ISA_SPEC4 carry the highest value of correlation at 0.337. This outcome has a significant positive association at the 1% level, suggesting that companies in the finance sector tend to utilize industry specialist auditors unlike those in the non-finance sectors.

Multivariate Analysis

Table 7 provides statistics that demonstrate Model 1 and Model 2 have the same adjusted R^2, that is, at 0.175. This outcome suggests that 17.5% of the variation in the ARL can be explained by the independent variable. There is an increment in the adjusted R^2 for regression in Model 3 and Model 4, at 18.3% and 19.9%, respectively. The current study expanded on the study conducted by Ahmad et al. (2016) by adding Models 1, 2 and 3. Model 4, is similar to Ahmad et al., (2016). This model is slightly more reliable than other models in explaining the variation noted in the ARL. This is because its adjusted R^2 was higher than Model 1 and Model 2.

From the analysis, findings further show that all the criteria applied to the industry specialist auditors (SPEC 1, SPEC 2, SPEC 3, and SPEC 4) are negative and significantly associated with the ARL. This finding is consistent with the work of Habib and Bhuiyan (2011). In the current study, the findings suggest that companies hiring

industry specialist auditors will have lower ARL thus, better timeliness. Therefore, these results support the hypothesis that posits a negative relationship between the presence of industry specialist auditors and financial reporting timeliness, upon full convergence of the MFRS; suggesting the presence of industry specialist auditors may improve the timeliness of corporate reporting. This finding, however, contradicts the findings of Che-Ahmad and Abidin (2001) and Abidin and Ahmad-Zaluki (2012) who found no significant association between industry specialist auditors and audit report timeliness.

Model 4 defines an industry specialist auditor as an audit firm or firms holding 20% threshold or more of the audit market shares in a particular industry (Ahmad et al., 2016; Rahmat & Iskandar, 2004) and so it serves as the best model of all. Consistent with Ahmad et al. (2016), Model 4 has the largest adjusted R^2, with 19.9%. This shows that 19.9% of the variation in the ARL can be explained by the independent variable. Moreover, as reported in Table 7, the correlation of the ARL and ISA_SPEC4 is significant at the 1% level showing a negative association at 0.293. This shows that the industry specialist auditor, under the criteria of Model 4, has a stronger relationship with the ARL than the other models.

As is expected, the control variables encompassing company size (SIZE), company profitability (PROFIT) and classification of the listed company as finance or non-finance-related company (IND_FIN) are negatively associated with the ARL. This means that as the size and profitability of the company increases, the ARL becomes shorter. Larger and profitable companies may have good governance practices and comply with the enforcement of Malaysian Code of Corporate Governance (MCCG) (Yasin & Nelson, 2012). Furthermore, these companies have to comply with specific rules and regulations implemented by the authority, such as the Bursa Malaysia listing requirements, where it indirectly contributes to the timely reporting. As for finance companies, they have to abide by Section 41 of Banking and Financial Institutions Act 1989 and Section 73 of Development Financial Institutions Act 2002 that specifically require these companies to submit to Central Bank of Malaysia their audited financial statements within 3 months or 90 days, respectively, after the end of each financial year. Subsequently, this explains the significant negative relationships of IND_FIN and ARL in all models. In contrast, company complexity (COMPLEX) and the leverage of the company (LEV) are positively associated with the ARL.

Based on the results presented in Table 8, it can be said that all the four models described a negative significant association between the ARL and the industry specialist auditors. This leads to an improvement in financial reporting timeliness. The occurrence can be attributed to the fact that when industry specialist auditors were engaged as auditors, the ARL of the company's financial report would be reduced. Subsequently, this leads to a timely

Table 8
Multivariate analysis

	Variable (N=342)	Expected sign with ARL	Model 1			Model 2			Model 3			Model 4 as per Ahmad et al. (2016)		
		ARL	Co-efficient	t value	p value	Co-efficient	t value	p value	Co-efficient	t value	p value	Co-efficient	t value	p value
	(constant)			16.114	0.000		15.532	0.000		15.714	0.000		16.268	0.000
Independent Variable	SPEC	Negative	−0.112	−2.256	0.025*	−0.153	−2.257	0.025*	−0.205	−2.904	0.004**		−3.953	0.000**
Control Variables	SIZE	Negative	−0.129	−2.48	0.014*	−0.113	−2.108	0.036*	−0.109	−2.171	0.031*		−2.117	0.035*
	PROFIT	Negative	−0.226	−4.527	0.000**	−0.205	−4.493	0.000**	−0.232	−4.066	0.000**		−4.749	0.000**
	IND_FIN	Negative	−0.247	−4.688	0.000**	−0.213	−4.996	0.000**	−0.184	−3.946	0.000**		−3.376	0.001**
	COMPLEX	Positive	0.181	3.506	0.001**	0.177	3.582	0.000**	0.170	3.437	0.001**		3.33	0.001**
	LEVERAGE	Positive	0.051	0.953	0.341	0.056	1.085	0.279	0.052	1.047	0.296		0.987	0.324
	N			342			342			342			342	
	F Value			13.018			13.018			13.694			15.15	
	Adjusted R^2			0.175			0.175			0.183			0.199	
	R^2			0.189			0.189			0.197			0.213	

**, *, significant at the 1%, 5% level (one-tailed).

issuance of the financial information. The timely issuance of the company's annual report signals that financial reporting timeliness has improved. This finding supports the hypothesis of this study, thus it can be used as a benchmark by regulators to compare listed companies when reviewing the reports during the pre and post MFRS compliance days.

CONCLUSION

The objective of the current study was to investigate the relationship between the presence of industry specialist auditors and financial reporting timeliness, under the full convergence of the MFRS where industry specialist auditors were expected to reduce the ARL.

This study used the Resource Dependence theory to define the association between industry specialist auditors and the ARL. From the perspective of the Resource Dependence theory, industry specialist auditors were deduced to be acting as an external party that contributes external resources in terms of skills, knowledge, and expertise to public listed companies by performing audit tasks. The results of the current study indicate that given their resources and expertise, industry specialist auditors were able to perform audits efficiently during the first year of the implementation of the new standards by the MFRS. Even though findings were derived from the year 2012, they were still relevant as accounting standards were frequently being updated. Furthermore, the findings gained from this study could be useful for

future MFRS adoption studies, especially those transitioning entities and have deferred their adoption to a later period. The results, hereby, confirm that the mean ARL of public listed companies that adopted the MFRS in 2012 is better (i.e., 98 days) albeit marginal when compared to the population of all the public listed companies within the same year (i.e., 100 days). A negative association between the ARL and the industry specialist auditors was noted. This implies that the ARL will become shorter when companies utilize industry specialist auditors to conduct audits. This finding is consistent with the results shown by Habib and Bhuiyan (2011).

Further to that, the findings of this study show that E&Y is a prominent industry specialist auditor that has been appointed by the sampled companies to conduct audits. According to SPEC 1, E&Y is the industry specialist auditors in eight out of 10 industries. The industry specialist auditors in the other two industries are KPMG and Crowe Howarth. It appears that E&Y is also the industry specialist auditors in five out of 10 industries according to SPEC 2 and SPEC 3. There is no industry specialist auditor in the other five industries. Likewise, E&Y is also the industry specialist auditors in eight out of 10 industries according to SPEC 4. There is no industry specialist auditor in the consumer product industry. However, for the technology industry, the industry specialist auditor is Crowe Howarth. This finding can serve as an indicator to the competitors of E&Y to show that they need to enhance their expertise and knowledge in order to expand their services to potential clients

as they (other than E&Y) are also capable of becoming industry specialist auditors. The outcome of this study also impacts on other audit firms such that they too need to expand their market share and become experts themselves. This may enhance the quality of financial reporting in general and its timeliness in particular, for the benefit of the company and investors in the capital market. Furthermore, it will create more varieties for choosing an expert or specialist, and contribute positively to the earnings quality of their clients as documented by Balsam et al. (2003). In addition, a client's choice of an industry specialist auditor can also serve as a signal of enhanced disclosure quality (Dunn & Mayhew, 2004).

This study may have significant implications for researchers with regards to how the research can be diversified. Future research may examine other determinants of the ARL such as types of audit opinion, or nature of the industry and its impact on financial reporting timeliness. In addition, a more extensive time series studies needed to consider the full adoption of the MFRS while also incorporating more variables since larger sample size or a longitudinal study may provide different insights into timeliness. This can subsequently lead the non-industry specialist auditors to become as efficient as the industry specialist auditors after the adoption of the MFRS.

The study is subject to two main limitations. First, the data used for the current study was a 1-year data, namely 2012, which was the first year of MFRS implementation. This one year's worth of data is limited in terms of exploring the impact of the implementation of MFRS since no comparison with data from other financial years could be conducted. Second, the use of number of audit clients as a measure for specialist auditors also posed as a limitation of the study. There are many measures of industry specialist auditors and the alternative measures of specialists do not reflect the same attributes of specialization. The choice of measurements may have substantial impact on research findings, thus the selection of alternative measure is very important but pose difficult decision (Neal & Riley, 2004).

The findings of the current study show that the presence of industry specialist auditors has a significant relationship on the ARL, which thus leads to an improvement in the financial reporting timeliness. Therefore, it can be assumed that the resources provided by the industry specialist auditors can assist the performance of audits in more efficient ways particularly, when the implementation of the new standards such as the MFRS is imposed.

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Working Capital Management and Firm Performance: The Moderating Effect of Inflation Rates

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ABSTRACT

The economic crisis that occurred between 2007 and 2008 in Nigeria resulted in serious liquidity crises for firms operating in the country. This was demonstrated in firms' inability to purchase inventories needed for production. As a result, firms were faced with declining performance. Previous studies have shown that working capital management (WCM) provides liquidity in the form of cash flow and improves firms' performance under regular macroeconomic conditions. However, few studies have focused on determining the influence of WCM on firm performance, especially during a financial crisis. This study adopts the Contingency Theory to determine the effect of inflation rates on WCM and firm performance under conditions of crisis. The study utilizes panel data of 675 firm-year observations derived from the listed firms on the Nigerian Stock Exchange from 2007- 2015. The data gathered were analyzed using the fixed effect model. The findings demonstrate a mixed and inconsistent relationship between WCM variables and firm performance. Furthermore, the findings indicate that inflation rates significantly moderate the relationship between WCM and firm performance in terms of Return on Assets and Return on Equity. The results of this study imply that the effectiveness of WCM on firm performance is influenced by inflation rates. Thus, this study recommends managers to appropriately align their WCM strategies and policies to fit the contingencies of their operating environments to enhance performance.

INTRODUCTION

The study of working capital management (WCM) has become critical to 21st century business due to the recurring global economic challenges, which constitute detrimental pressures to the liquidity and profitability of companies. As such, the financial performance of firms can be enhanced through WCM (Afrifa & Padachi, 2016; Deloof, 2003; Makori & Jagongo, 2013). This is because WCM sustains firms financially during the time-gap between the process of selling finished goods and the final realization of cash flow. Hence, an efficient WCM generates cash to fund firms' internal operations, while the firm awaits cash receipts from customers (Nzioki et al., 2013). According to theorists, current assets and current liabilities are important components of WCM (Deloof, 2003; Eljelly, 2004; Raheman & Nasr, 2007; Simon et al., 2017). In other words, the efficient optimization of both current assets and current liabilities improves the liquidity and profitability of firms.

Previous studies on WCM have explored its importance to firm performance. However, these studies have not really considered the influence of macroeconomic conditions such as inflation rates on WCM variables (Zingwiro, 2006). Most of these studies (Abuzayed, 2012; Afrifa & Padachi, 2016; Deloof, 2003; Filbeck & Krueger, 2005) focused on the direct impact of WCM on firm performance and found mixed and inconsistent findings. However, the interactions of macroeconomic factors such as inflation rates, interest rates, and GDP on the relationship between WCM and firm performance have received less attention (Filbeck & Krueger, 2005; Mirza & Javed, 2013; Mathuva, 2014). Drawing insight from Baron and Kenny (1986) and Hayes (2009), the inconsistent findings from previous studies suggests the introduction of macroeconomic factor such as inflation rates as moderating variable.

Inflation is considered the most influential macroeconomic factor in the current economic crisis confronting Nigeria. This is because the inflation rate has remained one of the long-standing challenges faced by firms in Nigeria and has been stuck in the double-digit range over a considerable length of time and may continue to increase despite fiscal efforts to reduce it (Asekunowo, 2016; CBN, 2016, 2017; Emejo, 2016). Evidently, the increase in inflation rates is responsible for the hike in the prices of goods and services. Alli (2016) also reiterated that high-inflation rates have impaired the ability of firms in Nigeria to acquire raw materials for production. In addition, reports from Alli (2009), CBN (2017), and Uzor (2016) illustrated how Nigerian firms had shut down operations due to the detrimental effects of high inflation rates. Despite all these challenges, limited studies have focused on assessing the interaction of inflation with WCM on firm performance under conditions of economic crisis.

Consequently, this study draws from Contingency Theory, which asserts that economic and financial variables are interdependent, with the effect of one variable such as inflation affecting WCM, which, in turn, affects a third variable such as firm performance. It is in this sense that Donaldson (2001) defined the contingency approach, which this paper adopts. However, under this approach, the macroeconomic environment is unsteady and unpredictable. Therefore, it is subject to fluctuations and prevent firm from being able to plough back their profits for the purpose of WCM. In addition, such adverse and unpredictable conditions could have implications for firm productivity and financial performance (CBN, 2017; Smith, 1980; Sundar, 1980). Therefore, determining the moderating effect of inflation rates on the relationship between WCM and firm performance is necessary.

LITERATURE REVIEW AND HYPOTHESES DEVELOPMENT

WCM and Firm Performance

The concept of WCM has been used to highlight the management of operational finances of firms, such as the management of short-term assets and liabilities (Simon et al., 2017). WCM refers to the ability of a firm to control effectively and efficiently the current assets and current liabilities in a manner that will enhance their return on the capital employed (Makori & Jagongo, 2013). WCM is important to all firms because it affects firms' liquidity (Eljelly, 2004), profitability (Deloof, 2003; Padachi, 2006; Simon et al., 2017; Singh & Kumar, 2014) and maximizes shareholders' value (Afrifa & Padachi, 2016; Deloof, 2003; Smith, 1980; Ukaegbu, 2014). WCM has been frequently measured using variables such as accounts receivable management, accounts payable management, inventory management, cash conversion cycle, and cash conversion efficiency (Afrifa & Padachi, 2016; Deloof, 2003; Filbeck & Krueger, 2005).

Accounts receivable management refers to the process, policies, and practices firms adopt to collect payment for goods sold on credit to customers while accounts payable management denotes suppliers whose invoices for goods or services have been accessed and processed but are yet to be paid (Falope & Ajilore, 2009). Inventory management constitutes the supply and usage of goods and products a firm prepares for sale. These include raw materials, work in progress, and finished goods. In addition, the cash conversion cycle is a metric that expresses the length of time in days that a firm takes to convert material input into cash, in other words cash conversion cycle refers to the movement of cash from the suppliers' end to inventory, receivables to the bank until cash is recovered again. Whereas, cash conversion efficiency emphasizes the dynamic change in the operations of the firms that will create operational efficiency.

Several studies have examined these variables. For example, Deloof (2003) examined the effect of WCM on the profitability of 1,009 Belgian firms for a 5-year period from 1991 to 1996. Using the panel data method and an OLS model,

the study found a significant and negative relationship between the accounts receivable period, the accounts payable period and the inventory period and the profitability of firms measured by gross operating income. The cash conversion cycle had a negative result as expected but was insignificant. In line with the findings of Deloof (2003), Lazaridis and Tryfonidis (2006) provided evidence of a significant and negative relationship between the cash conversion cycle, the accounts payable period, and accounts receivable and profitability measured by gross operating income. The relationship between inventory and gross operating profit revealed a negative result but was insignificant. Hence, Deloof (2003) and Lazaridis and Tryfonidis (2006) recommended that attaining an optimal level of working capital investment was beneficial for all firms.

Several studies have examined WCM in various contexts. Al-Debi'e's (2011) study confirmed the findings of Deloof (2003) and Lazaridis and Tryfonidis (2006). Al-Debi'e (2011) examined WCM and profitability of industrial firms in Jordan. A sample of 77 companies met the criteria for evaluation from 2000 to 2010. Al-Debi'e's findings showed a significant and negative relationship between the measures of WCM (cash conversion period, accounts receivable period, accounts payable deferred period, and inventory conversion period) and gross operating income. The study concluded that measures of WCM significantly affected the profitability of firms, but its efficiency was influenced by external variables like small market size, competition, and many other external variables. In addition, Enqvist, Graham, and Nikkinen's (2014) study found a negative relationship between all the measures of WCM (cash conversion cycle, accounts receivable periods, accounts payable, and inventory) and firm performance represented by return on assets and return on investment. All the variables were significant except for accounts receivable. These findings resulted from a sample of 1,136 firm-year observations from 1990 to 2008. They concluded that WCM enhanced the profitability of firms, but its efficiency increased with better sales growth and better economic conditions. This suggests that WCM exerts a measurable influence on a firm's performance within different economic periods examined—normal and boom periods. Also, Tauringana and Afrifa (2013) evaluated the importance of WCM on the profitability of SMEs. They used a sample of 133 SMEs listed on the Alternative Investment Market (AIM) in the United Kingdom (UK) from 2005 to 2009. They found a negative relationship between accounts receivable, accounts payable, inventory and cash conversion period and profitability. The significance test showed that accounts receivable and accounts payable were significant while inventory and the cash conversion cycle had insignificant results.

On the other hand, some studies have found a significant and positive relationship between WCM and firm profitability. In Jordan, Abuzayed (2012) examined

WCM and firm performance with a sample of 52 non-financial firms listed on the Amman Stock Exchange from 2000 to 2008. The findings revealed a positive relationship between WCM measures and gross operating profits while the market-determined variable, Tobin's Q, revealed a negative relationship. Confirming the findings of Abuzayed (2012), Nyamao et al. (2012) found comparable results when they investigated the effect of WCM on the financial performance of firms in Kenya. Their findings came from a sample of 113 small-scale enterprises evaluated between 2007 and 2010. They found a significant and positive relationship between the measures of performance (growth in profit, growth in sales, growth in assets and growth in market) and WCM measures (efficiency of cash management, efficiency of receivable management, and efficiency of inventory management). Moreover, Ali and Ali's (2012) results supported the findings of Abuzayed (2012) and Nyamao et al. (2012). Ali and Ali (2012) advanced a question—whether WCM affected the profitability of Pakistan firms. They evaluated a sample of 15 companies from 2003 to 2008 and found a significant and positive relationship between WCM and firm profitability and total assets of Pakistan firms.

El-Maude and Shuaib (2016) examined WCM with respect to profitability for 10 food and beverages listed firms in Nigeria. Using a sample of 10 firms examined from 2010 to 2014, they found a significant and positive association between inventory and accounts receivable with profitability while the cash conversion cycle and accounts payable showed a significant and negative association with profitability. Their study concluded that managers should optimize their WCM policy by decreasing the cash conversion cycle and make free cash flow available to fund their operations and add value to their firms. Murthy (2015) examined the interrelationship between WCM, financing constraints and firm financial performance in the six Gulf Cooperation Council (GCC) countries with a sample of 153 large manufacturing firms. Murthy's study found that the average receivable period levels significantly influenced the performance of GCC manufacturing firms measured by pre-tax return on sales. This suggests that the average receivable period had a significant and negative impact on the performance of GCC manufacturing firms. The study also found that inventory levels did not have any impact on the performance of firms. This means that lower investment in accounts receivable results directly in better profits with minimal assets. This will lead to better pre-tax return on assets. Wasiuzzaman's (2015) study on firm value in an emerging market in Malaysia and the influence of WCM using 192 firms from 1999 to 2008 confirmed Murthy's (2015) findings. Wasiuzzaman (2015) found that improvement in working capital efficiency increased firm value. The result was significant for financially constrained firms, while it was insignificant for unconstrained firms.

Arising from the mixed and inconsistent findings between these schools of thought,

this study reexamines the relationship between WCM variables and firm performances. In view of this, the following non-directional hypotheses (H_1 and H_2) are formulated between WCM variables and firm performance.

H1a-1e: There is a significant relationship between WCM variables and ROA
H2a-2e: There is a significant relationship between WCM variables and ROE

Inflation, WCM, and Firm Performance

Two peculiar conditions motivate the testing of inflation rates as a moderating variable on the relationship between WCM and firm performance. First, as the discussion in the above section shows, mixed and inconsistent findings exist among scholars who have examined WCM and firm performance. In view of this, studies such as Filbeck and Krueger (2005), Mirza and Javed (2013) and Mathuva, (2014) had suggested inflation rates to be one plausible reason for the mixed and inconsistent findings in WCM studies. This illustrates a major pitfall of ignoring the multiplier effect of the macroeconomic environment in which a firm operates on WCM effectiveness by previous studies. Apparently, this constitutes a learning gap this study close.

Second, as the fundamentals of Contingency Theory stipulate, the effectiveness of business operations, structure, and strategy are contingent on the environment in which a firm operates (Donaldson, 2001). This implies that, when a firm's strategy fits the contingencies of its environment, this fit results in higher performance. However, when the strategy misaligns with the contingency of its operating environment, a lower performance is the consequence (Donaldson, 2001). Meanwhile, the inflation rate is a macroeconomic factor, which refers to a general rise in the price of goods and services in the economy and has negative effects on investments (Bawa & Abdullahi, 2012). This study further argues that the effect of inflation is more apparent on the WCM requirements (Enqvist et al., 2014; Filbeck & Krueger, 2005; Mathuva, 2014; Zingwiro, 2006). Applying the Contingency Theory, this current study argues that during an inflationary period WCM requirements will be altered. In other words, the consequences of inflation increase the financial requirements of WCM (Mathuva, 2014; Smith, 1980; Sundar, 1980).

The consequences of inflation on WCM variables are enormous. During inflationary pressure, for example, firms may find acquiring inventory difficult due to high prices. This changes the normal amount required for the purchase of inventory thereby causing depression of capital. Meanwhile, according to Patra and Ratha (2012), most classical models of inventory management assume that inflation will remain constant over time. High inflation creates pressure for investment in inventory, during which it competes for value and increases costs beyond value (Enqvist et al., 2014). During such periods, poor inventory decisions result

in value deterioration, and the replacement of such inventory/stock becomes an issue with which firms must contend (Everett & Watson, 1998). The difficulties in replacing the stock of inventories lead to either a stoppage or a distortion of operations or incurring higher costs. Additional costs are incurred to guarantee the continuance of business operations at an optimal level, and this consequently leads to a decline in performance. Based on the aforementioned reasoning, the link between inflation, inventory management and firm performance is that, when the production capacity of firms is reduced owing to the inability of firms to acquire inventory due to inflationary pressure, firm performance will be affected.

At the same time, inflation has a negative and deleterious effect on both creditors (comprising borrowers and suppliers) and debtors (payments) (Ali & Khan, 2011; Filbeck & Krueger, 2005; Mathuva, 2014). This is because, when the cost of capital rises during inflationary periods, the decisions of creditors and suppliers on the amount to lend and the quantity and quality of goods they advance to firms on credit will be affected. These situations lead to higher interest rate charges and lower productivity, whereas, for debtors, the affect is two-fold. On one hand, inflation may benefit debtors if it raises their nominal income above their nominal cost. On the other hand, if their nominal income remains the same while nominal costs increase, inflation may create difficulties for customers in settling their debts. This means that during inflationary periods, the

rate of default will be high. While the former situation benefits debtors, the latter may be considered unfavorable for debtors. By way of contrast, inflation is indisputably bad for the firms being owed (creditors) because during such periods firm investments lose value and the amounts repaid eventually may be unable to finance the same level of activities proportionately. Notably, the attitudes of both debtors and creditors during inflationary periods bring cash flow difficulties in the form of financial instability and lowers productivity respectively. In other words, inflation affects both creditors and debtors. Therefore, the hypothesized relationships between accounts receivable management and firm performance and accounts payable management and firm performance would hinge on how firm performance could be affected by cash flow difficulties and operating challenges brought by the effect of inflation.

During inflationary periods, firms experience a longer cash conversion cycle while the efficiency of operational activities (here referred to as: cash conversion efficiency) reduces. This is due to inventory being tied up and receivables not materializing (Mathuva, 2014). Therefore, the relationships between inflation, cash conversion cycle and firm performance on the one hand, and inflation, cash conversion efficiency and firm performance on the other hand are based on the adverse effects of inflation that are manifested in cash-flow shortages, low productivity or production capacity and payment default, all of which affect the activity level of firms. This notion

is in line with several studies conducted on WCM (Ali & Khan 2011; Filbeck & Krueger, 2005; Mathuva, 2014). Arising from this, the following hypotheses (*H₃ and H₄*) are developed:

H3a-3e: *Inflation rates significantly moderate the relationship between WCM variables and ROA.*

H4a-4e: *Inflation rates significantly moderate the relationship between WCM variables and ROE.*

RESEARCH METHOD

Population and Sample

The population of this study consists of 124 non-financial firms listed on the Nigerian Stock Exchange as at 22 September 2016. Financial firms (such as banks and insurance companies) were excluded because they had an operational definition of WCM that was different from the one adopted in this study (Afrifa & Padachi, 2016; Deloof, 2003; Lazaridis & Tryfonidis, 2006; Tauringana & Afrifa, 2013). Thus, extant WCM practices differ between financial and non-financial firms. The selection of sample in this study covered the period from 2007 to 2015. This period is considered suitable because Nigeria started experiencing high inflation around 2007, which led to the decline in firm performance (CBN, 2017; Njiforti, 2015).

Three criteria were used to determine the sample size of this study. First, the firms must have operated within the period of this study (2007–2015). Second, firms with missing substantial yearly figures in their annual reports were excluded. Third, firms delisted within the period of this study

were also excluded. These specifications for sample determination were critical because this study employed balanced panel data. The implementation of these criteria resulted in the selection of 75 firms from a population of 124 non-financial firms for the period between 2007 and 2015. Thus, the sample size of this study comprised 75 firms for the period of nine years, thereby generating a total of 675 firm-year observations for the study variables.

Variables and Measurement

The dependent variables to be analyzed are return on assets (ROA) and return on equity (ROE). These variables have been adopted as measures of firm performance based on their extensive usage in the extant WCM literature (Afrifa & Padachi, 2016; Azam & Haider, 2011; Salman et al., 2014). ROA is a measure used to determine the performance of a firm relative to its total assets. It reveals how effectively the total assets of a firm are used to generate profits. ROA is measured in this study as profit after tax divided by total assets. Like ROA, ROE is a measure used to determine the rate of returns accruable to shareholders for their investments (stock) in a firm. ROE shows the efficiency and effectiveness with which firms generate returns based on investments from shareholders' contributions and not because of additional investment in equity. ROE is measured in this study as profit after tax divided by shareholders' equity. The WCM variables adopted in this study are defined as follows: Accounts Receivable Management (ARM) is measured

as [(accounts receivable/sales) x 365]. Meanwhile, Accounts Payable Management (APM) is measured as [(accounts payable/ purchases) x 365]. Inventory Management (INVM) is determined by [(inventory/cost of sales) x 365]. Cash Conversion Cycle (CCC) is obtained with reference to [ARM + INVM – APM] while the Cash Conversion Efficiency (CCE) is defined as [cash-flow from operations/sales]. The moderator was Inflation Rates (INFLAR).

The rate of inflation is measured in this study by reference to consumer price index (CPI) based on the definition provided by the World Bank. This is similar to the approach adopted by Smith, N'Cho-Oguie, Murray and Blakley (2003) in determining the effect of macroeconomic instability and inflation on sustainable real growth in South African firms. Moreover, the CPI is widely used in Nigeria to determine inflation rates as opposed to other measures because its construction excludes certain volatile components in order to focus on core inflation (Bernanke et al., 1999; NBS, 2017). Therefore, this study adopts CPI as a surrogate for measuring inflation. Drawing on previous studies, this study includes a set of control variables. The study controls for firm size, sales growth, and debt ratio. Firm Size (FIRMSIZE) is measured as the natural log of sales. Sales Growth (SALESGROWTH) is ascertained by [current year's sales – previous year's sales/previous year's sales] while the Financial Debt Ratio (FDR) is obtained by dividing total liability by total assets. The data used in this study were obtained from various sources. Firm performance, WCM, and the control variables were derived from the annual financial reports of non-financial firms listed on the Nigerian Stock Exchange while inflation rates (CPI) was derived from the World Bank (World Bank Development Indicators).

METHOD

This study employed an econometric analysis (a panel regression) over the period of 2007 to 2015. Data collected were winsorized at 3% to reduce the effect of outliers (Dehnel, 2014). The decision to winsorize is in line with Afrifa and Padachi (2016) and Kieschnick et al. (2006). To ensure normality, ROE was logged. Furthermore, the Hausman specification test was conducted to make a choice between the fixed effect (FE) and the random effect (RE) models (Greene, 2008). The results of the Hausman specification test were all significant, indicating p-values of 0.0017 and 0.0636 for the ROA and ROE models for the direct relationships, respectively. The results revealed FE to be the appropriate model for this study. The various models are estimated accordingly:

$$ROA_{it} = \beta_0 + \beta_1 ARM_{it} + \beta_2 APM_{it} + \beta_3 INVM_{it} + \beta_4 CCC_{it} + \beta_5 CCE_{it} + \beta_6 FIRMSIZE_{it} + \beta_7 SALESGROWTH_{it} + \beta_8 FDR_{it} + e_{it} ....[1]$$

$$ROE_{it} = \beta_0 + \beta_1 ARM_{it} + \beta_2 APM_{it} + \beta_3 INVM_{it} + \beta_4 CCC_{it} + \beta_5 CCE_{it} + \beta_6 FIRMSIZE_{it} + \beta_7 SALESGROWTH_{it} + \beta_8 FDR_{it} + e_{it} .... [2]$$

$ROA_{it}=\beta_0+\beta_1ARM_{it}+\beta_2APM_{it}+\beta_3INVM_{it}+\beta_4CCC_{it}+\beta_5CCE_{it}+\beta_6INFLAR_{it}+\beta_7ARM*INFLAR_{it} + \beta_8APM*INFLAR_{it} + \beta_9INVM*INFLAR_{it} + \beta_{10}CCC*INFLAR_{it} + \beta_{11}CCE*INFLAR_{it} + \beta_{12}FIRMSIZE_{it}+\beta_{13}SALESGROWTH_{it}+\beta_{14}FDR_{it} + e_{it}$.................[3]

$ROE_{it}=\beta_0+\beta_1ARM_{it}+\beta_2APM_{it}+\beta_3INVM_{it}+\beta_4CCC_{it}+\beta_5CCE_{it}+\beta_6INFLAR_{it}+\beta_7ARM*INFLAR_{it}+\beta_8APM*INFLAR_{it}+\beta_9INVM*INFLAR_{it}+\beta_{10}CCC*INFLAR_{it}+\beta_{11}CCE*INFLAR_{it} + \beta_{12}FIRMSIZE_{it}+\beta_{13}SALESGROWTH_{it}+\beta_{14}FDR_{it}+ e_{it}$................................... [4]

Where;

Subscript $_{it}$ represents the panel data notation, i = the firm (cross-sectional unit), t = the time period, that is, from 2007 to 2015, e = the error term, while β is the regression slope coefficient. Models 1 and 2 test hypotheses H_1 and H_2, while models 3 and 4 test hypotheses H_3 and H_4.

To determine the goodness–of–fit of the model adopted in this paper and avoid spurious regression results, heteroskedasticity and auto/serial correlation tests were conducted. The Modified Wald test for group wise heteroskedasticity conducted suggests the presence of heteroskedasticity for all the models. This is because the chi-squares obtained for the models [1 = (21468.97), 2 = (16757.38), 3 = (25602.08) and 4 = (15851.55)] were all statistically significant at 1%. This leads to the rejection of the null hypothesis, and the conclusion that the residuals of the models are heteroskedastic. In addition, the Wooldridge test for autocorrelation in panel data was conducted, and its null hypothesis

(H0) assumes no first-order autocorrelation. The results of the test show that the *f*-values for models one and three were 1.447 and 1.318, while their associated probabilities were not statistically significant (*p*-value > 0.10), thereby denoting the acceptance of the null hypothesis of no first-order autocorrelation. However, models two and four provided *f*-values of 23.631 and 21.462, which were statistically significant at 1% (*p*-value < 0.01), suggesting that auto/serial correlation existed among these models. To remedy the issues of heteroskedasticity and auto/serial correlation, this study adopted the "VCE" robust and cluster approach to all models, as Baum (2006) suggested.

EMPIRICAL RESULTS

Descriptive Statistics

Table 1 presents the descriptive statistics for all the variables of this study. The descriptive analysis shows that the dependent variable-firm performance varies for each measure. For example, ROA had a mean value of 0.054 with a standard deviation of 0.097, while ROE had a mean value of 0.233 with a standard deviation of 0.225.

The mean and standard deviation of ARM were 66 and 85.91, respectively. The mean value indicates that it takes about 2 months and 6 days for firms to collect cash from customers after sales. The variable APM revealed a mean value of 71 days, suggesting that firms make payments to their suppliers within a period of 2 months and 11 days after goods are supplied to them. APM had a standard deviation of 79.66. The mean and standard deviation for INVM were 100

Table 1

Descriptive statistics

Variables	Mean	Median	Standard Deviation	Min	Max	Skewness	Kurtosis
ROA	0.0539211	0.0511312	0.0974374	-0.2003407	0.2857245	-0.2054961	4.097238
ROE	0.2332133	0.1571171	0.2255173	0.000063	0.9758307	1.662434	5.48206
ARM	65.81284	33.98553	85.91416	1.614762	404.844	2.511986	9.408382
APM	71.40689	42.26579	79.66378	1.691966	335.38	1.846047	5.923211
INVM	100.0844	82.88017	83.46253	1.989002	358.2027	1.339954	4.699067
CCC	98.03848	69.8113	120.9543	-121.1655	469.8565	1.217954	4.880861
CCE	0.1064187	0.1023664	0.2442265	-0.6259259	0.7416459	-0.3135631	5.377915
INFLAR	112.4799	110.8408	28.9964	70.65815	158.9435	0.101972	1.717299
FIRMSIZE	9.878679	9.860165	0.8014258	8.269192	11.26919	-0.0638473	2.308822
SALESGROWTH	0.1325887	0.0856619	0.340373	-0.5409587	1.264393	1.192165	5.809239
FDR	0.5731376	0.5613916	0.2724106	0.0767562	1.399866	0.7752867	4.23238

Note: All the variables except INFLAR were winsorized at 3%, both at the top and the bottom. This was done to mitigate the effect of outliers in this study.

and 83.46, respectively. INVM indicates the inventory conversion period and suggests that the average time for firms to turn over inventory was more than 3 months. With respect to CCC, Table 1 shows a mean of 98 days, indicating that the firms' cash will remain tied up for more than 3 months while they source other ways to finance their operational activities. This means that cash is being tied down for a longer period. The descriptive statistics also revealed that the CCE had a mean value of 10.6% while inflation rates for the period were high and varied substantially. This is evidenced in the mean value of 112.48. With respect to the control variables, the means (FIRMSIZE, SALESGROWTH, and FDR) were 9.88, 0.13 and 0.57, respectively. Table 1 also revealed that the data for this study were normally distributed, as the skewness and kurtosis ranged from −0.06-1.8 and 1.7-9.4, respectively. These show that the data were within the expected range for normal data, as the skewness and kurtosis fell below the threshold value of ±3 and ±10, respectively, as Kline (2011) suggested. The statistical findings of this study are like the findings presented in previous WCM literature.

Correlation

This study carefully examined the correlation coefficients presented in Table 2 and found that no correlation coefficient between a pair of variables in this study exceeded the threshold of 0.80, which Field (2005) suggested as an indication of multicollinearity. Thus, the conclusion can be made that the choice of these variables

would not result in misspecification. This was also confirmed by the variance inflation factor (VIF), which showed a value of 1.7. This value is less than the threshold value of 10, and therefore suggests no serious problem of multicollinearity according to Field (2005).

Regression Analysis Results

In this section, the results of the relationship between WCM and firm performance and the moderating effect of inflation on WCM and firm performance are presented.

Relationship between WCM and Firm Performance. The analysis of results begins with an examination of the direct relationship between WCM and firm performances as presented separately in Table 3, where the dependent variables proxied by ROA and ROE are reported in columns 1 and 2, respectively. The Table shows that the R^2 of model 1 was 0.1192 while the R^2 of model 2 was 0.1112, indicating that WCM variables explain about 12% and 11% of the variations in ROA and ROE, respectively. The results presented show that ARM was negatively associated with ROA (−0.0000301), but positively related to ROE (0.0002337). The negative relationship between ARM and ROA implies that shorter ARM periods were associated with ROA. Thus, a decrease in the ARM periods by one day would increase ROA by 0.0000301. Regarding ROE, the results showed that a positive relationship exists between ARM and ROE. This positive relationship implies that an increase in ARM will lead to an increased ROE. This means that a day increase in ARM was associated

Table 2

Correlations

Variables	ROA	ROE	ARM	APM	INVM
ROA	1.0000				
ROE	0.1152***	1.0000			
ARM	-0.2401***	−0.0728*	1.0000		
APM	-0.1630***	0.0881**	0.4038***	1.0000	
INVM	-0.1442***	−0.0185	0.1932***	0.3215***	1.0000
CCC	-0.1643***	−0.1190***	0.5748***	-0.0958***	0.6465***
CCE	0.1739***	−0.0701*	-0.1464***	−0.0270	−0.0624
INFLAR	-0.1548***	−0.0747*	−0.0124	0.0593	−0.0332
FIRMSIZE	0.3264***	0.1162***	−0.3244***	−0.2848***	−0.3743***
SALESGROWTH	0.2276***	-0.0073	-0.0680 *	-0.0835**	-0.1058***
FDR	-0.2183***	0.3542***	0.0731*	0.0869 **	−0.0302

Variables	CCC	CCE	INFLAR	FIRMSIZE	SALESGROWTH	FDR
ROA						
ROE						
ARM						
APM						
INVM						
CCC	1.0000					
CCE	-0.1222***	1.0000				
INFLAR	−0.0594	0.0401	1.0000			
FIRMSIZE	-0.3418***	0.0189	0.0972**	1.0000		
SALESGROWTH	−0.0960**	−0.0371	−0.2170***	0.0647*	1.0000	
FDR	−0.0290	−0.0754*	−0.0089	0.0751*	−0.0259	1.0000

Notes: *, **, *** denote significance levels at 10%, 5%, and 1%, respectively.

with a 0.0002337% increase in ROE. The result with respect to ROA supports the assumption of WCM, which states that a shorter account collection period is beneficial but provides no statistical evidence to support the results found, as the relationship was statistically insignificant. Hence, Hypothesis 1a is not supported. However, the result is consistent with the findings of Deloof (2003) and Lazaridis and Tryfonidis (2006). The relationship between ARM and ROE is similarly insignificant and does not support Hypothesis 2a.

APM was found to be positive and insignificantly associated with ROA ($\beta = 0.0001069$, p > 0.10). This implies that extending payment periods to suppliers was associated with a higher ROA. Accordingly,

a day increase in APM periods leads to an increase in ROA by 0.0001069. The result established is not significant and does not provide evidence to support Hypothesis 1b. However, the result is consistent with the findings of Abuzayed (2012) but contradict the findings of Deloof (2003). Model 2 revealed that APM was negative and insignificantly associated with ROE (β = −0.0001617, p > 0.10), suggesting that paying suppliers early increases ROE. This result implies that a day decrease in APM will lead to an increase in ROE by 0.0001617%. Since the p-value is greater than 10%, Hypothesis 2b is therefore not supported. Meanwhile, the result is consistent with the findings of Deloof (2003) and Tauringana and Afrifa (2013), which stated that only unprofitable firms wait longer to pay debts, whereas profitable firms pay early and enjoy discounts and many other benefits. The result found between APM and ROE contradicts the earlier findings between APM and ROA, and confirms the intuitive conclusion often reached by most WCM studies (Makori & Jagongo, 2013; Yazdanfar & Öhman, 2014), to the effect that the relationship between WCM and profitability is mixed, meaning that it could either be positive or negative. In such a situation, Baron and Kenny (1986) suggested that introducing a moderator variable would account for such inconsistency. Based on this confirmation, this study further confirms the necessity for introducing a moderator.

Table 3 also shows that INVM was negative and insignificantly associated with ROA (β = −0.0002087, p > 0.10), but was positive and significantly associated with ROE (β = 0.0007018, p < 0.10). The negative relationship between INVM and ROA is in line with this study's prediction, previous findings (Al-Debi'e, 2011; Deloof, 2003; Lazaridis & Tryfornidis, 2006) and the assumptions of the WCM Theory. The results also suggest that reducing the INVM increases ROA. The positive relationship between INVM and ROE was inconsistent with the expectations of this current study and contradicts the shorter period assumption of the WCM Theory. However, it is consistent with some previous studies such as Abuzayed (2012) and Ali and Ali (2012), who stated that longer INVM or larger INVM provide a guarantee against the occurrence of a stock-out situation. Furthermore, the positive relationship between INVM and ROE means that higher inventory conversion periods increase the ROE of firms. Longer periods of INVM are arguably undesirable because a longer inventory period is associated with higher costs (holding cost, carrying cost, maintenance and risk of obsolescence), which decrease profitability. The implication of the positive relationship between INVM and ROE is that an increase in the INVM conversion period by one day increases ROE by 0.0007018%, while the negative relationship between INVM and ROA means that a decrease in the INVM conversion period by one day is associated with a 0.0002087 increase in ROA. The relationship found between INVM and ROA was statistically insignificant and does not

Table 3

Results of WCM and Firm Performance

Variables	ROA (Model 1)	ROE (Model 2)
ARM	−0.0000301(−0.21)	0.0002337(0.82)
APM	0.0001069(0.79)	−0.0001617(−0.53)
INVM	−0.0002087(−1.31)	0.0007018(1.95)*
CCC	0.0000921(0.82)	−0.0004003(−1.38)
CCE	0.0288087(1.88)*	−0.0356601(−1.05)
FIRMSIZE	0.0092749(0.55)	−0.045418(−1.23)
SALESGROWTH	0.0565906(3.81)***	0.007927(0.32)
FDR	−0.0487038(−2.33)**	0.2189426(3.77)***
CONSTANT	−0.0141502(−0.08)	0.5243154(1.43)
R^2	0.1192	0.1112
F-probability	4.91***	4.16***
rho	0.50676079	0.44872441

Notes: Variable results begin with their coefficients, *t*-statistics are in parenthesis,
and *, **, *** denote significance levels at 10%, 5%, and 1%, respectively.

support Hypothesis 1c. The relationship found between INVM and ROE was statistically significant at 10% and supports Hypothesis 2c. Moreover, the need for moderation is further demonstrated in this result, as the INVM result was inconsistent with the ROA and ROE results.

CCC was found to be positively related to ROA (β = 0.0000921) but negatively related to ROE (β = −0.0004003). Both relationships were statistically insignificant, as their *p*-values were greater than the 10%, and do not support Hypotheses 1d and 2d. The positive relationship between CCC and ROA suggests that higher CCC leads to an increase in ROA. Thus, an increase in CCC by one day increases ROA by 0.0000921. This result contradicts the assumption of a negative relationship often advocated by

the WCM Theory but reflects the economic situation of firms in Nigeria. The negative relationship between CCC and ROE implies that a reduction in the CCC increases ROE of firms. As such, reducing CCC by one day will result in ROE increasing by 0.0004003%. The result supports the WCM assumption but cannot be substantiated, as the result was statistically insignificant. Again, the findings between CCC, ROA, and ROE were inconsistent, like the results between INVM, ROA, and ROE, and thus demonstrate the need for moderation as Baron and Kenny (1986) suggested.

CCE was positive and significantly associated with ROA (β = 0.0288087, $p <$ 0.10), as shown in model 1. However, in model 2, CCE was found to be negative and insignificantly associated with ROE (β

= 0.0356601, $p > 0.10$). The relationship between CCE and ROA is consistent with the expectations of this current study and suggests that increasing the efficiency with which cash is realized from sales made increases ROA. Thus, a 1% increase in the efficiency that firms adopt to realize cash from sales made will increase ROA by 0.0288087. The relationship found was statistically significant at 10% and thus supports Hypothesis 1e. However, the relationship between CCE and ROE deviates from expectation, as the sign of the coefficient implies that a less efficient method adopted by firms to realize cash from sales is associated with a higher ROE and vice versa. Hence, a one-percentage decrease in CCE will result in a 0.0356601% increase in ROE. This result contradicts Hypothesis 2e and the WCM Theory, which stipulates that increases in CCE leads to higher profitability for firms.

In model 1, FIRMSIZE and SALESGROWTH were positively associated with ROA and have coefficients of 0.0092749 and 0.0565906, respectively. This suggests that an increase in FIRMSIZE and SALESGROWTH will bring about a 0.0092749 and a 0.0565906 increase in ROA correspondingly. However, no evidence exists to support the relationship between FIRMSIZE and ROA, as it was statistically insignificant. Evidence, however, exists to support the relationship between SALESGROWTH and ROA, as the relationship was statistically significant at 1%. FDR, on the other hand, was negative and significantly associated with ROA ($\beta =$

$-0.0487038, p < 0.10$). The result aligns with the assumption of the Pecking Order Theory, which suggests that firms should adopt minimal debt and focus on strategies to generate free cash flow internally. In model 2, FIRMSIZE was negatively associated with ROE and statistically insignificant ($\beta = -0.045418, p > 0.10$). SALESGROWTH and FDR were also found to be positively associated with ROE and have coefficients of 0.007927 and 0.2189426, respectively. The relationship between SALESGROWTH and ROE was statistically insignificant, while the relationship between FDR and ROE was statistically significant at 1%.

Moderating Effect of Inflation on WCM and Firm Performance. Table 4 presents the regression results estimating the moderating effect of inflation rates on the relationship between WCM and firm performance. Overall, there is a significant evidence of moderating effect because the moderation models accounted for higher R^2 values (R^2 of model 3 = 20% and model 4 = 17%) than the R^2 values of the direct relationship between WCM and firm performance reported in Table 3 (model 1 = 12% and model 2 = 11%). Table 4 further revealed that the interaction term between INFLAR and ARM (ARM*INFLAR) was negatively related to both ROA ($\beta = -0.00000998$) and ROE ($\beta = -0.00000779$). The relationship obtained between ARM*INFLAR and ROA was statistically significant at 5% and led to the conclusion that inflation rates significantly moderate the relationship between ARM and ROA. This result supports Hypothesis 3a and the views of Contingency

Table 4

Results of Moderating Effect of Inflation Rates on WCM and Firm Performance

Variables	ROA (Model 3)	ROE (Model 4)
ARM	0.001067(2.23)**	0.0010864(1.28)
APM	−0.0006545(−1.16)	−0.0016714(−2.10)**
INVM	0.0010757(2.28)**	0.0025675(3.44)***
CCC	−0.0008563(−2.02)**	−0.002563(−3.48)***
CCE	0.071651(1.54)	0.2952339(1.92)*
INFLAR	−0.00000971(−0.05)	−0.0009627(−1.49)
ARM*INFLAR	−0.00000998(−2.26)**	−0.00000779(−0.93)
APM*INFLAR	0.00000689(1.36)	0.0000141(1.90)*
INVM*INFLAR	−0.0000114(−2.53)**	−0.0000171(−2.27)**
CCC*INFLAR	0.00000836(2.14)**	0.0000194(2.53)**
CCE*INFLAR	−0.0004087(−0.93)	−0.0030529(−2.19)**
FIRMSIZE	0.0348258(1.69)*	−0.0137077(−0.29)
SALESGROWTH	0.0383123(2.81)***	−0.0189698(−0.84)
FDR	−0.0412902(−2.15)**	0.2130905(3.72)***
CONSTANT	−0.2661609(−1.33)	0.3299263(0.77)
R²	0.1993	0.1715
F-probability	6.03***	8.67***
rho	0.50129073	0.43609186

Notes: The definitions of variables remained the same as previously explained in the methodology, while other additional variables included are defined as follows: INFLAR denotes inflation rates while "*" represents the interaction sign. ARM*INFLAR, APM*INFLAR, INVM*INFLAR, CCC*INFLAR and CCE*INFLAR indicate the interaction of inflation rates with all the WCM variables. Variable results begin with their coefficients, t-statistics are in parenthesis, and *, **, *** denote significance levels at 10%, 5%, and 1%, respectively.

Theory. However, the relationship between ARM*INFLAR and ROE was statistically insignificant ($p > 10\%$). This suggests that inflation does not have any significant effect on the relationship between ARM and ROE. This finding contradicts Hypothesis 4a and the views of the Contingency Theory. A plausible explanation for this could be the inclusion of the healthcare sector in the sample of this study. Most firms in this

category do not offer services on credit. However, the coefficient of the result is weak with the inclusion of INFLAR, therefore, demonstrating a negative effect of inflation.

Table 4 also shows that APM*INFLAR was positive and insignificantly related to ROA ($\beta = 0.00000689, p > 0.10$). The positive relationship between APM*INFLAR and ROA provides no statistical support for

Hypothesis 3b. Thus, the relationship between APM and ROA is not moderated by inflation rates. However, the changes in the parameter when compared to the direct relationship indicate that inflation is undesirable. Meanwhile, the relationship between APM*INFLAR and ROE was positive and statistically significant (β = 0.00000141, p < 0.10). This result provides support for Hypothesis 4b and implies that inflation rates significantly moderate the relationship between APM and ROE. The results also revealed that INVM*INFLAR was negative and significantly related to both ROA (β = −0.0000114, p < 0.10) and ROE (β = −0.0000171, p < 0.10). These results suggest a negative and significant relationship between INVM*INFLAR and ROA and ROE, respectively. The results imply that high inflation rates affect INVM, meaning that, for performance to result, a firm must manage its inventory optimally. The relationships found support Hypotheses 3c and 4c, implying that inflation rates significantly moderate the relationship between INVM and ROA and INVM and ROE respectively. Differences in the coefficients between the direct and moderating relationships with the introduction of INFLAR confirm the detrimental effect of inflation. This suggests that high inflation rates make investments in inventories unproductive.

In addition, the coefficients of CCC*INFLAR was positive and significantly related to both ROA (β = 0.00000836, p < 0.10) and ROE (β = 0.00000194, p < 0.10). These results indicate a positive

and significant relationships between CCC*INFLAR and ROA and CCC*INFLAR and ROE respectively, suggesting that during an inflationary pressure, CCC will be longer. These results are statistically significant at the 5% level and thus, support Hypotheses 3d and 4d. In addition, the results are consistent with Mathuva (2014) who stated that during inflation firms would experience longer CCC. Hence, this study concludes that inflation rates significantly moderate the relationship between CCC and firm performance. The interaction between inflation rates and cash conversion efficiency (CCE*INFLAR) was negative and insignificantly related to ROA (β = −0.0004087, p > 0.10) in model 3, but negative and significantly related to ROE (β = −0.0030529, p < 0.10%) in model 4. These results imply a negative relationship between CCE*INFLAR and ROA and CCE*INFLAR and ROE, respectively. The results between CCE*INFLAR and ROA was statistically insignificant and do not support Hypothesis 3e whereas the relationship between CCE*INFLAR and ROE was statistically significant and supports Hypothesis 4e. This implies that inflation rates significantly moderate the relationship between CCE and ROA.

Furthermore, all the control variables were significant in model 3 and had the expected signs. For example, FIRMSIZE was positive and significantly associated with ROA (β = 0.0348258, p < 0.10), while SALESGROWTH was found to be positive and significantly associated with ROA (β= 0.0383123, p < 0.10). However, FDR

was found to be negative and significantly related with ROA (β= 0.0412902, $p <$ 0.10). In model 4, the control variables demonstrated signs contrary to expectations. FIRMSIZE was negative and insignificantly associated with ROE (β= −0.0137077, $p >$ 0.10), while SALESGROWTH was also found to be negative and insignificantly associated with ROE (β = −0.0189698, $p >$ 0.10). FDR was found to be positive and significantly associated with ROA (β= 0.2130905, $p <$ 0.10). The result is statistically significant at 1% but contradicts the assumptions of the WCM Theory and the Pecking Order Theory, as they reflect the high risk associated with such a business environment as Nigeria.

CONCLUSION

This paper examined the moderating effect of inflation rates on WCM and firm performance in Nigeria. Based on the findings of this study, WCM influences firm performance, but the significance of this influence is contingent on the peculiar macroeconomic circumstances driving the inflation rate in the environment in which a firm operates. This is reflected in the mixed findings established in the results of models 1 and 2. The study further revealed that inflation rates affected the viability of WCM variables in improving the performance of firms in Nigeria especially in terms of ROA and ROE. Hence, the results showed that inflation rates significantly moderate the relationship between WCM and firm performance. These findings have important

theoretical and managerial implications. Theoretically, this study advances the WCM literature by providing evidence on the importance of incorporating macroeconomic factors such as inflation rates in formulating WCM policies. This is illustrated in the findings which show that inflation has a negative and detrimental effect on WCM and profitability of firms. In other words, during high-inflationary periods, firms cannot rely on their existing operational strategies to generate profit and sustain growth. Therefore, new operational and financial mechanisms are required to avoid the detrimental effects of high-inflation rates on firm performance.

The findings of this study have important managerial implications. First, it suggests that managers need to pay close attention to changes in the macroeconomic situations such as inflation rates in the environment where they operate. Second, the suggestions by existing studies that determine the direct relationship between WCM and firm performance are insufficient to respond to the business environment often characterized by high inflation rates. Consequently, managers know little about cash flow shortages caused by inflation. Therefore, an understanding of how inflation rates affect WCM and consequently lead to low performance as this study show will enable managers speed up their WCM processes and transactions to avoid the detrimental effect of inflation when it is expected. Meanwhile, during inflationary periods, managers should strategically

transfer both direct and indirect additional costs incurred because of high inflation rates to the price of a product.

This study has a few limitations and several directions for future research. For example, this study only focused on the moderating effect of inflation rates as a macroeconomic factor. However, other considerable macroeconomic factors such as interest rates and GDP exist. Future researchers may consider examining interest rates or GDP because they affect the relationships between WCM and firm performance. Another potential area of interest is to test the effect of inflation and interest rates on WCM and the performance of financial firms.

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Corporate Social and Environmental Responsibility Disclosure in Indonesian Companies: Symbolic or Substantive?

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ABSTRACT

This study investigated the extent and quality of corporate social and environmental responsibility disclosure (CSERD) and whether firms increase CSERD in their annual reports as a form of moral responsibility (substantive actions) or to gain the attention of stakeholders (symbolic actions). A content analysis of the annual reports obtained from 1129 publicly listed companies on the Indonesia Stock Exchange measured the extent and quality of CSERD between 2011 and 2013. A descriptive analysis approach was used to address the research questions. We found that the quantity (quality) of CSERD in 2013 was 15695 (19820), which was higher than it was in 2011, 9928 (12355). Community involvement themes were the most frequently disclosed items. Interestingly, our findings showed that financial services companies communicated the most CSER information in comparison to companies in other industries. In terms of the quality of disclosure, this study found that firms disclosed more substantive information rather than symbolic actions. The substantive nature of CSERD was reflected in the majority of the disclosure themes, which consisted of both internal and external activities and actions related to helping others. The finding suggests that while the Indonesian government's regulations oblige extractive industries to disclose their CSER activities, this study provides evidence that the financial industry leads the way in disclosing CSER activities in comparison to other industries. Further research is

necessary to examine how government regulations affect the institutionalisation of CSERD.

INTRODUCTION

Corporate social and environmental responsibility (CSER) is a trend that has developed in the last two decades. Companies have demonstrated increasing interest in communicating their CSER information in their annual, stand-alone and integrated reports and on their websites. However, the increase in the disclosure of CSER information raises the following questions: why do companies communicate CSER information, and is this disclosure a manifestation of corporate accountability or merely a mechanism to influence certain stakeholders or the public? This study examined the extent and quality of corporate social and environmental responsibility disclosure (CSERD). Specifically, this paper investigates whether companies in Indonesia communicate CSER information substantively or symbolically.

The Indonesian government requires companies that use natural resources (i.e. extractive sectors) in their operational practices to report their CSER activities. The obligation to report these activities is legislated in Company Law Number 40 (2007) and government Regulation Number 47 (2012). This law requires companies running their business activities in the field of and/or related to the natural resources to implement social and environmental responsibility (Article 74 paragraph 1). Any company that does not adhere to this obligation will be sanctioned in accordance with the provisions of the legislation (Article 74 paragraph 3). However, previous studies have indicated that the practice of CSER is still relatively low and the disclosure is mainly descriptive (Cahaya et al., 2012; Djajadikerta & Trireksani, 2012; Gunawan, 2007; Mirfazli, 2008a, 2008b).

Empirical studies have indicated that researchers are still debating about what motivates companies to disclose their CSERD information (Belal et al., 2007; Gray, 2010). For example, some studies have revealed that legitimacy is the dominant motivation for CSERD (Archel et al., 2011; Deegan, 2002; Gray et al., 1995; Hrasky, 2012; Kent & Zunker, 2013; Patten & Zhao, 2014). Haigh and Jones (2006) stated that CSERD was generally viewed as a public relations tool rather than as a form of corporate accountability to the public. This is because the information presented in each company's corporate annual and/or social responsibility report varies, making it difficult to evaluate and compare the reports. However, other studies have argued that both legitimacy and accountability motivate companies to disclose their CSER information (Bebbington et al., 2009).

The present study contributes to the accounting literature, specifically CSER research, by investigating the extent and the quality of CSERD practices in an emerging country (Indonesia). Some studies have

examined the extent of CSERD (see, for example, Gunawan, 2010; Haji, 2013), but they have yet to explore whether the pattern of CSERD is substantive or symbolic. The only exception is Mahadeo et al. (2011) who used Mauritian companies as their sample. However, the institutional settings in Indonesia and Mauritius are different: CSERD is still voluntarily in Mauritius, but it is mandatory in Indonesia. By investigating the quality of CSERD, the present study aims to reveal what motivates Indonesian companies to disclose information about CSER. An understanding of the motivations for CSERD might help users and stakeholders make a decision regarding the quality information contained in their CSERD, whether companies are disclosing factual data or if their actions are merely symbolic. The research questions to be addressed are as follows:

RQ1: What is the extent of CSERD in Indonesian companies?

RQ2: What is the quality of CSERD in Indonesian companies, and is this disclosure symbolic or substantive?

Theoretical Frameworks

CSERD is the process of communicating the social and environmental effects and economic actions of and organisation to particular groups in the wider community. Gray et al. (2001) noted that social and environmental reporting as the practice entailed providing internal and external stakeholders with information on measurement, disclosure and liability

regarding an organisation's performance in order to achieve the goals of sustainable development. Various theoretical perspectives have consistently been used in CSERD research to explain what motivates companies to disclose their CSER information (Deegan, 2002; Gray et al., 1995). The present study combines three theories, stakeholder, legitimacy and institutional, to provide meaningful insights to better understand a company's motivation to provide CSER information. As argued by Cormier et al. (2005), the practice of CSERD is a complex phenomenon that cannot be explained by a single theory.

According to stakeholder theory, the existence of a company is strongly influenced by the support of its stakeholders (Ullmann, 1985). Freeman (1984) defined stakeholders as the parties with an interest in a company that could influence or could be influenced by the activity of the company. One of the principles of stakeholder theory is that everyone should take responsibility for the impact of their respective actions towards others. Such a responsibility could be realised by the creation of added value for the stakeholders, such as customers, employees, suppliers, communities and funders. According to this theory, each stakeholder must receive attention and special treatment based on the extent to which the company impacts them (Gray et al., 2001). The more powerful the stakeholders, the greater the company's effort to meet their demands (Parmar et al., 2010). Thus, providing information about CSER might be as an effective way

to establish a dialogue between a company and its stakeholders (Deegan, 2002).

Several previous studies have suggested that companies increase the extent of their CSERD in order to meet the expectations of their stakeholders (Amran & Susela Devi, 2008) and to manage stakeholder groups (Abeysekera, 2008; Belal et al., 2007). Soobaroyen and Ntim (2013) investigated how and why companies in South Africa disclosed CSER. Their results suggest that a company provides more CSERD in its annual reports as a way to respond to demands from the government, employees and unions. Furthermore, their finding showed that a company shifts from symbolic disclosure to substantive disclosure to serve the accountability demands of specific stakeholders. Using a combination of interviews and content analysis, Islam and Deegan (2008) studied the CSERD practices of the Bangladeshi clothing industry. They found that powerful stakeholders, such as multinational buying companies, the United Nations Children's Fund (UNICEF), the International Labour Organization (ILO), the United States (US) government and non-governmental organisations (NGOs), encouraged companies in the clothing industry to provide more CSERD. Overall, stakeholder theory suggests that the greater incentive to disclose CSER information, the higher the trust of the stakeholders. Moreover, the better quality information (e.g. substantive) of the CSER provided, the more credible the company is perceived by its stakeholders. Therefore, CSERD might be used as a powerful medium to

influence the perceptions of stakeholders, thereby contributing to the maximisation of a company's earning potential (Gray et al., 2001).

Legitimacy theory asserts that a company should continue to strive to ensure that it operates within the existing norms in the society or the environment in which it conducts business in order to ensure that its activities are considered "legitimate" by outsiders (Guthrie & Abeysekera, 2006). According to Deegan (2002), legitimacy and status are conditions that occur when a company's value system is congruent with the value system of the larger social system in which the firm operates. The legitimacy of the company is threatened when there is a real or potential difference between these two value systems. The theoretical construct, known as the "social contract", is central to legitimacy; it relies on the notion that the legitimacy of a business entity to operate in society depends on an implicit social contract between that business entity and society (Lindblom, 1994). Therefore, an organisation's survival might be threatened if society perceives that it has breached its social contract (Guthrie & Parker, 1989). Deegan and Soltys (2007) argued that CSERD consisted of information related to a corporation's activities, aspirations and public image with regard to environmental, community, employee and consumer issues.

Previous studies have shown that companies can use CSERD as a mechanism to obtain or maintain their legitimacy. Haji (2013) studied the extent and quality of the CSERD of Malaysian companies from 2006

to 2009 using the legitimacy perspective. He found that firms increased CSERD over a period of time when a number of incidents, such as policy changes and the global financial crisis, occurred in the Malaysian business environment. Furthermore, he argued that an increase in the level and quality of the CSERD was driven by the legitimacy factor. By disclosing more CSER information, Malaysian companies can reduce the legitimacy gap; this simultaneously indicates that they are obedient and disobedient towards regulations and policies. In summary, companies that use CSERD as a form of legitimacy will only disclose positive information in order to influence the public's perception of their CSER performance. In this context, the extent and quality of CSERD can be used as a symbolic action to obtain or maintain the status of legitimacy (Barkemeyer et al., 2014; Cormier et al., 2005; Kent & Zunker, 2013).

Institutional theory is a branch of legitimacy theory that describes the institutional pressures faced by organisations. Due to these pressures, organisations tend to be similar in shape and practices (Unerman, 2008). According to Cahaya et al. (2012), institutional theory has two dimensions: isomorphism and decoupling. In the context of this study, isomorphism relates to the ways in which the institutional setting affects CSERD. Deegan (2009) suggested that decoupling occured when the practice of CSERD created a different image of CSER activities, programmes and policies among

workers. Moreover, Deegan (2009) stated that isomorphism was composed of three processes: coercive, mimetic and normative. According to DiMaggio and Powell (1983), coercive ismorphism refers to situations where institutional practices, such as CSERD, arise from stakeholder pressure. Mimetic isomorphism refers to situations where an organisation mimics the practices of other institutional organisations, which often happens in order to gain a competitive advantage. Finally, normative isomorphism refers to pressures arising from the norms of groups, for example a manager is pressured to implement a specific institutional practice (DiMaggio & Powell, 1983).

Some previous research has suggested that regulation pressure is a factor that motivates a company to disclose more CSER information (Cahaya et al., 2012; Noronha et al., 2013; Othman et al., 2011). Cowan and Deegan (2011) investigated the changes in the quantity of emissions disclosures of Australian companies during the implementation of the National Pollutant Inventory (NPI). They found that the quantity of emissions disclosures in annual reports increased over the implementation period. Momin et al. (2017) investigated the greenhouse gas (GHG) disclosure of Chinese power companies. They found that the GHG-related disclosures increased when the Chinese government ratified the Kyoto Protocol and instituted environmental regulations.

Other previous studies have also shown that CSERD policy and performance could

reduce the asymmetry of information between corporations and external stakeholders, especially in the investment community (Cho et al., 2013). The lack of a CSERD policy could be detrimental to the financial health of a company (Global Reporting Initiative, 2006). Investors might be discouraged by the asymmetry of information in a company that does not disclose its CSER information (Jones et al., 2007). Consequently, a company's stock price might decrease (Brammer & Pavelin, 2004). To reduce this risk, a company should attempt to adhere to the rule of law (Rusmanto & Williams, 2015; Waagstein, 2010), meet the expectations of its stakeholders (Soobaroyen & Ntim, 2013),

respond to media attention regarding social and environmental problems (Mahadeo et al., 2011; Patten, 2002), manage its stakeholder groups (Abeysekera, 2008; Belal & Owen, 2007; Islam & Deegan, 2008) and attract investment funds (Attiq et al., 2013; Nakamura, 2015).

METHODS

Sample Selection

This study's sample consists of publicly listed companies on the Indonesia Stock Exchange. Data were obtained from the annual reports of these companies between 2011 and 2013. Table 1 provides more information about the sample selection.

Table 1

Sample selection

Criteria	Year			
	2011	2012	2013	Total
Number of firms listed on the Indonesia Stock Exchange	442	463	486	1391
Firm that do not provide CSER section/information in their annual reports	136	82	44	262
Final sample	306	381	442	1129
Total sample for three years = 1129 firms (81.16%)				

Measurement

This study used a descriptive quantitative research method and two forms of content analysis: disclosure index and narrative. Content analysis is a method that is used to transfer qualitative data into quantitative data through coding (Guthrie & Abeysekera, 2006; Krippendorff, 1980); the coded data are then used to analyse the extent (quantity)

and quality of the CSERD for the studied firms.

To measure the extent of CSERD, 46 checklist items adapted from Hackston and Milne (1996), Raar (2002) and Gunawan (2010) were used. These items were categorised into eight themes: environmental (14 items), energy (4 items), human resources (10 items), community involvement (10

items), product (3 items), sustainability (1 item), external relationship (1 item) and other (3 items). Table 2 describes the CSERD measurements. These indicators were developed by the Global Reporting Initiative (GRI) and used by previous studies in the area of CSERD. In terms of the quality measurement (substantive or symbolic), the present study used the items developed by Hrasky (2012) with some modifications. Table 3 presents the categories, descriptions and examples used in the present study.

Table 2

Quantity and quality disclosure measurement

Extent of disclosure	Quality of disclosure	Descriptions
1 = Sentences	1 = Monetary	Expressed in monetary units/ currencies.
2 = Paragraph	2 = Non-monetary	Expressed in units of volume, number, size, etc., but not in units of currency.
3 = One-half of a A4 page	3 = Qualitative only	Expressed only in the form of descriptive sentences.
4 = One A4 page	4 = Qualitative and currency	Expressed in the form of descriptive sentences and in unit of currency.
5 ≥ More than one A4 page	5 = Qualitative and non-monetary	Expressed in descriptive sentences and in unit of number.
	6 = Monetary and non-monetary	Expressed using a combination of unit of currency and number.
	7 = Qualitative, monetary and non-monetary	Expressed in the descriptive sentences, currencies and number.

Note: Adapted from Hackston and Milne (1996), Raar (2002) and Gunawan (2010).

Table 3

Disclosure categories

Disclosure type	Description	Exemplifying disclosure
Symbolic:		
1. Normative statement	Statements espousing commitment to and recognition of the importance of CSER but not indicative of a specific action or outcome.	In carrying out its responsibility as a good businessperson, the contribution of the company to grow and prosper with Indonesia is shown through its commitment to implementing the country's policies on the environment, occupational health and safety as well as implementing corporate social responsibility.

Table 3 *(Continue)*

Disclosure type	Description	Exemplifying disclosure
2. Aspirational target	Articulation of targets or objectives to be achieved in the future without associated action.	Corporate social responsibility activities undertaken for the purpose of encouraging progress and the unity of Indonesia towards the nation's intelligent, prosperous and dignified future.
3. Awards or recognition	Statements indicating external recognition of positive efforts pertaining to CSER.	The company was recognised as one of the 25 organisations with a high commitment to environmental sustainability.
Substantive:		
4. Internal activities	Statements about specific internal corporate actions that were taken relevant to CSER.	Management of occupational health and safety (K3) is an attempt by the company to ensure that the safety and health of the employees of the company and its subsidiary are served in a corporate environment, including the health of the surrounding communities, on an ongoing basis.
5. External activities	Statements about involvement in activities relevant to CSER that are initiatives developed with partners or projects external to the organisation.	The implementation of social responsibility activities to the community is done through the implementation of aid programmes and community development programmes.
6. Assisting others	Statements about actions that are taken to help others.	The company's concern in an effort to improve the quality of human resources is realised through the implementation of a scholarship programme for elementary, junior and high school students reaching as many as 2500 students each year.
Descriptive Statements	Statements of fact about the company and/or its operations that do not describe specific actions taken in relation to CSER actions.	The average CO_2 emissions from the company's vehicle fleet is 9.2 CO_2 per vehicle. In 2008, 32% of greenhouse gas emissions were CO_2 and 68% were N_2O.
Other	General statements related to CSER that are specific to the company.	e.g. Tonne for tonne, methane gas produced by landfills and other activities has a global warming potential that is 21-times higher than CO_2.

Note: Adopted from Hrasky (2012).

RESULTS

Descriptive Statistics

Table 4 presents information on this study's sample, organised by industry classification. The results of the descriptive statistics show that the quantity of CSERD increased every year between 2011 and 2013. This finding might imply that a company's commitment to CSERD also increased during that time period. A corporation might perceive CSERD as an ongoing commitment to behave ethically and to contribute to economic development while enhancing the quality of life for its workforce, their families and, more broadly, local communities and society.

Table 4

Sample by industry classification

Sector	Industry classification	2011		2012		2013	
		N	%	N	%	N	%
1	Agriculture, plantation, animal husbandry, fishery, forestry	11	3.59	13	3.41	20	4.52
2	Mining, coal mining, crude petroleum and natural gas production, metal and mineral mining and land/stone quarrying	27	8.82	33	8.66	33	7.47
3	Basic industry and chemicals, including cement, ceramics, glass, porcelain, metal and allied products, chemicals, plastics and packaging, animal feed, wood industries and pulp and paper	42	13.73	50	13.12	51	11.54
4	Miscellaneous industries, including machinery and heavy equipment, automotive and components, textile and garment, footwear and cable	29	9.48	28	7.35	35	7.92
5	Consumer goods industries, including food and beverages, tobacco manufacturers, pharmaceuticals, cosmetics and housewares	22	7.19	27	7.09	29	6.56
6	Property, real estate and building construction	31	10.13	41	10.76	47	10.63
7	Infrastructure, utilities and transportation, including energy, toll roads and airports	27	8.82	36	9.45	39	8.82
8	Financial services industry	56	18.30	72	18.90	93	21.04
9	Trade, services and investment industries, including wholesale, retail trade, restaurants, hotels and tourism	61	19.93	81	21.26	95	21.49
	Total	306	100	381	100	442	100

Table 5 presents the results of the descriptive statistics for CSERD. As seen, community involvement is the theme most often disclosed by a company. The community involvement category contains items, such as donations given to the community in the form of cash, products or the services of employees to support community activities, organisations, education and the arts. The result indicates that a higher number of companies are more interested in disclosing community involvement information than other CSER themes. This result seems to indicate the substantive aspect of the CSERD, and it is consistent with the findings reported by Mahadeo et al. (2011). This finding is also supported by the results reported by Gunawan (2015), which suggested that community pressure is the main motivation for Indonesian companies to disclose CSER information.

Based on the descriptive statistics presented in Table 6, it can be concluded that the financial services industry has the highest scores for the quantity of CSERD followed by trade, services and investment industries, including the wholesale, retail trade, restaurant, hotel and tourism industries; and basic industry and chemicals, including cement, ceramics, glass, porcelain, metal and allied products, chemicals, plastics and packaging, animal feed, wood industries and pulp and paper industries. Based on the information presented in Table 6, it can also be concluded that community involvement is the item that is consistently and most often disclosed by all industry sectors.

Table 5

Mean of CSER quantity by theme

No	CSER themes	The mean of CSER quantity			Total
		2011	2012	2013	
1	Environmental	1645	2366	2667	6678
2	Energy	180	282	373	835
3	Human resources	2327	3135	3776	9238
4	Community involvement	3267	4288	4835	12390
5	Product	221	432	703	1356
6	Sustainability	220	297	305	822
7	External relationship	0	0	0	0
8	Other	2068	2548	3036	7652
	Total	9928	13348	15695	38971

Table 6

Mean of CSER quantity by theme per industry

Sector	Industry classification	The mean of CSER quantity by themes per industry								Total
		1	2	3	4	5	6	7	8	
1	Agriculture, plantation, animal husbandry, fishery, forestry	505	40	364	653	103	62	0	277	2004
2	Mining, coal mining, crude petroleum and natural gas production, metal and mineral mining and land/stone quarrying	1043	119	1013	1329	135	106	0	598	4343
3	Basic industry and chemicals, including cement, ceramics, glass, porcelain, metal and allied products, chemicals, plastics and packaging, animal feed, wood industries and pulp and paper	1145	182	932	1429	285	91	0	868	4932
4	Miscellaneous industries, including machinery and heavy equipment, automotive and components, textile and garment, footwear and cable	508	51	617	810	138	38	0	524	2686
5	Consumer goods industries, including food and beverages, tobacco manufacturers, pharmaceuticals, cosmetics and housewares	479	36	484	935	107	53	0	583	2677
6	Property, real estate and building construction	917	102	1005	1295	70	105	0	811	4305
7	Infrastructure, utilities and transportation, including energy, toll roads and airports	536	105	1044	1057	100	73	0	736	3651
8	Financial services industry	762	116	2053	2426	204	138	0	1714	7413
9	Trade, services and investments, including wholesale, retail trade, restaurants, hotels and tourism	784	82	1724	2463	222	156	0	1543	6974

Note: 1 = environmental; 2 = energy; 3 = human resources; 4 = community involvement; 5 = product; 6 = sustainability; 7 = external relationship; 8 = other

The quality of CSERD was assumed to be a disclosure related to CSR that was completed by a company and listed in its annual report in monetary units, currencies, number, volume and size or in the form of descriptive sentences. The information presented in Table 7 shows that the most important category for the quality of CSERD is community involvement, followed by the environment, human resources, other information, products, energy, sustainability and external relations themes.

Based on the results of the descriptive statistics presented in Table 8, the financial services industry was found to have the most CSER with a total score of 8812, followed by the trade, services and investment industries (8501), basic industry and chemicals (6559), mining, coal mining, crude petroleum and natural gas production, metal and mineral mining and land/stone quarrying industries (5528), property, real estate and building construction (5445), infrastructure, utilities and transportation industries, including energy and toll roads (4387), miscellaneous industries, including machinery and heavy equipment, automotive and components, textiles and garments, footwear and cable (3632), consumer goods industries, including food and beverages, tobacco manufacturers, pharmaceuticals, cosmetics and housewares (3250) and the agriculture, plantation, animal husbandry, fishery and forestry industries (2396). As previously explained, the CSER regulations in Indonesia are primarily highlighted for the extractive industry. However, as seen in the present study's results, the financial services industry disclosed more CSER information than any of the industrial sectors.

Table 7

Mean of CSER quality by theme

No	CSER themes	The mean of CSER quality			Total
		2011	2012	2013	
1	Environmental	2582	3666	4171	10419
2	Energy	337	455	637	1429
3	Human resources	2677	3268	4105	10050
4	Community involvement	4876	6237	7359	18472
5	Product	304	651	1130	2085
6	Sustainability	303	438	443	1184
7	External relationship	0	0	0	0
8	Other	1276	1643	1975	4894
	Total	12355	16358	19820	48533

Table 8

Mean of CSER quality by theme per industry

Sector	Industry classification	The mean of CSER quality by themes per industry								Total
		1	2	3	4	5	6	7	8	
1	Agriculture, plantation, animal husbandry, fishery, forestry	674	68	402	865	138	75	0	174	2396
2	Mining, coal mining, crude petroleum and natural gas production, metal and mineral mining and land/stone quarrying	1619	188	1114	1870	174	159	0	404	5528
3	Basic industry and chemicals, including cement, ceramics, glass, porcelain, metal and allied products, chemicals, plastics and packaging, animal feed, wood industries and pulp and paper	1802	281	1144	2223	447	129	0	573	6599
4	Miscellaneous industries, including machinery and heavy equipment, automotive and components, textile and garment, footwear and cable	874	106	714	1338	203	57	0	340	3632
5	Consumer goods industries, including food and beverages, tobacco manufacturers, pharmaceuticals, cosmetics and housewares	723	60	566	1299	160	75	0	367	3250
6	Property, real estate and building construction	1400	186	1030	2043	132	150	0	504	5445
7	Infrastructure, utilities and transportation, including energy, toll roads and airports	833	180	1083	1537	169	107	0	478	4387
8	Financial services industry	1219	195	2158	3644	321	204	0	1,071	8812
9	Trade, services and investment, including wholesale, retail trade, restaurant, hotel and tourism	1277	159	1839	3659	353	228	0	986	8501

Note: 1 = environmental; 2 = energy; 3 = human resources; 4 = community involvement; 5 = product; 6 = sustainability; 7 = external relationship; 8 = other

Table 9 provides the descriptive statistics for the measurement of CSERD based on the symbolic and substantive categories. The number of symbolic categories, including normative statements, aspirational targets and awards/recognition disclosures, increased. In the symbolic categories, most of companies disclosed awards and recognition in their annual reports, such as 'top CSR company' and 'the best in sustainability reporting. However, information related to aspirational targets was the theme that was least often disclosed. Consistent with the symbolic pattern, the substantive CSERD also increased between 2011 and 2013. The firms in this study cohort most frequently disclosed the actions they had taken to assist others, such as providing educational funding as well as financial aid for religious facilities and small business development programmes.

Table 9

Quality disclosure score based on symbolic and substantive categories

Disclosure Category	Year			Total
	2011	2012	2013	
Symbolic				
1. Normative statement	5	15	31	51
2. Aspirational target	1	4	18	23
3. Awards or recognition	23	20	39	82
Total	29	39	88	156
Substantive				
4. Internal activities	279	378	424	1.081
5. External activities	210	232	222	664
6. Assisting others	297	371	432	1.100
Total	786	981	1078	2845
Descriptive				
Descriptive	2	4	7	13
Other	31	70	141	242
Total	33	74	148	255

DISCUSSION

Overall, in relation to the research questions, this study provides evidence that the extent (quantity) and quality of CSERD increased every year between 2011 and 2013. This increase tends to reveal the CSERD was more substantive than symbolic. Based on the findings presented in Table 9, it can be seen that information related to internal

activities, external activities and assisting others was reported more often than symbolic information, such as normative statements, aspirational targets and awards or recognition between 2011 and 2013. From theoretical perspectives, the substantive nature of CSERD can be interpreted as a form of accountability to a company's stakeholders. Based on the results, this study suggests that the government regulations, especially Regulation Number 47 (2012), have an impact on the CSERD of Indonesian companies. In terms of institutional theory, this study suggests that the increase in the extent (quantity) and quality of CSERD might be affected by coercive isomorphism. An increase in the extent (quantity) and quality of CSERD between 2011 and 2013 might indicate that companies have responded to the government's pressure to comply with the regulations. As previously mentioned, the Indonesian government has issued a regulation that requires companies that operate in the field of natural resources (extractive sectors) to disclose their CSER activities in their annual reports, although mandatory disclosure standards do not exist. Therefore, companies are required to adopt a voluntary reporting standard, such as the GRI. Mimetic isomorphism can be seen when a company from a different industry reports its corporate social responsibility using the same standards and templates.

However, this study also found that disclosure of symbolic information tended to increase between 2011 and 2013. According to legitimacy theory, companies strive to inform their stakeholders in order to ensure that its operations adhere to the prevailing norms of society and the environment within which the company is located. Consistent with legitimacy theory, stakeholder theory suggests that the increase in disclosures might describe how committed a company is to maintaining a good relationship with its stakeholders by providing detailed CSER information in its annual report. Annual reports might be the most efficient way for organisations to signal this commitment to their stakeholders.

In summary, this study found that the primary motivation of Indonesian companies disclosing CSER information is influenced by institutional factors. However, the study's results also suggest that a company's motivation for CSERD is also driven by its desire to maintain legitimacy with its stakeholders. Soobaroyen and Ntim (2013) noted that social and environmental disclosure about HIV/AIDS in South Africa was motivated by the accountability demands of specific stakeholders to gain pragmatic and moral legitimacy. Gray (2010) and

Mahadeo et al. (2011) argued that companies might have different motivations for engaging in CSERD. In the context of Indonesia, Basalamah and Jermias (2005) argued that CSERD is conducted for strategic reasons. Gunawan (2007) suggested that companies were motivated to disclose in order to fulfil the requests of stakeholders and created a positive image of the company.

CONCLUSION

The following conclusions can be drawn based on the results of this content analysis, which was performed on 1129 annual reports of publicly listed companies on the Indonesia Stock Exchange. First, the extent (quantity) and quality of CSERD in Indonesia increased each year between 2011 and 2013. Second, the community involvement theme is the most disclosed item in the annual reports. Third, the financial services industry has the highest CSERD score both in terms of extent (quantity) and quality. Finally, the CSERD pattern is categorised as substantive since helping others, internal activities and external activities were the most common items found in the annual reports. The theoretical implication of this study is that an increase in the extent (quantity) and quality of the CSERD can be explained from the perspective of institutional, stakeholder and legitimacy theories. This finding suggests that these theories can be also applied to explain CSERD practice in the context of developing countries. This study also found that companies in the financial services industry disclosed more CSER information than companies in industrial sectors. This result provides a practical implication to government regulators to continue to encourage companies in the extractive industry (i.e. mining, agriculture and basic industry) to fully obey the guidelines as mandated in the government Regulation Number 47 (2012). Thus, although the CSERD of Indonesian companies is already substantive, institutional regulations are still required to maintain a climate that is conducive to CSRED activity.

Finally, this study has two limitations. First, the content analysis might contain subjective bias even though two experts validated the disclosure scores. Second, the checklist for the disclosure items might not be fully applicable to the Indonesian context because this study adopted a checklist of disclosure items from developed countries that might not fully represent the corporate social responsibility conditions in Indonesia.

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Eclectic Islamic Economic Law: Multiakad in Indonesia's Sharia Banking

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ABSTRACT

This study evaluates the enactment of multiakad principles in the Sharia Banking products within the frame of eclectic law. There are 13 Sharia Commercial Banks in Indonesia that offer 228 non multiakad products and 168 multiakad products. This study identifies factors behind the enactment of multiakad principles in Sharia Banking products and the model of eclectic law that it subscribes to. The study is based on library research. The data used for this research was obtained from reputable documents and online literature. The findings show that various factors surround the implementation of multiakad in Sharia Banking products in Indonesia: political, economic and law. There are three models of eclectic law in multiakad products in Sharia Banking in Indonesia, namely Eclectic Methodological Doctrine, Eclectic Style, and Eclectic Culture

Keywords: Eclectic Islamic economic law, eclectic style, eclectic culture, multiakad sharia banking

INTRODUCTION

Islamic finance philosophy propagates the nurturing of human resource competencies to safeguard stakeholder's interests towards achieving long term sustainability in Islamic banks (Nor et al., 2017).The diversity of human entities leads to the diversity of law models. In the context of legal philosophy, combinations of law model varieties is called the eclectic law. According to Arnold

A. Lazarus and Larry E. Beutler, "eclectic is straight forward, selecting what appears to be best in various doctrines, methods or styles" (Lazarus & Beutler, 1993).

The enactment of eclectic law in Indonesia takes place in the midst of people's lives and has become the people's choice. This is reflected in the incorporation of various elements of Islamic economic law in the concept of Sharia Banking products. In the context of Islamic economic law, it is called multiakad. According to the Financial Services Authority in July 2018, there are 13 Sharia Commercial Banks which cover 396 banking products which consists of 228 non multiakad products and 168 multiakad products (Financial Services Authority, 2018). This study focuses on two questions. Firstly, what are the factors behind the enactment of multiakad principles in Sharia Banking products in Indonesia and secondly what are the models of eclectic law in multiakad products in Sharia Banking in Indonesia.

LITERATURE REVIEW

Eclectic law refers to a combination of various principles, methods or styles of law that are formulated into a new law formulation. Eclectic law shares the same spirit with the concept of multiakad in Sharia Banking products. The early construction of the concept of multiakad was pioneered by Nazih Hammad. He stated that the basic principle of Islamic law was the ability to perform transactions of multiakad (Hammad, 2005). Hammad's concept was perfected by Abdullah Al-Imrani. Al-Imrani

devided multiakad into five types namely: (1) *al-uqud al-mutaqabilah*, (2) *al-uqud al-mujtami'ah*, (3) *al-uqud al-mutanaqidhah wa al-mutadhadah wa al-mutanafiyah*, (4) *al-uqud al-mukhtalifah*, and (5) *al-uqud al-mutajanisah* (Al-Imrani, 2006).

The earliest multiakad study in Indonesia was conducted by Hasanudin Maulana. He analyzed glimpses of its substance and methods that complied with sharia principles (Maulana, 2011). In the article titled *Al-Uqud al-Murakkabah in Sharia Economic Perspective*, Najamuddin focused on the debates among scholars on the legality of fiqhiyah's concept of multiakad (Najamuddin, 2013). Murtadho wrote *Fiqih Muamalah Model on Hybrid Contract Formulation,* where he examines multiakad in the frame of progressive modern Islamic law thinking (Murtadho, 2013). Under the perspective of Ali Amin Isfandiar, traditions can inspire the emergence of multiakad concepts (Isfandiar, 2013). According to Burhanudin Susamto, there are two types of multiakad; natural multiakad (*al-uqud al-murakkabah al-thabi'iyah*) and modified multiakad (*al-uqud al-murakkabah al-ta'dilah*). Both of them can be found in the fatwa on Sharia Banking (Susamto, 2016). Yosi Aryanti stated that ulama should formulate fatwa through a multiakad approach (Aryanti, 2017). In the article titled "Hybrid Contract Implementation on Take Over Sharia Banking Financing from Conventional Banks to Sharia Banks under perspective of Islamic Law", Distie Saraswati and Syamsul Hidayat focused on hybrid contract in the take over process

of Sharia Banking (Saraswati & Hidayat, 2017). Nurcholis Sjamsuddin asserts that the verification power of multiakad has not been seen in business contracts made in writing in the form of deed (Sjamsuddin, 2018). Sjamsuddin and all the authors above however did not discuss multiakad in the frame of eclectic law and they did not focus on the products issued by 13 Sharia Commercial Banks in Indonesia. This gap paves the way for this new study on the use of eclectic law in Sharia Banking.

METHODS

This study was based on library research. Data was obtained from reputable online literature and publications. The data collection and analysis in this study used the philosophy of law approach (Bekker & Zubair, 1990).

RESULTS

The Profile of Multi Akad Products in Sharia Banking in Indonesia

Based on Sharia Banking Statistics published by the Financial Services Authority in July 2018, there are 13 Sharia Commercial Banks (Table 1) (Financial Services Authority, 2018). Bank Aceh Sharia has 29 products, and 4 of the products contain multiakad (Bank Aceh Sharia, 2018). There are 24 products issued by Bank Muamalat Indonesia, 8 of them contain multiakad (Bank Muamalat Indonesia, 2018). Bank Victoria Sharia has 13 products, 5 of them contain multiakad (Bank Victoria Sharia, 2018). Bank Rakyat Indonesia (BRI) Sharia covers 25 products, 11 products apply multiakad (BRI Sharia, 2018). Bank Jabar Banten (BJB) Sharia has 19 products, 7 of them contain multiakad (Bank Jabar Banten Sharia, 2018).

Table1

Multiakad products within sharia commercial banks in Indonesia

No.	Name of Bank	Amount of Products	Non-Multiakad	Contains Multiakad
1	Bank Aceh Sharia	29	25	4
2	Bank Muamalat Indonesia	24	16	8
3	Bank Victoria Sharia	13	8	5
4	Bank Rakyat Indonesia (BRI) Sharia	25	14	11
5	Bank JabarBanten(BJB) Sharia	19	12	7
6	Bank National Indonesia (BNI)Sharia	53	14	39
7	Bank Sharia Mandiri	106	48	58
8	Bank Mega Sharia	22	18	4
9	Bank Panin Dubai Sharia	26	14	12
10	Bank ShariaBukopin	26	18	8
11	Bank Central Asia (BCA)Sharia	21	16	5
12	BTPNSharia	11	10	1
13	MaybankSharia Indonesia	21	15	6
	Total	396	228	168

Bank Nasional Indonesia (BNI) Sharia covers 53 products, 39 of them contain multiakad (BNI Sharia, 2018). In Bank Sharia Mandiri, there are 106 products, with 58 of them applying multiakad (Bank Sharia Mandiri, 2018). Bank Mega Sharia consists of 22 products, 4 of them contain multiakad (Bank Mega Sharia, 2018). Panin Dubai Sharia Bank has 26 products, 12 of them apply multiakad principles (Panin Dubai Sharia Bank, 2018). In Bank Sharia Bukopin, there are 26 products, 8 of them implement multiakad (Bank Sharia Bukopin, 2018). BCA Sharia covers 21 products, 5 of them apply multiakad (BCA Sharia, 2018). Bank Tabungan Pensiunan Nasional (BTPN) Sharia consists of 11 products but only one product applies multiakad (BTPN Sharia, 2018). Maybank Sharia Indonesia offers 21 products with 6 products applying multiakad (Maybank Sharia Indonesia, 2018).

DISCUSSION

Enactment Factors of Multiakad in Sharia Banking

There are various factors surrounding the enactment of multiakad in Sharia Banking products. *First*, is the political factor. There are two determinants for politics: negative-pejorative-destructive and positive-constructive-legitimative. In the negative-pejorative-destructive context, politics has the power and way to undermine the people's prosperity and nation (Yasin, 2018). In this study, politics is interpreted as positive-constructive-legitimative, ie the powers and strategies to achieve prosperity among human beings. According to Mohd

Syakir bin Mohd Rosdi, Islamic political economy emphasizes on both spiritual and material development (Rosdi, 2015). Under the perspective of Muhammad al-Buraey, without political power, economic systems can not be realized (Al-Buraey, 1986). Without politics, there will not be Bank Muamalat Indonesia (Sasono, 2000) and all Sharia Banking in Indonesia. *The second* factor is the economic factor. Economic factors emerged as a consequence of the Indonesian nation as an economic entity. Humans as the economic being is represented by the interdependence of economic attitude among others to meet the needs of life. *The third* factor is law. The emergence of Sharia Banking products cannot be separated from positive law factors and Islamic law as framed in the fatwa of National Sharia Council–The Council of Indonesian Ulama (DSN-MUI). Politics, economic, and law factors in the enactment of Sharia within Banking products can also be observed by reviewing the commitment of the Indonesian Presidents towards the development of Sharia Banking.

In the era of President Soekarno, there was no Sharia Commercial Bank in Indonesia. Sharia Commercial Bank was started in the era of President Soeharto, namely Bank Muamalat Indonesia (BMI). BMI refers to Law Number 7 Year 1992 on Banking which promotes the term "profit sharing" (Sekretariat Kabinet RI, 1992). Under the perspective of Jurna Petri Roszi, the new order is based on the state's political creation using the concept of Pancasila state and harmonizing Islamic

values (Roszi, 2017). In the era of President Habibie, Law Number 10 Year 1998 on the amendment to Law Number 7 Year 1992 on Banking was introduced. This law no longer uses the term "profit sharing principle" and adopted the term "Islamic banking" (Sekretariat Kabinet RI, 1998). Nadirsyah Hosen stated that in the era of Habibie began the process of developing a new political system and creation of a new legal framework. Those laws were a reflection of political compromise and therefore did not meet the demands for genuine reform, only promoting good governance and the rule of law (Hosen, 1999). However, Habibie sought to realize economic reform (Marks, 2009).

In the era of President Abdurrahman Wahid there was one new Sharia Commercial Bank that was established, namely Bank Sharia Mandiri. During his era, foundation for law reformation was enacted. According to Saefur Rochmat, President Abdurrahman Wahid already tried to unify the modern system of knowledge to the Islamic one by employing the fiqh paradigm (Rochmat, 2017). In the era of President Megawati there were two new Sharia Commercial Banks established, namely May Bank Sharia 2003 and Bank Mega Sharia 2004. Ulla Fionna and Dirk Tomsa asserted that Megawati's grip on internal party matters is unique among the core parties (Fionna & Tomsa, 2017). During Megawati's period of rule, Indonesia began facing problems due to the emergence of radical Islamist groups (Sirozi, 2006).

In the era of Yudoyono, there were eight Sharia Commercial Banks, ie; Bank Aceh Sharia 2006, Bank Rakyat Indonesia Sharia 2008, Bank Sharia Bukopin 2008, Bank Panin Dubai Sharia 2009, Bank Jabar Banten Sharia 2010, Bank National Indonesia Sharia 2010, Bank Central Asia Sharia 2010, and Bank Victoria Sharia 2010. According to Aleksius Jemadu, Yudoyono had to face at least two main challenges during his presidency in the implementation of good governance in Indonesia (Jemadu, 2017). In this era, the term "sharia economic" increasingly gained recognition in line with the issuance of Law Number 3 Year 2006 on Religious Courts. The position of the term "sharia economic" got stronger in the national legal system which was marked by the issuance of Law Number 21 Year 2008 on Sharia Banking (Sekretariat Kabinet RI, 2008).

In the era of President JokoWidodo there was one Sharia Commercial Bank opened, namely Bank Tabungan Pembangunan Nasional (BTPN) Sharia, and this was in 2014.According to Aleksius Jemadu, Widodo's political capital may also come from his reputation as a populist leader. He enjoys maintaining close relationships with many civil society activists (Jemadu, 2017). To harmonize the Law, President Joko Widodo established the National Committee of Sharia Financial on January 5, 2016.

The Models of Eclectic Law within Multiakad in Sharia Banking

The innovation of Sharia Banking products continue to grow rapidly. Multiakad as

an approach to the dinamization of new products of Sharia Banking continues. Within the frame of the philosophy of law, this reality is in line with the concept of eclectic law. According to Sultan H. Alharbi, "the eclectic approach stresses using a variety of methodologies and approaches, choosing techniques from each method" (Alharbi, 2017). Alessandra Arcuri stated that eclecticism was a paradigm open to a variety of methodologies, doctrines and styles (Arcuri, 2008). Arnold A. Lazarus and Larry E. Beutler stressed that eclecticism was straight forward, selecting what appeared to be the best in various doctrines, methods, or styles (Lazarus & Beutler, 1993). Under the perspective of Eric Datu Agustin, the eclectic legal theory is the approach to theorizing what seems best among the various competing theories whereby their variants are selected to answer persistent and pressing problems in the legal theory (Agustin, 2016). According to William A. Reppy Jr., eclecticism is an approach used by the court from two or more distinct choices of law methods or a part of those methods in deciding a law issue (Reppy Jr., 1983). Based on the core ideas above, the analysis of multiakad in the frame of eclectic law is mapped into eclectic methodological doctrine, eclectic style and eclectic culture .

Eclectic Methodological Doctrine

Eclectic Methodological Doctrine is characterized by the use of various doctrines and methods of ijtihad and methods of interpretation in the multiakad formulation. The implementation of multiakad products

in Sharia Banking is always based on Bank Indonesia's Regulation (PBI). The substance of PBI always adopts the fatwa of National Sharia Council–The Council of Indonesian Ulama (DSN-MUI). This condition illustrates that Bank Indonesia is a regulator that uses sociological method, namely the method of law interpretation based on the conditions faced with the aim to harmonize various laws within the field of arrangement including all the problems of law which are relevant. Bank Indonesia also uses a systematic method interpretation which always harmonizes with the fatwa of DSN-MUI.

According to Ma'ruf Amin, there is a standard mechanism used by DSN-MUI to formulate a fatwa on economic sharia including the fatwa on Sharia Banking. The majority of fatwa of DSN-MUI uses the Islamic law solution method (*makharij fiqhiyah*). There are four methods of ijtihad used simultaneously to formulate and establish the fatwa of DSN-MUI, namely *al-taysir al-manhaji, tafriq al-halal 'an al-haram, i'adah al-nadhar, and tahqiq al-manath* (Amin, 2017).

First is the method of *al-taysir al-manhaji*, which selects the lightest argument (*at-taisir*) that is relevant to the applicable method (*manhaj*). The use of *al-taysir al-manhaji* method is done proportionally and not excessively (*al-mubalaghah fi al-taysir*) in order to avoid the belittling behavior (*al-tasahul*) of Islamic law. The second method is *at-tafriq baina al-halal wal haram* which is used to separate halal and non-halal property.Third is the method

of *i'adah al-nazhar*, ie the reinterpretation of the classical ulama's opinion which was once considered irrelevant as it is considered difficult to implement (*ta'assur, ta'adzdzur aw shu'ubah al-amal*). Reinterpretation in the form of testing the opinion of *mu'tamad,* reconsidering law opinions that had been considered weak. Fourth*,* is the *tahqiq al-manath* method (review of the determination of law reasons). This method is used to analyze the presence or absence of law arguments in a case (Amin, 2017). The use of the four methods are relevant to the principle in sharia economic law whereby "all business activities are permissible, unless there is a proposition that forbid it (*al-ashl fi al-mu'amalat al-ibahahhattayadull al-dalil 'ala al-tahrim*)".

Eclectic Style

Eclectic Style in Sharia Banking products in Indonesia is characterized by the use of law formulation. There are three thoughts related to the interconnection between law and human action. The first relates to the philosophical differences. Some Islamic law scholars hold on to the rational paradigm that the source of Sharia Banking product formulation is contemplation. However, other law scholars describe it through the empiric paradigm that the formulation of Sharia Banking products must refer to the practice of people. The second reason is the terminological difference. Several Islamic law scholars formulated Sharia Banking products based on the purpose of the law while several others based it on the function of the law, or on the system of law.

The third is the socio historical differences, namely differences in social and intellectual background. Every social environment in Indonesia contributes to the construction of one's thinking.

Surah Ali Imron verse 112 affirms that there is a necessity for man to always be loyal to the law of Allah (*hablmin Allah*) and loyal to the agreement of humanity (*hablmin al-nas*), so that human civilization can be realized in dignity and justice. In line with this, Thomas Aquinas as quoted by Bernard L. Tanya, Yoan N. Simanjutak and Markus Y. Hage asserted that there were two positive laws: *divinum positivum* and *humanum positivum* (Tanya et al., 2007). The law imposed in this study is *hablmin al-nas* (*humanum positivum*) which is imbued by *habl min Allah* (*divinum positivum*). *Hab lmin al-nas (humanum positivum)* encourages people to design patterns of relationships among others in a constructive and sustainable way. Thus, it appears to affect each other and between one and another law entity.

Marcus Tullius Cicero as quoted by David B. Kopel, Paul Gallant and Joanne D. Eisen stated that *ubi societas ibi ius,* where there is society there is law (Kopel et al., 2007). Cicero's concept shows that the style of relation between law and the non-law aspects is patterned inductively (bottom up), ie non-law realities (such as social and economic realities) precede the law. Lawrence M. Friedman asserted that one of the functions of law is to perform social engineering (Friedman, 1975). It illustrates that style of relation between law

and non law aspect is of deductive character (top down). The aspects of inductive style (*bottom up*) and the deductive style (*top down*) in multiakad products can be traced to the socio economic reality that underlies the issue of fatwa by DSN-MUI.

Eclectic Culture

Eclectic Culture is characterized by the use of various cultures in the formulation of multiakad. The various cultures that contribute to multiakad products are the cultures or business traditions of the society which in law terms is called living law and the gobal tradition is usually absorbed into the Constitution of the State through interaction of civilizations. Under the perspective of Karomani, communication is loaded with pragmatism and idealism (Karomani, 2017). Sreethi Nair stated that time is irreplaceable and irreversible. The way we select to spend our time determines the quality of our lives. As far as an individual is concerned, time plays a major role (Nair, 2017). According to Rudolph von Jhering as quoted by Bernard L. Tanya, Yoan N. Simanjutak and Markus Y. Hage, the law is indeed the soul of a nation. Others are the result of the adoption of the outer elements, both as a result of association with other nations and because the nation has interest in that external element (Tanya et al., 2007).

Jhering's idea shows that departing from the original reality of a nation is often referred to as living law. The formation of law requires creative and fair modification. In this regard, Paul Scholten says, as quoted by Rahardjo that the sistematisize and construction method taken as the development of logical reasoning methods is the only decisive method. Scholten proposed three loads for law construction. *First*, the construction must be able to cover the entire field of positive law in question. *Secondly*, there can be no logical contradictions in it. *Third*, the construction should meet the beauty of the land (Rahardjo, 1991). According to Rahardjo, the purpose of beauty here is that the law is not something that is made carelessly but constructed with clarity. Furthermore, it may be possible to combine new rules to create new insights (Rahardjo, 1991), including interconnections or law integration.

The existence of local culture in Sharia Banking products is mentioned in the statements of President Soeharto and Thobi Muttis. According to Soeharto, the approval of the establishment of Sharia Banking in Indonesia is because Sharia Banking uses the principle of profit sharing (*mudaraba*). The concept of profit sharing is in harmony with the great tradition of Indonesian people who are accustomed to the life of *gotong royong*. According to Thoby Mutis, Rector of Trisakti University of Jakarta, Sharia Banking is very good because there is openness and honesty in the Islamic economy. Furthermore, he explains that the concept of profit sharing has already been used since the past and is now being continued. This concept requires honesty and openness in cooperation and it is very good if it is applied in the business sector. Thobi Mutis' support to Sharia Banking is

also due to the fact that the sharia here does not contradict with customary laws (Yasin, 2016). Suharto and Thoby Mutis both saw a cultural dimension in the products of Sharia Banking. Cultural assimilation between local culture (local wisdom) and global culture in the form of new flows of Islamic economics internationally has given rise to a new face for Sharia Banking products in the treasury of Indonesian national banking.

CONCLUSION

Based on the above description and analysis, there are two significant conclusions. *First*, there are various factors surrounding the implementation of multiakad products in sharia banking in Indonesia. The political factor is characterized by the support of the president in the development of sharia banking. Economic factors emerged as a consequence of the dynamics of economic life of the Indonesian nation. Law factors show that the emergence of regulations of Sharia Banking contribute to the implementation of multiakad products in Sharia Banking.

Second, there are three models of eclectic law in multiakad products in Sharia Banking in Indonesia, namely eclectic methodological doctrine, eclectic style and eclectic culture. Eclectic methodological doctrine is a combination of doctrines and methods in the formulation of multiakad products. Eclectic Style is characterized by the use of the force of law formulation. In this study there are two styles of multiakad product formulation identified, namely inductive bottom up style and top down deductive style. Eclectic culture is characterized by the use of local culture and global culture in the formulation of multiakad.

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Assessing the Effect of Managerial Power on Firm Performance through the Perceptual Lens of Executive Remuneration

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ABSTRACT

Executives or top management in any organization play the central role in designing firms' policies including their own remuneration, investments and capital related decisions. Due to their prime importance, executives have greater access to all important information related to organizations. If such personals have greater control over the board or organization, it alludes as managerial power. Concisely, if managerial power is high then the management may misuse such information for their personal benefits. Therefore, considering the importance of managerial power, the current study aims to investigate the effects of managerial power and executive remuneration on firm performance. In order to empirically test the proposed relationships, the current study applied PLS-SEM approach by using the data of Sugar & Allied industry of Pakistan Stock Exchange for the year 2014. The results of the current study indicated that direct effect of managerial power on firm performance did not exist, however, the empirical findings showed that managerial power had a significant effect on executive remuneration. Furthermore, managerial power also significantly influenced the firm performance through the executive remuneration or remuneration mediated the relationship between managerial power and firm performance. Therefore, the current study suggests that firm should take necessary actions to reduce the managerial power and design the pay of top management in a way that any harmful action of managers against the firm's wealth would significantly affect their own benefits.

Keywords: Executive remuneration, firm performance, managerial power, reflective & formative measurement scale

INTRODUCTION

As the top management or executives are involved in all major decisions of any organizations, their sincerity and attention are critical to the success and failure of organizations. Due to their prime importance in any organization executives, they must be rewarded sufficiently and executive remuneration must be properly designed, because excessive remuneration can lead to excessive risk-taking and persuade executives towards corporate voracity. Therefore, executive remuneration gets more importance and public interest after global financial crises. These financial crises emphasize on developing a regulatory framework that will provide greater accountability and transparency of executives' remuneration. Moreover, shareholders, stakeholders, institutional investors and the public at large are more concerned about the remuneration of executives and directors. Thus, governments of all OECD countries focus on introducing a mechanism that will better align the interest of executives with shareholders and firm's performance (Ozkan, 2011). In short, executives' remuneration is a critical element of a firm's internal governance system.

According to motivation theory, managers can be motivated through their rewards (Jensen & Murphy, 1990), as rewards encourage them to give their best in order to achieve firms' objectives and take decisions which are beneficial for shareholders (Jensen & Meckling, 1976). Consequently, remuneration plays a critical

role in retaining and attracting competitive people (Conyon, 2006). Conyon (2006) further added that satisfactory executives' remuneration motivates them to effectively implement firm strategies in order to achieve its goals efficiently (Conyon, 2006). In general practice, the key elements of executive's remuneration are: fixed remuneration (typically consisting of a salary), bonuses (generally include all the short-term rewards), long-term incentives including all stock options and deferred stock remuneration, others including all the other remuneration i.e. insurance, retirement benefits, club membership and so on (Combs et al., 2007).

Additionally, most of the existing studies of executive's remuneration have been motivated by theories of firms. According to the neoclassical economic theory, profit maximization is the central objective of every organization because it generates monetary benefits for both shareholders and managers (Jensen & Meckling, 1976). Though, managers or executives are in power to control the firm when firms are owned by separate owners than managers. Separation of ownership creates sufficient space for executives to work for their own interest at the expense of shareholder rather to focus on value maximization of the firm (Jensen & Meckling, 1976). Crudest classic agency problem refers that objectives of principal and agents are not consistent, therefore, managers may adopt optimistic behavior to maximize their own wealth (Jensen & Meckling, 1976). Hence, extraordinary remuneration of the executives

can be helpful to discourage optimistic behaviors, and it enhances the incentive remuneration in various forms (Ozkan, 2011). Besides, in the absence of attractive incentives executives are unwilling to work for the value maximizing of principals. In this relation, Ozkan (2011) also said that the top officials apparently had the most control over firm's decisions and accordingly their remuneration ought to be most firmly tied to the performance of the firm. Moreover, the chief executive's remuneration is more sensitive to performance than the remuneration of other executives (Wallsten, 2000).

Most of the previous studies come from developed countries (Gregory-Smith, 2012; Li & Qian, 2011) and emphasise on optimal contracting approach, thus, the results of these studies are not generalizable especially for underdeveloped countries such as Pakistan. Therefore, the key intention of the authors in the current study is to provide a simple, theoretical and empirical analysis of how managerial power and executive remuneration affects firm performance in Pakistan. Moreover, the current study is different from other studies as it used data from listed companies in Pakistan stock exchange to investigate the proposed model. As there is limited existing literature on executives' remuneration and supporting theories in the context of Pakistani firms. Secondly, this study focuses on managerial power to analyze its influence on remuneration by using a comprehensive set of dimensions that reflect the managerial power. Hardly any study provides evidence

that managerial power strongly affects firm performance. The current study is trying to bridge this gap by investigating the relationship between managerial power and firm performance and is expecting a significant direct and indirect effect of managerial power on firm performance. This study also proposes a significant relationship between executive remuneration and firm performance as well as this study also investigates the mediating role of executive remuneration between managerial power and firm performance.

LITERATURE REVIEW

Managerial power depends upon various factors, these factors are elaborated in this section. According to Bebchuk et al. (2002), managerial power approach as part of agency issues refers that executives artfully use their remuneration for granting themselves more rents. Managerial power theory has its roots in 1932 when Berle and Means proposed that political and social forces played an important role in executives' remuneration arrangements. Moreover, Schneider (2013) argued that CEOs had greater power when independent directors were appointed by the CEOs. They had the same status, or they had cross board (interlocking) relations and directors were affiliated with each other through a specific social and psychological mechanism. Hence, such directors give sufficient space to CEOs and executives team to influence their own remuneration rather than to set remuneration using arm's length approach. According to Schneider (2013), most

powerful CEOs generally increase their own remuneration and directors with relational bonding with CEOs most habitually favor CEOs. In other words, CEOs are only able to significantly influence the board if there is a greater number of affiliated directors sitting on the board. For instance, an affiliated independent director may show sympathy with CEO due to the same status, or he/she is the friend of CEO (Bebchuk et al., 2002). In this case, such directors might be in gratitude to the CEO in return (Li & Qian, 2011). Similarly, Larcker et al. (2005) added that the affiliation of CEO with remuneration committee members led to high remuneration and as a result, the poor performance of the firm occured. In this connection, Callahan et al. (2003) reported a positive relationship between CEOs' involvement in the selection process of directors and lower firm performance.

However, affiliated directors taking a stand against the poorly performing CEOs might be able to fire such CEO. On the other hand, if the CEO performed effectively, directors most commonly tend to support the CEO in every decision (Bebchuk et al., 2002). According to Choe et al. (2009), the excessive pay of executives that they extract due to their power refers to the rents. Admittedly, managerial power and rent extraction are interlinked, therefore, followers of managerial power approach reported a relationship between managerial power and rent extraction (Bebchuk et al., 2002; Chalmers et al., 2006). Consequently, if CEOs owned a large share of the firm then he will have more power to influence the decisions of directors' nomination and on their governance quality (Pinto & Leal, 2013). Contrarily, low shares owned by the CEOs or executives lead towards lower managerial power and other block shareholders play a crucial monitoring role to discourage CEO power (Weisbach, 2006). A high percentage of shares owned by the chief executive tends to increase executive power and vice versa (Agrawal & Nasser, 2012; Weisbach, 2006; Bebchuk & Fired, 2004).

Furthermore, the board size also adds some restrictions on managerial power (Adams et al., 2005; Ozkan, 2011). Past studies provided enough evidence that larger board was unable to make quick decisions due to coordination problem and caused greater managerial power (Ozkan, 2011), as the size of board increased, the monitoring efficiency of that board decreased. Likewise, while talking about firm performance, scholars reported a positive relationship between firm performance and smaller boards (Conyon & Peck, 1998; Yermack, 1996). According to Li and Qian (2011), the norms of behaviors in most boardrooms are dysfunctional and this problem becomes severe with the large size of the board. In contrast, Fich and Shivdasani (2006) argued that a larger board and greater representation of insider executives on the board might increase the value of a firm. Researchers stated that a larger board was a source of diverse information needed to handle complex problems (Conyon & Peck, 1998).

Moreover, managerial power also increases with CEO duality, numerous studies reported that CEO duality had

some benefits as well as some potential rents (Brickley et al., 1997). However, the cost of CEO duality is greater than the benefits. Some studies reported a negative relationship between firm performance and CEO duality (Bhagat & Bolton, 2008). In contrast, Core et al., (1999) reported a positive relationship between duality and firm performance as well as several studies also found an insignificant relationship between CEO duality and firm performance (Adams et al., 2005). Additionally, CEO centrality is measured through the index of corporate governance developed by Bebchuk et al., (2007), their findings reported a negative relationship between CEO centrality and firm performance. They measured CEO centrality as the average of the top five executive's remuneration and power. Additionally, CEO tenure is also considered as another important factor of managerial power. Previous studies documented that longer tenure of CEOs had greater influence over the board as they had more information about the firms (Gregg et al., 2005). Longer-tenured CEOs have a greater affiliation with their team and board members. Thus, CEOs with entrenched tenure cause greater managerial power, which results in high remuneration and poor firm performance (Nourayi & Mintz, 2008).

Besides, numerous studies reported that firms used different non-financial and financial measures to determine the executive's remuneration, however, some firms prefered to rely on the single use of measures like economic value-added, earnings before interest and tax, net income

and sales growth (Murphy, 1999). They also asserted that executive's remuneration varies across industries, firms and countries. Likewise, pay practices sharply changed over time, with the passage of time, There were more pay practices and various forms of remuneration are introduced in businesses. according to Murphy and Zabojnik (2004), people expect that the increase in the pay of CEO is due to the increased power of managers over the corporate board. Their study further added that this increase in power allowed the CEOs to extract more rent from the company's shareholders and offered a market-based justification for the rent extraction because rent extraction was not justifiable in business. Thus, a good justification of excessive executives' remuneration is that the importance of general skills is increased, as opposed to firm-specific knowledge to manage modern corporations (Murphy & Zabojnik, 2004).

Hypotheses Development

Managerial Power and Firm Performance. In the current study, number of proxies has been used to measure the managerial power. These measures are concisely discussed in the following section. A stream of strategic management studies highlighted the importance of top executives for firm performance. Followers of managerial power theory stated that when executives had greater power over the board, they had less concern with firm performance (Bebchuk & Fried, 2004) because their wealth is less sensitive to firm performance. However, only a few determinants of managerial power

has been studied in the existing literature with firm performance. For instance, some researchers provide evidence that there is a positive relationship between the smaller board and firm performance (Combs et al., 2007). Most of the boardrooms are dysfunctional in this phenomenon, directors are unable to criticize the CEO's decisions and this situation becomes more severe with the larger board size. Similarly, other studies found a positive relationship between less CEO appointed directors on board and firm performance (Bhagat & Black, 2001; Combs et al., 2007). Numerous researchers claimed that there is no relationship (Bhagat & Black, 2001) or a negative association between firm performance and the proportion of independent directors on board (Combs et al., 2007). Furthermore, Combs et al. (2007) also stated that independent outside directors were appointed to board for reducing the CEO power because outside directors were supposed to play the best monitoring role. Therefore, greater number of outside directors causes better firm performance. Moreover, Michel and Hambrick (1992) reported a relationship between executive functional background and firm performance. Consequently, with regards to the association between CEO duality and firm performance, a researcher reported a potential cost of duality. A negative relationship between firm performance and CEO duality was reported by Bhagat and Black (2001). While Adams et al., (2005) found that there was an insignificant relationship between firm performance and CEO duality. In summary, previous studies were unable to provide any conclusion regarding the relationship between managerial power and firm performance, thus, current study hypothesized that:

Hypothesis 1: Managerial power has a significant effect on firm performance.

Managerial Power and Executive Remuneration. Additionally, two perceptions of executives' remuneration are discussed namely, optimal contracting view and rent-seeking view. Here, optimal contracts refer to the contracts in which executive's remuneration is decided under arm's length agreement between the corporate board and executives (Bebchuk & Fried, 2003; Jensen & Meckling, 1976). It is further added that such contracts are more effective to reduce agency problems. Contrarily, scholars of rent-seeking view said that in this type of contracts, CEOs and executives are able to influence their own remuneration process (Bebchuk & Fried, 2003). Thus, they maximize their own benefits at the cost of shareholders. Another study argued that under rent-seeking approach, more powerful and longer-tenured executives extract benefits from shareholders (Choe et al., 2009). Since CEOs have some power over board members and executives (Bebchuk & Fried, 2003, 2004; Bebchuk et al., 2002).

In other words, the rent-seeking process allows more powerful chief executives to grant themselves more secured pay (less pay-for-performance). The only limitation

in the rent-seeking faced by executives is outrage constraint that limits the massive increase in pay (Bebchuk & Fried, 2003; Choe et al., 2009). These arguments provide support for the implication of the managerial power theory. According to this theory, high managerial power leads towards low pay for performance sensitivity and increase in overall pay results in low firm performance. Thus, the managerial power theory has great importance in economic literature because it considers the power of top managers and then analyzes the ability of powerful managers to extract rents at the expense of shareholders (Bebchuk et al., 2002). Unfortunately, most of the existing literature paid more consideration to optimal contracting approach while studying executives' remuneration and hardly paid any attention to the managerial power approach (Bebchuk & Fried, 2006). Therefore, this study hypothesized that:

>   **Hypothesis 2**: Managerial power has a significant impact on executive remuneration.

Executive Remuneration as Mediator. According to agency theory, the board of directors is appointed to monitor the actions of executives, fairly reward them in terms of remuneration and put constraints on managerial power (Van Essen et al., 2012). Agency theory assumes that executives are self-interested (Jensen & Murphy, 1990; Van Essen et al., 2012) then it can also be assumed that directors may also be self-interested (Bebchuk & Fried, 2004). Thus,

self-interested directors do not play their monitoring role honestly due to their social bonding with the board and encouraging optimistic behavior of managers.

Moreover, managerial power theory stated that embedding of two important decision power authorities into one lead to more power (Ozkan, 2011) and CEOs with the dual role are more prone to extract rents from shareholders by manipulating their own pay contracts. Westphal and Zajac (1995) said that CEO with dual authorities had significant power over the nomination process of directors. According to Kaplan and Rauh (2010), CEO with more power could be able to change the pay contracts.

Furthermore, CEO tenure is another determinant of managerial power. Bebchuk and Fried (2006) stated that CEOs with longer tenure had more experience and information about the board and firm, thus, they were able to influence the decisions of the board of directors. Such CEOs, also influence the decision of remuneration committee. On the words of Yermack (1996), if remuneration committee was chaired by a director who was appointed after the appointment of CEO, such directors tended to feel sympathy with CEO and favored the excessive pay for CEO without any justification. Additionally, Gregg et al. (2005) reported a weak relationship between firm performance and longer-tenured CEOs.

Additionally, with regard to the board size, Bebchuk and Fried (2004) find that as the board size increases the performance of board starts decreasing due to the delay in decisions, lack of unity among board

members and lack of communication. Thus, following problems with the larger board allow CEOs to have more power over the board and they will have more control over their pay process (O'Reilly & Main, 2010; Yermack, 1996). Finally, the proportion of independent directors on the board critically examines the activities performed by the managers or CEOs with respect to their reward as independent directors are appointed to monitor the CEOs performance (Ozkan, 2011). Additionally, they align the executive's incentives with shareholder's interest in such a way that optimistic behavior also brings the cost to executives.

Conclusively, previous studies provide evidence for the direct relationship between managerial power, executive remuneration and firm performance. However, as per the literature review, no previous research study examined the firm performance using executive remuneration as mediator. Thus, following traditional wisdom behind the moderation (independent variables have a significant relationship with both mediator and dependent variables and mediator variable must have a significant relationship with the dependent variable), this study hypothesized that:

Hypothesis 3: Executive remuneration plays a mediating role between managerial power and firm performance.

METHODS

This study used the data of Sugar & Allied Industry of Pakistan Stock Exchange. This sector comprises 34 firms and all the firms are taken in the current study to test hypothesized relationships. In this regard, required data was obtained from annual reports, 4-traders, Bloomberg and from LinkedIn websites. As most of the firms did not provide their director's profiles, therefore, information related to corporate governance is obtained from other sources as mentioned above. Meanwhile, data of firm performance is extracted from annual reports of the firms, which were downloaded from the company's official websites for the year 2014. The current study used three measures of executive remuneration: equity remuneration (option and stock grants), fixed salary, and short-term remuneration (one-year bonus). Like the previous studies, this study used ratios of equity remuneration, short-term remuneration and fix salary to total remuneration. Then log of all these ratios was taken because the values were highly skewed. Executive remuneration includes remuneration of all top executives.

Moreover, firm performance is measured by using ROA and ROE (log of total assets), and managerial power is measured by using the following items; CEO duality, CEO age, tenure (number of years as CEO of the current firm), shares of CEO, CEO appointed directors, board size, and independent directors. Measurement of dependent and independent variables were adopted from the study of Van Essen et al. (2012).

The current research applied PLS-SEM technique to analyze the proposed model, as PLS-SEM is a nonparametric technique, it accurately deals with small sample size,

skewed data as well as complex and large models (Hair et al., 2014a). As in the case of current research, the sample size is small, so it can easily be handled in PLS-SEM. According to the requirements of the PLS-SEM, the required sample size must be ten times the number of arrows pointing at a construct in a model (Hair et al., 2014a). Another reason to use PLS-SEM is that it deals very well with complex models which includes mediation or moderation and provide both the direct and indirect effects (Hair et al., 2014a). Most importantly, this research includes a formative construct in the proposed model, and PLS-SEM is the most appropriate method to deal with a formative construct (Hair et al., 2014b). Additionally, due to small sample size, data used in the current research is non-normal, thus, another reason behind the application of PLS-SEM is that it accommodates the skewed data (Hair et al., 2014b).

Furthermore, in the current study, two constructs are measured as reflective, namely, managerial power and firm performance, however, managerial remuneration is measured as a formative construct with three indicators. A formative construct is composed of its items and any change in the items may change the whole domain of the construct (Hair et al., 2014a), thus, in case of executive remuneration, the current study used all the major elements of remuneration which collectively contribute in remuneration. Hence, drop of any of these measures of remuneration affects the remuneration construct and the evaluation of the construct will be biased. While considering the nature of formative construct and nature of remuneration, the current research measured the executive remuneration as a formative construct. The research framework of the current study is shown in Figure 1.

RESULTS AND DISCUSSION

Reflective Measurement Scale

The quality of reflective scale constructs can be assessed through three quality criteria such as Cronbach's alpha to measure internal consistency, the value of average variance extracted (AVE) and convergent validity. To evaluate the reliability of reflective construct's items, inter-correlation among indicators is assessed using the traditional criterion approach of Cronbach's
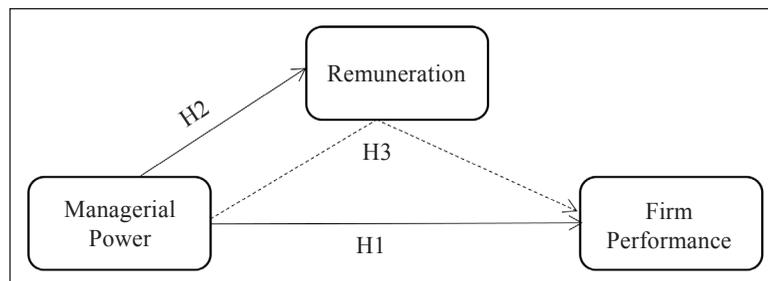

Figure 1. Research framework

alpha. The words of Hair et al. (2014b) about the cut off point for Cronbach's alpha in advanced researches is ranged between 0.70 to 0.90, but in exploratory researches, acceptable values are ranged between 0.60 to 0.70. Another measure of internal consistency is Composite Reliability (CR), the rule of thumb for it is the same as for the Cronbach's alpha. However, internal consistency measure is not applicable to formatively measured construct. In addition, AVE and convergent validity are evaluated using outer loadings of indicators. If the value of AVE $\geq$ 0.50 then it reflects that the AVE is average and reflective construct explains almost half of the variance of its indicators. Contrarily, if the value of AVE <0.50 then it indicates that variance explained by the construct is below average and the more proportion is consisting of errors (Hair et al., 2014b).

Formative Measurement Scale

Reliability test for formative constructs is assessed through meeting the assumption of multicollinearity and validity is assessed through the significance of outer weights of indicators. Multicollinearity is tested using the Variance Inflation Factor (VIF) measure. According to researchers, the value of VIF must be less than 5 and greater than 1 (Hair et al., 2014b). Table 1 illustrates the results of the measurement model.

Table 1 indicates the Cronbach alpha and CR values of reflective constructs which meet the recommended criteria of reliability.

Table 1
Results of measurement model

Variables	Items	Items Outer Loadings	Items-Outer Weights	t-statistics	VIF	Cronbach Alpha	CR	AVE
Managerial Power	CEO duality	0.698***		32.485		**0.90**	**0.878**	**0.680**
	CEO age	0.878***		42.573				
	CEO tenure	0.891***		23.433				
	CEO shares	0.788***		18.735				
	CEO appointed directors	0.870***		14.165				
	Board size	0.899***		46.029				
	Board independence	0.573***		4.822				
Firm Performance	ROA	0.644***		10.034		**0.77**	0.742	**0.608**
	ROE	0.755***		10.500				
Remuneration	Cash		0.866***	5.630	1.861			
	Equity		0.695***	3.299	1.732			
	STI		0.869***	5.667	3.200			

*p < 0.1; **p < 0.05; *** p < 0.01

The findings show that all items are equally reliable and independent. The value of AVE is also greater than the average which means that both reflective constructs explain more than the half variance. Additionally, outer loadings of all indicators are statistically significant which confirms the discriminant validity. Similarly, the results of formative construct meet the cutoff criteria, VIF value of all indicators of formative constructs is less than 5 as prescribed by the Hair et al., (2014b) and outer weights of indicators are statistically significant which confirms the reliability and validity of formative construct.

Discriminant Validity

There is a most common method to evaluate the discriminant validity of the constructs introduced by the Fornell and Larcker (1981). Discriminant validity is confirmed by the higher diagonal value of the reflective constructs. If the diagonal values of each construct are greater than its corresponding row and column then it confirms the discriminant validity of the reflective measurement model. However, this method is not appropriate for the formative scale. The results of discriminant validity are depicted in Table 2.

Structural Model

In this section results of the structural model of PLS-SEM are analyzed using the prescribed criteria by previous researchers. Firstly, the PLS model is run without a mediator variable. Theoretically, a variable can be used as a mediator if it fulfills the criteria proposed by the Baron and Kenny (1986). These criteria are as follows:

- Change in the independent variable causes a significant change in the mediator variable.
- Change in mediator variable causes a significant change in a dependent variable.
- After adding a mediator variable in the model, the previously established significant relationship between the predictor variable and criterion variable significantly change its values.

Accordingly Helm et al. (2010) and Sobel (1982) tests are the most common approach for testing the mediating effect. Sobel test scrutinizes the casual relationship between the predictor variable and criterion variable before and after including the mediator variable (Hair et al., 2014a, 2014b). However, Sobel (1982) test has some limitations as it deals with the normal distributions, requires unstandardized path

Table 2
Discriminant validity

	Firm Performance	Managerial Power	Remuneration
Firm Performance	**0.780**		
Managerial Power	0.839	**0.825**	
Remuneration	0.904	0.795	**Formative Construct**

coefficients and lacks statistical power (Hair et al., 2014a, 2014b). These problems become more crucial when it is applied to the small sample (Hair et al., 2014a).

Thus, the current study follows the Preacher and Hayes (2008) bootstrapping sampling distribution technique to test the mediating effect. This technique does not need normal distribution, greater statistical power and can be applicable to small sample size, therefore, best suited to PLS-SEM approach. Mediator analysis is done by following the procedure described by Hair et al. (2014a).

Significance of Direct and Indirect Path Coefficient

Table 3 depicts the significance of direct path coefficients.

Table 3
Path coefficient without mediator

Path	β Coefficients	*t*-Statistics
MP → FP	-0.832***	35.507
MP → REMU	0.910***	44.362

MP= Managerial Power, FP= Firm Performance, REMU= Remuneration
*p < 0.1; **p < 0.05; *** p < 0.01

The results of the whole model including mediator are shown in table 4.

Results from the above table indicate that after adding the mediating variable in the PLS-SEM path model, the values of existing relationships between independent and dependent variables significantly changed. The direct effect of managerial power on firm performance has not remained significant (β= -0.133, *t*-value=0.673) after the intervention of a mediator. As, after including the remuneration as a mediator in the model, the direct effect's beta coefficient (-0.832) changed its value to -0.133. The decrease in direct effect is 0.699 which is accounted for indirect effect and it is 84% of the direct effect. According to the rule of thumb, if the variance accounted for (VAF) is greater than the 80% a full mediation exists (Hair et al., 2014a, 2014b).

The coefficient of determination, known as R^2, is stated in column 4 of table 4 and its value varies between 0 and 1. According to Hair et al. (2014b), it is difficult to provide any rule of thumb for R^2, however, the greater value of R^2 refers to the greater variance explained by the model. R^2 value in this study is 0.820, which indicates that 82% of the variance is explained due to the current research model.

Predictive relevance (Q^2) of the model is obtained by using the Stone-Geisser test (Geisser, 1974; Stone, 1974). Q^2 indicates

Table 4
Results with mediation

Path	β Coefficients	*t*-Statistics	R^2	Q^2	Upper Limit	Lower Limit
MP → FP	-0.133	0.673	0.820	0.512	0.694	0.413
MP → REMU	0.900***	42.783	0.806			
REMU → FP	0.784***	4.012				

MP= Managerial Power, FP= Firm Performance, REMU= Remuneration
*p < 0.1; **p < 0.05; *** p < 0.01

an adequate predictive validity of the model based on the criteria suggested by Hair et al. (2014); the value of Q^2 = 0.02, 0.15 and 0.35 refers to the small, medium and large predictive power of the model respectively.

In the current study, the value of Q^2 is 0.512, which is greater than the recommended value of large prediction power thus it shows the strong prediction quality of the statistical model. Similarly, the effect size f^2 evaluate the exogenous construct's contribution to an endogenous latent variable's R^2 value. It is the rule of thumb that f-square (f^2) values ranging among, 0.02, 0.15 and 0.35 indicate that exogenous constructs have respectively small, medium or large effect sizes on an endogenous construct (Hair et al., 2014a, 2014b). The effect size statistics are reported in Table 5.

Table 5
Effect size

Construct	f^2
MP	0.02
REMU	0.469

MP= Managerial Power, REMU= Remuneration

Hypotheses Testing

In this section, the developed hypotheses are tested through the significance of the corresponding beta coefficients. Acceptance or rejection of developed hypotheses is based upon their level of significance for path coefficients. The level of significance is to be assessed through the bootstrapping technique as suggested by the Hair et al. (2014a). The values of beta coefficients indicate the magnitude of change in a dependent variable due to the change in an independent variable. Values of path coefficients lie between -1 and +1.

Table 6
Hypotheses test

Hypotheses	Path Coefficients	t-Statistics	Decision
MP→FP	-0.133	0.602	Not Accepted
MPREMU	0.900	42.082***	Accepted
MPREMU→FP	0.784	3.584***	Accepted

MP= Managerial Power; REMU= Remuneration; FP= Firm Performance

*p < 0.1; **p < 0.05; *** p < 0.01

Results of the structural model for hypotheses test reflect some interesting facts. Table 6 shows that the managerial power has a negative effect on firm performance, however, this relationship is statistically insignificant. This statement is against the proposed relationship in hypothesis 1; as a result, hypothesis 1 (H_1)

is rejected (β= -0.133, t= 0.602). These unexpected results are due to the reason that in Pakistani firms, most of the board members are owners and owned a greater share of the firms. Although this situation encourages managerial power, however at the same time such board members remain concerned about their wealth

(dividends, share price, firm success etc.) which is bounded with firm performance. Similarly, the results of regression analysis indicate that the second hypothesis (H_2) has been accepted (β= 0.900, t= 42.082, p=0.000<0.01). Its means that managerial power has a positive and significant impact on executive remuneration; similar results are found by the Van Essen et al. (2012). Additionally, the regression results also provide support for hypothesis three (H_3) which is statistically significant (β= 0.784, t= 3.584, p=0.000<0.01). It indicates that remuneration mediates the relationship between managerial power and firm performance.

DISCUSSION AND CONCLUSION

As CEOs and other top managers hold important information and they have the power to manipulate this information in their favor. Consequently, in existing literature, some authors also argued that top management is the central information processing, managing and controlling part of firms. They may manipulate this information just for their own sake if they have more power and control over the firm and this phenomenon provides roots for many other problems such as excessive executives' remuneration and poor firm performance. Therefore, the current study specifically was designed to evaluate the direct impact of managerial power on executive remuneration and firm performance and further investigate that how the relationship between managerial power and firm performance changes with

the intervention of remuneration. For this, the current study collected the data from Sugar & Allied industry of Pakistan Stock Exchange for the year 2014 and processed this data using PLS-SEM due to the complex nature of the model.

Moreover, findings of the current research reflect that after adding the mediation of executives' remuneration, the direct effect of managerial power on firm performance is not significant in this study. As the findings showed that when mediation of executives' remuneration was not added in the model, the direct effect of managerial power on firm performance was negative and highly significant (β= -0.832, p-value= 0.000). These results described that in the absence of appropriate rewards or remuneration, the managerial power became worse for firm performance. However, the indirect effect of managerial power on firm performance is found as positive and significant statistically. In other words, executive remuneration significantly mediates the relationship between managerial power and firm performance. Due to the reason that executives with higher pay are more concerned with the firm performance because their pay includes higher short-term benefits such as bonuses that persuade them to focus on the performance of firms. Furthermore, the effect of the executive's remuneration on firm performance is positive and significant in the current study, which means that an increase in firm performance is due to the high increase in remuneration. However, we found that the directors did not have enough long-term incentives in their pay contracts

and as result executives just focused on the short-term firm performance in order to justify the rise in their pay due to higher managerial power. This phenomenon also highlights that the long-term performance of the firms is ignored by the executives. Hence, firms must take the necessary steps to eliminate the managerial power for avoiding poor firm performance and excessive remuneration. This will only be possible when the board is free of the CEO's control. Independent directors must work independently without showing sympathy with any top management team member.

Despite the significance, this study is also subject to some limitations. Such as the data is based upon the specific sectors of Pakistan Stock Exchange as well as the selected sample is also small, therefore, the results of this study will not be generalizable to other sectors. Additionally, there may be some other variables that will cause the managerial power, however, this study included only those variables that were provided in the literature and easily available in the annual reports or other sources of the selected firms. So, an interesting expansion of the current research is that future researchers can use data from other sectors and other countries to test these relationships as well as they may also use a large data set. Future research can also be done by adding some new and positional elements of managerial power as well as researchers may also investigate some other important determinants of executive remunerations such as the contribution of remuneration committee in pay-setting process.

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PERTANIKA
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Islamic Mortgage Products: How Aware are Malaysians?

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ABSTRACT

Despite its rapid growth and expansion rates, Islamic banks are striving to compete with rivalling conventional banks that have longer history and stronger foothold in local industry. Therefore, the importance of determining the level of awareness and understanding of Islamic banking products are undeniable as Islamic banks offer products and services for Muslims and non-Muslims both. This paper examines the level of awareness and understanding of Malaysian citizens towards Islamic mortgage products, with respect to demographic factor. This study has employed the convenience sampling technique. Data collection had been conducted in four Malaysian states representing the entire peninsular Malaysia, which includes Klang Valley, Pahang (Kuantan), Kedah (Alor Setar) and Johor (Johor Bharu). Questionnaires numbering 809 had been deemed as valid and complete, and had subsequently been subjected to chi-square, t-test and ANOVA tests for data analysis purposes. The results have shown that there is no significant relationship between gender and the awareness of Islamic mortgage products. However, there are significant differences between different groups of age, gender, occupation, religious affiliation and income level in the context of understanding these products.

Keywords: Awareness, consumer behaviour, demographic, understanding

INTRODUCTION

The recent years have revealed the rapid growth in Islamic banking and finance, which necessitates an investigation of public awareness towards Islamic mortgage products. Such exploration has been deemed as crucial as the knowledge and understanding of these products are beneficial in selecting the best option for home financing, either

completed or those under construction. Furthermore, understanding this issue may reflect the beauty of Islamic finance towards accommodating diversified societal needs, as the products are steeped in ethical banking theory and practice. In contrast, a lack of knowledge and understanding of these products may render them being perceived to be similar to their conventional counterpart.

Siddiqi (2006) had highlighted that implementation of any Islamic financial products required proper understanding of the objectives of *shari'ah* by linking in macroeconomic concepts and the appropriate tools. The effort is imperative as its ability to analyse complex socio-economic implications is in accordance with the spirit of *maqasid*. Furthermore, Dusuki (2008) and Gait and Worthington (2007) had also emphasized the need for *shari'ah*-based products to fulfil both legal and *shari'ah* requirements.

A hefty price tag is attached to house purchases nowadays. Most of these aspiring buyers cannot afford to pay in lump-sum, thus preferring to acquire financing from financial institutions to complete their purchases. Individuals are henceforth able to own their houses using mortgages, which is a major option for the purpose, in the modern days. However, conventional mortgages are forbidden in Islam due to the element of *riba,* defined as unjust, present in the system (Musleh, 2006). To date, Islamic banks have provided various home ownership schemes especially for Muslims seeking halal and *shari'ah* compliant mortgage arrangement.

Nevertheless, awareness for these products offered by Islamic banks is still lacking. Various studies have suggested that one of the major weaknesses of Islamic banks is low customer knowledge, awareness, and understanding of Islamic banking and its financing methods, termed as *Muḍarabah, Musharakah, Ijarah and Istiṣna* (Chaudhry et al., 2014; Gerrard & Cunningham, 1997; Karim & Affif, 2006; Metawa & Almossawi, 1998; Naser et al., 1999; Ramdhony, 2013; Rammal & Zurbruegg, 2007). Therefore, this paper is examining the factors that influence customer's awareness and understanding of Islamic mortgage products across various demographic factors. The findings and suggestions obtained from this research will benefit the Islamic banking sector by improving consumer relationship and enabling construction of appropriate marketing and branding strategies in the future.

The objective of this research is to determine the influence of demographic factor towards the level of awareness and understanding of Islamic mortgage products among Malaysians because it could help the Islamic bank to identify the potential and ideal consumer for their products and services and hence could develop marketing strategies to the targeted group with similar characteristics. The methodology employed in this work is described after a review of the literature. Then, the findings is presented based on the results obtained before proceeding with the implications and conclusion.

Islamic Mortgage in Malaysia

In Malaysia, Islamic legislation and banking regulations are separate and co-exist alongside regulations for the conventional banking system. The establishment of Islamic banks has been legally commenced with the implementation of the Islamic Banking Act (IBA), coming into effect on 7 April 1983 which later was repealed by the Islamic Financial Services Act (IFSA) 2013. To date, these institutions offer various products and services to fulfil Islamic necessities especially for the management and assistance of financial demands. Therefore, the Muslim population may choose from various *shari'ah* compliant products to satisfy their different needs.

Among the various consumer financing products offered by Islamic banks, home and fixed assets financing is prominent and is inclusive of different contractual arrangements. They include: *Bay Bithaman Ajil* (BBA), *musharakah mutanaqisah* (diminishing *musharakah*), *murabahah, ijarah* (leasing), *istisna'* (deferred delivery), and *tawarruq* (Loundy, 2013).

Table 1 depicts a comprehensive list of Islamic banks in Malaysia, alongside products they offer and the respective instrument employed towards Islamic mortgage provision. Most of the banks use BBA, *tawarruq* and *musharakah mutanaqisah* as their instruments, while *musharakah mutanaqisah* is primarily employed in home equity financing by Maybank Islamic, Public Islamic and RHB Islamic bank. Similarly, *tawarruq* has recently become popular in the local Islamic banking industry for financing or cash liquidity purposes. It can be considered as an alternative instrument to BBA/*bay' al-'inah*, whereas *tawarruq* shall continue to remain superior home financing product.

Table 1

Islamic bank and mortgage products offered

No	Name of the bank	Facility	Concept
1.	Affin Islamic Bank Berhad	Home Financing-i	MM
2.	Al Rajhi	Home Financing-i	BBA
3.	Alliance Islamic Bank Berhad	i-Wish Home Financing-i Home Complete-i	BBA Tawarruq
4.	AmIslamic Bank Berhad	Home Financing-i Flexi Home Financing-i	MM BBA
5.	Asian Finance Bank Berhad	Home Financing-i	BBA
6.	Bank Islam Malaysia Berhad	Baiti Home financing-i Property Financing-i	Tawarruq
7.	Bank Muamalat Malaysia Berhad	Muamalat House Financing Istisna'-i Property Financing-i	Istisna' Tawarruq
8.	CIMB Islamic Bank Berhad	Home Financing-i Varibale Home Financing-i Ijarah Property Financing-i	Tawarruq Tawarruq Ijarah Muntahiyah Bittamlik

Table 1 *(continue)*

No	Name of the bank	Facility	Concept
9.	HSBC Amanah Malaysia Berhad	HomeSmart-i	MM
10.	Hong Leong Islamic Bank Berhad	CM Flexi Property Financing-i	Tawarruq
11.	Kuwait Finance House (Malaysia)	Asset Acquasition financing-i	Ijarah Muntahia Bi Al-Tamlik Ijarah Mawsufah Fi Al-Zimmah
12.	Maybank Islamic Berhad	Commodity Murabahah Home Financing-i	Murabahah
		Commodity Murabahah Shop House Financing-i HomeEquity-i	MM
13.	OCBC Al-Amin Bank Berhad	Manarat Home-i	Ijarah Muntahiah bi Al-Tamlik
14.	Public Islamic Bank Berhad	Home Equity Financing-i ABBA House Financing-i	MM
		HomeSave Financing-i	BBA
15.	RHB Islamic Bank Berhad	Equity Home Financing-i Equity Property Financing-i	MM
16.	Standard Chartered Saadiq Berhad	Saadiq My Home-i Saadiq My HomeOne-i	MM

Source: Author's compilation

LITERATURE REVIEW

Awareness

Apart from all Islamic contracts available in Islamic mortgage like *Bay Bithaman Ajil* (BBA), *musharakah mutanaqisah* (diminishing *musharakah*), *murabahah, ijarah* (leasing), *istisna'* (deferred delivery), and *tawarruq*, it is crucial to know the level of consumer awareness, understanding and perception towards Islamic finance products. Previous literature discusses mostly on the patronage factors of Islamic banks. However this section only confines to the literature related to the awareness and understanding of Islamic products.

Naser et al. (2013) conducted a survey among the customers of Kuwait Finance House in Kuwait and found that almost 35 years after establishing the KFH, customers were still unaware or not using many of the Islamic finance products and services. Consequently, this requires more efforts from the bank's management to familiarize its customers with all its existing products and services as well as introducing new products. Later work by Artar et al. (2016) in Turkey found that the awareness towards Islamic banking principles among the customers of Islamic banks was higher than those of conventional banks.

According to Rammal and Zurbruegg (2007), customers are insufficiently aware of the basic rules and principles in Islamic financing. However, the level of awareness of banking products does not parallel or guarantee their understanding regarding the technical terminologies and aspects of the product (Metawa & Almossawi, 1998).

Furthermore, Gerrard and Cunningham (1997) had found that Muslims were generally more aware of fundamental terms found in Islamic products compared to non-Muslims, but remained unaware of the meaning behind Islamic financial terms. Such observation has been supported by Karim and Affif (2006), Khattak and Rehman (2010), and Ramdhony (2013); most Muslims are aware of fundamental Islamic terms but do not understand the definitions of specific Islamic financial terms, such as *mudharabah, musharakah*, *ijarah* and more. This was supported by Muhamat et al. (2011), who showed that as long as the customers knew their objective of having the service offered by the bank, they did not really care about the nature of the financial product, such as the name of the product.

A study conducted by Naser et al. (1999) had produced contrasting report. It was observed that despite being aware of specific terminologies like *mudharabah*, *musharakah* or *murabahah*, the respondents were not users of the specific types of Islamic banking products. Furthermore, Saini et al., (2011) had revealed similar findings in South Africa, with 96.6% of the respondents being aware of Islamic banking products but yielding very low level of usage. The findings indicated that only 20% were users of interest free investments, while 4%-8% had opted to finance their vehicles, house/ property and business finance. Finally, 2%-6% had used transaction-type products.

Moreover, Chaudhry et al. (2014) had employed the interpretivism (qualitative) paradigm to highlight that customers were less aware of the differences between Islamic and conventional banking. It had also found that the banking staffs were also lacking full awareness of their Islamic banking products and services. Therefore, it is vital that each Islamic bank strives to train their staffs to be more competent, aware and knowledgeable regarding their offered products and services. This will be beneficial in educating and persuading Muslim and non-Muslim consumers both regarding the advantages offered by Islamic finance products. Such disposition requires each banking personnel to be humble, considerate, helpful and exhibit *shari'ah*-compliant principles that can correlate the clientele's religious motives and investment decisions appropriately (Hasan et al., 2012).

Demographic variables like age, gender, income level, religion, education level and occupation may influence consumer behaviours in the context of awareness for Islamic banking products. Buchari et al. (2015) conducted a study on the Islamic banks' employees in Bahrain, and he found that more than 56% employees were aware of the Islamic banking products. Statistically, there are significant differences in the awareness and attitudes towards Islamic banks' products and services when they are grouped according to gender and

education level while age and income both have insignificant differences. Earlier work by Cheteni (2014) revealed a finding from her survey in South Africa where the results indicated that gender, age, race, and qualification were statistical significant in influencing awareness of consumers. However, the findings further noted that there was a lack of understanding in the principles of Islamic Banking.

Having said that, studies on demographic factors remain scanty as there are only very few works that highlight the importance of demographic factor towards determining the level of public awareness towards the products, especially for Islamic mortgage product. This research is therefore undertaken to fill this gap.

METHOD

A convenience sampling technique was used in this study, with targeted population of (a) local multi-racial citizens of various religions residing in peninsular Malaysia, (b) they should be of the economically active age of 18 years and above comprise all persons who provide the supply of labour during a specified time reference period (the last 12 month), as employed or as unemployed (without work, available for work or seeking work including students), for the production of economic goods and services, (c) currently owned a bank account in Malaysia

The data were collected in Klang Valley, Pahang (Kuantan), Kedah (Alor Setar) and Johor (Johor Bharu). The sample had been selected as such due to previous studies on Islamic mortgage (Amin, 2008;

Amin et al., 2009; Amin et al., 2014) limited to East Malaysia (Sabah) that possessed different culture, standard of living, geography and housing project types. Therefore, Klang Valley, Pahang (Kuantan), Kedah (Alor Setar) and Johor (Johor Bharu) which represent Northern region, East Coast region, Central region and Southern region of peninsular Malaysia was chosen in this study due to its well-developed city status, associated with higher housing costs secondary to strategic surrounding and higher living costs. The actual survey for data collection was in May 2016. The questionnaires were distributed simultaneously by five (5) trained administrators to respective respondents based on each region. Questionnaires (1000) distributed and returned, whereby only 809 questionnaires, were found to be valid and completed. Therefore, the response rate of 80.9% was deemed to be a sufficient response rate that ensured statistical reliability and generalizability. Several statistical methods have been subsequently applied to the data for analysis and attaining the research objectives, which includes descriptive statistics, chi-square, t-test, and ANOVA (Piaw, 2008).

Measurement

The primary data collection was conducted by employing structured questionnaires, whereby most of the attributes were derived from previous literature (Gerrard & Cunningham, 1997; Metawa & Almossawi, 1998; Naser et al., 1999; Karim & Affif, 2006; Rammal & Zurbruegg, 2007; Saini et al., 2011; Ramdhony, 2013;

Chaudhry et al., 2014). The questionnaire was divided into three sections. The first section had elicited demographic details like gender, age, religion, race, marital status, education, monthly income and occupation. The next section was enquiring the respondent's awareness of Islamic mortgage, whereas the final section was assessing their understanding of the product. The third section had employed a 5-point Likert scale, with the following responses: 1-strongly disagree. 2-disagree, 3-no view/impartial, 4-agree, and 5-strongly agree. The questionnaire had been written in both Malay and English languages. Additionally, fifty (50) questionnaires had been distributed first prior to the actual study to facilitate a pilot study among Islamic bank consumers. The pilot test was instrumental in identifying any associated problems regarding the study instruments or other aspects.

RESULTS

Descriptive Statistic

Table 2 shows the findings obtained from this study. Most of the respondents were females (55.3%), while the remaining 44.7% were males. In terms of marital status, 68.1% of the respondents were single, while 31.9% were married. The respondents were all 18 years and older as they should be within the economically active age or at least had their own bank accounts. 40.5% were between 18-25 years, 41.8% were between 26-35 years, while 12.5% were aged from 36-50 years. The remaining 5.2% were 50 years old and above.

In the context of religious affiliations, it was found that 59.3% of the respondents were Muslims, whereas the remaining 40.7% were non-Muslims who practiced Buddhism, Hinduism, Christianity and other religions (i.e. Atheism, Bahaism and Sikhism). Meanwhile, they were found to be predominantly Malays (56.4%), whereas the other races consisted of Chinese (22.5%) and Indian (20.1%). The remaining 1.0% was composed of other races (i.e. Bumiputera Sabah, Punjab and Siamese). Table 2 also summarizes the education level possessed by the respondents, where a whopping 82.1% of them possessed higher level of education (i.e. Diploma, Bachelor Degree, Master Degree, and PhD). The remaining 17.9% from the total respondents had obtained lower level of education only.

In terms of occupation, 34.9% of the respondents were students, followed by professionals (21.6%), executive (12.1%), and academician (10.8%). Others jobs, which consisted of clerk, security guard, technician make up 9.4%, while 9.0% were merchants and small businesses, 1.6% were retirees, and the finale 0.6% were unemployed. All of the respondents had their own bank accounts, with 48.5% owning account in a conventional bank, while 22.1% owns account from Islamic banks. The remaining 29.4% possessed accounts in both Islamic and conventional banks. Enquiring the possession of bank accounts is imperative to verify the respondent's banking experience.

The questionnaire classified the respondents according to eight income groups: less than RM2000, RM2001 –

Table 2
Respondent profile

Details	N	%
Gender		
Male	362	44.7
Female	447	55.3
Marital Status		
Single	551	68.1
Married	258	31.9
Age		
18-25	328	40.5
26-35	338	41.8
36-50	101	12.5
50 and above	42	5.2
Religion		
Muslim	480	59.3
Non-Muslims	329	40.7
Race		
Malay	456	56.4
Chinese	182	22.5
Indian	163	20.1
Others:	8	1.0
Education level		
Lower education level	145	17.9
Higher education level	664	82.1
Income Group		
Lower Income	282	34.9
Middle Income	210	26.0
Higher Income	35	4.3
None	282	34.9
Occupation		
Professional	175	21.6
Academician	87	10.8
Executive	98	12.1
Merchant / Businessman	16	2.0
Small Business	57	7.0
Student	282	34.9
Retired	13	1.6
Unemployed	5	0.6
Others	76	9.4
Bank Account		
Islamic Bank	179	22.1
Conventional Bank	392	48.5
Both	238	29.4

RM3000, RM3001 – RM5000, RM5001 – RM8000, RM8001 – RM11,000, RM11,001 – RM15,000, RM15,001 and above, and no income. For regression purposes, these income groups had been merged into 3 groups only, based on the mean of income in urban area as reported by the Department of Statistics Malaysia in 2015. They are: lower income group (less than RM3000), middle income group (RM3001 – RM8000), and higher income group (RM8001 and above). The final group does not generate any income, and are generally made up of students and unemployed respondents. The majority of the respondents were from the lower income group with 34.9%, followed by middle income group (26.0%) and higher income group (4.3%). The non-earner income group is made of 34.9% of all respondents.

Relationship between Awareness of the Customers and Demographic Variables

As awareness and the demographic variable are categorical variables, the chi-square test for independence is the most suitable test for descriptive statistics to elicit the difference awareness across demographic variables. Furthermore, most of the previous studies on awareness of Islamic banking (Abdullah et al., 2012; Buchari et al., 2015; Loo, 2010; Marimuthu et al., 2010; Rammal & Zurbruegg, 2007; Thambiah et al., 2011) have opted for the method to assess the relationship between the two variables or the differences between groups with respect to a measured variable.

Table 3 displays the results of the Chi square test and the significant value for each tested variables. The significant value needs to be below 0.05, whereas a significant value more than 0.05 is considered as not significant (Piaw, 2008).

Table 3 depicts two parts: (a) the awareness for the existence of Islamic mortgage product in general, and (b) the awareness of the types of Islamic mortgage products offered in Malaysia (i.e. *musharakah mutanaqisah, bai bithaman ajil, tawarruq, istisna'* and *ijarah*). For part (a), it revealed significant relationship between awareness of Islamic mortgage products with age, education, occupation, religion, and income. The Chi square value of gender (X^2=5.692) is a significant value more than 0.05 (p>0.05), indicative of no statistically significant relationship between gender and the awareness of Islamic mortgage products.

Meanwhile, part (b) reveals that the Chi square value of age, education, occupation, religion, and income for each type of Islamic mortgage products are significant (p<0.05). Therefore, each of these factors is significantly related with awareness of the types of Islamic mortgage products. However, gender recorded significant relationship for *musharakah mutanaqisah* and *ijarah* only. Nevertheless, as the section is reflective of general awareness of Islamic mortgage, therefore it can be concluded that it is still affected by age, education, religion, occupation and income group.

The Differences on Understanding of the Customers and Demographic Variables

Independent sample t-test had been utilized to measure the differences of Islamic mortgage product understanding according to gender, religion and education as these independent variables have two categories only (Male or female, Muslims or non-Muslims, higher education or lower education). The test allows comparison of the mean score for different groups (Leech et al., 2015). In contrast, one-way analysis of variance (ANOVA) group with post hoc test had been used for other demographic variables like age, occupation and income level as they have more than three categories in each variable. Previous researches have employed similar analysis(Amin, 2008; Buchari et al., 2015; Devlin, 2002; Hasan et al., 2012; Khattak & Rehman, 2010; Naser et al., 1999).

Firstly, independent t-test had been executed for gender, with the female respondents (N= 447) being associated with the understanding of Islamic mortgage products M = 3.44 (SD= .71). By comparison, the male respondents (N= 362) had been associated with a numerically smaller level of understanding in Islamic mortgage products M = 3.29 (SD= 0.77). To test the hypothesis, an independent sample t-test was performed (see Table 4), which was subsequently associated with a statistically significant differences, t(807)= 2.945, p=.003.

Table 3
Awareness on Islamic mortgage products across demographic

Variables	Gender		Age		Education		Occupation		Religion		Income	
	X^2	Sig	X^2	Sig	X^2	Sig	X^2	Sig	X^2	Sig	X^2	Sig
(a) Heard the existence of Islamic mortgage products	5.692	0.058	40.506	0.000*	39.914	0.000*	111.154	0.000*	8.907	0.012*	79.197	0.000*
(b) Products:												
Musharakah Mutanaqisah (diminishing partnership)	7.467	0.024*	30.361	0.000*	41.110	0.000*	58.343	0.000*	39.770	0.000*	31.404	0.000*
Bai Bithaman Ajil (differed payment sale)	0.185	0.912	23.546	0.001*	65.301	0.000*	78.599	0.000*	68.754	0.000*	61.039	0.000*
Tawarruq	0.706	0.703	38.223	0.000*	36.313	0.000*	62.368	0.000*	40.238	0.000*	44.294	0.000*
Istisna' (deferred delivery)	0.493	0.781	32.294	0.000*	47.225	0.000*	67.057	0.000*	41.645	0.000*	41.641	0.000*
Ijarah (leasing)	6.099	0.047*	14.448	0.025*	81.567	0.000*	35.135	0.004*	59.575	0.000*	28.510	0.000*

*Significant at 5%

Table 4
T-Test comparison of understanding on Islamic mortgage by gender

		Male (N=362)	Female (N=447)	t-value	p-value	Effect size
Gender	Mean	3.2904	3.4446	2.945	0.003*	0.2075
	SD	0.7736	0.7128			

*Significant at 5%

Furthermore, religion (see Table 5) revealed a significant difference for the scores by Muslim (M=3.63, SD= .73) and non-Muslim (M=2.99, SD= .57) conditions; t (383) = 13.351, p = .000. These results reinforce the impact of religion towards understanding Islamic mortgage, with a large effect size that is more than 0.80.

Table 5
T-Test comparison of understanding on Islamic mortgage by religion

		Muslims (N=480)	Non-Muslims (N=329)	t-value	p-value	Effect size
Religion	Mean	3.6375	2.9935	13.351	0.000*	0.9822
	SD	0.73131	0.57993			

*Significant at 5%

In contrast, one-way ANOVA test between groups with post-hoc test was conducted for age, education, occupation, and income level (see Table 6) to compare their effects on understanding of Islamic mortgage products. Consequently, there is a significant effect of age group on understanding of Islamic mortgage products for [F(3, 805) = 5.278, p = 0.001], with a very small effect size of 0.019. Post hoc comparisons indicated that the mean score for age 26-35 years (M = 3.09, SD = 0.71) and age of 50 and above (M = 3.29, SD = 0.69) respectively is statistically significant.

Table 6
One-way Anova for age, occupation, income level and education level

		df	Sum of Squares	Mean Square	F	p-value	Effect size
Age	Between Groups	3	8.631	2.877	5.278	0.001*	0.019
	Within Groups	805	438.807	0.545			
Occupation	Between Groups	8	23.175	2.897	5.462	.000*	0.051
	Within Groups	800	424.262	0.530			
Income level	Between Groups	3	20.270	6.757	12.733	.000*	0.045
	Within Groups	805	427.167	0.531			
Education level	Between Groups	6	1.585	0.264	0.475	0.827	0.003
	Within Groups	802	445.852	0.556			

*Significant at 5%

Furthermore, occupation has also yielded a significant effect on understanding at the [F(8, 800) = 5.462, p = 0.000]. The post hoc comparison has also revealed its significant effect on understanding for almost all types of occupations, except professionals and retirees. Therefore, the understanding of Islamic mortgage is impacted by occupation.

Moreover, there is a significant effect of level of income upon the understanding of Islamic mortgage at the [$F(3, 805) = 12.733, p = 0.000$], with a very small effect size of .045. The post hoc comparisons also revealed a significantly different mean score for the higher income group (M = 3.98, SD = 0.16) compared to the middle income (M = 3.22, SD = 0.77), lower income (M = 3.34, SD = 0.75) and non-earner (M = 3.45, SD = 0.64), p= 0.000. Therefore, understanding of Islamic mortgage is also affected by income level.

In terms of education, there is no significant effect towards understanding of Islamic mortgage at [$F(6, 802) = 0.475, p = 0.827$], with a very small effect size of 0.003. Thus, it does not affect understanding of Islamic mortgage. Hence, this section can be concluded that there are significant effects of gender, age, religion, income level and occupation on understanding of Islamic mortgage products.

DISCUSSIONS

The variable of customer characteristics should be the main concern in different aspect of adoption of this study. This is due to the importance of consumer or specific demographic variable characteristics as a predictor in targeting decision. In the context of awareness on Islamic mortgage products, the findings had depicted that 52.3% of the respondents were aware of the existent of Islamic mortgage. However, the knowledge about each type of products offered by Islamic banks were very low, as more than 80% had never heard or unsure of it.

Furthermore, the results on the relationship between awareness and demographic variable had indicated significant relationship between age, education, occupation, religion, and income level, except gender. Since the objective of the establishment of Islamic banks is to provide alternative banking to Muslims for interest-free banking system, therefore, it is understood that the main reason for the customers in choosing Islamic mortgage is due to the religious factor. Moreover, this finding is consistent with the previous studies conducted by Tameme and Asutay (2012). The lack of significant relationship for gender may be attributable to the equal treatment and access both genders have towards financing facilities in Malaysia. In contrast, other demographic variable like the group aged 26-35 years is the age bracket for settling down (i.e. regular occupation and marriage), rendering them the potential target group for house purchases via mortgages. Similar reasoning can be applied in different occupation, whereby different career fields or specialization may have exposed them to more Islamic mortgage products. Moreover, based on life cycle hypothesis, there is an increasing need for home ownership for the respondents within this age as they have steady income and most have growing family that requires a proper house to live in.

The independent t-test for gender has resulted in significant difference between genders towards understanding Islamic mortgage products; the mean score showing that females have higher understanding

compared to males. Moreover, religious affiliations have shown statistical differences between Muslims and non-Muslims, with Muslims possessing higher level of understanding with the mean score of (m=3.63) compared to non-Muslims. This can be explained by the higher potential of understanding of Islamic mortgage products by Muslims due to the Arabic terminologies used for the products. Therefore, Muslims are more likely to be familiar and understand them compared to non-Muslims, who may have difficulties understanding the meaning and even the correct pronunciation of the products (Khattak & Rehman, 2010).

Thus, the study has shown that there is significant difference for all demographic variables with understanding of Islamic mortgage products, except for education. Education level has been found to be significantly related with awareness of Islamic mortgage, but there is no significant difference toward understanding them. Therefore, this indicates that being aware of a banking product is not equivalent with consumer understanding regarding the technical aspects and terminologies of the item (Gerrard & Cunningham, 1997; Karim & Affif, 2006; Metawa & Almossawi, 1998; Ramdhony, 2013).

CONCLUSION

Although Islamic mortgage products is available in market for more than three decades, conducting a study on awareness and understanding of the subject is still relevant as past studies have revealed a low awareness of among Malaysians.

By exploring this issue in-depth, it reflects Islamic bank's commitment towards promoting Islamic mortgage products via various marketing strategies. Proper marketing and promoting of Islamic products would enable the bankers to increase the awareness and knowledge on part of the customers, especially on the capability of Islamic finance to remove harm observed in conventional counterpart, and promoting justice to the society as a whole, in accordance with the teaching of Islam. More importantly, it is believed that the future of Islamic banking lies in the idea not to sell Islamic products to only Muslims, but rather to sell them to anybody, on the basis of inherent advantages including ethicality over other financial alternatives. In other words, other than emphasizing on the element of free-interest and good service quality, Islamic mortgage products can also be promoted according to their ethical merits that are capable of safeguarding overall consumer and societal interests. Therefore, the element of "ethics/value/fairness" may greatly benefit all customers irrespective of their religions.

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Direct Agency Cost of Equity, Cash Flow Volatility and Dividend Pay-out: Evidence from Pakistan

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ABSTRACT

This study aims to examine the impact of direct agency cost of equity and cash flow volatility on the Pakistani firms' dividend pay-out behaviour. Besides, this study also examines the interaction of direct agency cost of equity and cash flow volatility on the firms' dividend pay-out behaviour. For analysis, a logistic regression model was employed and the data of 188 non-financial firms listed at the Pakistan stock exchange over the period 2011 to 2015 was used. The findings revealed that in an emerging country like Pakistan, cash flow volatility negatively affected the pay-out behaviour and agency cost of equity positively affects the pay-out behaviour. Moreover, interactions of cash flow volatility and asset turnover as proxy of direct agency cost of equity negatively affect the pay-out behaviour. However, the interaction of cash flow volatility and SGA expense as an alternative proxy of direct agency cost of equity is insignificant. This study contributes to the existing body of knowledge by providing an empirical evidence of the interaction effect of agency cost of equity and cash flow volatility on firm's dividend pay-out behaviour which is yet to be examined in other developed and developing countries. It also provides several implications for multiple parties such as firm's managers who determine their abilities to pay dividend and investors while making their investment decisions.

Keywords: Agency cost of equity, cash flow volatility, dividends, Pakistan

INTRODUCTION

The dividend pay-out has attracted the attention of many researchers due to its importance for the shareholder's wealth. Empirical and survey based studies conducted on this topic have identified the factors like profitability, growth, firm size, agency costs, firm age and corporate governance which affect dividend pay-out (Abdelsalam et al., 2008; Afza & Mirza, 2011; Al-Ajmi & Hussain, 2011; Al-Jaifi, 2015; Al-Kuwari, 2009; Amidu & Abor, 2006; Hussain et al., 2017; Naceur et al., 2006). Earlier only a few studies have focused on the role of cash flow volatility in the dividend pay-out behaviour (Bradley et al., 1998; Chay & Suh, 2009; Deng et al., 2013), most of them have exclusively accentuated the role of cash flows volatility in pay-out policies of the developed countries (Bradley et al., 1998; Chay & Suh, 2009; Minton & Schrand, 1999). Thus, current study is a significant contribution in the body of existing literature since it has addressed the non-financial firms of a developing country like Pakistan.

The current study has also tested the role of agency cost of equity in the dividend pay-out. Generally firms having stable expected cash flows tend to pay high dividends (Brav et al., 2005; Jacob & Jacob, 2013) and firms expecting poor future cash flows pay low dividend that may signal the stability in cash flows of the firm (Chay & Suh, 2009). Besides, agency theory states that dividends are the outcome of high agency conflicts (Smith et al., 2017) as they lead towards resource inefficiencies (Gyan et al., 2017).

It indicates that high agency problems are reflected in the form of inefficiency by firms, therefore, shareholders may demand high dividend to avoid wastage of their resources. Precisely, the study tested whether firms with cash flow volatility and high agency cost pay dividends or not.

Likewise, the findings of previous studies were inconsistent regarding the impact of cash flow volatility on the dividend pay-out whereas the current study has highlighted the dividend paying behaviour of the firms facing cash flow volatility and high agency cost of equity. The current study provided mixed evidence on interaction of cash flow volatility and agency cost of equity on the dividend pay-out as findings indicated a significant impact of interaction of the cash flow volatility and agency cost of equity on dividend pay-out, however, the direction of the relationship was different. These results will help the management, lenders and investor while making their decisions regarding firms which are facing cash flow volatility and high agency costs. Accordingly, the following sections discuss the literature, hypotheses, methodology including sample and data collection, findings of the study and finally the conclusion of the study.

LITERATURE REVIEW AND THE FORMULATION OF HYPOTHESES

Cash flows are important factor in the dividend pay-out (Amidu & Abor, 2006). Several studies have addressed the relationship between the cash flow volatility and the dividend pay-out, however, results

have been mixed. For example, some reported negative impact of the cash flow volatility on the dividend pay-out studies (Bradley et al., 1998; Chay & Suh, 2009; Minton & Schrand, 1999). The cash flow volatility signals risk of future shortage of cash which may create problems for the firm while meeting its obligations (Deng et al., 2013). The increased risk which is owing to the volatility of the cash flows decreases the debt level (Keefe & Yaghoubi, 2016; Memon et al., 2018) which may raise the cost of external equity (Chay & Suh, 2009) and ultimately affecting the dividend pay-outs of firms in a negative way (Chay & Suh, 2009; Mirza & Azfa, 2010).

On the other hand, some studies (Daniel et al., 2007; Deng et al., 2013) have reported that firms having cash flow volatility do not cut their dividends. Deng et al. (2013) empirically examined the investment and dividend sensitivity with cash flows volatility and reported that cash flow volatility did not matter in the relationship of investments and dividends. Their findings revealed that firms under conditions of cash flow volatility did not reduce their dividends and manage external financing for their investments. Moreover, they found that that the investment–dividend sensitivity first increased, then decreased and increased again with the increase of the cash flow volatility. Earlier, Jing (2005) posited that firms facing the cash flows volatility paid higher dividends in order to avoid the overinvestment. Likewise, Amidu and Abor (2006) claimed that firms with more available cash flows paid high dividends as

the relationship was positive between cash flow and dividend pay-out ratios. These findings imply that relationship between cash flow volatility and dividends has been inconsistent in the previous studies.

The contradictions among the results reported by the previous studies imply that there is a need for more empirical examination of the phenomenon under discussion. Furthermore, in the emerging/developing countries, evidence on the relationship between cash flow volatility and dividend pay-out is scarce. This study is the first of its kind that investigates the impact of cash flow volatility on the dividend pay-out in Pakistan. Thus, the current study aims to investigate the following hypothesis:

H_1. The cash flow volatility affects the dividend pay-out in the Pakistani firms.

Agency theory states that dividends are the outcome of agency conflicts between managers and shareholders (Smith et al., 2017). Management acts as an agent of shareholders, however, managers may prefer their own interests over the interests of the shareholders which causes an increase in the agency cost of equity for the firm (Jensen & Meckling, 1976). In case of high dividend pay-out, agency cost of the shareholders may be reduced which can serve as a substitute mechanism for governance. The cost of capital in the form of dividends and interest reduces the cash flows available at the managerial discretion (Amidu & Abor, 2006; Jensen, 1986).

This study used asset turnover ratio (Ang et al., 2000; Hijazi & Conover, 2011) and SGA (selling, general and administrative)

expense ratio (Florackis & Ozkan, 2008) as the proxies of agency cost of equity. The first ratio (asset turnover ratio) indicates the efficiency of management in utilizing assets to generate the sales. A lower asset turnover ratio represents that agency cost may become positive because management is making poor decisions in choice of investment, inefficiently utilizing resources and assigning funds in executive perks, resulting in poor revenues (Ang et al., 2000). The second ratio (operating expense ratio) is measured by SGA expense ratio (Florackis & Ozkan, 2008; Hijazi & Conover, 2011; Singh & Davidson III, 2003) which consists of operating expenses that are directly related to the expenses on the offices, supplies, automobiles, furnishings and other such facilities. Sometimes personal expenses of the management might be camouflaged in such expenses. It means a high SGA expense ratio may sometimes reflect the management's intentions of using the funds in unproductive ways (Ang et al., 2000). In the light of the discussion above, the following hypothesis has been generated:

H_2. The direct agency cost of equity affects the dividend pay-out in the Pakistani firms.

The turnover ratios reflect management efficiency in controlling the firm's cost and its efficiency in generating the revenues. Besides, it also indicates the future cash flow positions and expected incomes of the firm. Therefore, any firm that has already faced high risk in terms of cash flow volatility may make two alternative types of decisions

concerning dividends. Firstly, these firms may pay lower dividends to indicate that their organization has growth prospects and, therefore, aggressive strategies are inducing them to pay lower dividends. Secondly, the management may make high dividend payments to gain the shareholders' trust and to camouflage their expenses on perquisites. Since, the management takes either of the decisions, therefore, it implies that interaction of cash flow volatility and alternative proxies of agency cost of equity may increase/decrease the dividends. Based on the two proxies as discussed above, the following hypothesis have been made to be tested:

H_3. The interaction between asset turnover and cash flow volatility affects the dividend pay-out in the Pakistani firms.

H_4. The interaction between operating expense ratio and cash flow volatility affects the dividend pay-out in the Pakistani firms

Control Variables

Similarly many studies (Al-Ajmi & Hussain, 2011; Al-Malkawi, 2007; Amidu & Abor, 2006; Rozeff, 1982; Yusof & Ismail, 2016) have highlighted that size, growth, profitability and age may be associated with dividend pay-out. Larger firms may differ from small size firms in their pay-out ratios based on their profits and lower growth prospects (Al-Malkawi, 2007). Firms with higher growth prospects may pay lower dividends as compared to the firms that are at their mature stage (Al-Ajmi & Hussain, 2011; Amidu & Abor, 2006; Bulan & Subramanian, 2009; DeAngelo et al., 2006;

Hussain et al., 2018; Yusof & Ismail, 2016). Some studies (Al-Malkawi, 2007; Amidu & Abor, 2006; Fama & French, 2001, 2002) have indicated that profitability is also significant determinant of dividends.

METHODS

Data Collection and Sample

The non-financial firms listed at the Pakistan Stock Exchange from 2011 to 2015 have been addressed in this research. The data was obtained from the Balance Sheet Analysis (BSA) published by the State Bank of Pakistan and annual reports of the firms. All the firm having annual reports available for the whole period were selected as sample for the current research. In addition, to calculate the cash flow volatility, the data for three years, prior to years under study, was required. Thus, the firms that did not have previous years' data available were excluded from the sample. The final sample comprises 188 firms, representing eighteen sectors of Pakistan Stock Exchange. These eighteen sectors include textile spinning (33 firms), textile composite (21 firms), pharmaceuticals (7 firms), fertilizers (3 firms), food and personal care (11 firms), glass and ceramics (6 firms), paper and board (6 firms), cement (15 firms), power generation (8 firms), sugar (20 firms), synthetic (4 firms), technology and communication (5 firms), textile weaving (5 firms), chemical (18 firms), Engineering (6 firms), automobile (8 firms), automobile parts (5 firms) and the miscellaneous (7 firms).

Statistical Analysis

Logit model was used in the current study as it was suggested by Brooks (2014) for binary dependent variable. However, this model was also used in some previous studies (DeAngelo et al., 2006; Fama & French, 2001) where dividend was measured as a binary dependent variable.

Logistic Regression

Logit function F, as presented below, follows the cumulative logistic distribution (Brooks, 2014);

$$F(zi) = \frac{1}{1+e^{-z}} \cdots\cdots\cdots\cdots\cdots\cdots (1)$$

F(zi) depicts the probability that the firm will pay dividends and e represents the exponential. An advantage of the above specified model in this particular context is that the obtained dividend-payment probability estimates can neither be negative nor larger than one (Brooks, 2014).

$$Ln(Odds) = \left(\frac{P}{1-P}\right) = \beta_0 + \beta_1 X_1 + \beta_2 X_2 + \cdots + \beta_k \beta_{ki} \cdots\cdots (2)$$

The above presented equation incorporates odds as the probability to initiate the dividend and P scales by the probability not to initiate the dividend (1-P). The independent variables show those determinants that define the odd ratios. The change in independent variable brings the change in the dependent variables (Brooks, 2014). These determinants have been reported based on their coefficient and significance values. The resulting variance explained by these variables is known as pseudo-R^2 which is also known as McFadden's R^2 (Brooks, 2014).

The main assumptions of general linear models such as normality of variables, their linearity, homoscedasticity, and measurement level are not required in the logistic regression (Cokluk, 2010; Lani, 2015; Menard, 2002; Tietze, 2012). Since, logistic regression does not demand the linearity in the relationship of independent and dependent variables, therefore, it can deal with all types of relations by transforming non-linear log into the odd ratios (Lani, 2015; Menard, 2002). Similarly, the regressors may not necessary be multivariate normal, granting multivariate normality produces a better explanation. Correspondingly, the error terms are not required to be multivariate normally distributed. Also, the homoscedasticity is not desirable and logistic regression does not require variances to be heteroscedastic separately for regressors. Finally, logistic regression deals with ordinal and nominal data and the regressors are not required to be metric (interval or ratio scaled) (Lani, 2015).Thus, it may be implied that logistic regression method is relaxed and flexible as compared to the linear models. Likewise, it is reasonable to state that it is easy to infer the mathematical models attained resulting from the logistic regression (Hair et al., 2006; Lani, 2015; Leech et al., 2005; Menard, 2002; Tabachnick & Fidell, 1996; Tietze, 2012).

A large sample of 940 firm year observations and a logistic model has been used in the current study. The logistic regression is based on maximum likelihood method which requires high number of observations to ensure the reliability of the study (Cokluk, 2010; Lani, 2015). A logistic regression requires that the model should be free from the problem of multicollinearity and the regressors should not depend on each other. The model may also use the interaction effects of different regressors in the analysis (Cokluk, 2010; Hair et al., 2006; Lani, 2015).

Two equations of logistic model have been used in the current study that are described below.

The first equation covered the direct impact of the cash flow volatility, two proxies of agency cost of equity (asset turnover and SGA expense ratio), ownership concentration, size, growth, profitability and age on the dividend pay-out of the non-financial firms in Pakistan. The first equation is as follows:

$$DPB = \alpha + \beta_1(CFV) + \beta_2(OC) + \beta_3(ATO) + \beta_4(SGA) + \beta_5(SIZE) + \beta_6(GRW) + \beta_7(EPS) + \beta_8(Age) + \delta \tag{3}$$

The second equation has incorporated interaction of proxies of agency cost of equity with cash flow volatility:

$$DPB = \alpha + \beta_1(CFV) + \beta_2(OC) + \beta_3(ATO) + \beta_4(SGA) + \beta_5(CFV)(ATO) + \beta_6(CFV)(SGA) + \beta_7(Size) + \beta_8(GRW) + \beta_9(EPS) + \beta_{10}(Age) + \beta_{11}(y12) + \beta_{12}(y13) + \beta_{13}(y14) + \beta_{14}(y15) + \delta \tag{4}$$

Where:

DPB: The dividend pay-out behaviour has been measured as a dummy variable which takes value of 1 if firm pays dividend, zero otherwise

CFV: The cash flow volatility has been measured as standard deviation of last three-year operating scaled by total assets

OC: The ownership concentration has been measured as percentage shares owned by five largest shareholders

ATO: The asset turnover has been measured as sales to average total assets as proxy of direct agency cost of equity

SGA: The selling, general and administrative expenses have been scaled by total sales as proxy of direct agency cost of equity

CFV*ATO: interaction of cash flow volatility and asset turnover ratio

CFV*SGA: interaction of cash flow volatility and SGA expense ratio

Size: Firm size measured as natural logarithm of total assets

GRW: Growth measured as change in sales as proxy of firm growth

EPS: Profitability measured as earnings per share as proxy of firm profitability

Age: Measured as number of years' firm is listed

y12= Dummy variable to control time effect which takes 1 for year 2012, zero otherwise

y13= Dummy variable to control time effect which takes 1 for year 2013, zero otherwise

y14= Dummy variable to control time effect which takes 1 for year 2014, zero otherwise

y15= Dummy variable to control time effect which takes 1 for year 2015, zero otherwise

δ = Error Term

Operational Definition of the Variables

Table 1 provides the operational definitions of the selected variables.

Table 1

Operational definition of the variables

Variable	Notation	Measurement	Author
Cash Flow Volatility	CFV	Cash flow volatility measured as standard deviation of last three-year operating scaled by total assets	Chay and Suh (2009), Balachandran et al. (2017)
Ownership Concentration	OC	Ownership concentration measured as percentage shares owned by five largest shareholders	Khan (2006), Gonzalez et al. (2017)

Table 1 *(Continue)*

Variable	Notation	Measurement	Author
Asset Turnover	ATO	Asset turnover measured as sales to average total assets as proxy of direct agency cost of equity	Ang et al. (2000), Hijazi and Conover (2011)
SGA Expense Ratio	SGA	Selling, general and administrative expenses scaled by total sales as proxy of direct agency cost of equity	Florackis and Ozkan (2008), Singh and Davidson III (2003)
Size	Size	Size indicates the natural logarithm of total assets	Saeed and Sameer (2017)
Growth	GRW	Growth measured as change in sales as proxy of firm growth	Liu et al. (2014)
Age	Age	Measured as number of years' firm is listed	Shumway (2001)
Profitability	EPS	Profitability measured as total earnings divided by number of shares	Deng et al. (2015)
Dividend Pay-out	DPB	Dividend pay-out measured by dummy variable which is given value of 1 in case dividend is paid, zero otherwise	Balachandran et al. (2017)

RESULTS

The results of the current study are given in Table 2:

Table 2

Variance Inflation Factors

Sr. No.	Variables	VIF	1/VIF
1	CFV	1.18	0.848384
2	OC	1.01	0.987301
3	Size	1.15	0.866387
4	EPS	1.05	0.949869
5	Age	1.03	0.966261
6	GRW	1.02	0.984509
7	ATO	1.13	0.883917
8	SGA	1.13	0.885178
	MEAN VIF	1.09	

Note: DPB means dividend pay-out behaviour measured as a dummy variable which take value of 1 if firm pays dividend, zero otherwise, CFV means cash flow volatility measured as standard deviation of last three-year operating income scaled by total assets. OC means ownership concentration measured as percentage shares owned by five largest shareholders, ATO means asset turnover measured as sales to average total assets as proxy of direct agency cost of equity, SGA means Selling, general and administrative expenses scaled by total sales as proxy of direct agency cost of equity, Size means firm size measured as natural logarithm of total assets, Age measured as number of years' firm is listed, GRW means growth measured as change in sales as proxy of firm growth, EPS means firm profitability measured as earnings per share as proxy of firm profitability.

Multicollinearity

The current study has employed correlation analysis and variance inflation factors to check the multicollinearity among the variables. The results presented in Table 3 reveal the correlation between all the selected variables. It is evident from the results that there exists no multicollinearity among the independent variables because the correlations values are low. In case of high collinearity among variables the values of VIF also increase whereas low values of VIF represents no collinearity or low collinearity. Gujarati (2004) stated that VIF higher than 10 represents that variables are highly collinear. The Table 3 indicates the VIF values for all selected variables of current study. The maximum value of VIF is 1.18 which represents no multicollinearity. To validate these results variance inflation factors have been applied which confirm that no multicollinearity exists in our data.

Table 3

Correlation analysis

	DPB	AGE	ATO	CFV	EPS	GRW	OC	SGA	SIZE
DPB	1	-0.02111	0.277**	-0.102**	0.280**	0.036	-0.046	-0.050	0.250*
AGE	-0.021	1	0.053	-0.125**	0.105**	0.004	0.066*	-0.045	0.067*
ATO	0.277**	0.053	1	0.033	0.167**	0.074*	0.087**	-0.117**	-0.217**
CFV	-0.102**	-0.125**	0.033	1	-0.005	-0.012	0.020	0.306**	-0.250**
EPS	0.280**	0.105**	0.167**	-0.005	1	0.014	0.027	-0.019	0.077*
GRW	0.0357	0.004	0.074*	-0.012	0.014	1	-0.003	-0.030	0.079*
OC	-0.046	0.066*	0.087**	0.020	0.027	-0.003	1	0.008	-0.039
SGA	-0.050	-0.045	-0.117**	0.306**	-0.019	-0.0302	0.008	1	-0.115**
SIZE	0.250*	0.067*	-0.217**	-0.250**	0.077*	0.079*	-0.03902	-0.115**	1

Note: DPB means dividend pay-out behaviour measured as a dummy variable which take value of 1 if firm pays dividend, zero otherwise, CFV means cash flow volatility measured as standard deviation of last three-year operating income scaled by total assets. OC means ownership concentration measured as percentage shares owned by five largest shareholders, ATO means asset turnover measured as sales to average total assets as proxy of direct agency cost of equity, SGA means Selling, general and administrative expenses scaled by total sales as proxy of direct agency cost of equity, Size means firm size measured as natural logarithm of total assets, Age measured as number of years' firm is listed, GRW means growth measured as change in sales as proxy of firm growth, EPS means firm profitability measured as earnings per share as proxy of firm profitability. **, and * are significant at the 1% and 5% level of significance respectively.

Table 4

Descriptive statistics

	Mean	Median	Maximum	Minimum	Std. Dev.	Skewness	Kurtosis	Obs
DPB	0.548936	1	1	0	0.497864	-0.196689	1.038687	940
AGE	33.09149	30	102	2	15.8299	0.974326	4.703165	940
ATO	1.286421	1.192957	4.125084	0.00171	0.752205	0.788491	3.805291	940
CFV	5.685277	3.907657	56.39255	0.005774	6.420762	3.469413	20.90044	940

Table 4 *(Continue)*

	Mean	Median	Maximum	Minimum	Std. Dev.	Skewness	Kurtosis	Obs
EPS	12.27721	4.46	828.78	-352.81	50.32307	8.705349	129.2664	940
GRW	0.215604	0.073153	36.11227	-0.98303	1.72217	15.1217	265.2343	940
OC	0.649474	0.67035	0.990387	0.127167	0.191841	-0.253087	2.099078	940
SGA	0.165512	0.056123	39.29	0.002662	1.319421	27.92065	824.6228	940
SIZE	15.16668	15.07975	19.7224	11.01076	1.480575	0.189909	3.327095	940

Note: DPB means dividend pay-out behaviour measured as a dummy variable which take value of 1 if firm pays dividend, zero otherwise, CFV means cash flow volatility measured as standard deviation of last three-year operating income scaled by total assets. OC means ownership concentration measured as percentage shares owned by five largest shareholders, ATO means asset turnover measured as sales to average total assets as proxy of direct agency cost of equity, SGA means Selling, general and administrative expenses scaled by total sales as proxy of direct agency cost of equity, Size means firm size measured as natural logarithm of total assets, Age measured as number of years' firm is listed, GRW means growth measured as change in sales as proxy of firm growth, EPS means firm profitability measured as earnings per share as proxy of firm profitability.

Descriptive Statistics

The results of both dependent and independent variables are reported in Table 4 with the total number of observations in the last column. Since the balanced panel data has been used in this study, the number of observations for all variables is same; that is 940. The average value of the first variable cash flow volatility is 5.685277 with standard deviation of 6.420762. For the second variable which is firm age, the average value is 33 with maximum age of 102 and minimum age of 2 years. Third variable, growth, has an average value of 0.215604 and standard deviation of 1.72217. The ownership concentration, being the fourth variable, has an average value of 0.649474 and standard deviation of 0.191841 which indicates that around sixty five percent shares are concentrated within large shareholders. The fifth variable, earnings per share for Pakistani firms, represents the average value of 12.27721and standard deviation of 50.32307. Finally, the asset turnover ratio indicates that one unit

of asset can generate 1.286421 of sales and SGA expense ratio indicates the average value of 0.165512 with standard deviation of 1.319421.

Logit Regression Results

Table 5 shows the results of the logit regression model. The results reveal that hypothesis 1has been accepted where the cash flow volatility is negatively and significantly related to the dividend pay-out. It implies that the firm having cash flows volatility may not pay dividends to minimize the risk of future shortfalls. Moreover, the cash flow volatility may raise operational risk of the firms resulting in reducing the chance of dividend pay-out. These findings confirm the previous studies which have reported the negative relationship of the cash flow volatility and the dividend (Bradley et al., 1998; Chay & Suh, 2009; Minton & Schrand, 1999).

Similarly, the second hypothesis of the study has also been accepted based on the significant results of the alternative proxies

Table 5

Regression results

	Model 1		Model 2		Model 3	
	Beta	p-value	Beta	P-value	Beta	P-value
C	-4.769432	0.000***	-5.709844	0.000***	-5.057611	0.000***
CFV	-0.031062	0.0753*	0.034874	0.1388	-0.027798	0.1139
OC	-0.647065	0.1538	-0.776478	0.0904*	-0.70015	0.1241
ATO	0.732332	0.000***	1.175015	0.000***	0.7795	0.000***
SGA	0.062892	0.42	-0.019006	0.8206	0.482427	0.1063
SIZE	0.293709	0.000***	0.330025	0.000***	0.306698	0.000***
GRW	-0.028461	0.5967	-0.026395	0.651	-0.028044	0.6073
AGE	-0.017218	0.0018***	-0.017128	0.0022***	-0.016883	0.0023***
EPS	0.141285	0.000***	0.138868	0.000***	0.141323	0.000***
CFV*ATO			-0.057768	0.0008***		
CFV*SGA					-0.008323	0.1769
McFadden R-squared	0.350253		0.358153		0.351821	
R Square Change			0.0079		0.001563	
Mean dependent var	0.548936		0.548936		0.548936	
Prob (LR statistic)	0		0		0	

Note DPB means dividend pay-out behaviour measured as a dummy variable which take value of 1 if firm pays dividend, zero otherwise, CFV means cash flow volatility measured as standard deviation of last three-year operating income scaled by total assets. OC means ownership concentration measured as percentage shares owned by five largest shareholders, ATO means asset turnover measured as sales to average total assets as proxy of direct agency cost of equity, SGA means Selling, general and administrative expenses scaled by total sales as proxy of direct agency cost of equity, Size means firm size measured as natural logarithm of total assets, Age measured as number of years' firm is listed, GRW means growth measured as change in sales as proxy of firm growth, EPS means firm profitability measured as earnings per share as proxy of firm profitability. Coefficients marked ***, **, and * are significant at the 1%, 5%, and 10% level of significance respectively.

of agency cost of equity. The asset turnover of the firms represents how much sales management can generate through the given value of the total assets. In the current study, the asset turnover is significant at 1% which indicates a positive relationship between the asset turnover and the dividend pay-out with a coefficient value of 0.732332. It suggests that any firm having low asset turnover ratio may face high direct agency cost of equity. For instance, Hijazi and Conover (2011) stated that high agency costs might arise

because of unhealthy investments and an importance that was given to the personal benefits by the management which led to low profits. On the other hand, firms with a high ATO reflect management's efficiency in generating increased sales. Finally, it can be deduced that the firms having a high ATO may not pay dividends.

However, the second proxy for agency cost of equity which is the SGA expense ratio, indicated an insignificant relationship with the dividend pay-out of Pakistani

firms. The SGA represents the total amount that has been spent by the management on operations because if the amount is high it may signal the ability of the managers to manage the cost on operations. A high agency cost of equity provides a cushion to managers for camouflaging their perks and undue expenses which may result in their inability to pay the dividends.

The models 2 & 3 in Table 5 indicate the results of interaction between CFV and ATO (model 2) and CFV and SGA (model 3). The results indicate that the hypothesis 3 (The interaction between asset turnover and cash flow volatility affects the dividend pay-out in Pakistani firms) has been accepted and hypothesis 4 (The interaction between operating expense ratio and cash flow volatility affects the dividend pay-out in Pakistani firms) has been rejected. The interaction of cash flow volatility and asset turnover exhibited significantly negative results (-0.057768), implying that the higher cash flow volatility and asset turnover lead the firms not to pay the dividends. Furthermore, r-square increased (0.0079) after applying the interaction of asset turnover and the cash flow volatility. In contrast, the interaction of the SGA ratio and cash flow volatility showed insignificant relationship with a coefficient value of -0.008323 and r-square change of 0.001563. However, the insignificant interaction of SGA and cash flow volatility implies that the SGA expense ratio does not matter in this relationship. The reason for these mixed results could be the asset turnover, as an asset turnover also reflects the efficiency

in using operating assets. For example Richardson et al. (2001) employed the asset turnover as a measure of operating asset utilization efficiency. Improvements in efficiency result from an increase in quality of earnings which may enable a firm to pay the dividend without any fear of the future short-falls. Fairfield and Yohn (2001) proposed a framework that asset turnover could be used to predict the future profitability of firms which meant that asset turnover might also signal the market about the prospects of the firm.

Further Evidence and Robustness Checks

This section has been added in this study to check and support the above-mentioned results of the current study. This process was completed in two phases. In the first phase, a test was applied by controlling the time effect while in the second phase, the test was applied by dividing the sample into high and low agency cost firms.

Regression Results by Controlling Time Effect

In the first phase, the impact of cash flow volatility, direct agency cost of equity, ownership concentration, and control variables were regressed on dividend pay-out by controlling the year effect. Results of the regression were consistent with the earlier findings of the study even after controlling for the year effect. These results have been presented in Table 6, which indicate that cash flow volatility has a significant negative impact on the dividend pay-out while asset turnover has a

significant positive impact on the dividend pay-out. Similarly, the impact of SGA on the pay-out behaviour is insignificant which is consistent with the earlier findings presented in Table 5. Likewise, the results of model 2 and model 3 have also been found consistent with the findings of Table 5.

Table 6

Regression analysis controlling time effect

	Model 1		Model 2		Model 3	
	Beta	p-value	Beta	P-value	Beta	P-value
C	-4.769432	0.000***	-5.940045	0.000***	-5.309631	0.000***
CFV	-0.031062	0.0753*	0.040405	0.0889*	-0.023693	0.1822
OC	-0.647065	0.1538	-0.79622	0.0837*	-0.715506	0.1172
ATO	0.732332	0.000***	1.232264	0.000***	0.824243	0.000***
SGA	0.062892	0.42	-0.033527	0.6871	0.493343	0.0987*
SIZE	0.293709	0.000***	0.335772	0.000***	0.311398	0.000***
GRW	-0.028461	0.5967	-0.021314	0.7177	-0.023432	0.6708
AGE	-0.017218	0.0018***	-0.018264	0.0013***	-0.018143	0.0013***
EPS	0.141285	0.000***	0.141112	0.000***	0.143588	0.000***
CFV*ATO			-0.059881	0.0006***		
CFV*SGA					-0.008749	0.1555
y12			0.071055	0.7932	0.11658	0.665
y13			-0.136931	0.6212	-0.079485	0.7716
y14			0.048339	0.8606	0.146662	0.5914
y15			0.508143	0.0702*	0.532375	0.0559*
McFadden R-squared	0.350253		0.362887		0.356339	
R Square Change			0.012634		0.006086	
Mean dependent var	0.548936		0.548936		0.548936	
Prob (LR statistic)	0		0		0	

Note: DPB means dividend pay-out behaviour measured as a dummy variable which take value of 1 if firm pays dividend, zero otherwise, CFV means cash flow volatility measured as standard deviation of last three-year operating income scaled by total assets. OC means ownership concentration measured as percentage shares owned by five largest shareholders, ATO means asset turnover measured as sales to average total assets as proxy of direct agency cost of equity, SGA means Selling, general and administrative expenses scaled by total sales as proxy of direct agency cost of equity, Size means firm size measured as natural logarithm of total assets, age measured as number of years' firm is listed, GRW means growth measured as change in sales as proxy of firm growth, EPS means firm profitability measured as earnings per share as proxy of firm profitability. y12, y13, y14 and y15 are dummy variables to control time effect which takes 1 for year 2012, zero otherwise Coefficients marked ***, **, and * are significant at the 1%, 5%, and 10% level of significance respectively.

Regression Results by High and Low Samples based on ATO and SGA

The second phase further confirmed the findings obtained by applying additional tests (Table 7). The sample of the study was divided based on the median values of ATO and SGA into high and low ATO firms and high and low SGA firms. The results indicate that cash flow volatility has a significant negative impact on the dividend pay-out for the sample of high ATO firms whereas the cash flow volatility has an insignificant impact on the dividend pay-out of low ATO firms. These findings support the interaction effect of cash flow volatility and ATO on dividend pay-out.

Table 7

Regression results by high and low samples based on ATO and SGA

	High ATO Sample		Low ATO Sample		High SGA Sample		Low SGA Sample	
	Beta	p-value	Beta	P-value	Beta	P-value	Beta	P-value
CFV	-0.054593	0.0325**	-0.012426	0.2669	-0.035847	0.0434**	-0.081007	0.0131***
OC	-1.021356	0.1508	-0.934844	0.0054***	-0.566543	0.3428	-2.817815	0.0001***
ATO					0.789792	0.0001***	0.632171	0.0012***
SGA	7.107333	0.0058***	-0.15672	0.3535				
SIZE	0.003806	0.9226	0.061567	0.0001***	0.02059	0.4775	0.074129	0.0372***
GRW	-0.030029	0.692	-0.017905	0.7557	-0.015074	0.767	0.004005	0.9679
AGE	-0.001122	0.9108	-0.020912	0.000***	-0.023982	0.0008***	-0.026035	0.0079***
EPS	0.217144	0.000***	0.047394	0.000***	0.111076	0.000***	0.204724	0.000***
Prob (LR statistic)	0		0		0		0	

Note: DPB means dividend pay-out behaviour measured as a dummy variable which take value of 1 if firm pays dividend, zero otherwise, CFV means cash flow volatility measured as standard deviation of last three-year operating income scaled by total assets. OC means ownership concentration measured as percentage shares owned by five largest shareholders, ATO means asset turnover measured as sales to average total assets as proxy of direct agency cost of equity, SGA means Selling, general and administrative expenses scaled by total sales as proxy of direct agency cost of equity, Size means firm size measured as natural logarithm of total assets, age measured as number of years' firm is listed, GRW means growth measured as change in sales as proxy of firm growth, EPS means firm profitability measured as earnings per share as proxy of firm profitability. Coefficients marked ***, **, and * are significant at the 1%, 5%, and 10% level of significance respectively.

On the other side, the cash flow volatility is significant in both high SGA and low SGA sample firms. The SGA ratio indicates the efficiency of the management in controlling the operational expenses as scaled by the total sales. A high ratio may indicate poor management control over these expenses implying that management spends more on the perks and benefits rendering the cost control as weak. As the results of cash flow volatility are significant in both samples, this indicates that SGA expense ratio does not matter in the dividend pay-out.

DISCUSSION AND CONCLUSION

The current study investigated the role of cash flow volatility, ownership concentration and agency cost of equity in the pay-out behaviour of the Pakistani non-financial firms by using logit model of regression. For this purpose, the data related to five years was extracted from the Balance Sheet Analysis (BSA) published by the State Bank of Pakistan and some other published annual reports. The results indicate a positive relationship of the agency cost of equity with the dividend pay-out and a negative relationship of the cash flow volatility with the dividend pay-out; however, the ownership concentration was found insignificant. To examine the interaction effect of cash flow volatility and agency cost of equity on dividend pay-outs behaviour, two different proxies, asset turnover and the SGA expense ratio were used. The results indicate that the higher the cash flow volatility and asset turnover, the lower is the probability to pay dividends. Furthermore, the interaction effect of the cash flow volatility and SGA expense ratio has insignificant impact on the dividend pay-out. The findings of the study are validated and found consistent even after the application of robustness tests. The study suggests that the firms with high agency cost and cash flow volatility do not pay dividends. The dividends are considered as substitute governance mechanism, therefore, from the investor perspective, it could be anticipated that dividends may serve to reduce agency problems especially for firms facing the cash flow volatility. The findings of the study also provide an implication for firms' managers to understand that their ability to pay dividends is determined by their cash volatility. This finding implies that firms should consider their cash flow volatility as it has a negative impact on the dividend pay-out. The current study focused on one emerging country (Pakistan) but the future researchers can conduct a similar study by selecting a different country or context to enrich the existing body of knowledge.

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SOCIAL SCIENCES & HUMANITIES

Case Study

Poor Diet Quality among Overweight/Obese (OW/OB) Young Adults in Klang Valley, Malaysia: A Case–control Study

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ABSTRACT

This study aimed to determine the differences in dietary intake and quality between normal-weight (NW) and overweight/obese (OW/OB) young adults in Klang Valley, Malaysia. A case–control study was conducted among 294 private universities students in Klang Valley, Malaysia. Respondents completed a set of questionnaire and 3 days 24-hr dietary recall. Weight, height, body fat percentage (%BF), visceral fat, and waist circumference of respondents were measured. Dietary intake of respondents was analyzed and their diet quality was evaluated using a healthy eating index (HEI) scale. Findings displayed OW/OB group had significantly higher energy, macronutrient, sugar, saturated fat, cholesterol and sodium intake ($p < 0.001$) than NW group. The total HEI score was significantly lower in OW/OB group [45.14 (11.13)] than NW group [51.43 (11.61)]. This was affected by component scores of percentages (%) of energy from fat ($p < 0.001$) and saturated fat ($p = 0.023$), cholesterol and sodium intake ($p < 0.001$) with OW/OB had significantly lower score than NW group. However, OW/OB group achieved a significantly higher component score for cereals ($p < 0.001$) and meat food groups ($p = 0.005$) than NW group. HEI analysis also displayed both groups achieved low component scores for fruits, vegetables, milk, and food variety. Although OW/OB group had poorer diet quality than NW group, both groups had low consumption of fruits, vegetables, milk, and less varied diet. Therefore, there is a need for educational campaigns on food groups' diversification especially in increasing nutrient-dense food in their diet to increase awareness in healthy eating among young adults.

Keywords: Dietary intake, diet quality, healthy eating index, normal-weight, overweight/obese, young adults

INTRODUCTION

Poor dietary habits have been viewed as an important public health issue among young adults who encounter the transition from family diets to diets of their own choices (Ganasegeran et al., 2012; Jiet & Soma, 2017). Since this is the critical time during which they are exposed to stress, time restricted and start establishing independence, they are more likely to adopt unhealthy dietary habits including low consumption of fruits, vegetables and milk and prefer fast foods (Gan et al., 2011; Ganasegeran et al., 2012). The challenges they face such as new environment, deficient cooking experience and facilities and having to learn to make their own food choices have negative impacts on their eating behaviors (Fokeena et al., 2016). These have led obesity to have potential to course into young adults' population (Hakim et al., 2012). According to National Health and Morbidity Survey [NHMS] (2015), the prevalence of overweight and obesity among young adults aged 20-24 years old has reached 31.7% in Malaysia and this indicates that the problem of overweight and obesity in Malaysia is more serious than other Asian countries such as Singapore, Thailand, and Laos which only reported that 29.3%, 28.3%, and 23.8%, respectively, for overweight/obese (OW/OB) young adults (Peltzer et al., 2014).

Young adults tend to make their food choices based on the availability of food in and around their universities (Jiet & Soma, 2017). The increased numbers of fast food restaurants, vending machines, and convenient stores have paved the way for young adults to have a higher intake of energy-dense foods but lower intake of nutrient-dense food (Ganasegeran et al., 2012; Hakim et al., 2012). Besides, there has been an increase in processed food consumption among young adults lately due to the emergence of ultra-processed food such as processed meat, fast food, and soft drinks that are associated with obesity (Mendonça et al., 2016). Particularly, OW/OB young adults have a higher consumption of ultra-processed food than normal-weight (NW) individuals (Mendonça et al., 2016). Researchers have also found that OW/OB young adults tend to eat out more frequently for stress and frustration relief even when they are not hungry as compared to NW young adults (Ko, 2007). This has led to higher energy, fat, saturated fat, cholesterol, and sodium intake among them than the NW individuals (Seguin et al., 2016).

Therefore, the promotion of healthy eating is crucial for young adults especially for the OW/OB group. However, to the best of our knowledge, there were no case-controlled studies conducted to assess the difference of dietary pattern between NW and OW/OB young adults in Malaysia, hence, a case–control study was conducted to determine the differences in dietary intake and quality between NW and OW/OB young adults in order to implement specific intervention targeted on their food intake in the future. The data also helps authorities to increase food availability in certain aspects in and around the universities.

METHODS

Subjects

Stratified random sampling was utilized in the selection of private universities for the study. A list of private universities in Klang Valley was firstly obtained from Ministry of Higher Education Malaysia [MOHE] (2016) to randomly select eight private universities (Asia Metropolitan University, UNITAR International University, University Kuala Lumpur, Tunku Abdul Rahman University, Taylor's University, Sunway University, Asia Pacific University of Technology and Innovation and the International University of Malaya Wale) by Research Randomizer version 4.0 (Urbaniak & Plous, 2016). After gaining the approval from Research Ethics Committee at UCSI University (Proj-FAS-EC-15) and Scientific and Ethical Review Committee from the eight private universities, a total of 294 young adults were sampled conveniently. Subsequently, the recruited respondents were stratified based on their weight status into NW and OW/OB group. This is a case–control study conducted on young adults who meet the inclusion criteria who are Malaysians in the range of 18–25 years old and able to communicate well. Respondents with chronic disease, physically and mentally disabled were excluded. The informed consent was obtained prior to the data collection.

Anthropometric Measurements

The anthropometric measurements carried out were weight, height, waist circumference, body fat percentage, and visceral fat. Height was first measured to the nearest 0.1 cm using SECA 206 body meter. Respondents were then weighed in light clothing without shoes to the nearest 0.1 kg using Omron HBF-356 Body Fat Analyzer. The same instrument was used for body fat percentage and visceral fat measurement. Body mass index (BMI) was calculated for each respondent. World Health Organization [WHO] (2004) Asian cut-off point was used to classify respondents as NW (18–23 kg/m^2) and OW/OB ($\geq$23 kg/m^2) because Asians have different body composition, fatness and associations between BMI and health risk from Europeans. Waist circumference was measured horizontally at the midway point between the costal margin and iliac crest in the mid-axillary line to the nearest 0.1 cm by measuring tape to determine abdominal obesity of respondents and the classification was based on WHO (2011) whereby male <90 cm and female <80cm.

Dietary Assessment

Three days 24-hr diet recall was used for dietary assessment. Respondents were asked to recall and describe all food and beverage consumed in the past 24 hr during interview over 3 days (2 weekdays and 1 weekend). Household measures were used to facilitate the respondents in the quantification of portion sizes eaten. A dietary analysis software called Nutritionist Pro containing Malaysian food composition database (Tee et al., 1997) and USDA food database was later used for energy and nutrient analysis. Under-reporting and over-reporting of

energy intake were also examined by calculating the basal metabolic rate (BMR) equation for Malaysian adults (Ismail et al., 1998) and classified using Goldberg criteria (Goldberg et al., 1991).

Healthy Eating Index (HEI)

HEI was measured after the 3 days 24-hr dietary recall was recorded. It is a 100-point analytical tool used to assess the quality of diet consumed by young adults recommended by Malaysian Dietary Guidelines (Ministry of Health [MOH], 2016). There are 10 components in total with each respondent receiving scores ranged from 0 (for lack of compliance) to 10 (for full compliance) for each component. The score was calculated proportionately for the in between responses (Karupaiah et al., 2013).

As shown in Table 2, group A (components 1-5) measures the degree of compliance with the Malaysia Food Pyramid serving portion for fruits, vegetables, cereals and grains products, milk and dairy products and meat, poultry, egg, fish and legumes as expressed in servings/day. Group B (components 6-9) were nutrient-based adapted from the Malaysia Dietary Guidelines for total fat, saturated fat, cholesterol and sodium. Finally, group C (component 10) measures the variety apart by counting the total number of different foods and food groups categorized by Ali (2014) consumed over 3 days. The composite score is calculated by summing up the score of each component score with <51 indicates "poor" diet, score > 80 indicates a "good" diet whereas with scores of 51-80 indicates "needs improvement" (Karupaiah et al., 2013).

Statistical Analysis

Statistical Package for Social Sciences (SPSS) version 20.0 was used for all calculations and analyses. The descriptive statistics were used to assess the demographic information including age, gender, race, marital status, family household income and personal monthly allowance. Chi-square test was used for demographic information and diet quality distribution with NW and OW/OB group. Furthermore, normally distributed data was analyzed by independent t-test while non-parametric data was analyzed by Mann–Whitney U test. Both tests were used to determine differences in dietary intake and quality between NW and OW/OB group significantly. All the tests were two-tailed with a significance of $p < 0.05$.

RESULTS

Table 1 displays sociodemographic characteristic and anthropometric measurement according to NW and OW/OB group. The final number of completed questionnaires for NW and OW/OB group was 150 and 144, respectively, with the exclusion of 33 incomplete questionnaires. The mean age of the respondents was 20.25 (SD: 1.81) years old. The outcome of this study indicated that 55.6% of males were significantly more OW/OB than females (44.4%). The three predominant races were that of Chinese (50.7% and 43.8% for NW

and OW/OB groups, respectively), followed by Malay (36.7% and 41%) and Indian (12% and 12.5%) with no significance difference found in the proportions between two groups. Majority of the respondents had low family monthly household income (46% and 37.5% or NW and OW/OB groups, respectively) and <RM500 monthly personal allowance (65.3% and 59%) with no significant difference found. OW/OB respondents were also found to be significantly heavier and taller with higher BMI, BMR, percent body fat and visceral fat. In terms of abdominal obesity (AO), 63.9% of OW/OB group was AO which was

significantly higher than NW group (6.7%).

Table 2 displays the findings of HEI component and composite scores according to NW and OW/OB group. The mean composite score of the HEI was found to be significantly lower among OW/OB group [45.14 (11.13)] than the NW group [51.43 (11.61)], indicating poorer diet quality in OW/OB respondents than NW respondents. OW/OB group had a significantly lower component score for the percentage of energy from fat and saturated fat, cholesterol and sodium but a significantly higher component score for cereals and meat, poultry, egg, fish and legumes as compared

Table 1

Socio-demographic characteristics and anthropometric measurement according to normal-weight and overweight/obese, n (%)

Variables	Normal-weight (*N* = 150)	Overweight/Obese (*N* = 144)	*p*-value[a]
Gender			0.002[**]
Female	94 (62.7)	64 (44.4)	
Male	56 (37.3)	80 (55.6)	
Ethnicity			0.386
Chinese	76 (50.7)	63 (43.8)	
Malay	55 (36.7)	59 (41.0)	
Indian	18 (12.0)	18 (12.5)	
Others	1 (0.7)	4 (2.8)	
Family Monthly Household Income			0.113
Low (<RM2500)	69 (46.0)	54 (37.5)	
Middle (RM2500-RM5999)	47 (31.3)	62 (43.1)	
High (>RM5999)	34 (22.7)	28 (19.4)	
Personal Monthly Allowance			0.695
<RM500	98 (65.3)	85 (59.0)	
RM500-RM1000	38 (25.3)	43 (29.9)	
RM1001-RM1500	9 (6.0)	9 (6.3)	
>RM1500	5 (3.3)	7 (4.9)	

Table 1 *(Continue)*

Variables	Normal-weight (N = 150)	Overweight/Obese (N = 144)	p-value[a]
Anthropometric Measurement			
Height (m)[b]	1.64 (0.82)	1.67 (0.76)	0.001[*]
Weight (kg)[c]	53.45 (9.40)	73.4 (19.25)	<0.001[*]
BMI (kg/m²)[c]	19.82 (2.61)	26.78 (4.83)	<0.001[*]
Basal metabolic rate (kcal)[c]	1183(223.03)	1522(324.15)	<0.001[*]
Body fat percentage (%)[b]	23.07 (6.91)	29.64 (6.78)	<0.001[*]
Visceral fat[c]	2.50 (1.00)	8.00 (5.25)	<0.001[*]
Waist Circumference			<0.001*
Normal	140 (93.3)	52 (36.1)	
Abdominal obesity	10 (6.7)	92 (63.9)	

to NW group. Also, fruits, vegetables, milk and dairy products and variety component scores were rated poorly for both. In this study, more than half of them (58.8%) have a poor diet and only 41.2% and none of them have the needs for improvement and a good diet, respectively (Figure 1). A significantly higher proportion of NW respondents (53.3%) were classified as having the need for improvement diet than OW/OB respondents (28.5%) and a significantly higher proportion of OW/OB respondents (71.5%) were classified as having poor diet than the NW respondents (46.7%) found.

As energy intake was evaluated, 28.9% and 3.1% of the entire sample under-reported and over-reported their energy intakes respectively. The prevalence of under-reporters and over-reporters appears higher among OW/OB (33.3% and 3.5%, respectively) and NW group at 24.7% and 0.7%, respectively (Figure 2). There were 203 and 6 respondents reported their energy

intakes within the normal range and over. Of these, the proportion of NW and OW/OB respondents was at 74.7% and 63.2%, respectively.

Table 3 shows an analysis of 203 respondents' average daily selected nutrient intake and nutrient density with the exclusion of 91 under- and over-reporters. Results displayed that OW/OB group had significantly higher energy, sugar, saturated fat, cholesterol, sodium and macronutrient intake than NW group. Particularly, sugar intake was found to be closely twice significantly higher among OW/OB group than the NW group. As regard to nutrient density, a significantly higher energy contribution from protein, fat and sugar among OW/OB group than the NW group was found. However, the significant difference in energy contribution from carbohydrate and ultra-processed food could not be established.
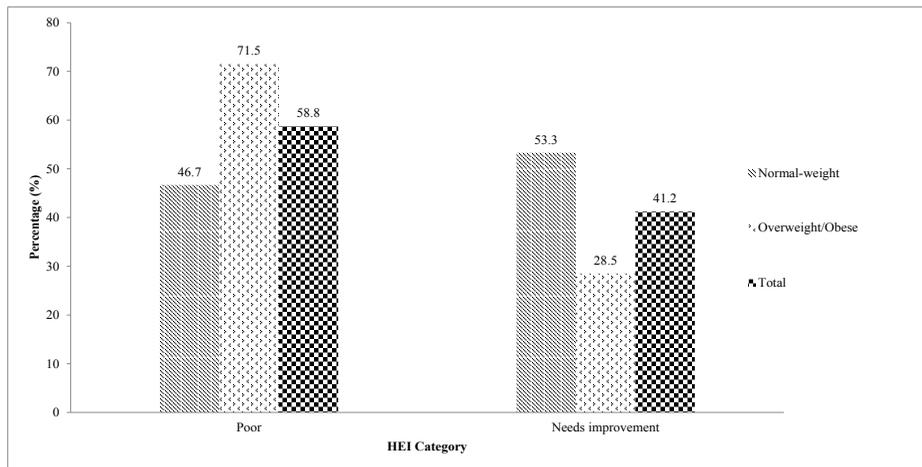
Figure 1. Distribution of HEI categories according to normal-weight and overweight/obese group

Table 2

Composite score and component scores for HEI between the normal-weight and overweight/obese group (n = 294)

HEI component[a]	Scoring range	Criteria for minimum score of 0	Criteria for maximum score of 10	Normal-weight	Overweight/ Obese	*p*-value[b]
				Mean (SD)	Mean (SD)	
HEI composite score	0–100			51.43 (11.61)	45.14 (11.13)	<0.001*
Group A: Nutritional adequacy						
Cereals and grains	1–10	0	8–12 servings	6.55 (1.87)	7.41 (2.08)	<0.001*
Fruits	1–10	0	2 servings	1.47 (3.08)	1.00 (2.38)	0.143
Vegetables	1–10	0	3 servings	3.12 (2.29)	3.22 (2.60)	0.757
Meat, poultry, egg, fish and legumes	1–10	0	2–3 servings	8.69 (2.13)	9.32 (1.67)	0.005*
Milk and milk products	1–10	0	1-2 servings	2.41 (3.51)	2.10 (3.16)	0.439
Group B: Moderate intake						
% of energy from total fat	1–10	≥35%	≤30%	4.41 (4.47)	2.42 (3.89)	<0.001*
% of energy from saturated fat	1–10	≥ 15%	≤ 10%	9.21 (2.21)	8.51 (2.97)	0.023**
Cholesterol	1–10	≥450 mg daily	≤300 mg daily	9.05 (2.53)	7.05 (4.10)	<0.001*
Sodium	1–10	≥2300 mg daily	≤2000mg daily	5.00 (4.70)	2.67 (4.25)	<0.001*

Table 2 *(Continue)*

HEI component[a]	Scoring range	Criteria for minimum score of 0	Criteria for maximum score of 10	Normal-weight	Overweight/Obese	*p*-value[b]
				Mean (SD)	Mean (SD)	
Group C: Optimized choice						
Variety	1–10	≤6 different foods over three days	≥ 16 different foods over three days	1.51 (1.29)	1.44 (1.38)	0.657

Adapted from Karupaiah et al. (2013)
[a]Based on Malaysian Dietary Guidelines and Food Pyramid (2010)
[b]Independent Sample *t*-test analysis
*significantly different, *p* < 0.01
**significantly different, *p* < 0.05
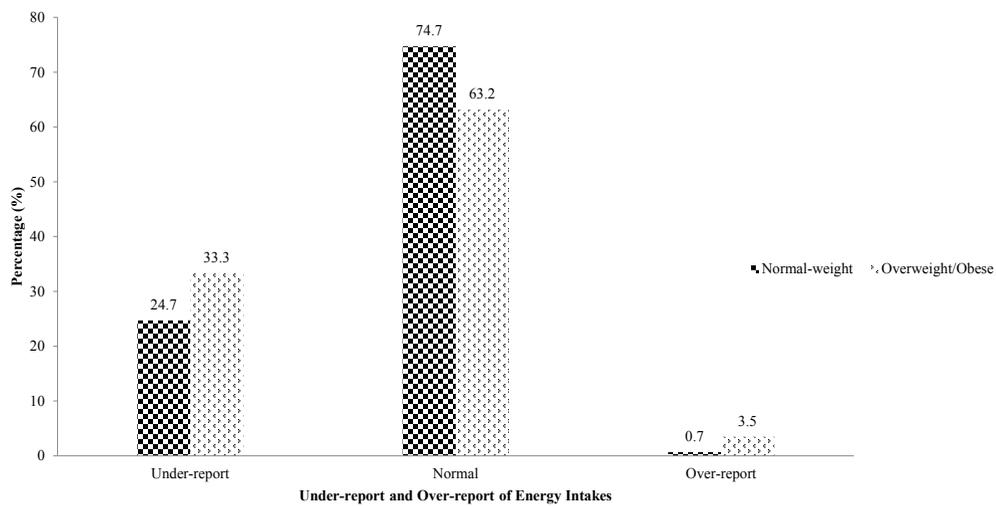
Figure 2. Proportion of normal-weight and overweight/obese group in normal, under-reporters and over-reporters

DISCUSSION

Previous study has found that the diet quality of young Malaysian adults is either in need of improvement or poor (Fokeena et al., 2016). In our study, 58.8% and 42.2% of young adults had poor and in need of improvement diet, respectively. Besides, OW/OB group in this study had poorer diet than NW group and this was concurrent with Yosaee et al. (2016) study which discovered OW respondents had significantly lower total HEI score and 57.14% of them had a poor diet which was significantly higher than NW respondents (2%). This phenomenon could be due to OW/OB respondents in this study who achieved significantly lower component

Table 3

Comparison of dietary and water intake and nutrient density between normal-weight and overweight/obese group

	Normal-weight (N = 112)		Overweight/Obese (N = 91)		p-value[a]
	Median	IQR	Median	IQR	
Dietary intake					
Energy (kcal)	1485	279.4	1967	348.0	<0.001*
Protein (g)	68.8	24.2	93.2	40.6	<0.001*
Carbohydrate (g)	188.1	59.6	237.6	97.4	<0.001*
Sugar (g)	28.4	38.9	50.0	64.0	<0.001*
Fat (g)	59.8	18.5	79.6	21.9	<0.001*
Saturated fat (g)	12.5	6.0	17.9	8.4	<0.001*
Cholesterol (mg)	177.0	136.0	228.8	171.0	<0.001*
Sodium (mg)	2193.1	1175.6	3023.4	1473.7	<0.001*
Nutrient density					
% of energy from carbohydrate	47.87	10.70	47.63	16.95	0.770
% of energy from protein	17.90	5.12	21.03	8.89	0.002*
% of energy from total fat	33.85	9.44	36.86	11.08	0.001*
% of energy from sugar	7.68	8.90	9.20	11.10	0.047**
% of energy from ultra-processed food	11.83	11.60	12.49	15.10	0.304

scores for % of energy from fat and saturated fat, cholesterol and sodium than NW respondents indicating their diets were higher in fat, saturated fat, cholesterol and sodium than NW respondents. Particularly, OW/OB group achieved relatively poorer component scores for % of energy from fat and sodium than NW group. This has high possibility due to the high consumption of fast food and higher intake frequency of French fries, fried nuggets, hot dogs, pizza and potato chips that are laden with fat and sodium than NW ones (Choong et al., 2012).

Furthermore, both groups in this study showed a poor score of food variety obtaining only less than 2 points and this was lower than Ali's (2014) study which reported Malaysians achieved 2.1 scores. This could be due to the low consumption of fruits, vegetables and milk and dairy products for both as shown in this study. According to the component scores achieved, NW group only met 14.7% of the recommendation for fruits suggested by MOH (2016), 31.2% met for vegetables and 24.1% met for milk and dairy products; while OW/OB group only met 10% for fruits, 32% met for vegetables and 21% met for milk and dairy products.

A high consumption of nutrient-dense foods such as fruits, vegetables and milk usually indicates a healthy dietary pattern which thus has been observed to be

associated with NW group (Fokeena et al., 2015). However in this study, there was no significant difference found between NW and OW/OB groups in the consumption of fruits, vegetables and milk with both groups showing similar and low consumption. But Fokeena et al. (2015) and Al-Otaibi (2014) studies also showed a similar trend whereby there was no significant difference found between different BMI groups in the consumption of fruits, vegetables and milk among young adults. Peltzer and Pengpid (2015) study reported that 82.8 % of young adults in 26 countries across Asia, Africa and the Americas consumed less than the recommended five servings of fruits and vegetables. Besides, in Norimah et al. (2008) study, Malaysian young adults also found to have not met the recommendation of milk and dairy products.

Barriers such as low availability of fruits and vegetables sold in universities and nearby restaurants, deficient knowledge about health benefits and recommended intake of fruits and vegetables and lack of time to prepare have led young adults to consume insufficient fruits and vegetables (Al-Otaibi, 2014; Hakim et al., 2012). Also, the consumption of soft drink has slowly increased and displaced milk and dairy products intake since last few decades (Ha et al., 2009). Therefore, the association between nutrient dense foods intake and body weight status shown in this study may also be the consequence of other interplaying factors which have not been considered. Peltzer et al. (2014) identified factors such as smoking, physical inactivity and frequent alcohol consumption that were also associated with overweight and obesity among young adults.

On the other hand, when the energy intake was evaluated, the proportion of under-reporters and over-reporters in this study could be considered as lower when compared to other Malaysian studies such as Ali (2014) (46% and 7% for under-reporters and over-reporters, respectively) and Lee et al. (2010) studies (59.1% and 0%). Also, the finding of the prevalence of under-reporters appears to increase with overweight and obesity was comparable with the findings of Lee et al. (2010) study which similarly reported an energy under-reporting incidence of higher percentage among OW/OB group (68.3%) than NW group (49.2%).

In dietary intake analysis, energy and macronutrient intake were significantly higher among OW/OB respondents as compared to NW respondents and this was similar to a study by Ko (2007). The finding of significantly higher sugar intake among OW/OB respondents in this study is in line with the increased in sugars intake is associated with weight increase through the excess caloric load and this might be due to the higher consumption of sugar-sweetened soft drinks among them (Boo et al., 2010; Te Morenga et al., 2013). In contrast, the significant higher intake of energy, protein, fat, saturated fat, cholesterol and sodium among OW/OB group than NW group in this study had high possibility due to the higher consumption of meat, poultry, fish, eggs and legumes among them as shown

in this study. The findings also highlighted the sodium intake was particularly high among young adults in this study with both groups far exceeding the recommendation of Recommended Nutrient Intake (RNI) for Malaysians (National Coordinating Committee on Food and Nutrition [NCCFN], 2017) which suggested that the intake of sodium should be <1,500 mg and this was consistent with (Gan et al., 2011) study. This might be due to the frequent consumption of high salt contents food including fried rice, fried noodles, noodles with soy sauce, noodle soup and dried anchovies, prawns and cuttlefish among Malaysian young adults (Jiet & Soma, 2017).

As the energy contribution from macronutrients and sugar was compared to the recommendation of nutrient intake goals suggested by NCCFN (2017) whereby the intake of carbohydrate should be within 50-65% of energy, protein should remain at 10–20%, fat is 25–30% and sugar is <10%, both groups have exceeded the recommendation of fat intake and OW/OB group had exceeded the recommendation for protein intake with a significantly higher value among OW/OB group. This is comparable with Lee et al. (2010) study which revealed NW, OW and OB groups also had exceeded the recommendation for fat intake but they did not exceed the recommendation for protein intake with higher value among OW/OB respondents. High dietary acid load from protein will cause cellular dysfunction and ultimately lead to weight gain while fat provides higher energy density and is more efficiently

stored as body fat than other macronutrients; hence, excessive protein and fat intake from diet will contribute to weight gain (Berkemeyer, 2009; Swinburn et al., 2004). Also, higher consumption of ultra-processed food was proven to associate with higher risk of obesity among university students (Ko, 2007), but the significant difference could not be established between two groups with OW/OB having a higher value in this study and this was similar to Ali's (2014) study which also revealed OW/OB group had higher energy contribution from ultra-processed food than NW group without any associations found.

In conclusion, since none of the respondents could achieve a good diet and majority of them have a poor diet in this study, the diet quality of Malaysian young adults in this study could be considered as "poor diet" and this might be due to frequent eating out leading to low compliance with the recommended serving intake in several HEI components. This can be supported by Gan et al.'s (2011) study which reported 60% male and 54.5% female young adults in Malaysia eating away from home at least four to six times per week (Gan et al., 2011). Besides, though fruits and vegetables have same satiating effect as carbohydrate and protein based foods when eaten in the same amount, young adults prefer to purchase cheaper foods which are carbohydrate and protein based foods such as cereals, grains, meat and poultry to satisfy their food needs. Fruits and vegetables are still assumed as expensive and unaffordable for them (Badari et al., 2013; Chambers et

al., 2015) since majority of respondents in this study were found to have low monthly family household income and personal allowance. When comparing the studies conducted among young adults in selected private universities in Klang Valley with other studies conducted among Malaysians, US adults and Australian young adults, diet quality also seem to be poorer in current studied population (Karupaiah et al., 2013; Nour et al., 2015; Yosaee et al., 2016).

There are several limitations to the study, despite that; evaluating dietary pattern through HEI was able to reflect diet quality among NW and OW/OB groups. This data serves as a baseline to address inadequacy in food groups among young adults. 24-hour diet recall used in this study relied heavily on memory, truthfulness and honesty. Hence, the results may not reveal the actual dietary intake and pattern of the respondents. Besides, the Malaysia food composition database may influence the accuracy of the estimation of nutrient intake due to unavailability of certain foods.

CONCLUSIONS

The present study showed that overweight/ obese group had significantly higher energy, sugar, saturated fat, sodium and macronutrient intake the NW group. OW/OB respondents also had a significantly higher energy contribution from protein, fat and sugar than NW respondents. Despite that OW/OB group had poorer diet with significantly higher percentage of energy from fat and saturated fat, cholesterol and sodium than NW group, both groups

showed low variety in their diet and had low fruits, vegetables, milk and dairy products consumption. Furthermore, since young adults who experience the transition into university life undergo rapid changes in psychosocial development in addition to lacking knowledge in making healthy food choices, they tend to adopt unhealthy dietary habits (Ganasegeran et al., 2012). Therefore, educational campaigns regarding healthier food choices and weight management should be tailored to increase a positive impact on the health of young adults. Also, by knowing their diet quality, nutrition education regarding knowledge of food components and groups could be given to help young adults in making more informed decisions. In conclusion, it is considered that desirable dietary choices are needed for the improvement of health in both groups and also this study can be used as reference to tailor specific intervention for both groups.

ACKNOWLEDGMENTS

Abbreviations: AO: abdominal obesity; %BF: body fat percentage; BMI: body mass index; BMR: basal metabolic rate; HEI: Healthy Eating Index; NW: normal-weight; OW/OB: overweight/obese; MANS: Malaysian Adult Nutrition Survey; MOH: Ministry of Health; MOHE: Ministry of Higher Education; NCCFN: National Coordinating Committee on Food and

Nutrition; NHMS: National Health & Morbidity Survey; RNI: Recommended Nutrient Intake; WHO: World Health Organization

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SOCIAL SCIENCES & HUMANITIES

The Relationship between Attitude towards Money, Financial Literacy and Debt Management with Young Worker's Financial Well-being

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ABSTRACT

Malaysia has since undergone a lot of changes that are affecting its economic structure such as the rising cost of living which is an irreversible phenomenon. Coupled with the rise in the cost of production is the increased in indebtedness putting young worker's financial well-being at stake. This article attempts to analyse the relationship between attitudes towards money, financial literacy and debt management towards financial well-being of young workers. Multi-stage random sampling technique was used for this study in the centre zone of Malaysia. A total of 508 respondents aged 40 and below was selected. Analysis using Pearson's correlation showed that there were a positive relationship between financial literacy, debt management, attitudes towards money (inadequacy, effort/ability and retention) towards financial well-being. While, multiple regression results showed that all eight variables explained 27.4% of the variance of financial well-being whereby the variable of attitude towards money that is the dimension of ability/effort have a unique contribution towards financial well-being.

Keywords: Attitudes towards money, debt management, financial literacy, financial well-being, young workers

INTRODUCTION

Malaysia strives to be a developed nation by the year 2020 in line with the national objective of making Malaysia a high-income country. Malaysia has since undergone a lot of changes that are affecting its economic structure such as the rising cost of living which is an irreversible phenomenon. Coupled with the rise in the cost of production is the increase in

indebtedness. Recently, Bank Negara Malaysia (2010) reported that more than six million Malaysian households were in debt amounting to a total of RM653 billion with the average of RM108,000 per household. It seems that Malaysian especially young workers were overwhelmed with money, get involved with debt and compromising their satisfaction towards finance.

Financial well-being is a state of being able to control day to day/month to month finances, capable to absorb financial shock, in the right track to meet the financial goals and have financial freedom to make the choices that will make life much more enjoyable (Consumer Financial Protection Bureau, 2015). Yet, according to Mitchell (2011) and Poterba et al. (2007), inadequate level of financial literacy among young workers were high and prevented young workers to invest wisely, in debt and failed to survive. As the matter of fact, Lusardi et al. (2010) claimed, illiteracy about finance among young workers nowadays would make them live in difficult situation once the retirement phase began. Past literature believes that financial well-being might be different based on what valued them most. The value that lies within individual may be influence by financial literacy, financial management and stress towards finance (Delafrooz & Paim, 2011; Sabri & Falahati, 2003). Other than differentiation in value, attitude towards money might as well influence the financial well-being as what Nickerson et al. (2007) claimed. It is because the attitude towards money

influences individual saving and spending pattern (Sim & Shuang, 2004).

Nevertheless, only few researches in Malaysia would explore financial well-being in aspect of attitude and financial management of young workers itself but rather the study is more focused on financial stress; working environment, productivity at a workplace and so on (Mokhtar et al., 2015; Sabri & Falahati, 2003). Therefore, the present study aims to explore the levels of financial literacy, money attitude, debt management and financial well-being, examine the relationship between financial literacy, types of money attitudes, debt management and financial well-being and also to identify the determinants of financial well- being among young workers.

LITERATURE REVIEW

Financial well-being occurs when someone finally meets current and ongoing financial obligations and financially secure for their future that will allow them to enjoy life to the fullest (Consumer Financial Protection Bureau, 2015). Contradictory, report from Malaysia Department of Insolvency in 2012, found out that there were 11,264 young workers aged below 40 years old who were declared bankrupt. Whereas, based on studies reported by Consumer Research and Resources Centre [CRRC] (2012), young workers who earned between RM2000 to RM3000 monthly had a severe debt problem as they struggled to own a lot of things in various aspect such as owning a car, home, getting married and others. This situation

required them to make a proper financial plan so that they would have a better financial well-being in the future (Sabri & Zakaria, 2015a, 2015b).

Past research agreed that financial well-being could be measured objective and subjectively. Objectively measurement can be measured using variables such as assets, consumption, socioeconomic status and savings whereas, subjective measurement can be measured using the variables such as credit/debt management, cash management, general management, retirement, estate planning and risk management (Porter & Garman, 1993). On the other hand, gender dissimilarity between men and women in the financial affair will also affect financial well-being. Women according to Beckmann and Menkhoff (2008) often referred as risk-averse as they are very careful in making a decision regarding financial matter. Agata (2008), confirmed that men were a risk taker as they viewed getting involved in a loan was a way of investment and multiplying money.

Financial literacy is the ability to make financial decisions on budgeting, spending, saving, borrowing, investing and planning for the future (Dowling et al., 2008). Therefore, there is no doubt that financial literacy is necessary because everyone needs to deal with money in every single aspect every day (Braunstein & Welch, 2002). However, the values towards money may lead to a development of individual attitude and behaviour as the value itself was created during childhood experience or some traumatic events that involved money

(Prince & Shagrin, 2010). Attitude towards money shapes how young workers manage their money. The use of money reflects one's lifestyle (Fazli et al., 2006) and with the bad attitude of money, someone may end up in debt without realising it.

Other than that, managing debt is also getting more and more attention by many researchers (Nazni et al., 2012). According to Sullivan (1989), the debts problems begin when an individual fails to handle his/her accumulated debt that often increases steadily. It is almost impossible for anyone to acquire a large sum of assets such as house and car without resorting to loan. It is normal for an individual aged between thirty and forty to have accumulated more debt than older people as they may attach to students loan, mortgages, child expenses and etc. (Sophie, 2012). This may adversely affect young worker's financial well-being as a whole. Furthermore, debt management is one of the key components that will make individual financial management in good shape (Chong et al., 2010; Kim, 2000; Porter & Garman, 1993).

The overall base for this research can be explained using The Family Resource Management Model developed by Deacon and Firebaugh (1988). According to past researchers Deacon and Firebaugh's (1988) model can describe life satisfaction framework perfectly (Lown & Ju, 1992; Parrotta & Johnson, 1998). Family Resource Management model consists of three components that are input, throughput, and output. Input contain with demand and resources where demand consist of

goals and events while resources include economic, social and other resources. Throughput, on the other hand, consists of personal and managerial subsystem where the process of input to output in individual or family takes place. Whereas output, refers to the satisfaction of well-being results from demands being met. Figure 1 displays the research framework for the research study whereby the framework suggests the influence of individual characteristic (input), financial literacy, attitude towards money and debt management (throughput) towards financial well-being (output) based on Family Resource Management model by Deacon and Firebaugh (1988).
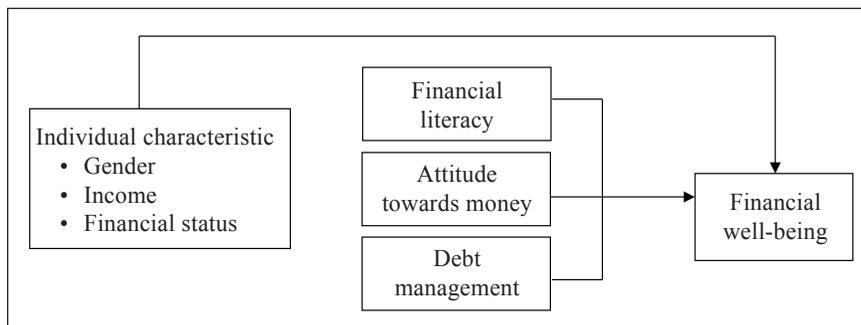
Figure 1. Financial well-being research framework

However, most of the researches only focus on financial stress, working environment, productivity at a workplace and others, very few researches in Malaysia explore financial well-being in terms of attitude and financial management of young workers (Mokhtar et al., 2015; Sabri & Falahati, 2003). Therefore, the present study aims to explore the variables that missed from past studies such as financial literacy, money attitude, and debt management and how these variables correlate to the financial well-being of young workers.

METHODS

The respondents in this study were drawn from both government and private sectors. Multi-stage random sampling technique was used in selecting a sample for this study in the centre zone namely Selangor, Putrajaya, Perak and Kuala Lumpur. Both states of Perak and Putrajaya were chosen to represent government sector whereas, Kuala Lumpur and Selangor represented the private sector. The lists of agencies from government sector were taken from government website while private agencies were taken from Malaysian Employers Federation (MEF). Five companies in each state were chosen and each company was assigned with thirty respondents. The data were collected from May 2012 until April 2014. The sample size were determined based on Smith (2013) sample calculation and a total of 385 respondents was considered more than enough to proceed with the analysis however. A total of 600 respondents were targeted in this research to balancing the sampling size for each state. In the end,

only 508 questionnaires were returned due to misplacing and withdrawal. The targeted group for the study were among respondents aged 40 and below due to the fact that this cohort of age was the highest group contributing to the job market (Labour Force Survey Report, 2012).

Measurement of Variables

Financial Literacy. This instrument and scale was developed by Sabri et al. (2006), based on Malaysian context. The instrument consists of 34 items concerning general knowledge, saving and investment, credit card, Islamic product/banking and debt/loan and requiring respondents to answer "true" and "false". Each correct answer carries one point whereas the "false" answers carry zero point. Higher value of total financial literacy shows a higher level of financial literacy. Scores were classified into three levels of financial literacy that are low, moderate and high.

Attitude towards Money. This study used Money Beliefs and Behaviour Scale by Furnham (1984) to measure feelings and experiences of the respondents using scale from (1) strongly disagree to (5) strongly agree. Six dimensions were taken from this measurement that are the obsession, retention, inadequacy, effort/ability, power and security. Factor analysis was applied to identify the dimension of money attitude and Cronbach alpha for each dimension were analysed to identify the reliability. However, two dimensions that are power and security were dropped from further analysis because

of the low value of Cronbach's alpha that is below 0.5 while others were in acceptable values from 0.5 to 0.7.

Debt Management. The scale for measuring debt management was adapted from Nyamute and Maina (2011) and Consumer Research and Resource Center [CRRC] (2012) survey. Five points of scale from (1) strongly disagree to (5) strongly agree were used to measure the way respondents control their financial activity without getting burden debt. The sum of debt management score was then divided into three groups namely low, medium and high. The Cronbach's alpha for this instrument was 0.815.

Financial Well-being. Financial well-being was measured using an instrument named Malaysian Financial Personal Well-Being Scale (MPFWBS) that is developed by Garman et al. (1996) and Jariah (2007). This 10-point scale consisted of 12 statements with one as the lowest score and ten as the highest score. The higher score of the scale would represent better financial well-being. The financial well-being section described respondents' satisfaction towards financial well-being that contains financial control, attitude, behaviour and confidence. This measurement was modified based on Malaysian context from the adoption of InCharge Financial Distress/Financial Well-Being (Prawitz et al., 2006). The Cronbach's Alpha for this variable is 0.935. The total score of financial well-being was divided into three categories.

RESULTS AND DISCUSSION

Respondents Background

Table 1 shows the characteristic of the respondents that participated in this study. The majority of the respondents were employees from public sectors (57.1%) and the rest were from private sectors. Almost 62% of respondents was female and 38.4% was male. Most of the respondents fell between 26 to 30 years old with mean of age was 31.2 years old. Almost two third of the respondents were married, and half of the respondent earned more than RM3,500 per month. About 35% of respondents claim that they had assets valued more than the outstanding debt, whereas 65% of them defined the financial status as assets values less than or equals to outstanding debt. In terms of debt to income ratio, 34.3% of respondents paid more than 20% of their income to pay the debt whereas, 43.1% of the respondents paid at least $\geq 40\%$ to pay the debt. Based on the percentage shown on financial status and debt to income ratio it can be concluded that young workers were burden with debt due to the factors such as poor financial management or income that did not meet the expenses.

Table 1
Respondent's background

Demographic	Characteristics	n	%
Sector	Public	290	57.1
	Private	218	42.9
Gender	Male	195	38.4
	Female	313	61.6
Age (years)	< 25	68	13.4
	26-30	180	35.4
	31-35	159	31.3
	>36	101	19.9
Age Mean	31.2		
Marital status	Single	160	31.5
	Married	335	65.9
	Others	13	2.6
Monthly household income	<RM1500	57	11.8
	RM1500-RM3500	179	37.1
	>RM3500	247	51.1
Financial status	Assets values less than outstanding debt	164	32.3
	Assets values equal to outstanding debt	166	32.7
	Assets values more than outstanding debt	178	35
Debt to income ratio	0%	20	4.0
	<20%	93	18.5
	20%-40%	173	34.4
	≥40%	217	43.1

Financial Literacy

There are four domains in financial literacy that can be discussed. The first one is general knowledge. More than two third of the respondents did not know that "A person can be declared bankrupt if the debt owning is more than RM30, 000" and nearly three-quarter respondents wrongly answered for the statement "Individual who have declared bankruptcy is not allowed to apply for a loan more than RM1000". This statement showed respondent was not financially literate as far as bankruptcy is concerned. This finding is consistent with the report from Malaysia Department of Insolvency (2010), which came out with the statistic that 81,908 workers were declared bankrupt from 2005 to 2010 because of financial illiteracy among them made them fell easily into debt. The second domain, the credit card, shows that almost 70% of the respondents were not aware that charge would levied upon cash withdrawals from credit card. And also respondents seemed to have a wrong idea of how credit card should be used when almost 22% of respondents thought credit cards holders could spend as much as they could without having to worry about spending limitation. Alex (2009) and Nazni et al, (2012) highlighted that most individual who failed in managing money and eventually fell to bankruptcy situation was because of the ignorance in financial aspect especially credit card.

The third domain on financial literacy is Islamic financial product and banking. Respondents also showed a lack of knowledge on Islamic financial product and banking, when slightly more than half gave wrong answers on the questions "Islamic banking concept is interest-free". Islamic banking does not compromise with riba and that means no excessive charges were allowed (Taqiuddin et al., 2012). Other than that, respondents also show a lack of knowledge in Islamic banking when 50.7% of the respondents failed to answer the question on 'Takaful funds can only be invested in the instruments that meet the sharia'. Next is debt or loan. Based on the percentage shown, almost half of the respondent actually thought they could spend more than 40% of net income to pay monthly instalments and only 27% of the respondents rationally think that it could not. As proposed by The Credit Counselling and Debt Management Agency (AKPK), an individual should not spend too much on their income; in fact they should save at least 10% from that so that they have enough saving in the future. Fortunately, more than 80% respondents know that buying on cash is low cost compared to credit. Saving and investment would be the last domain for financial literacy. Based on the results, respondents showed a wise decision in at least almost 80% of them agreed they should save three months income in case of any emergencies. Most of the respondents which is (81.9%), agreed that the indicator of overspend was when savings were used just to buy the basic or daily necessities (AKPK, 2006). However, it can be concluded that most of the respondents is not very familiar with investment as there is only a slight

difference in respondents who agreed and did not agree with the statement that all types of investment were profitable.

On the other hand, when levels of financial literacy were grouped as shown in Table 2, most of the respondents fell into a moderate level. Only 28% of respondents had a high level of financial literacy whereas almost 9% of the respondents were considered to have low level of financial literacy. Though, based on this study, more respondents have financial literacy but according to Lusardi and Mitchell (2009), more and more individual nowadays were financial illiterate somehow because of the complexity of financial markets that required them to know more than before.

Table 2
Level of financial literacy

Variables	n	%
Financial Literacy		
Low (0-10)	45	8.9%
Moderate (11-21)	321	63.2%
High (22-32)	142	28%

Attitude towards Money

There are four dimension of attitudes towards money in this section. The first dimension is obsession. Obsession is a perception or belief of how the money is viewed. Majority of respondents did not agree with the statement "Money can solve every problem" based on a high mean score that is 2.76. Only one-third of respondents believed that money could solve all of their problems. Another half of respondents believed that money was everything that he/she could depend on. This indicates that

most of the respondents did rely on money to take care of their necessity and desire. Retention is the second dimension of attitude towards money. Retention can be achieved through saving, budgeting, planning, and other for future financial goals. The highest mean score (3.37) on this dimension refers to the statement 'I worried about finances much of the time'. At least one and half of respondents found it difficult to make decisions regarding spending and always worried about their own financial. Another 55% of respondents or mean score 3.13 did not have any specific plan for the money they accumulated. This can be concluded that most of the respondents had low level of retention because they found it hard and probably inability to track their finances

The third dimension of attitude towards money is inadequacy. Feeling of inadequacy is the feeling of wearisome about one's financial situation as indicated in the statement by a high mean score that is 3.42. This study found out that about 44.5% of the respondents were defensive when asked about their financial situation. As said by former researchers, people that were in financially inadequate situation would feel anxious about others who own more (Furnham & Argyle, 1998; Sabri & Zakaria, 2015). The fourth dimension of attitude towards money is effort. An effort in this context means that individual effort to earned money. Based on the descriptive analysis statement 'I believes that the income earning is parallel with the effort I give' show high score of mean that is 3.77. Half of the respondents were very proud of

their ability to save money and 50% of the respondents believed that they deserved the current wages that they earned. Other than that, 66.7% of respondents always knew the exact amount of money deposited in the bank or know the amount of their credit/loan.

Table 3 shows mean score of the dimensions for attitude towards money. The higher mean score is effort and the ability towards money (mean=3.37), the attitude towards money inadequacy (mean=3.36), followed by the attitude towards money retention (mean=3.09), and lowest low score is the attitude towards money obsession (mean=2.34). This result can be concluded that most of the respondents have an ability or effort towards money so that they can achieve whatever they want to.

Table 3
Mean score for money attitude's dimensions

Dimension of attitude towards money	Mean
Obsession	2.34
Retention	3.09
Inadequacy	3.36
Effort/ability	3.37

Debt Management

Twenty six statements were used to measure the debt management among young workers. Mean score for each statement were used to explain the statements. The highest mean score is 4.14 on statement agreed to be in debt each month as long as they can own anything they desired. Based on the results almost 81% of the respondents did not agree with the statements which showed that most of the respondents were not materialistic.

Other than that, 80% of the respondents did not take any loan or debt so that the family could have more to spend. The lowest mean score is from the statement 'will make a credit just to buy home appliances' (mean=3.91) with 72.3% of the respondents would not take any loan or debt for the purpose of purchasing home appliances.

Next, paying strategies are crucial as it will help someone better in managing their money. The highest scores for this dimension is 4.25 or at least 93% of the respondents agree with a statement "I will think about repayment ability before committed in any loan". It is because by doing so young workers need to hold a tremendous responsibility to repay the debt that needs years and years to settle.

Whereas, mean score of 4.10 showed that respondents did not have minimal intention to apply for loan to buy another house. About 70.3% of them did not have problems in paying back the loan/debt for the past 12 months and 40% of the respondents never commited more than 40% of the gross salary to settle a monthly debt. These findings can be concluded that most of the respondents are doing as best as they could to try to overcome the debt burden. These young workers have enough saving so that they can deal with the emergency situation, education, retirement risk and so on (Faoziah et al., 2013). Most of the respondents did not agree with the statement 'I will fight for money' with mean score for the statement 4.13. The second high of mean score that is 4.0 is I have to go into debt to pay medical costs. At least 77.7%

disagreed they had to apply for a loan or borrowed money to settle medical cost and this can be assumed that most of the young workers have an emergency saving. Almost 72% of respondents did not agree to own a lot of things with debt, and only 12% agreed with that statement. Most of the respondents (66.6%) decided to change the spending pattern, and only 11% would not do so even though they had to make another loan.

Table 4 shows that 24.4% of the respondents can control their debt while 75.6% have an excellent way of managing their debt.

Table 4
Level of debt management

Variables	n	%
Low management control (26-60)	0	0
Management control (61-95)	123	24.4
Excellent management (96-130)	381	75.6

Financial Well-being

Financial well-being was measured using 10-point scale consisting of 12 statements and was explained by mean score. The high score of 7.32 shows better financial well-being. This reflects that the respondents does not have problems with the statement such 'I have difficulties in paying monthly bills'. There are two lowest mean score that are 4.93 and 5.74 for statements how worried the respondents are about the personal finance today and how easy would it be to get money to pay for a financial emergency that cost RM1000. It appears to show that the respondents may face difficulty in managing their finance and may have a hard time in planning ahead for the

future, however, getting RM1000 in case of financial emergency are not that hard to get with as they might have saved for the emergency.

Table 5 illustrates the levels of financial well-being. The total score of financial well-being were then divided into three groups. Results disclosed that 25 respondents (5%) having a low level of financial well-being whereas, 18.1% of the respondents possessed a high level of financial well-being. Most of the respondents (76.9%), were in moderate level of financial well-being. The research finding is consistent with findings of past studies by Mokhtar at al. (2015) that showed employees were actually having a moderate level of financial well-being.

Table 5
Level of financial well-being

Financial Well-Being	n	%
Low (12-47)	25	5.0
Moderate (48-84)	386	76.9
High (85-120)	91	18.1

Comparison of Financial Well-being Based on Socioeconomic Characteristic

An independent sample t-test is presented in Table 6. Comparing the financial well-being based on gender. It is stated that there is a significant difference between men and women regarding financial well-being where mean score for women is higher than men indicate women have a better financial well-being. According to Falahati and Sabri (2015), women and men had different levels of financial well-being because they deal with a different kind of experience towards financial aspect during socialisation process.

Table 6
Comparisons of financial well-being based on gender

Gender	n	Mean	SD	t	Sig.
Men	191	70.24	16.455	2.221	0.034
Women	311	73.27	13.75		

*Sig. p<0.05

Independent sample t-test was performed to compare the differences in financial well-being based on financial status (Table 7). Financial status was divided into two categories namely assets more than the liability (M=69.04, SD=14.36) and assets less than the liability (M=77.71, SD=14.35;t (500)=-6.49, p=0.000) and this result show a significant difference in financial well-being between both groups. It is typical for young workers to have liability more than assets as they are still young and not financially stable.

Table 8 provides the results of ANOVA test that is to compare financial well-being according to income groups. The income group was divided into three groups based on classification taken from the 10th Malaysia Plan. It is revealed that there is a significant difference between each group income [F(2,476)=12.14, p=0.000]. On the other hand, Post-hoc comparisons using Turkey test indicates that the mean score for high income group (M=75.07, SD=14.02) is significantly different from low income group (M=66.07, SD=19.91) and middle income group (M=69.65, SD=14.02).

It is clear to conclude that the high-income group was financially well because of the monthly income that they receive which is much than the others, making ends meets that leads to individual financial well-being. This result was contrary to Kahneman and Deaton (2010), that claimed income did not influence financial well-being at any cost since well-being itself was very subjective.

Correlation with Financial Well-being

Pearson's correlation coefficient was used to test the relationships between financial literacy, debt management and money

Table 7
Comparisons of financial well-being based on financial status

Financial status	n	Mean	SD	t	Sig.
Assets>Liability	324	69.04	14.36	-6.49	0.000
Assets<Liability	178	77.71	14.23		

*Sig. p<0.01

Table 8
Comparisons of financial well-being based on monthly income

Income Group	n	Mean	SD	F	p
Low (Less than RM1500)	56	66.07	19.91	12.14	0.000
Middle (RM1500 to RM3500)	176	69.65	13.65		
High (More than RM3500)	245	75.07	14.02		

*Sig. p<0.01

attitude with financial well-being. The results are shown in Table 9 where there was a very weak positive relationship between financial literacy [r=0.203, p<0.01], retention of money attitude [r=0.152, p<0.01], and inadequacy of money attitude [r=0.011, p<0.01]. Whereas, debt management [r=0.329, p<0.01] and effort/ability of money attitude [r=0.334, p<0.01] show weak but positive relationship with financial well-being. The positive relationship between financial literacy and financial well-being showed that most of the respondents had quite adequate financial literacy which meant they would at least try to think before making any decision regarding financial matter which led to financial well-being. Retention, inadequacy and effort/ability of money attitude also have positive relationships indicate that respondents have the ability to have clear planning on where money should be spend.

Factors Influencing Financial Well-being

Table 10 shows the multiple regression results of variables that may contribute to the financial well-being of young workers.

The eight variables that are gender, household income, financial status, financial literacy, debt management, attitude towards money (retention), attitude towards money (inadequacy) and attitude towards money (ability/ afford) explained 27.4% of the variance of financial well-being that may also indicate other potential factors that may explain this model. Demographic factors that are gender and financial status, and also independent variables that are financial literacy (β=0.14), debt management (β=-0.19) money attitude retention (β=0.12), money attitude inadequacy (β=0.10) and money attitude effort/ability (β=0.27) have a unique contribution to the financial well-being whereby money attitude effort/ability contribute the most towards dependent variable that is financial well-being. The effort attitude towards money according to Furnham (1984), is related with belief and hard work that brings success and therefore help to improve financial well-being in long term.

Based on the results, socio-economic factor that significantly contributes to the financial well-being are gender (male) and financial status. According to Herron

Table 9

Correlations of financial literacy, money attitude and debt management with financial well-being

Variables	Pearson's Correlation (r)	p
Financial Literacy	0.203**	0.000
Debt Management	0.329**	0.000
Type of money attitude		
2) Retention	0.152**	0.001
3) Inadequacy	0.011*	0.013
4) Effort/ability	0.334**	0.000

** Significant p<0.01, * Significant p<0.05

(2004), there is a significant differences in financial management regarding financial matter where female have less confidence in finance aspect. Women appear to live with identifiable financial goals, comfortable with what they only have without to worry about personal debt (Prudential Research Study, 2015). However, recent study finds it contradict with what the previous researcher had confirmed. More and more women dare to take risk in investment as it will diversities the money so that they won't become financial burden to the spouse (Prudential Research Study, 2015) and not to mention living in financial hardship would make women much confidence in dealing with money (Routzahn & Hansen, 2014).

The results from multiple regression also indicate variables such as financial literacy, debt management, and money attitude of ability/effort predicted financial well-being. Individual who have adequate knowledge about financial matter would know various aspect of finance and would make a better judgment in financial decisions (Sabri &

Zakaria, 2015). Moreover, an individual with positive attitude towards money such as retention, inadequacy and effort/ability can help young workers manage their money wisely. The findings also suggest that attitude towards money that is the ability to manage money is the strongest factor to the financial satisfaction. Ability in handling money plus the ability to use knowledge to manage financial resources can be a lifetime saver so that someone can have a better financial well-being (Annual Report of Financial Literacy, 2008). Whereas according to AKPK (2006), two third of individuals owing a significant amount of debt and were declared bankrupt because of poor ability of financial management spent too much on unnecessary things. This is similar to the study done by Farhana and Fazli (2013) where they agreed that financial capability became a major contributing factor towards financial well-being among young adults. On the other hand, retention towards money indicate a clear planning or preparedness behaviour (Hayes, 2006).

Table 10
Factors influencing financial well-being

Variables	B	Beta	t	Sig
Constant	-3.87		-0.055	0.58
Gender (male)	2.52	0.08	2.01	0.04
Household income	2.12	0.02	0.488	0.62
Financial status (assets > liability)	5.61	0.18	4.35	0.00
Financial literacy	0.40	0.14	3.61	0.00
Debt management	0.23	0.19	4.61	0.00
Attitude towards money (retention)	1.02	0.12	3.12	0.02
Attitude towards money (inadequacy)	0.69	0.10	2.64	0.08
Attitude towards money (ability/effort)	1.39	0.27	6.58	0.00

$R=0.524$; $R^2=0.274$; *Adjusted* $R^2=0.262$; $F=21.78$; Sig.F= 0.000^{**}; $p \leq 0.05$; $p \leq 0.001 p < 0.001$

CONCLUSION

This research attempted to assess financial well-being among young workers through a couple of variables namely financial literacy, types of money attitude and debt management as well as socio-demographic factors such as gender, household income and financial status. The analysis of multiple regression was then used to explore the factors that contribute to the financial well-being. Several conclusions can be drawn from this study. First, attitude towards money that is effort/ability is an indicator of young workers towards financial well-being. Ability to manage money is important so that money can be planned accordingly especially for those who are in low-income level. Ability in planning the money or budgeting is important as it will allow an individual to make smart financial choices and to avoid excessive consumption spend more than what they could earn.

Secondly, male plays an important part as differentiation regarding financial behaviour that determine satisfaction towards money due to different financial socialisation surrounding them that would significantly affect financial well-being. Thirdly, financial understanding through an adequate level of knowledge would apparently help a young worker to improve the financial skill which is required in achieving financial goal. As such, it is necessary for young workers to keep up with changes in financial industry, credit terms and interest rate that will give a helpful idea to choose financial service and product wisely. Fourth, debt management is vital so

that financial stress among young will not likely to happen (Kim et al., 2005). Being in debt was not a bad idea, in fact; it is a smart move especially for young workers as they start to accumulate assets. Accumulating asset means accumulating debt in the sense that they need to apply for the loan to own some assets and in whatever way being able to manage the debt. Unable to administer the debt would apparently lead to the financial stress and finally a good source to a chronic strain of financial well-being.

The findings may suggest that financial education at the workplace is essential. Though the attitude towards money won't change much as expected through this, but the small changes in perception and behaviour would help in reducing the number of debt and eventually would bring financial well-being among young workers to be achieved. Financial education at the workplace is required especially for those who just started to enter the workforce. This is when the employer plays a big role to provide them with good access to the financial education. A seminar, workplace counselling and workshop is one of the education initiatives to promote well-being in the workplace. This program may contribute to the individual's knowledge and let alone understanding about financial health and well-being. As shown from the findings, ability/effort towards money is a contributor to the financial well-being. The ability towards money management may differ from one person to another. Attitude towards money can be build based on socialization as agreed by past

researcher. Primary socialisation thru social support, family, and the workplace may help young workers to have better knowledge towards finance and later financial well-being. Whereas secondary socialisation for example peers, colleague, media and other may lead them to a better financial well-being. Today young people might face a lot of financial challenges and as such, socialisation agent play a crucial role in making a successful development of attitude, behaviour and values that will support financial well-being later.

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Food Waste Pattern in Tertiary Education Institution in Penang: Quantitative Comparison of Food Waste Composition Between Semester Break and Start

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ABSTRACT

Food waste is the largest component of solid waste in Penang. Understanding the composition and sources of food waste is crucial to reduce and manage wasted food efficiently. As most of the studies were focused on commercial restaurants that mainly studied the waste pattern from the society, in this study, the focus is on a tertiary education institution and food waste was collected from five food premises from the campus of Universiti Sains Malaysia, Penang during the semester break and at the beginning of the semester. The waste was quantitatively investigated and compositionally analysed according to two categories: preparation and customer plate waste. Within each category, avoidable and non-avoidable waste was identified, segregated, and measured. The weight among the groups was compared statistically, and the carbon dioxide emission also calculated based on the Defra factor. In general, preparatory waste was significantly higher than the customer plate waste for both semester break and at the beginning of the semester. The avoidable waste generated from customer plate waste at the beginning of the semester was significantly greater compared to the one during the semester break, and this might indicate wastage of food by the undergraduate students. The current study suggests that food waste arises differently in the aforementioned categories from the tertiary education institution and future research might focus on the works that support the engagement of food premises to identify the reasons for food waste within their facilities and appropriate measures to address the issues.

INTRODUCTION

The amount of food waste in Malaysia is estimated to increase to more than 6 million tons by 2020 (Alias, 2010). Wasted food in Malaysia is being managed as municipal solid waste (MSW) under the Malaysia Solid Waste and Public Cleansing Management Act 2007 (Act 672). The recyclable and avoidable trashed food was the dominant composition that had occupied almost 60% of the MSW (Hamid, 2015) and Penang state alone had generated more than 45% of food waste in MSW (Jabatan Pengurusan Sisa Pepejal Negara [JPSPN], 2017). These amount of trashed food had increased 7.6-fold from 2011 to 2014 (Lim et al., 2016) and the increment is expected to exceed 5 million tons per day by 2020. This large amount has brought significant impact on environment issues as they emitted greenhouse gases that caused climate changes during their decomposition at the landfill (Thi et al., 2015) and the waste might occupy landfill (Moh & Manaf, 2014).

Wasted food is generated on a daily basis via agricultural, industrial and domestic activities. In general, sources of food waste can be classified into three groups: (1) food losses, which mainly are the food materials lost during preparation, processing and production phases in the food supply chain; (2) unavoidable food waste, in which the inedible parts of food materials lost during consumption phase such as fruit peel and core; and (3) avoidable food waste, which are the edible food materials that were lost during consumption phase (Thi et al., 2015).

Despite the fact that several efforts had been introduced at the national level such as the National Solid Waste Management (2002–2020), National Recycling Program (2000–2005) and Waste Minimization Master Plan (2005) (Ministry of Housing and Local Government [MHLG], 2006), food waste management in Malaysia was considerably less sustainable due to inappropriate monitoring and administration practices. Lim et al. (2016) suggested that the food waste strategy in Malaysia as a developing country was ineffective compared to the other developed countries such as Korea, Japan, and Taiwan due to improper segregation of food waste from other solid wastes.

Malaysian authority had proposed and initiated the National Strategic Plan for Food Waste Management (NSPFWMM) in collaboration with the Ministry of the Environment of Japan in 2010 to encourage the public to practice good of food waste disposal habit such as food waste segregation. However, as mentioned by Hamid (2015), food waste strategy is relatively ineffective if the details of food waste such as the composition is not studied. Therefore, this study aims to act as a preliminary survey of the composition and quantity of food waste generated from food premises in Universiti Sains Malaysia, Penang during the semester break and at the beginning of the semester.

MATERIALS AND METHODS

Scope

As one of the preliminary food waste compositional analysis, it was agreed that the five engaging food premises were geographically within the same area for the most efficient use of time and resources. The five participant food premises named as Red House (RH), Bakti Permai Kak Ani (BPKA), Fajar Harapan AA Corner (FHAC), Fajar Harapan Pak Ku (FHPK), and Uptown (UT) were located as shown in Figure 1. The seating capacity across the five participant food premises ranged from 50-200 seats, and staff number varied from 6- 12. We aimed for a variety of type of food such as Malay, Indian, and Chinese food. The food types were standardized as economic rice (mixed rice) considered as casual dining (restaurants provide table service and serve moderately priced food) and about 75% of the food preparation was done onsite.

The waste collection was carried out on a weekly basis excluding the weekends during the semester break (May to July 2016) and at the beginning of the semester (September to November 2016) to ensure that the food premises had an average number of customers and the trend between the semester break and at the beginning of the semester can be compared. Preparation waste was collected in the morning (7 am to 10 am) during food preparation and customer plate waste was received after 4 pm to collect the waste generated from breakfast and lunch.

Food Waste Segregation

The method for classification and waste collection was modified from Sustainable Restaurant Association [SRA] (2010), which was the pilot study in food waste composition in London, United Kingdom. The definition of spoilage, preparation (prep) waste, and customer plate waste, avoidable and non-avoidable waste was detailed in Table 1.

The waste was prior categorized into prep and customer plate waste from the food premises and further segregated into avoidable and non-avoidable from the categories after collection and transferred to the laboratory (School of Biological Sciences, Universiti Sains Malaysia). Also, the amount of spoilage from the prep waste was measured and recorded. The waste was collected using a thick plastic bag (0.04 mm) in a 45-L dustbin container. The weight of waste was measured using an electrical balance (capacity 30 kg) before being transfered to the laboratory for composition segregation.

Two separate bins were made available for the kitchen staff to collect food waste from preparation and customer plates. The information was then documented with the help of pictures and notes. A summary of them are provided as follows:

- The weight (kg) of food waste relating to the preparation and customer plate waste (weighing carried out onsite).
- Preparation and customer plate waste were sorted and weighed in the laboratory according to

- spoilage, avoidable, and non-avoidable (Table 1).
- The percentage of food waste from each of the classes

- The current waste management practices in place (observation).
- A summary of the auditor's comments on each day of collection.

Table 1

Definition of prep, customer plate, avoidable and non-avoidable waste

Type of waste	Definition
Prep waste	Food waste generated as part of the menu preparation and cooking process, including items that could be used but are thrown out, for example, peelings or off cuts for stock. This includes meals cooked for customers that don't get served (overcooked or ruined etc.). It is recognized that some prep waste could never be used for service (e.g., fruit stones)
Customer plate waste	Prepared food that comes back from the customer, including meals that have been untouched
Spoilage	Produce that has gone off or has been contaminated and is unusable. This includes front-of-house items from the dining room For example, mouldy bread
Avoidable	Avoidable food was defined as Wrap 2013 and SRS 2012 that Food thrown away that was, at some point prior to disposal, edible (e.g., slices of bread, apples, meat) and could have been eaten if it had been better portioned, managed, stored and/or prepared. "Avoidable" food waste also includes some otherwise acceptable food items that have not been eaten because of consumer preference, such as bread crusts and jacket potato skins.
Non-avoidable	Waste arising from food preparation that is not, and has not been, edible under normal circumstances (e.g., meat bones, egg shells, pineapple skin, tea bags).
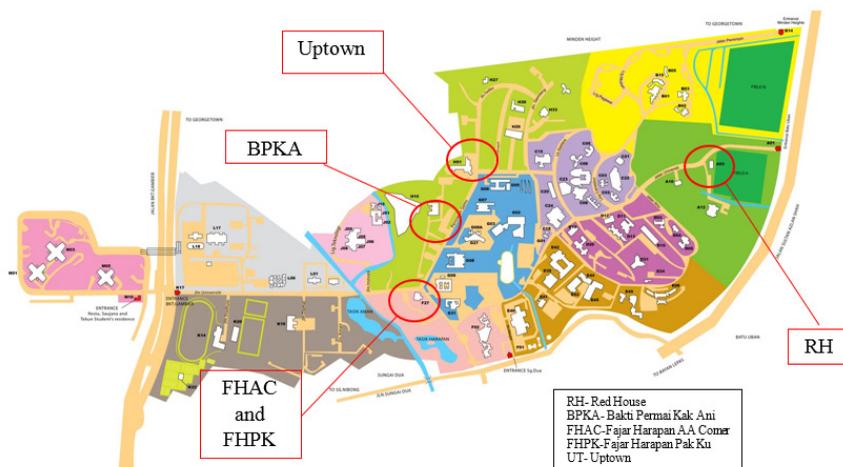
Figure 1. Location of participant food premises in Universiti Sains Malaysia, Penang

Statistical test

For both semester break and at the beginning of the semester, the weight of waste between 1) prep and customer waste, 2) avoidable and non-avoidable was compared using *t*-test by SPSS 21.0.

RESULTS AND DISCUSSION

Food waste is the largest component in municipal solid waste in Universiti Sains, Malaysia, Penang (Penang Island Municipal Council Experience [MBPP], 2007; Omran et al., 2009). However, until now there is not much studies conducted on the food waste composition. It is crucial to clarify that the data consist of pre-waste and unavoidable waste, and the result does not represent the food waste behaviour of the USM Penang community. A total of 74.3 kg and 106 kg of food waste had been generated during the 3 weeks' study during the semester break and at the beginning of the semester, respectively. Across the participant food premises, the mean of food waste generated from the two streams for both semester break and the beginning of the semester was: 61.23% of food waste from prep waste and 38.77% of food waste from customer plate waste. The comparison of prep and customer plate waste between semester break and the beginning of the semester is shown in Figure 2, and generally, the amount of prep waste was significantly greater than the customer plate waste ($p < 0.05$) from the five premises for both semesters break and at the beginning of the semester (Table 2 and Table 3). These results were paralleled with numerous food waste composition studies (SRA, 2010; WRAP, 2013), in which food waste analysis had been conducted in commercial restaurants and prep waste

Table 2

Food waste composition in food premises in Universiti Sains Malaysia Penang during semester break

	Pre-waste				Customer waste		
	Percentage (%)				Percentage (%)		
	Avoidable	Non-avoidable	Spoil	Total (gram)	Avoidable	Non-avoidable	Total (gram)
FHAC	28±8	58±4	13±1	7614±39	41±6	57±2	5072±44
FHPK	40±11	38±3	21±3	12520±102	33±10	66±4	6855±56
BPKA	41±16	37±5	21±2	8551±64	29±8	70±3	7891±82
UT	38±10	44±6	17±4	7818±85	32±9	67±5	5261±105
RH	14±9	80±5	5±2	9111±1001	19±12	80±6	3570±91

RH- Red House   FHPK-Fajar Harapan Pak Ku

BPKA- Bakti Permai Kak Ani   UT- Uptown

FHAC-Fajar Harapan AA Corner

Table 3

Food waste composition in food premises in Universiti Sains Malaysia Penang after semester start

| | Pre-waste | | | | Customer waste | | |
| | Percentage (%) | | | | Percentage (%) | | |
	Avoidable	Non-avoidable	Spoil	Total (gram)	Avoidable	Non-avoidable	Total (gram)
FHAC	38±10	52±6	10±2	12298±88	45±10	54±3	9129±87
FHPK	41±12	39±6	20±3	11425±64	39±4	60±6	7609±54
BPKA	40±17	41±7	19±2	13091±55	35±7	64±7	11083±73
UT	36±5	50±7	14±4	12071±69	42±6	56±4	8198±43
RH	16±6	80±8	4±2	15876±91	18±9	81±5	5210±68

RH- Red House

BPKA- Bakti Permai Kak Ani

FHAC-Fajar Harapan AA Corner

FHPK-Fajar Harapan Pak Ku

UT- Uptown

was occupied more than 45% of the total food waste. Tiew et al. (2010) and Hamid et al. (2015) demonstrated the dominance of organic waste in Universiti Kebangsaan Malaysia and Universiti Putra Malaysia, respectively, and suggested the food waste might mainly be generated from the kitchen (preparation waste).

Based on Defra greenhouse gas emission factors (Table 4), across the five participating restaurants, the average greenhouse gas emissions per restaurant, if the food waste was being sent to landfill, was 15.01 tons, 463.56 kg of food waste were sent for incineration combustion or anaerobic digestion, and only 132.46 kg
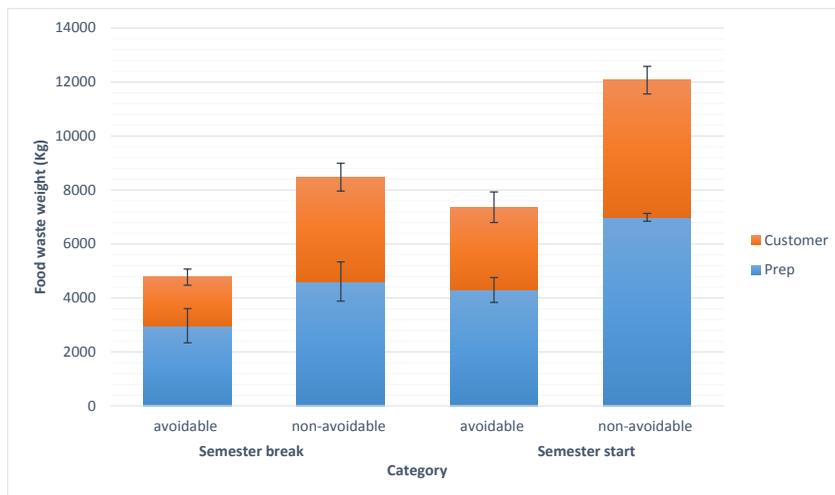
Figure 2. Food waste (avoidable and non-avoidable) in semester break and at the beginning of the semester

of the food waste sent for composting. Figure 3 shows the comparison of carbon dioxide emission when the food wastes from the participant premises are managed according to some standard methods in Malaysia. Nevertheless, the landfilling is the most frequent method for handling food waste worldwide including Malaysia due to it being relatively lower in terms of cost (Norkhadijah et al., 2013) although some places in Malaysia may practice incineration, but eventually were closed down due to the releasing of toxic gases from combustion (Lim et al., 2016; Thi et al., 2015). Therefore, it is suggested that the prep waste that cannot be avoided (non-avoidable waste) could be managed as compost that will be able to transform the organic food waste into useful fertilizer.

It is assumed that this is a pilot study in Malaysia for compositional analysis of food waste into avoidable and non-avoidable waste, as suggested by WRAP (2013). A researcher/practitioner will be able to

Table 4

UK Government GHG conversion factors for company reporting

Organic: food and drink waste	Carbon dioxide emission ($kgCO_2$ emitted / ton of waste)
Combustion (Energy is recovered from the waste through incineration and subsequent generating electricity)	21
Anaerobic digestion (Energy is recovered from waste through anaerobic digestion)	21
Composting	6
Landfill	680
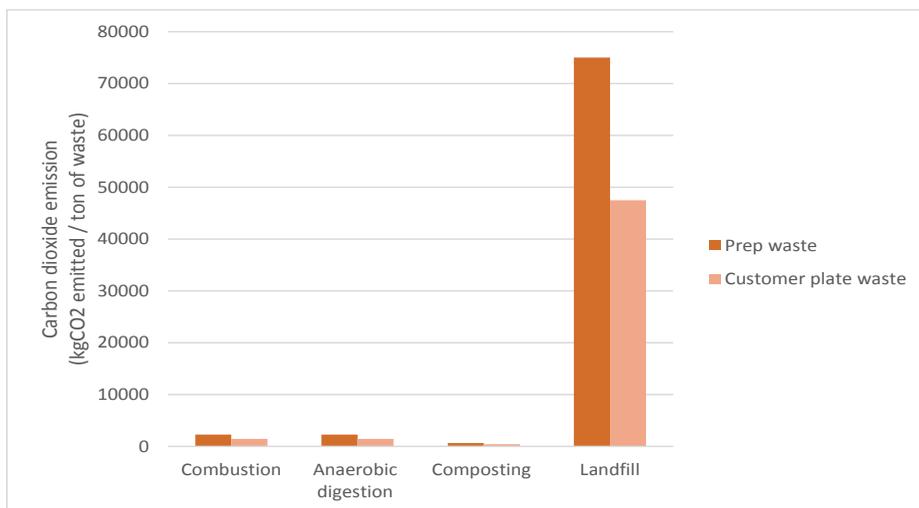
Figure 3. Carbon dioxide emission based on the food waste generated in this study

handle and manage waste more effectively by sorting them into these two streams. As can be seen in Figure 2, non-avoidable waste occupied the majority, in which 50.6% and 67.5% of prep and plate waste, respectively, during the semester break, and 54.0% and 61.6% of prep and plate waste, respectively in the beginning of the semester. During the semester break, food preparation from participant premises trashed an average of 2978 ± 633 g avoidable waste and this has no significant differences compared to the avoidable waste at the beginning of the semester ($\overline{x} = 4296 \pm 462$, $n = 5$, $p = 0.05$). However, for customer plate waste, the avoidable waste generated at the beginning of the semester ($\overline{x} = 3067 \pm 567$ g, $n = 5$) was significantly higher than the one during the semester break ($\overline{x} = 1798 \pm 300$g, $n = 5$); this may indicate the volume of food wasted by the retry and new intake students. This was understood that as the semester began, the number of students (retry and new intake undergraduate students) was estimated to increase; nevertheless, as the Pre-waste and customer plate waste showed a parallel increment of 41.98% and 43.91%, respectively, after the semester began, the significant higher avoidable waste component from customer plate waste was highly contributed by the new students. The wastage behaviour of students also showed by the estimation report of Chan (2011) that the total plate waste generated by all university students in Hong Kong might produce 45 tons daily and Ferreira et al. (2013) had measured the food waste index in a Portuguese university, and an average of almost 70% food was trashed by those students. Several solutions could be suggested to reduce the amount of plate waste such as advising students to carefully consider their portion sizes, and the food premises may offer varying portion sizes; institutions and food premises may offer take away boxes where appropriate; food premises should plan their menu to ensure the food will meet customers' expectations.

Observations of the study site showed that most of the participant food premises demonstrated less understanding of food waste prevention than the commercial kitchens (based on the input given by the operators of food premises). In many cases, food waste was not segregated into separate waste streams but disposed of in a general waste bin; however, the high level of preparation on the site leads to preparation waste representing the largest share in the food premises in Universiti Sains Malaysia. In addition, the bulk of the avoidable waste in preparation and customer plate waste consisted of Asian carbohydrate resources such as white rice and noodle due to them being unsold and unconsumed. Rice also formed the bulk of the component in most of the institutions in Asia such as Lo Wu Correctional Institution in Hong Kong, which thrashed around 500 bowls (100 kg) of rice every day (Environment Bureau, 2014).

Tertiary education students' food waste behaviours might be due to the food quality, food quantity, product mixes, and menu items (Kwon et al., 2010; Lee, 2015). In this study, some common reasons given

for prep food waste from kitchen (based on the input from food premise operators) were the food was unusable, for example, plant root, onion skin, and egg shell; over-estimation/portioning, for example, as the number of customers patronizing the premises were indeterminable and the orders were irregular; food was left too long on prep benches; miscooking or accidental dropping of the food during preparation. In contrast, the common reasons for customer plate waste are over-portioning; poor food cooking/quality, for example, unsuitable flavoring or over-seasoning.

There are some solutions offered by SRA (2010) to reduce prep waste and customer plate waste as detailed in Table 5. Some of the selected recommendations that are appropriate for Malaysian culture were discussed. In general, the food operators should have the right level of knowledge and

commitment to further sustain the practices such as maximization of the use of any one food item through the implementation of "nose-to-tail" cooking. Lee (2015) also showed there are relationships among food waste, food quality, and menu options and the respondents indicated that skilled employees might produce a better quality of food and contribute to reducing food waste. A strategy such as "Less Rice, One Dollar Less" that was implemented in City University of Hong Kong (City University Hong Kong [CityU], 2017). For spoilage, 15.77% and 12.85% were generated from the total waste of prep in during the semester break and at the beginning of the semester, respectively. This amount is considered high when the standard suggested by SRA (2010) was at 5%, and those food premises would expect well-managed restaurants to lower this number.

Table 5

Recommendation for reducing and managing prep and customer plate waste (SRA, 2010)

Prep waste	
	• Careful ordering
	• Close attention to menu planning
	• Close attention to customer demands and trends
	• Keeping skins on vegetables, for example, skin-on potato chips and skin-on roast pumpkin
	• Re-using edible food items that often get thrown out e.g. orange skins from making orange juice are kept for making marmalade, parsley stalks retained for stocks and soup flavoring
	• Ordering fish and meat cuts to specification so the off cuts are kept with the producer. This should not 'shift' the food waste from one premises to an other – the butcher and fishmonger will have these off cuts on a larger scale and are more likely to be able to use these off cuts than throw them out.
	• Using nose-to-tail cooking methods Customer plate waste

Table 5 *(Continue)*

Customer plate waste	• Careful consideration of portion sizes, and offering varying portion sizes
	• Offering doggy boxes where appropriate.
	• Menu planning to ensure the food will meet with customer expectations during winter and summer weather.
	• Observation of customer eating, noticing any patterns of food that is consistently returned uneaten, such as some salad items or condiments

CONCLUSION

This study was intended to provide an overview of food waste generated from Universiti Sains Malaysia and indicated that food waste arose differently in the various categories. Preparation waste was significantly the majority component in food waste and the avoidable waste generated from the customer plate waste at the beginning of the semester was significantly greater compared to the ones during the semester break. Future study may focus on more tertiary education institutions and work that supports the engagement of food premises to identify the reasons for food waste within their premises and take appropriate actions to address the issues. Innovative food management is urged to be carried out for handling some common food waste (white rice and noodle) in Malaysia.

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Preventing Radicalism by Family and Civil Society Organizations in Indonesia

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ABSTRACT

This paper explores the role of women's organizations in preventing family-based radicalism. The research was conducted on two civil society women activist groups, namely *Fatayat NU* and Family Welfare Empowerment (PKK), who had concerns about empowering women through strengthening family resilience. Qualitative data was collected through interviews and focus group discussions. The results showed that the role of these activists in preventing radicalism can be categorized into two categories. Prevention of radicalism for families who have not been exposed to radicalism is done by strengthening family resilience through economic, health, education, socio-religious activities, and an increased understanding of radicalism, i.e. by detecting and avoiding radical ideologies. For high-risk families or those who have been exposed to radicalism, these civil society organizations provide intensive assistance through social based strengthening and trauma healing. Assistance to children of former terrorists is carried out by these organizations to ensure the fulfilment of children's rights as guaranteed by law. These organizations also collaborate with the government and NGOs to increase effectiveness in preventing family-based radicalism. The paper concludes that the role of women, families and communities is strategic in creating a harmonious family atmosphere and preventing family members from being exposed to radicalism.

Keywords: Civil society organization, family, ideology, radicalism

INTRODUCTION

There are at least ten (10) terms used by scholars to refer to ideological phenomena

and expressions of ideology, flow or group that seek to change social, cultural and political order through physical as well as cultural-symbolic violence. The diversity of the term is due to its complexity when used to designate the ideology and expression of a particular group. The terms in question: militant Islam (Schward, 1999), anti-liberal Islam (Hefner, 2001), scriptural Islam (Liddle, 1999), Islamic revivalism (Esposito, 1992), political Islam or Islamic activism (Roy, 1998), Islamic fundamentalism (Al-Jabiri, 1996), and radicalism (Kallen, 1972), connote violent extremism carried out against other groups both physically and symbolically, at both the discourse level and the religious ideology, as well as the discursive expression of violence.

Radicalism is a religious social phenomenon that cannot be explained by a monolithic perspective. Simply put, the concept of radicalism in this paper means the political orientation of those with strong ideological beliefs who strive to replace the existing systems and values (Jamhari & Jahroni, 2004). According to Kallen (1972), the phenomenon of radicalisation has three characteristics: 1) as a response in the form of evaluation, rejection or opposition to ongoing conditions, whether of assumptions, values or even religious or state institutions; 2) as an attempt to replace the existing order with another systematized and constructed order through one's own world view; and 3) as a strong belief in the ideological truths one offers. A potential emotional stance may emerge from radicalism often leading to violence and terrorism (Zada, 2002).

The bombing incidents in Surabaya in May 2018, which involved families, offer interesting phenomena to be investigated. The recruitment of family members in the practice of radicalism and terrorism is quite rampant and effective. The strong bond of love among family members expedites their recruitment into radicalism and terrorism, without the need to consider political, ideological, social or other aspects. Strong inner bonds between family members easily allow family patriarch to spread radical ideologies to his wife and children. ("Ada ikatan", 2018). Thus, the spread of radical teachings infiltrate easily into various networks and layers of society even in the most unexpected places and families. The suicide bombings that involved three families shocked us all for several reasons: 1) the assumption that the world of terrorism is a male dominated one; 2) that the family has lost its protective function over its members because the head of such a household invites all his/her family members to commit suicide bombings; and 3) a mother who is deemed to provide a sense of security, protection and comfort for her children is involved in these bombings.

There are two approaches to understand the symptoms of radicalism, namely objectivism and subjectivism (Jainuri, 2003). From an objectivist perspective, radicalism arises because religious texts give legitimacy to and advocate such actions. Religious texts teach that Islam calls for *jihad* against the Gentiles. *Jihad* in the radical sense means to declare war against those who fight against Islam and

the Muslims. The Bali bombings (Samudra, 2004) are seen from the perspective of *jihad* or retaliation for the treatment of Muslims by the West (especially America and its allies). Therefore, combating civilian colonizers is also considered as a just and fair act (Samudra, 2004). The subjectivist perspective places the individual as an active subject who defines his or her life with the outside world, hence the symptoms of radicalism are not only understood to be the teaching of religious texts, but also an observation of how the 'external world' becomes an entity that influences a person to internalize his/her religious teachings. Thus, radicalism can also be caused by social, economic, and political factors.

The individual subjective actions of the radical Islamist activists may be concrete actions directed against those who are constructed as enemies, as well as in the form of insightful and very subjective actions, in the form of knowledge, understanding, and perception of the enemies (Maliki, 2003). Among the definitions of the enemy for radical groups, is one based on a literal understanding of the command of fighting infidels, as mentioned in the following verses of the *Qur'an* (9: 5, 29 and 25: 52), and the *hadith* of the Prophet who ordered the fight against humans so they believe in Allah and His Messenger (*hadith* narrated by Bukhari, 2578-2579) (Samudra, 2004; Shobirin, 2016). The misinterpretation of these two verses and the Prophet's *hadith* by radical groups convinces them that infidels must be fought and must convert to Islam. The infidels are given only two choices –

either converting to Islam or die. Radicalists argue that according to a *Qur'anic* verse (9: 5) the killing of infidels by a Muslim is justified. They conclude that this verse is called the verse of the sword *(ayat al-saif),* and all verses that are contrary to this verse are to be removed *(mansukh)* (Shobirin, 2016).

LITERATURE REVIEW

Some important research on whether families have an influence on radicalisation and/or prevention of radicalism has been carried out. In their study, Davies et al. (2015) found that on the one hand family had the potential to influence its members to be radical, and on the other hand, was able to prevent and/or release them from radicalism. In this context, even families are seen as key players in helping radicals to abandon ideology and violent behaviour. In the UK, a study, focused on advocacy of an intervention scheme aimed at supporting individuals identified as being at risk of exposure to violent radicalism, concludes that less harmonious families have a potential role in supporting radical ideology or behaviour. In this context, Baker (2012) stated that the second and third generation of young black people at risk of exposure to radicalism might seek identity and might be alienated from their parents and wider family circles. Therefore, radicalisation can be connected with the desire to feel part of a particular group. Wiktorowicz (2005) stated that individuals who experienced 'cognitive gap' in the form of psychological crises in the family might have a tendency to seek

new ways to understand and connect with the world, which allowed them to adopt radical ideology. He listed a number of crises that could trigger cognition through emotional distress, with deaths in the family being referred to as one of the recurring triggers. This research is strengthened by the findings of Mazer (2010) who explored the radicalisation of North African immigrants in the UK. Their repression and oppression further created prolonged suffering that led to chronic anxiety over their fate. Prolonged trauma and anxiety about the fate of one's family (in addition to other factors) can be the basis for the process of radicalisation. Along with psychological factors, socialization can also be a key mechanism in which families can be seen as part of institutions and processes that support radicalisation. This may happen when the family members themselves have radical views, which influence their children (van San et al., 2013). According to research by Bigo et al. (as cited in Davies et al., 2015), family and friendship networks can play an important role in recruiting young people to engage in radicalism, which in some cases can lead to terrorism.

The direct and indirect influence of disharmonious families on their children predisposes them towards becoming radicalised. In a large collection of post 11/9 literature on terrorism and extremism, families are seen to play a psychological role in the radicalisation of identity and trauma, and deradicalisation in relation to support and persuasion. According to Baker (2012), second and third generation young blacks are at risk of exposure to radicalisation due to identity search, alienation from parents and wider family circle. Gravitating toward radicalisation can be connected with the desire to feel part of a group that gives identity and recognizes the identity of the youth. Baker's findings are reinforced by data from some violent actors who experienced unstable family structures, thus supporting the process of radicalisation. Baker (2011) cited the case of Zacarias Moussaoui, one of the perpetrators of the 9/11 attack who went to trial in March 2006. Baker highlighted the jury's decision that he should not be given the death penalty because he had had an unstable childhood, with little emotional and financial support from a temperamental father- family elements that later exposed Moussaoui to radicalisation and involved him in acts of terrorism. Moussaoui had never been exposed to his cultural heritage nor had religious teachings at home. In such conditions, as a young man he was exposed to radicalism and influenced by extremist rhetoric at his most vulnerable stage (Baker, 2011).

The study conducted by Wali (2013) on Hizbut Tahrir (HT) found that the emergence of radicalism in the family was not solely the monopoly of a disharmonious family. Conversely, harmonious families can also produce radical children. The family was seen as one of the factors in understanding why British Muslim youths joined this religious-political movement. The study described the family class structure that influenced their children to join HT.

Surprisingly, these children tend to come from a middle-class backgrounds, and from stable and loving families.

Azwar (2018) reported that there was resistance to radicalism between *tarekat* and local culture in West Sumatra. The strong blend of *tarekat* teachings within Minangkabau culture is not conducive to the emergence of radical ideology or conflicts because the locals, in their wisdom, cultivate and accentuate inclusivity. Research conducted by Sumbulah (2017) showed that deradicalisation for Indonesian students could be done through curricula and programmes designed to build students' awareness about the dangers of radicalism and how to avoid radical ideologies. The study conducted by Sumpter (2017) detailed the functions of the leading sector of deradicalisation in Indonesia, *Badan Nasional Penanggulangan Terorisme* (BNPT) which worked closely with civil society organizations and NGOs. The top down approach chosen by the BNPT in the deradicalisation process proved less successful, because cooperation with civil society organizations and NGOs could not be consolidated and coordinated comprehensively. Deradicalisation in this country also lacks an active and participatory involvement of women's organizations that are concerned with preventing family-based radicalism.

Studies have been done to show how family members directly or indirectly influence their children or family by radicalizing their ideology. But hardly has any research been done on how these ideologies can be prevented at family institutional level to stop these suicide bombings and terrorism. The family unit has to be resilient enough to prevent these radical ideologies from spreading within the family.

METHOD

This qualitative research has been carried out to track the efforts of activists in the civil society women's organizations, namely *Fatayat NU* and PKK. *Fatayat NU* is one of the largest women's organizations in Indonesia, the Nahdlatul Ulama being the largest mainstream organization in Indonesia that preaches moderation and tolerance. Family Welfare Empowerment (PKK) is a community organization that empowers women to actively participate in Indonesia's development, through 10 basic programmes designed to strengthen family resilience. Research focuses on understanding activists' efforts to prevent radicalism through strengthening family resilience, and helping families at high risk of being exposed to radicalism. This empirical research data was collected through in-depth interviews, focus group discussions, and documentation. Data were analysed through the evaluative criteria recommended by Miles and Huberman (1994), namely data reduction, data display, conclusions, and verification. The consistency of findings and efforts to avoid research bias was done by member check and triangulation.

DISCUSSION

Preventing Radicalism through Strengthening Family Resilience

This study found that through the various PKK activities carried out at the grassroots level, namely the neighbourhood association or *Rukun Tetangga* (RT/RW), they had been able to identify how radical groups targeted rural and urban families. In order to curb this growing unhealthy trend, the PKK organised various courses, among others, parenting programmes under Childhood Family Development/*Bina Keluarga Balita* (BKB), Youth Family Development/*Bina Keluarga Remaja* (BKR), Early Childhood Education Post (Pos PAUD), Integrated Service Post (Posyandu), religious lectures, weekly or monthly regular meetings, and programmes specifically for women, such as hijab tutorials, facial makeup, and studied tips on how to be a *shalihah* wife. Finally, these meetings also addressed issues of polygamy and the rewards of paradise for women, family planning (KB), rules of law and legislation pertaining to secularism and liberalism, such as the Law on the Elimination of Domestic Violence (UU-PKDRT), Islamic brotherhood *(ukhuwah islamiyah),* and international issues such as the Rohingya crisis and the Israel-Palestine conflicts. All these efforts were undertaken to counter and prevent the spread of family based radicalisation.

PKK socializes and disseminates the dangers of radicalism that now threaten children, youth and women, through various sustainable programmes and activities. Some of these programmes were conducted by Working Group I (Pokja I) and Working Group II (Pokja II). Pokja I strengthens the ideology and practice of Pancasila through activities such as religious lectures, seminars and workshops targetting women, youth and school going children. Pokja II has made efforts to teach tolerance values and multiculturalism to women, through training programmes pertaining to parenting and Early Childhood Education. The introduction and induction of multiculturalism in Early Childhood Education at PAUD Post is done through the provision of knowledge and experience, attitudes, customs, traditions and festivals of other ethnicities, their religion and places of worship, and the introduction of a national identity and local wisdom. In addition, the introduction of values of tolerance and multiculturalism in early childhood by BKB and Post PAUD cadres is done by providing simple basic knowledge and skills commensurate with the level of early childhood development.

Women are an important group for developing tolerance and peace. Women have been involved in conflict reconciliation efforts even before the inception of the republic. Apart from their role as mothers, women activists were also actively involved with men in fighting for the independence of the Republic of Indonesia (Jamhari, 2013). Because women are so important in building family resilience, several programmes and activities have been designed for women by the civil society women's organizations like *Fatayat NU* and PKK.

The process of deradicalisation in Indonesia is done by targeting individual

actors, and it involves family and community members to change radical thinking. However, most of these approaches have not included women in their counter-terrorism efforts because they are least concerned about the important role of women in the family unit, especially in shaping the character of children from an early age, so that they grow into a generation of mindful and responsible adults. The situation in vulnerable and disharmonious families can influence the radicalisation of children, but family support can also play a role in deradicalisation (Sikkens et al., 2017). Therefore strengthening family resilience can prevent the entry of radical ideology into the family.

Women also offer multiple perspectives for problem solving. Therefore, women's role in effecting counter terrorism should be enhanced, especially in deradicalisation projects. The following national strategies are needed to engage women in counter terrorism: 1) consolidating the ideas and efforts of women's organizations and movements that have been involved in counter-terrorism issues; 2) involving community-based women, as counter-terrorism agents by creating strategies for community development programmes; and 3) creating early detection and warning systems among various communities and groups (organizations) of women by raising their awareness through media and other campaigns (Wulan, 2015).

Active family involvement in preventing radicalism in children or members of their families is important for several reasons:

first, family plays the most important role; therefore, the family will be able to detect potential radicalisation in a child. Second, families are first and foremost, learning environments in which children interact; meaning that this is where an educational process begins. So in the family, parents play an important role as educators to their children. Third, the family is the most important environment because the child spends most of his/her time with the family. So the primary education of children starts with the family. Fourth, in the family, the parents are instrumental in the formation of good personalities of their children. They are the first to provide a good and solid foundation of values and norms that go towards honing and moulding a holistic child. Fifth, the family protects and shields children from radical ideologies, as well as other negative environments. This can be done through democratic parenting, where children are given the freedom to express their ideas and opinions. The role of parents can be stimulating or can act as a deterrent to radicalism in the family, given its key position in moulding their children from an early age.

Children's education should not be solely left to the school without parental supervision. By actively focusing on their school activities, parents can surely prevent the onset of radicalism early on. By providing knowledge and understanding, parents can instil an ideology of nationalism in the family, which can deter the growth of radicalism. This is important because these Islamic radicals only believe in an Islamic

Brotherhood where the world should be governed by a *khilafah* (caliphate). Whether a child grows into a moderate, considerate, or radical and intolerant person, will be determined and influenced by the education gained from the people around him (parents/family, teachers, society and community at large). The terrorists who bequeath their radical ideologies to their children do so because they feel the need to educate, influence and mould their children to behave and think as they do. Young children do not yet have strong cognitive defense mechanisms and tend to be receptive to whatever fodder they are fed, including radical indoctrination. Therefore, breaking the chain of terrorism by releasing children from the bondage of radical ideology from their parents is extremely important.

Advocacy for Family and Children Who Have Been Exposed to Radicalism

Fatayat NU has a superior programme "*Maslahah* Family" which is intended to improve the lives of women, whether individuals, families, communities or organizations nationwide. *Fatayat's* collaboration with the National Counter Terrorism Agency (BNPT) in order to prevent the development of radicalism and promote harmony is one of the organization's major tasks. *Fatayat's* increasing awareness, insight and understanding of women empowers them with adequate knowledge about the threats and dangers of radicalism in families and society (Tanggulangi radikalisme, 2017). *Fatayat NU* provides assistance to families who are at high

risk of radicalism. High-risk families are referred to as ISIS deportation families that are scattered throughout Indonesia, especially in East Java. For those at high risk of being exposed to radicalism, *Fatayat NU* seeks to: first, ensure that children do not get additional exposure to radical ideology which is done by alienating and/or separating children from their parents. Children who are exposed to radicalism by their parents are potentially affected because they are indoctrinated with their parents' ideologies and there are cases to prove this. Genealogy of terrorism, as seen in the case of convicted terrorist Syaiful Anam who was sentenced to 18 years in jail for the bombing of Poso in 2005, involved a child or children. Haft Saiful Rasul, who left Islamic boarding school for Syria, was reportedly killed there in 2015 after becoming an ISIS combatant. According to his father, he was determined to be martyred in Syria. Umar Jundulhaq, son of the Bali bomber, Imam Samudra who was executed in October 2007, also followed his father's footsteps and was killed in October 2015 in Syria, after joining ISIS (Amindoni, 2017). The children of these terrorists were exposed and thus vulnerable to follow the footsteps of their fathers who would have glorified combatants as heroes. As it can be concluded, families provide a direct influence on the radicalisation that occurs in children (Sikkens et al., 2017). Therefore, to safeguard the future of children, they must be kept away from the radical influence of their parents.

Second, F*atayat NU* also seeks to give attention to children of former ISIS combatants by deporting them to their extended families, especially their grandparents who do not profess to a radical ideology. Children born to combatants and ISIS fighters have the potential to grow and develop a likeness to their parents' radical endeavours. To avoid the widespread radical ideology that seems to be snaring children, it would be best to separate these children from their parents.

Third, *Fatayat NU* also ensures the fulfilment of rights of children of former terrorists involved in suicide bombings in Surabaya, in accordance with applicable laws. Among attempts to break the links of radicalism, Ali Fauzi, the former terrorist and brother to one of the trio of Bali bombers, Amrozi, Ali Gufron, and Ali Imran, help ex-terrorists and their children who have been exposed to radicalism. Through the Foundation of *Lingkar Perdamaian* in Lamongan, East Java, Fauzi assists in the deradicalisation and education of around 70 former terrorists and their children. This foundation teaches that Islam is a religion that upholds tolerance, respect, and love for fellow humans. Turning radical ideologies into non-radical ones is not an easy task, but working with strategies to deradicalise these children while in their early stages of development will be easier than when they have long been exposed to acts of radicalism.

Fourth, *Fatayat NU* enhances cooperation with local governments, ministries and NGOs in preventing and handling radicalism. Among these NGOs are Civil Society against Violent Extremism (C-SAVE), whose mission is to build and develop a national network of civil society organizations to promote effective synergies and strategies in preventing radicalism and violence. The advocacy for children of former terrorists carried out by *Fatayat NU* aimed to ensure that these children received basic protection and rights. There are 14 articles on children's rights, namely personal, civil, social, cultural and religious freedom rights (Law No. 39 of 1999 on Human Rights). The basic rights of each child must be fulfilled and guaranteed by the state.

Families are viewed by many as a potential unit for breeding radical terrorism. Blood ties, emotional closeness and intensity of relationships are major factors that contribute to the successful planting of this ideology into the people closest to them. Therefore, the first step that must be taken is to cut the spread of terrorism-radicalism within the family. The bigger and more radical the spread, the more it would warrant serious attention from all segments of society, namely community leaders, religious leaders, the government, and the family members, especially parents. The high number of cases of young people exposed to radicalism is due to lack of family attention, so they seek an identity outside of the family and community circle. They then look for a place or community that receives and encourages them with open arms. In this context, radical groups use this ploy to attract and provide an experience

that keeps them intrigued and cared for at the same time. As a result, children can be easily influenced by radical influences because the main attraction holds promise of an improved way of life.

Among the important steps a family can take to prevent radicalism is to maximize the educational, religious, protective and compassionate functions of its members. Parents are required to have adequate knowledge about the dangers of radicalism and the ways to prevent it, so that their families are not affected by a radical ideology. The number of cases of young people falling prey to radicalism because of lack of love and attention from their family is overwhelming. As a result of this lack, these children tend to look for new identities outside the family circle. They will look for individuals or communities that are willing to embrace their ideals and aspirations. In this context, expert radical groups maximize on the child's vulnerability by providing experiences that make children feel valued and cared for. As a result, the child is easily influenced by radical ideologies that promise to improve lives.

Indeed, individuals and families are the main supporters of the programme on awareness of the dangers of radicalism. Individuals can observe family members, relatives, friends, or neighbours who are suspected of being influenced by radicalism. Families can report their suspicions to RT/RW groups, or local community leaders. In addition, families can also play an active role in efforts to reduce and/or prevent radicalism, given their close ties

and interaction. The family must be the first to take firm action in breaking the chain of infiltration into radicalism. Fostering a good family also means fostering a good quality of life.

In preventing terrorism, the family is the closest network because it can readily observe the radical slant that exists in children. Families have special significance in terms of traditions that are distinctive and different from each other. Through this unique tradition, families can detect and prevent efforts to infiltrate radicalism. Many people believe that mothers have considerable influence on family life, especially in the lives of their children. A mother is long believed to have the unique ability to recognize any anomalies in her child's behaviour and habits. A mother will react instinctively to certain peculiarities in her child. Looking at the afore-mentioned facts, a mother should be able to play a key role in preventing radicalism from festering in her family. Most importantly, mothers need to have sufficient knowledge and confidence in influencing and guiding their children away from radicalism.

Countering radicalism in their own backyard is one of the greatest challenges faced by parents today, hence strong cooperation and partnership between husband and wife is required. Parental cooperation in educating children on the evils of radicalisation will be more effective in counteracting this issue. Parents must control what is learned and absorbed by children in order to ensure that they are not exposed to radical propaganda. In short, the

harmonious relationship of parents through the principle of family partnership is the main capital in preventing family-based radicalism.

CONCLUSION

The participation of family and activists from women's civil society organizations is key to inclusive community engagement to counter radicalism. Women as individuals and women's organizations have a strategic role in preventing radicalism in family or community. In the family, parents educate, communicate and positively influence the attitude and behaviour of children from an early age and adolescence through adulthood. The strengthening of family resilience through economic empowerment, enhancement of national identity, and the planting of multicultural values through various activities is also a means through which civil society women's organizations can prevent family-based radicalism. The national strategy is carried out by activists through the consolidation of ideas and implementation of programmes from central to local level, through the empowerment of women in a comprehensive and simultaneous manner. Smart campaigns through print and electronic media are optimized through anti-radicalism programmes, strengthening family structures, assisting women in preventing socio-religious or gender based violence. Women, as mothers as well as community mobilizers, have a significant role in creating a harmonious family atmosphere, which is not easily exposed to radicalism. This research finding can be used as a model and best practice methodology in preventing family-based radicalism. This study highlights that preventing radicalism cannot always be solved by a legal and security approach. Increased family resilience, intensive involvement and increased awareness of civil society organizations have great potential to prevent the development of radicalism in the family unit.

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Hadith, Justice, and Gender Equality: Indonesian Progressive Muslims' Thought

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ABSTRACT

This article explores Indonesian progressive Muslims' thought on Hadith and gender. It particularly focuses on analyzing the following questions. 1) What is the construction of the Indonesian progressive Muslims' thoughts on Hadith and gender? and 2) What is their Hadith hermeneutics; i.e., methods, principles, approaches? The thinking and the works of two prominent Indonesian Muslim reformers, Husein Muhammad and Siti Musdah Mulia, who have significantly contributed to the contemporary development of Islamic intellectualism and gender justice in Indonesia, will be explored in this study. Both Muhammad and Mulia essentially question the authenticity of the misogynist Hadiths as they contradict with the principles of gender equality and justice established in the Qur'an and the Prophet's tradition. Accordingly, both have called for a reformation in understanding the Hadiths in favour of gender equality and justice. It is fundamental that the Hadiths have to be understood within their socio-historical context. Their hermeneutics lie in the analysis of the chain of transmitter (naqd al-isnad) and the substance of Hadith's wordings or reports (naqd al-matn). These are not relatively new although previous Hadith scholars have used such methods with some limitations.

INTRODUCTION

The debate on Islam and gender has always remained an interesting polemic in academic discourse. There are some Western-Liberal feminists who have accused Islam as a

patriarchal religion as it discriminates and oppresses women (Mir-Hosseini, 2004). However, such an accusation is misleading since Islam is embedded in historical, cultural, social, and political life, and thus, understanding Islam should include a consideration of the above variables which ultimately may result in a myriad of interpretations. This includes the perception of whether Islam can be interpreted as promoting gender equality or the opposite. It is therefore important for us to differentiate what Fazlur Rahman has termed as the normative Islam and the historical Islam (Rahman, 1979). While the former refers to Islam as scriptural-based religion as represented in the Qur'an and Hadith, the latter refers to Islam which is interpreted throughout history. Against the normative framework, how Islam responds to the issue of gender equality and justice can be addressed.

To some extent, the discrimination against women in Islam can be observed in some of the Islamic *fatwas* (legal opinions). As such, women have been considered as the second class citizen and face discrimination and marginalization in the family, socio-political, and economical spheres. In other words, the status and role of Muslim women are regarded as not equal in comparison with their Muslim male counterparts (Abou El Fadl, 2001).

It is noteworthy that there are some Qur'anic verses which might be interpreted and used to justify gender inequality. Among the prominent Qur'anic verses considered as acknowledging the superiority of men over women is an-Nisā': 34 which states that men are the leader of women (Scott, 2009). However, according to Abou El-Fadl (2001), the verse does not significantly contribute to the perspective of gender inequality but rather it is the Hadith that contains a myriad of justifications with regard to the status and roles of Muslim women. In the traditional Islamic jurisprudence, among the significances of Hadith is its role in clarifying the meanings of Qur'an verses. This implies that one must refer to Hadith on matters that are ambiguous or not clearly explained in the Qur'an (Khalāf, 2004). Therefore, conservative Muslim *ulama* (the religious experts of Islam) often use Hadith to justify their Islamic legal opinions including on matters related to the superiority of men over women.

Hadiths containing discriminative and gender-bias views against women are often called misogynist Hadiths (Mernissi, 1991a). As the support for normative-theological basis of argument, this kind of Hadith constitutes theological, social, political, and economic impacts that undermine the status and roles of women. This type of Hadith has become a great challenge for Islamic feminists who have been questioning the authenticity of misogynist Hadiths and proposing egalitarian interpretations in favour of gender equality and justice (Duderija, 2016). Among the prominent proponents for this are Fatima Mernissi,

Khaled Abou El-Fadl, Asghar Ali Engineer, Riffat Hassan, Qasim Amin, and Amina Wadud.

In the Indonesian context, challenging the authority of misogynist Hadith is not new. According to Robinson (2006), since Indonesia is the largest Muslim-majority country, Islam has largely contributed to the discourse of gender in the country. In the 1990s, gender analysis began to be incorporated in the study of Islam particularly in relation to the Qur'an and Hadith. In addition to that, the thoughts of Muslim reformist scholars have become widely popular and have influenced Indonesian progressive Muslims. During Suharto's new order, the challenge to the reformists was the regime's policy which imposed the ideology of patriarchy known as "*state ibuism*" to families. This ideology reinforced the idea that housewives should be husbands' subordinates. This policy resulted in the state's patriarchal hegemony on what constitutes women and motherhood. With the post-Suharto's new order, some changes have been made to the country's policy. Nonetheless, the progressive Muslims still have to face similar challenges; in this case it is the flourish of Islamist or conservative Muslims who seek to enforce textual interpretations of Islam that jeopardise the principle of gender equality and justice (Robinson, 2006).

As far as the discourse of gender and Hadith are concerned, Indonesian progressive Muslims are generally critical towards misogynist Hadiths. For them, since a Hadith was narrated in a particular context in which it was produced, it should be interpreted, contextualized, and re-examined in response to contemporary problems. However, to date, little attention has been given to the construction of Indonesian progressive Muslims' thoughts on Hadith and gender. This paper, thus, seeks to explore the Indonesian progressive Muslims' thoughts on Hadith and gender. Specifically, it addresses the following questions:

What is the construction of the Indonesia progressive Muslims' thoughts on Hadith and gender?

What is their Hadith hermeneutics; i.e., methods, principles, approaches?

This study, therefore, is significant as it attempts to provide a conceptualization underpinning the thoughts of the Indonesian progressive Muslims.

METHODS

Firstly, a brief historical account on the discourse of Islam and gender in Indonesia is provided to illustrate how Islam has always been significant in the pursuit of gender equality. Then the discussion will explore the challenge of misogynist Hadiths and the reason why it is important for misogynist Hadiths to be re-examined and reinterpreted. This is followed by a discussion on two prominent Indonesian Muslims' thoughts on Hadith and gender, namely Husein Muhammad and Siti Musdah Mulia. These two scholars were chosen in this study because they represent two prominent Indonesian Muslim reformers

who have significantly contributed to the contemporary development of Islamic intellectualism and gender justice in Indonesia. Their respective hermeneutical implications in understanding Hadith which endorse gender-biased and misogynist views will be explored in this paper.

RESULT

Islam and Gender in Indonesia: A Brief Historical Context

The interface between Islam and the pursuit of women's rights in Indonesia can be traced back to the early twentieth century. During Dutch colonialism, the ethical politics resulted in a policy that enabled women to have rights to education, albeit limited only to elite circles. This policy led to the establishment of women movements across the archipelago. While some of the movements were established on the basis of their respective primordial identities, others were established on the basis of Muslim identity. Among the Muslim women organizations were *Aisyiah* (the Muhammadiyah woman's wing organization) established in 1917 in Yogyakarta, *Sarikat Siti Fatimah* established in 1918 in Garut, West Java, and *Nahdatoel Fataat* established in 1920 in Yogyakarta. These organizations essentially had similar concerns, namely the pursuit of women's rights both in the domestic and public spheres, women empowerment and rights to education, health and reproduction, and child protection (Affiah, 2017). However, it is noteworthy that they did not employ an Islamic-based framework within their movement.

During Suharto's New Order, the main challenge of women's movement was the policy enforced by the authoritarian regime which was the "state *ibuism*" policy; i.e., "the official policy promoting the role of wife and mother of the New Order which endorsed patriarchal familyism as a cornerstone of authoritarian politics" (Robinson, 2006). The authoritarian regime produced policies which placed women in domestic spheres. Facing this constraint, women movements began to incorporate gender framework into their activism in the 1980s, which was significantly adopted in the contemporary Islamic thought in the 1990s. This, in turn, led to the interface between feminism and the Islamic tradition. Through the network of IAIN (State Islamic Institute), particularly IAIN Jakarta and IAIN Yogyakarta, a few Indonesian Muslim intellectuals have brought gender perspective into the discussion of gender equality from an Islamic point of view (Affiah, 2017).

It was also in the 1990s that the works of Islamic feminists both from Western and Middle Eastern countries were translated into Bahasa Indonesia. They include *Setara di Hadapan Allah* (Equal before Allah) by Riffat Hassan and Fatima Mernissi (1991), *Wanita dalam Islam* (Women in Islam) by Fatima Mernissi (1991b), and *Hak-Hak Perempuan dalam Islam* (Women's Rights under Islam) by Asghar Ali Engineer (1994). These authors have profoundly influenced Indonesian Muslim intellectuals to advocate

gender justice through an Islamic-based framework. The Indonesian works on Islam and gender subsequently emerged, such as Marcoes-Natsir's *Lies* and Meuleman's *Wanita Islam dalam Kajian Tekstual dan Kontekstual* (1993), Mansour Fakih's *Membincang Feminisme* (1996), and most importantly Nasaruddin Umar's *Argumen Kesetaraan Jender: Perspektif al-Qur'an* (1999) and Syafiq Hasyim's *Hal-Hal yang Tidak Dipikirkan: Tentang Isu-Isu Keperempuanan dalam Islam* (2002).

The progressive Indonesia Muslim scholars have called for the reformation of the Islamic tradition which endorses the superiority of men over women. They declare that there are Qur'anic verses and Hadith that have been misinterpreted to justify gender inequality and that gender-biased interpretations should be understood in the context of the patriarchal tradition in which they were produced. Accordingly, the scholars have stated that the Qur'an and Hadith must be interpreted contextually in the light of contemporary problems. For them, Islam truly acknowledges the principle of justice and equality regardless of sexual and racial identities (Brenner, 2011; Robinson, 2006; Wieinga, 2009).

The rise of Reformasi, which refers to Indonesia's political and economic transformation since 1998, opened up more inclusive space and opportunity for public debate. Numerous Muslim organizations also began to flourish, as this was previously impossible due to the authoritarian regime. The participation of Megawati Sukarno Putri as a female candidate in the 1999 presidential election generated Islamic debate over whether women can be leaders. Challenging traditional-conservative Muslim streams, Indonesian progressive Muslims scholars have argued that the concept of qiwama (men's leadership/superiority) must be reinterpreted in favour of gender equality (Robinson, 2006). In other words, qiwama does not have to do with the prohibition of women in leadership roles, rather, it is about a familial relationship between husband and wife, which is dependent on a particular socio-cultural context. In principle, the scholars argue that Islam acknowledges women in leadership roles (Mir-Hosseini, 2013).

For Indonesian progressive Muslims, the challenge is to deal with the state's policy on gender relationship, most notably with regard to family law. One of the most contentious issues is on polygamy. This has led to demands by the Indonesian progressive Muslims for the revision of the 1975 Marriage Law and "its further scrutiny through the 1989 Kompilasi Hukum Islam (Compilation of Islamic Law) (Robinson, 2006). The Gender Mainstreaming team of the Department of Religion, led by Siti Musdah Mulia, a prominent Indonesian Islamic feminist, has strongly called for the Counter-Legal Draft to the Compilation of Islamic Law, particularly concerning the Muslim Family Law. They contended that the law remained discriminative against women, and therefore it was imperative to revise it in favour of the principle of democracy and gender equality (Robinson, 2006).

The Challenge of Misogynist Hadiths

The term "misogyny" is etymologically derived from the Greek word: *misogynia*. It is a composition of two words: *miso* (hatred) and *gyne* (women). In English, the word has further evolved into *misogynism* which means "an ideology of hating women". Terminologically, the term misogyny refers to doctrines of schools of thoughts which discriminate and dehumanize women (Sari, 2016). In *Cambridge Dictionary*, it refers to "a man who hates women or believes that men are much better than women".

In the Western scholarly discourse, the term misogyny is used to describe a circumstance of ancient traditions, particularly medieval societies, in which a patriarchal culture heavily dominates. In the late twentieth century, a number of scholars used the term not only to refer to hatred against women, but also to an attitude and behaviour which are against anything about women (anti-feminine) (Rieder, 2012).

Meanwhile, Hadith etymologically refers to communication, story, and conversation. According to traditional Hadith scholars (*muḥaddithūn*), it terminologically refers to the report of all of the Prophet Muhammad's sayings, deeds, decrees, and characters (al-Khatib, 2006; Azami, 1977).

Hadiths which appear to endorse misogynist and gendered-bias views against women are called misogynist Hadiths. This type of Hadith is understood as that which promotes the concept of inferiority of women and promotes the prohibition of women's involvement in the public sphere (Abou El Fadl, 2001). The term misogynist

Hadiths was introduced by Fatima Mernissi, a prominent Islamic feminist, in her book entitled *The Veil and The Male Elite: A Feminist Interpretation of Women's Rights in Islam*. She was critical of the authenticity of misogynist Hadiths, arguing that they are subject to validation and reinterpretation (Mernissi, 1991a).

The domination of a patriarchal culture in the structure of Muslim societies, discrimination, marginalization, and even violence against women can be normatively based on the misogynist Hadiths (Abū Zayd, 1990). Some Islamic laws and legal opinions, which discriminate women, have even used Hadiths as their normative-theological basis. Therefore, it is imperative to be critical of misogynist Hadiths in favour of gender equality and justice.

Husein Muhammad: A *Kyai* Feminist

Husein Muhammad is a *kyai*, Muslim clergy/ulama. In 1980, he obtained a bachelor degree from *Perguruan Tinggi Ilmu al-Qur'an* (The Higher Institute for Qur'anic Studies) in Jakarta and subsequently studied at Al-Azhar University, Cairo. In 1983, he returned to Indonesia and he now serves as the leader of *Pesantren* Darut Tauhid, Arjawinangun, Cirebon, West Java.

In 2001, Muhammad was involved in establishing several NGOs for women's rights, such as Rahima, Puan Amal Hayati, Fahmina Institute, and Alimat. Since 2007, he has served as the commissioner of the national commission for anti-violence against women. Muhammad is well-known for both his intellectualism and activism

pertaining to the issue of gender equality and religious pluralism. Among Muhammad's important works are *Fiqh Perempuan: Refleksi Kiai atas Wacana Agama dan Gender* (2001) and *Islam Agama Ramah Perempuan: Pembelaan Kiai Pesantren* (2005).

The main focus of Muhammad's thoughts on gender equality is on reform of Islamic texts in Indonesia that endorse gender-biased interpretations, with the main focus on classic texts known as *Kitab Kuning* (The Yellow Books) which are dominantly used in the teaching of Islam at *Pesantren*. An example of such texts is *'Uqūd al-Lujjayn* by Sheikh Nawawi al-Bantani which emphasises the concept of unequal relationship in a marriage (Nuruzzaman et al., 2005).

According to Muhammad (2005), Islam profoundly acknowledges the universal principles of justice and equality as manifested in the doctrine of *tawhīd* (monotheism). He argues that in principle *tawhīd* truly acknowledges justice and equality before God. A number of Qur'anic verses affirm these principles, such as Al-Ḥujurāt: 13. Muhammad further insists that *tawhīd* must become the basis in the conceptualisation of gender justice and equality from an Islamic point of view (Muhammad, 2005).

Muhammad also concedes that some Qur'anic verses and Hadiths might be interpreted as endorsing gender-biased and misogynist views against women. This might be due to the fact that there are some parts of Islamic texts that remain ambivalent and contradictive. On the one hand, there are some Qur'anic verses and Hadiths that affirm gender justice, yet, there are some that are against the principle. Therefore, according to Muhammad, it is crucial that one should understand the Islamic texts properly by analyzing the socio-historical context in which they are revealed or narrated (Muhammad, 2005).

Muhammad (2005) believed that it was therefore necessary to conceptualize a new approach to hermeneutics to understand gender-biased and misogynist Hadith. As such, he proposed the following hermeneutical steps: 1) use the objective of Shari'a (*maqāṣid al-sharī'ah*) as the primary basis for interpretation; 2) analyse the socio-historical context (*al-siyāq al-tārikhi al-ijtima'i*) of the texts; 3) analyse the linguistic dimensions of meaning used within its particular context (*al-siyāq al-lisāni*); 4) identify the casual aspects of the texts as a way to think about the needs of the new social context (*qiyās al-ghāib 'ala al-shāhid*); 5) test the reliability and credibility of Hadith, including *isnad* criticism (the chain of Hadith transmission), to test the authenticity of Hadith based on the Hadith transmitters, and *matn* criticism (the substance of the report), to test the authenticity of Hadiths based on its content (Muhammad, 2005).

In particular, Muhammad had employed *isnad* criticism and *matn* criticism in the reading of misogynist Hadiths. This can be seen from his criticism of Sheikh Nawawi al-Bantani's *'Uqūd al-Lujjayn* which contains gender-biased understandings of

the Hadiths. According to Muhammad, after testing the chain of Hadith transmission, there are 30 Hadiths with *isnad* that are defective and which cannot be trusted. While the rest of the Hadiths are reliable (*ṣaḥīḥ*), the substance of the *matn* of these Hadiths is unacceptable, as it is contrary to the Qur'an and other Hadiths which advocate justice, equality, and respect for women (Muhammad, 2005).

Muhammad had argued that the principle of equality, justice, and universal human ethics was championed by Prophet Muhammad in the context of the Arabic patriarchal culture. He insisted that it was therefore necessary to analyse the socio-historical context of Hadith (*asbāb al-wurūd*) when examining misogynist Hadiths. Accordingly, the Islamic texts, both the Qur'an and Hadiths, which appear to endorse gendered-bias views against women, should be positioned in the context of their historical context as being directed toward the social goals of justice and equality. In essence, it is significant to analyse a particular context in which the Hadith is narrated (Muhammad, 2005).

Siti Musdah Mulia: A Female Muslim Feminist

Siti Musdah Mulia is a prominent Muslim feminist in Indonesia. Mulia was raised in a religious family. She began her education at *Pesantren* (Islamic boarding school), where she learned classical-Islamic sciences, such as Islamic jurisprudence (*fiqh*) and Qur'anic exegesis. She obtained a Bachelor degree in Arabic Literary from State Islamic Institute (IAIN) of Alaudin, Makasar in 1982, a Master's degree in the History of Islamic Thought in 1992 and a PhD in Islamic Political Thought in 1997 from the State Islamic Institute of Syarif Hidayatullah, Jakarta, where she encountered with and was profoundly influenced by some liberal-progressive Muslim intellectuals at the time, such as Nurcholis Madjid and Harun Nasution.

According to Mulia (2009), the doctrine of *tawhīd* (Islamic monotheism) reflects a theological basis for gender justice and equality. She argues that *tawhīd* is the essence of Islam which illuminates the whole aspects of Islam. Understanding its meaning and essence correctly is imperative as it serves as a fundamental-theological guidance for Muslims to manifest both their religiosity and humanity on a daily basis. According to the Qur'an, both men and women are equal before God (Al Ḥujurāt: 13) i.e. they have equal status and rights as God's creatures (*khalifah*). The Qur'an also explains that gender relation presupposes equality and partnership (At Taubah: 71). Mulia (2009) asserts that the Qur'an acknowledges a set of provisions for women's rights, such as inheritance (An Nisā':11) and witness (Al-Baqarah: 282), both of which were not available to women before the arrival of Islam. In particular, Mulia elucidates the image of women from a Qur'anic worldview. First, women have a political independence (*al-istiqlal al-siyasah*) as reflected in the figure of the Queen of Sheba (An Naml: 23). Second, women have economic independence (*al-*

istiqlal al-iqtishadi) as reflected in the figure of a woman who managed farming in the story of Moses (Al Qashash: 23). Third, women have an individual autonomy (*al-istiqlal al-syakhsyi*), as either an individual (At Tahrim: 11) or part of society (At Tahrim: 12) (Mulia, 2009).

We can also find the manifestation of the principle of gender equality in the Prophet's Hadith. The Prophet has once said that "women are the sibling of men" (Sunan Abu Dawud and Tirmidzi). According to Mulia (2014), the meaning of "sibling" in the Hadith reflects equality, compassion, respect, and justice. Therefore, both men and women have to be in cooperation for the realization of shared ideals of humanity. It is also implied in the Hadith that the Prophet highly values women's dignity, a concept the Arabs did not recognise before Islam arrived (Shahih al-Bukhāri). There are some Hadiths which report that during the life of Prophet, the women's domain was not bound to the domestic sphere only; quite a number of them were also actively involved in public affairs.

Nonetheless, like Muhammad (2005), Mulia (2014) conceded that there were some Qur'anic verses and Hadiths that might have been interpreted in such a way that justified gender inequality.

Mulia argued that misogynist views against women were the result of literal or textual understandings on both the Qur'an and Hadith. This way of understanding downplays the universal principles of Shari'a (*maqāṣid al-sharī'ah*). As such, she insisted that understanding gender relation and particularly women's position in Islam required a contextual reading on the revealed texts (the Qur'an and Hadith). This allows us to view it from historical accounts, including socio-historical and political contexts in which they are revealed or narrated. It is particularly significant, since Islam emerges in the context of the seventh century of the Arabian Peninsula which is patriarchal (Mulia, 2009).

Mulia (2009) insisted that in reading Hadiths one should take the objective of Shari'a (*maqāṣid al-sharī'ah*) into consideration. This is particularly important, as Shari'a aims to realize public goods (*mashlahah*), including to justice and equality. *Maqāṣid al-sharī'ah* aims at protecting the five necessities: preserving faith (*hifz al-din*), soul (*hifz al-nafs*), wealth (*hifz al-mal*), mind (*hifz al-aql*), and offspring (*hifz al-nasl*) (Auda, 2007). According to Mulia (2014), based on the concept of *maqāṣid al-sharī'ah*, some Hadiths explaining gender relation are subject to reinterpretation, as they are particular rulings (*furu'*), not the fundamentals (*uṣūl*). In principle, *maqāṣid al-sharī'ah* should be a basic framework for understanding Hadith.

Like Muhammad (2005), Mulia's methodology for understanding Hadith focuses more on analyzing the substance of Hadith's wordings or reports (*matn criticism*). It is conceptualized as follows: Firstly, the Hadith should be understood in the light of the Qur'an. Secondly, it should be understood in the light of socio-historical context (*asbāb al-wurūd*) in which it was narrated. Thirdly, it requires

a substantive ethics analysis to reflect on ethical implications resulting from the Hadith. And fourthly, a particular Hadith should be compared with other Hadiths (Mulia, 2009).

In order to ground Mulia's methodology, one needs to examine how she understands Hadiths which endorse misogynist views against women. For example, a Hadith narrated by Abu Bakrah, the prophet's companion, states that "those who entrust their affairs to a woman will never know prosperity (cited in Mernissi, 1991a). This hadith has been understood by many as advocating the prohibition of women's leadership in the public sphere. According to Mulia (2014), such interpretation of the Hadith is questionable, since it was referring to Queen Sheba's capability to lead and govern her people as recorded in the Qur'an (An Naml: 23), and should not be generalised to all women. In other words, the Hadith should be understood and interpreted in the light of its historical context.

DISCUSSION

Some Hermeneutical Implications

The objection toward Hadiths which endorse gender-biased and misogynist views against women generally lies in the way the views contradict with the principles of justice and equality as explained in the Qur'an. The misogynist Hadiths are also in contrary with the Prophet's attitudes and practices which emphasise the need to treat women with love, compassion, and respect.

In the Islamic tradition, Hadiths remain central in the heart of Muslims, as it is the second most important Islamic source of reference after the Qur'an. It is therefore understandable why some Hadiths are perceived as the misogynist Hadiths as they have been used to justify gender inequality. As a result, some would consider that gender difference is God's decree that has to be accepted. However, the Hadith should be positioned as a "discursive tradition" which is subject to criticism and reinterpretation. From the perspective of authenticity, the Hadiths are distinctly different from the Qur'an. For one thing, how does one justify whether a given Hadith is truly the Prophet's saying? In this case, a Hadith should fit to the requirements of validity in order to become a referential argument (*hujjah*), to produce Islamic rulings, and to be practiced by Muslims (*ma'mul bih*) (al-Adhabi, 1983).

Syuhudi Isma'il (2007) elucidated the significance of the inquiry of the Hadith's authenticity. First, the Hadiths were written much later after the life of the Prophet. Second, based on some historical accounts, a number of Hadiths were fabricated even during the companion era. Third, the process of Hadith compilation and codification was undertaken much later after the death of the Prophet. Fourth, a variety of Hadith canons used various methods in codification. Fifth, in the process of Hadith transmission, a Hadith might be transmitted in its meaning (*al-riwayah bi al-ma'na*) instead of its wordings.

Both Muhammad (2005) and Mulia (2009) had asserted that a Hadith should

be understood within its socio-historical context. The reason is that the Hadith is arguably a historical text which reflects a particular historical context. A historical analysis is particularly significant to understand the authorship context of the Hadith. Muhammad and Mulia are also in agreement that a comparative analysis, *i.e.* to compare Hadith with the Qur'an, is highly significant to discern the authenticity of Hadith. Since the Qur'an is seen as the authentic divine words, Hadiths which contradict the universal Qur'anic principles, are subject to criticism and reinterpretation.

In the Hadith scholarship, both Muhammad's and Mulia's methodologies for understanding Hadith represent a contemporary trend to validate the authenticity of Hadith. In other words, they do not only test the authenticity of the chain of Hadith transmission (*naqd al-isnad*), but also more importantly, they examine the substance of Hadith's wordings or reports, including its historical context (*naqd al-matn*). It is noteworthy that their methodologies are not relatively new, as some classical Hadith scholars had already employed such criticism to test the authenticity of Hadith, even since the companion era.

Salāh al-Dīn al-Adhabi (1983) was critical of Ahmad Amin's claim that the early hadith scholars only focused on *isnad* criticism and downplayed *matn* criticism. He argued that it was not true, for the early Hadith scholars and even some of the Prophet's companions had taken *matn* criticism into account. He had cited many

examples for this. Among them including a narration by Aisha, the Prophet's wife, in which she criticized the Hadith narrated by Abu Hurairah: "a deceased person will be punished because of his family's cry" (Al-Adhabi, 1983). For Aisha, the Hadith was not reliable, and that Abu Hurairah's hearing was bad. She subsequently explained about the Hadith's historical context (*asbāb al-wurūd*) and compared it with the Qur'an. According to Aisha, the Hadith was uttered when the Prophet passed the house of a Jew crying for a person who was dead. Besides, it is also not consistent with the Qur'an (Al Baqarah: 286), explaining that a deceased person will bear his/her own burden.

CONCLUSION

This paper has explored two Indonesian progressive Muslims' thoughts on Hadiths and gender. According to Husein Muhammad and Musdah Mulia, the Qur'an and Hadiths essentially acknowledge the principles of gender equality based on the doctrine of *tawhīd* (Islamic monotheism). Therefore, Hadiths which appear to endorse gendered-bias and misogynist views against women are subject to criticism and reinterpretation, since they are in contrary with the principles.

Both Muhammad and Mulia have proposed a set of hermeneutics for understanding the Hadiths. They suggested that the Hadiths have to be understood within their socio-historical context and that it is important that the particular occasions the Hadiths were uttered by the Prophet should be scrutinised. Their hermeneutics lie in the analysis of the

chain of transmitter (*naqd al-isnad*) and the substance of Hadith's wordings or reports (*naqd al-matn*). This implies that to test the authenticity of the Hadith, Muslims cannot rely only on the validity of the chain of Hadith transmission. More importantly, they need to be critical of the substance of the Hadith's wordings or reports, and this includes analyzing its historical context. The two methods for analysing Hadiths proposed by the two Indonesian progressive Muslims would certainly provide a much more critical perspective for scholars and enable them to arrive at a much more reliable and solid interpretation of Hadiths.

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PERTANIKA
JOURNALS

The Meaning of Jihad: Textual and Contextual Interpretations

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ABSTRACT

Belief in *Jihad* (holy war) is key for a believer of Islam in the social theological sphere, where faith and *jihad* are not separated. Discussions among theologians and religious experts on the meaning of *jihad* and the thoughts they put forth have undergone changes and have developed over time. Concrete political situations have also affected views and opinions toward *jihad* and have, eventually, led to pragmatism and realism among *ulamas* and Islamic thinkers in their understanding of *jihad*. This paper attempts to explore the meaning and concept of *jihad* in Islam via textual and contextual interpretations. The writer's own research has yielded that *jihad* has wide meaning and is not limited to war alone because Allah had ordained Muslims not only to take up arms, but also to believe in holy war in terms of its existential meaning (which refers to the fight against lust) in the quest to defend Islam. This paper discusses the objectives of *jihad* in Islam as a way to glorify the name of Allah and to fight against cruelty and unfairness on God's earth.

Keywords: Contextual interpretation, faith, *jihad*, *Qur'an*, textual interpretation

INTRODUCTION

The paper aims to deliberate both on the textual and on the contextual meaning of the term *jihad*. Textually, the term *jihad* discusses in order to better understand the arguments about it. Contextually, the paper focuses on an understanding of the reasons behind *jihad* and the role it plays in a particular context.

The principal objective of this paper is to explore the true meaning of *jihad* (holy war), which actually evokes many interpretations. *Jihad* has also been subject to so many misinterpretations. Some people have understood the meaning of *jihad* as merely launching a holy war, although in the *Qur'an*, the term has various meanings. This misinterpretation has often caused some people to use only a certain and narrow understanding of *jihad* and at the same time try to legitimize their limited understanding of the term. In Indonesia, some religious leaders are aware of the political situation in the nation and give a more positive meaning to *jihad* rather than restricting its interpretation to merely a holy war.

According to the *Qur'an*, the aims of *jihad* are to spread the word of God and to abolish injustice. The *Qur'an* reiterates that all able-bodied Muslims should be willing to take up *jihad* at any point in time. It mentions that if Muslims know and understand the many rewards that God has prepared for those who perform *jihad* and are obedient to Him, they would most definitely be willing to carry out the commandment (Shihab, 2007).

Together with these aims, there are various types of *jihad* in terms of opponents to Islam and the purposes of *jihad*. There is *jihad* against the unbelievers, the hypocrites, evil and lust. These interpretations of *jihad* are for different purposes and resolutions. A scientist, for example, can take up *jihad* by using his knowledge for the good of mankind; employees can launch *jihad* by being productive; a teacher can practice *jihad* by teaching the younger generation with utmost honesty; leaders can govern with justice; entrepreneurs can realize *jihad* by being honest in their trade; while the army's loyalty to the country and ruler is yet another form of *jihad*. *Jihad* in any form and against any opponent must be for Allah and must never end. This is *haqqa jihadih,* the true *jihad* (Shihab, 2007). This phrase *haqqa jihadih* is clearly mentioned in Surah al-Hajj (*Qur'an* 22:78).

Shihab (2007) explained that *jihad* was a way to achieve a goal using available resources. *Jihad* does not recognize despair, surrender and lethargy. A *mujahid* (a word derived from *jahada*) is a person who devotes all his abilities and sacrifices with his soul and energy, thoughts, emotions and anything related to the human self (Shihab, 2007). This was evident during the Meccan Period when Muslims were not in a position to take up arms or fight physically, as stated in Surah *al-Furqan* (verse 52). A *mujahid* therefore devotes his soul and energy to *jihad*.

This verse is very relevant to the understanding of *jihad* because devotion can be a powerful tool and instrument to bring down enemies. The wrongful accusations against Islam can be countered with well-informed arguments and devotion to the religion. The use of the *Qur'an* to counter misinformation and wrongful accusations can be a stronger mental weapon compared to *jihad* with physical weapons.

Textual Meaning

Etymologically, the Arabic word *jihad* is

derived from the verb *jahada*, which means struggle and hard work. *Jahada* also means working very hard to achieve maximum results (Manzur, 2000). It could also be interpreted to mean effort, seriousness, fatigue, difficulty, illness, and anxiety. The *Qur'an* mentions the word *jihad* and its derivations as many as 40 times. Other derivational meanings of *jihad* include devoting all abilities and enduring sacrifices. *Jihad* can also mean optimizing efforts by devoting all potential and abilities both in words and actions, or anything that can be done to achieve a certain goal.

A stereotypical view of the West is that *jihad fi sabilillah* is simply a holy war to spread Islam (Gibb, 1978). This narrow understanding of the term stigmatizes Islam as a religion of violence (Fadhlullah, 1995). Some followers of the Khawarij interpret *jihad* as fighting with the use of weapons or dying of martyrdom (Rahman, 1979). For these people, using weapons is a major part of *jihad*. They do not consider other struggles as *jihad*. This has led to the counterargument, *jihad akbar* (struggle against desires), that holds struggles in matters related to economics, social, politics and military are not a priority (Fahmi, 1992). Textually, it can be seen that there are many meanings to *jihad* and each meaning is related to the function and purpose for which the term is used.

Contextual Meaning

Al-Isfahani (n.d.), an eleventh-century Muslim scholar of *Qur'an*ic exegesis and Arabic language, explained that *jihad* meant to exert every ability to defend oneself from the enemy. He divided *jihad* into three types: *jihad* against visible enemies, *jihad* against demons, and *jihad* against oneself (Al-Isfahani, n.d.). These are related to the context of *jihad*.

Jihad can only be pursued by those who truly believe in the holy book and understand it well. Facing opponents who are bent on distorting facts, or those who have no knowledge or misunderstand the teachings of the *Qur'an*, is definitely much more difficult than fighting battles with weapons. Therefore, *jihad* by using the firm understanding of the *Qur'an* is far greater and stronger than any holy war (Shihab, 2007).

Jihad is not always concerned with taking up arms. This was revealed to Prophet Muhammad (PBUH) when he was still in Mecca. At the time, the Muslims were weak and defenseless. The prophet was commanded to perfom *jihad* by devoting all efforts to face the polytheists with words that touched the mind and heart and without weapons. The meaning of *jihad* was contextualized for the Prophet.

There is also *jihad fi sabilillah,* a phrase which means the struggle to realize the religious message in the way of Allah. In Surah *al-Ma'idah* (verse 35), we read: "*O ye who believe, fear Allah and seek the way that is near to Him, and strive in His Way, that ye may be fortunate*". This is Allah's motivation for Muslims to achieve what is promised on the Day of Judgment for those who perform *jihad* for His sake. The reward is a great, eternal and lasting fortune and

happiness in the chambers of paradise where the faithful resides forever (*al-Rifa'i*, n.d.).

Verse 5:35 above actually explains that *jihad* in the way of Allah is to manifest the welfare of life in this world and in the Hereafter. *Jihad* is a duty for those who believe and should be done on the basis of devotion to Allah. *Jihad* in Allah's way is also an effort or endeavour on the part of the believer as a vicegerent of Allah on Earth to achieve something better and to reach *al-falah* (luck, victory, prosperity, welfare in this world and in the Hereafter). The verse also explains that *jihad* in the way of Allah begins with the command to be pious towards Him and to find a way towards righteousness. In short, it can be said that faith, piety, efforts and *jihad* are contextualized as a series of attitudes and activities of a Muslim person's life to achieve inner and outer happiness, in this world and the Hereafter.

Fi Sabilillah also means in the way of Allah, that is the path that takes someone towards God, both through belief and deeds. Specifically *fi sabilillah* means fighting against the enemy of religion. In general, the meaning of *fi sabilillah* includes all deeds or sincere charity which is used to *taqarrub* to God, to carry out all the tasks that are both compulsory and optional such as the propagation (*da'wah*) of Islam, the eradication of illiteracy (especially that related to the *Qur'an)*, translation of the *Qur'an* into different languages, building hospitals, financing the activities of Islamic organizations, building of public wells and toilets, establishing orphanages and schools.

Allah informs that in performing *jihad*, one should perform it fully as commanded in Surah *al-Hajj* (verse 78). He uses the words *haqqa jihadih* which means the true *jihad*, and only those who perform true *jihad* sincerely will receive God's Grace.

Meanwhile, in Surah *al-Anfal* (verse 72) we read of those who believe in Him and His Messenger and emigrated by leaving their homes because of their displeasure towards the unbelievers. They strived with their wealth, among others, by giving assistance for *jihad* efforts and the defense of religious values. These Muslims who defended the messenger and the *muhajirin* (immigrants) were in a very high position in the sight of Allah. This is a clear action of *jihad*.

Verse 72 of Surah *al-Anfal* states that when war is declared, everyone in the Muslim community should support *jihad*, except those whose circumstances do not permit it. In Surah *al-Fath* (48: 17) we read: *No blame on those who are blind and crippled over and above those who were sick (if they do not go to war)*.

It should be noted from this verse that although a person is not physically capable of taking up *jihad*, he could perform other duties within his abilities. In this context, Imam al-Zuhri narrated that the great scholar Sa'id ibn al-Musayyib participated in a war even though he was blind in one eye. When someone said "Don't you have a reason for not participating?" He replied: "Allah commands us to go to *jihad* under any situation. If I cannot go to war, then at least I can rally others to join the troops and I can take good care of goods and supplies" (Shihab, 2007).

This was also the case with Abu Talha who was one of the companions of Prophet Muhammad. Upon reading Surah *al-Fath* (verse 17), he said, "I understand that my Lord asks me to pursue *jihad* when young and old." He then ordered his sons to prepare his instruments of war. They said, "Look, you have performed *jihad* during the time of the Prophet until his death, as well as during the time of Abu Bakr and Umar, so now you do not need to go to war any longer, let us do the fighting." However, Abu Talha insisted on performing *jihad* which sadly eventually led him to his death. Interestingly, his body was only found and buried after a week but it was still intact and odorless.

The word wealth is put prior to soul (self) in another understanding of *jihad*. This understanding emphasizes the need for giving donations and helping others in need. This was especially seen during the Battle of Tabuk where the Muslims greatly needed funds for the war. The war was nicknamed *Hour al-'usrah* (the time of crisis) because the enemy was large in number, the distance was far and the situation was difficult. However, there were Muslims who were reluctant to go to war. Uthman ibn 'Affan, a holy companion of the Holy Prophet who later became Islam's third caliph, contributed a thousand dirhams, a very large amount at that time, to the cause of war. This led the Messenger of Allah (may peace be upon him) to pray: "O Allah (may Allah be pleased with him,Uthman,) for I am indeed happy for him." This was narrated by Ibn Hisham in his *Sirah*. Another narration states that Uthman donated two hundred camels and equipment and a large sum of money.

Most importantly, Prophet Muhammad (PBUH) introduced *jihad* in its broadest sense with a general and encompassing meaning toward the faith of Islam. Some Qur'anic experts have debated the concept of *jihad* and proposed changes and developments to the context and environment of each of them. Political situations have led scholars and Muslim thinkers to be pragmatic and realistic in their assessment of *jihad* (al-Qadiri, 1985). The Khawarij, for example, set *jihad* as the sixth pillar of *Iman*, or faith (Rahman, 1979).

Jihad constitutes a fundamental identity of a believer in social praxis theology where the concepts of faith and *jihad* are inseparable (Anees & Sardar, 1992). Surah *Al-Hujurat* (49: 15) and *hadith* reflect this: *"Indeed, those who believe that only those who believe (have faith) in Allah and His Messenger, then they do not hesitate and they struggle (jihad) with their wealth and their lives in Allah's way, those people are the right ones."*

Another writer who discussed jihad was al-Qadiriy (1985). He agreed with the notion of *jihad* presented by Ibnu Taimiyyah, which highlighted the ability to achieve what is loved by Allah and to reject what is hated by Him. To him, *jihad* is working very hard in order to achieve what is loved by God, faith and good deeds, and reject what God hates, disbelief, wickedness and disobedience (al-Qadiry, 1985). Although he included war as a *jihad*, he also included spending money and making efforts to support the religion of

Allah and the struggle against lust and the devil as *jihad* (Ad-Daqs, 1972).

CONCLUSION

In conclusion, it is clear that the concept of *jihad* in Islam is very wide, and has many meanings and interpretations. There appears to be two extreme views of *jihad*; the belief that *jihad* is a war to physically confront the enemies of Islam and the belief that *jihad* is a war against lust or sins. The understanding of the term therefore does not refer to war only. God commands Muslims to defend themselves, their religion and homeland and to this end Muslims can exercise *jihad* physically or mentally. The purpose of *jihad* in Islam is to elevate the word of God and to eliminate injustices committed by those who are hostile to Islam. Eradicating ignorance, poverty and diseases are *jihad* which are no less important than the taking up of arms. A scientist strives to take advantage of his knowledge, employees work hard, teachers teach with the best of their abilities, leaders lead justly, entrepreneurs trade honesty, and so on. All these efforts can be viewed as *jihad*.

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Review Article

Potential Social Risk Factors for Teenage Pregnancy in Sarawak

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ABSTRACT

Teenage pregnancy is among the main social issues that involves Sarawak teenagers. Teenage pregnancy may lead to various social, psychological, and physiological effects to the mother and child. Sarawak is one of the states in Malaysia that recorded a substantial number of teenage pregnancy cases. As such, an in-depth understanding of this issue may provide some important inputs for evidence-based sexual and reproductive health prevention programs. Therefore, the aim of this review is to identify the potential underlying social risk factors that might be contributed to teenage pregnancy cases in Sarawak. The literature review had identified at least six social risk factors that might contribute to teenage pregnancy cases in Sarawak. Those social risk factors were rural–urban migration, dysfunctional family relationship, flaws in marriage customary law, alcohol and drug abuse, low awareness on sexual and reproductive health, and pornography. A better understanding of this issue can strengthen the effectiveness of health education strategies toward improving sexual and reproductive health among the Sarawak's young population.

Keywords: Risk factors, Sarawak, social issues, teenage, teenage pregnancy, unwed teenagers

INTRODUCTION

An understanding of the sexual issues among the Malaysian adolescent population must consider multicultural elements, such as religion, beliefs, and perception on sexuality issues that may significantly contribute in shaping their behavior (Low, 2009). One pertinent issue is teenage pregnancy that

involves girls younger than 19 years who are pregnant, whether married or unmarried (United Nations International Children's Emergency Fund [UNICEF], 2008). The Malaysian Ministry of Health reported that in 2015, there were around 18,000 teenage pregnancies recorded in Sarawak. This was the second highest recorded after Sabah (Fatimah, 2016). Teenage pregnancy may lead to various physiological maturities, such as the significant risk of delivering low-birth-weight babies (Sulaiman et al., 2013) and pregnancy-induced hypertension (Omar et al., 2010). In addition, young mothers' emotional, mental, and social readiness are not fully matured to carry the responsibility of becoming mothers (World Health Organization [WHO], 2014). The contributing factors related to teenage pregnancy are lack of sex education, feeling ashamed to seek contraception services, and that access to contraceptives are hindered because in some countries, it is expensive or illegal to sell to a teenager of a certain age (WHO, 2007).

Therefore, it is important to explore this issue to obtain an in-depth understanding on how teenagers control and decide to be involved in early sexual activities and to plan some relevant prevention activities (Spruijt-Metz, 1999). However, there is still insufficient research done particularly among Sarawak teenagers despite having a substantial number of cases of teenage pregnancies (Ahmad et al., 2014). Furthermore, this less explored research area pertaining to teenage pregnancy in Sarawak has contributed to the shortage of effective evidence-based preventive and integrative-based programmes by various relevant government agencies and NGOs in tackling these issues toward achieving the sexual and reproductive health needs of Sarawak's young population (Khalaf et al., 2014; Ministry of Health Malaysia [MOH], 2007). If these issues are not effectively prevented, they may raise other bigger social issues, such as suicide, depression, family and financial problems affecting young mothers, their babies and parents (WHO, 2014). This trend is alarming because teenage pregnancy cases in Sarawak occur among teenagers who are supposed to study in secondary school ("Teenage pregnancy", 2017). Therefore, this review aims to identify the potential contributing social risk factors for teenage pregnancy issues in Sarawak.

METHODS

The literature review includes articles on issues related to teenage pregnancy and its potential contributing social risk factors in Sarawak. The articles chosen that are indexed in PubMed, Scopus, and other related databases were published between 2000 and 2016 and were identified using keywords like "adolescent pregnancy," "teenage pregnancy," "social issues," and "Sarawak." The articles were accessed in January 10, 2017. In total, 12 documents were selected by the authors (first author—a health educationist and second author—a psychologist) for review, on the basis of future research implications pertaining to teenage pregnancy issues in Sarawak (Table 1). The articles covered several studies

conducted by local and foreign universities (4), population surveys conducted by the Ministry of Health Malaysia (2), Sarawak General Hospital (1), the National Population and Family Development Board (LPPKN) (1), National Anti-Drug Agency (1) and unpublished theses by post-graduate students (3). Five studies utilized

quantitative approach while 3 (qualitative), 3 (mixed), and 1 (clinical). This review also encompassed the latest information on teenage pregnancy issues as reported in the Sarawak local newspaper, "The Borneo Post", which rely on information from a reliable source, for example the Sarawak State Health Department.

Table 1

Related studies on social risk factors for teenage pregnancy in Sarawak

Author (s)	Title	Approach	Findings
Brandah (2017)	Adolescent perception of risky sexual behavior in Kapit, Sarawak.	Qualitative	Perceived risk of other teenagers involvement in risky sexual behavior are due to social media, peer influence, and sexual promiscuity.
LPPKN (2014)	Risk and protective factors affecting the adolescent sexual and reproductive health in Sabah and Sarawak.	Mixed (Qualitative & quantitative)	Prevalence; 3% school-going, 10% among university & 31% among out-of-school respondents involved in premarital sex
Mutalip et al. (2013)	How Severe is Binge Drinking in Malaysia and Who are at Risk?	Quantitative *National survey	Sarawak: Prevalence of current alcohol use was 11.6%. The onset of alcohol drinking 21 years old. Risky drinking was more prevalent among rural drinkers, Bumiputera Sabah and Sarawak, low education and low household income.
Amit et al. (2013)	Demographic factors associated with alcohol use among young men in rural areas of Sarawak.	Quantitative	Alcohol use indicated that Malays tended to decrease alcohol use with age, while Iban respondents tended to increase alcohol use with age.
MOH (2012)	National health and morbidity survey 2012, Malaysia global school-based student health survey 2012.	Quantitative *National survey	Sarawak: Prevalence (students Form 1 - 5):- ever had sex was 8.7%; having at least 2 sexual partners among those who had sex was 2.1% & use of "other birth control methods" during last sexual intercourse among those who had sex was 49.7%.
Muniswaran et al. (2012)	Adolescent pregnancies in Sarawak: the unspoken facts	Clinical study	Adolescents' birth rates in Sarawak General Hospital (SGH) were 62/1000. One in five of the adolescent's mothers were below the age of 16, 43.8% were not legally married and 79.2% stopped schooling.
Sebli (2011)	Easy marriage, easy divorce: the flaws in Iban traditional Adat.	Qualitative	Flaws in customary ("*adat*") marriage law associated with increased cases of teenage marriages.

Table 1 *(continue)*

Author (s)	Title	Approach	Findings
Chia (2010)	Prevalence of premarital sex, HIV/AIDS-related knowledge, attitudes, perceived risk, and safe sex intention among students of Politeknik Kuching	Quantitative	Lower prevalence of premarital sex is associated with higher level of knowledge on HIV/AIDS.
Htut (2010)	Prevalence, socio-demographic characteristics and associated medical factors of teenage pregnancy in selected maternal and child health clinics in Kuching.	Quantitative	The lower level of premarital sex was associated with higher level of knowledge on HIV/AIDS, positive attitude toward HIV/AIDS, and higher intention on safe sex.
Hashim et al. (2009)	Inhalant drugs abuse in Kuching district, Sarawak	Mixed (Quantitative & Qualitative)	Main reasons to get involve in inhalant abuse were due to peers influence.
Hew (2003)	The impact of urbanisation on family structure: The experience of Sarawak, Malaysia.	Mixed (Quantitative & Qualitative)	The impact of urbanization and rural-urban migration on family institution:- housewife totally dependent on their husbands financially; abandoned single mothers; children born out of wedlock; and marital fragmentation.
Hew (2001)	Singles, sex, and salaries: the experiences of single Bidayuh women migrants in Kuching.	Qualitative	Sexual promiscuity among rural women migrants working in urban areas.

Overview of Teenage Pregnancy in Sarawak

Teenage Pregnancy Case. According to a report on teenage pregnancy cases by Sarawak State Health Department indicated a decrease from 2,909 cases in 2015 to 2,481 cases in 2016 and out of these figures, 54.1% cases were unwed and 94.3% have dropped out of school ("Teenage pregnancy", 2017).

Live Births. In 2014, the National data on live births among mothers in Sarawak within the age group of 15–19 years were 3,576, while those younger than 15 years were 61, which is ranked second after Sabah (Department of Statistics Malaysia,

2016). At the institutional level, a study (Muniswaran et al., 2012) revealed that 62 per 1,000 live births in Sarawak General Hospital, Kuching were among young girls who were 43.8% unwed. The same study also revealed that the figure was significantly higher than the national indicator.

Risky Sexual Behavior. Risky sexual behavior is defined as behavior that increases one's risk of contracting or infected by sexually transmitted infections (STIs) and experiencing unintended pregnancies (Centers for Disease Control and Prevention [CDC], 2017). Findings from the National Health and Morbidity Survey (NHMS)

indicated that prevalence of having sex among Form 1 to Form 5 students in Sarawak was 8.7%, which was above the national average of 8.3% (MOH, 2012). In the same report, 2.1% of the participants reported having sex, and having at least two sexual partners, while the prevalence for those who had sex by using birth control methods was 49.7%. A more recent survey conducted by the National Population and Family Development Board (LPPKN) had focused on the risk and protective factors affecting the teenagers' sexual and reproductive health in Sarawak. The findings indicated that the early sexual debut was at 15 years old and the prevalence of those who had sex among out-of-school youth were 31%, while for university students were 10% and secondary school students at 3% (LPPKN, 2014).

Demographic Profile. Figures based on Sarawak State Health Department indicated that majority of teenage pregnancy cases in Sarawak in 2016 involved around 94.3% and out of this figures, 56.3% involved teenagers aged 10 to 17 years old ("Teenage pregnancy", 2017). According to a report by Sarawak State Health Department, around 73% of teenage pregnancies cases involved their partners who are is men aged between 20 and 39 years old ("Most teen", 2016). In terms of localities, report from the Sarawak State Health Department on teenage pregnancy cases showed that the highest was in Kapit (19.6%), followed by Bintulu (11.52%) and Betong (10.9%) ("Teenage pregnancy", 2014). More recently, a report

by the same department on the youngest underage mother in the state was 12 years old from Kapit ("Twelve year old", 2016).

While statistics on teenage pregnancies in Sarawak in 2016 by ethnicity released by the Sarawak State Health Department showed that 52% (1,257 cases) out of 2,481 cases were Iban teenagers, followed by Malays (518 cases) and Bidayuh (209 cases) ("Advocacy programme", 2017). At the divisional/district level, a cross-sectional study among 334 registered teenagers, who attended the antenatal follow-up at three maternal and child health clinics (MCHC) in Kuching, indicated that the majority of the teenage mothers were Malays (42.8%), of which 75.1% were married and the rest were unwed (Htut, 2010).

Accessibility to Health-care Service. A study on the prevalence and sociodemographic characteristics of teenage pregnancy in Kuching indicated that the majority of unwed teenage mothers registered late for antenatal care at clinics during the third trimester of their pregnancy (Htut, 2010). Late antenatal care registration meant that teen mothers may miss the opportunities to access antenatal services provided by the government for maternal and child health (MCH) clinics that include health promotions and screenings to diagnose any health problems that might endanger the mothers' lives and their babies (MOH, 2010). Apart from that, post-natal care is also important because the first 6 weeks after birth is critical to the health and survival of a mother and her child , in which lack of care

during this period may result in death or disability as well as missed opportunities to promote healthy behaviors affecting women, newborns, and children (WHO, 2005).

Adverse Outcome of Teenage Pregnancy. An unwed pregnancy may lead to an induced abortion, which in the case of ashamed teenagers is likely to seek illegal services that involve greater risks to her life, health, and future fertility (WHO, 1993). Despite the absence of official data regarding the prevalence of induced abortion in Malaysia, the major source of available information is in hospital records of women treated for complications of abortion (Low et al., 2013). Induced abortion is a significant cause of maternal mortality and morbidity in Sarawak and a rare literature on this issue was highlighted in a study on cases of septic induced abortion (performed by untrained and unqualified practitioners) that were referred to Sarawak General Hospital. Around 100 cases were reported with two maternal mortalities (Keng et al., 1982). Out of these cases, 58% were unmarried and 41% were aged between 20 and 25 years. Cases by ethnic groups were Bidayuh (49%t), Malays (21%), Chinese (20%), and Iban (9%). The adverse outcome of teenage pregnancy cases in the state were also reflected in the number of baby dumping cases reported, for example, in 2007 (six cases), 2008 (eight cases), 2009 (10 cases), 2010 (11 cases), 2011 (5 cases), and 2016 (10 cases) respectively (Ministry of Social Development and Urbanisation Sarawak, 2015 & "Domestic violence", 2017).

Preventive Programme. In response to these issues, several preventive programmes at the ministerial and state levels were introduced. Among those programmes are the "My Beloved Generation" (*Generasiku Sayang*), which focused on teenage pregnancy using holistic strategies to reduce morbidities, mortalities and improving the quality of life of teenagers. The Sarawak government also introduced OSTPC (One Stop Teenage Pregnancy Committee), a collaboration between various related government agencies and non-governmental organizations (NGOs), to assist out-of-wedlock teenagers who are pregnant ("Kuching specialist", 2016).

Hence, there is an increasing need to examine these social risk factors that might contribute to teenage pregnancy issues in Sarawak. Evidence show that social risk factors for teenage pregnancy in Malaysia and Sarawak in particular is related to premarital sexual activity, inadequate knowledge about sexual and reproductive health, social and economic inequities, urbanization, cultural and religious expectations (Hayward, 2011; Suan et al., 2015; UNICEF, 2008). Although there are several factors associated with teenage pregnancy in Sarawak, factors such as rural–urban migration, dysfunctional family relationship, flaws in customary law, alcohol and drug abuse, low awareness on sexual and reproductive health knowledge and pornography are prominent.

Potential Social Risk Factors

Rural–urban Migration. A study by Hew (2001) highlighted several urbanization issues in Sarawak's rural populations that affected their family connectedness in terms of parenting and parenthood. The findings indicated that rural–urban migration that involved single lady migrants from rural areas in Sarawak led them to become unwed mothers in bigger towns in Sarawak and other cities in Peninsular Malaysia. This issue is supported by data recorded that revealed Sarawak has the highest migration rate in Malaysia at 3.7% for the period of 2011–2012 (Department of Statistics Malaysia, 2012b). Poverty is the main reason why rural people migrate to urban areas in search for better opportunity. The poverty incidence rate for Sarawak was 2.5%, which was ranked third after Kelantan (2.7%) and Sabah (8.1%), respectively (Department of Statistic Malaysia, 2012c). This situation is slowly causing disintegration to the family institution among certain segments of rural and urban communities in Sarawak resulting from urbanization and poverty (United Nations Development Programme [UNDP], 2014).

In the same study, the author argued this issue (unwed single lady) was a consequence of village values being trapped in new situations because of the drastic change in values. Most of these young girls ended up working in small-scale industries, supermarkets, at restaurants as kitchen helpers or at entertainment outlets as a waitress. However, social values that dictated courtship behavior in the village were not enforceable in the urban areas. Thus, these young girls were prone to various risky behaviors that might indulge them to teenage pregnancy such as pre-marital sex, substance use, truancy, and teen prostitution. These social problems were due to the sudden change of parental control that gave young girls in the city the opportunity to find self-expression through romantic love and sexual encounters.

Empirical evidence suggested that this phenomenon, the impact of rural-urban migration on its young population in Sarawak, was a replication of what had occurred in Peninsular Malaysia in the 1970s and 1980s. It involved young rural Malay girls who migrated to big towns to work as low skill laborers at multinational electronic and semiconductor companies in Kuala Lumpur, Penang and Johor Bahru and were called "*minah karan,*" the stigmatizing label that was associated with female factory workers with unregulated sexual behavior (Root, 2006).

Dysfunctional Family Relationships. The family institution plays an important role in inculcating good values among their children through good parenting and parenthood. Parental roles are crucial in supporting teenagers to understand positive and healthy sexual development. In two studies that looked into the impact of culture and family institution in Sarawak, Sebli (2011) and Hew (2011) pointed out the negative impact of some traditional culture values (e.g., *bejalai*) to the family institution such as parenting and parenthood, in which

deficits in these two aspects would create other social problems, which the local called *indai blue*.

According to the Iban traditional culture, *bejalai* is defined as an outward migration that involved Iban men searching for better opportunities in other places or to other countries to secure better jobs and stable income. *Indai* means mother in the Iban language and *blue* is the negative connotation of illicit sexual activities. Therefore, *indai blue* refers to cases of married women whose husband is working elsewhere (*bejalai*) and got involved in an illicit relationship with other men. The relationships between these two situations are when the wives go astray with other men because they were neglected by their husbands who are working elsewhere. These "spoilt wives" are the main causes of divorce. This problem is reflected in the substantial number of divorce cases (civil law) in Sarawak with 505 cases in 2005, 2008 (1,330 cases) and 2011 (917 cases) while the divorce cases according to customary law were 255 cases in 2005, 2008 (417 cases) and 2011 (325 cases), respectively (Ministry of Social Development and Urbanisation Sarawak, 2015).

Findings from similar studies in Peninsular Malaysia might predict that the dysfunctional family relationships are associated with the teenager's involvement in risky behavior, which might lead them to pre-marital sex and teenage pregnancy. The evidence from a study on relationships between family processes and antisocial behavior in Peninsular Malaysia among 240 Malay single mother–adolescent dyads showed that teenagers from urban single-mother families with low functioning and low parenting quality were at a higher risk for engaging in risky behavior (Baharudin et al., 2011). Another study focusing on parental attachment for at-risk children's antisocial behavior with the sampling comprising of 1,434 secondary school students from the state of Johor revealed that children were at the risk of being involved in antisocial behavior when their parental controls were either absent or ineffective due to the absence of parents at home (Bakar et al., 2015).

Flaws in Marriage Customary Law (*Adat*). *Adat* law or customary law in Sarawak plays an important role in regulating social behavior that is accepted by the family institution, community, and society at large toward achieving harmonious inter-personal relations and to facilitate conflict resolution and the maintenance of a cohesive society (Bulan, 2007). Most of the non-Muslim natives in Sarawak comprise three major Dayak races namely the Iban, Bidayuh, and Orang Ulu. At the local level, such as district or riverine tributary, a cluster of villages or longhouses, the customary law is administered by the *penghulu* (local chief) who receives a salary from the state government (Suara Rakyat Malaysia [SUARAM], 2009). However, when compared to the civil marriage law that is well-documented and accepted, flaws in the system and implementation of marriage customary law is prone to exploitation

instead of providing some social norms, sanction, and values on marriage and the family institution.

This situation is highlighted in a study by Hew (2003), which focused on issues pertaining to weakness in the customary law among non-Muslim natives in Sarawak that involved marriage and family institution. Among common occurred cases, is when a young girl is pregnant out of wedlock. Most parents want to avoid negative stigmatization because their daughter was pregnant out of wedlock, and marriage through customary law is the best solution to "certify" or "legalize" the marriage. The marriage is then registered under customary marriage law that requires permission from the *penghulu*. Proper documents are needed if the marriage was solemnized under customary law and want their marriage to register under marriage civil law. However, in some cases, many chose not to do so because to register their marriage under the customary law with civil marriage law might put them against the law, for instance when a man marries an under-aged girl. The problem arises because in some cases, marriage customary law is not recognized under the civil marriage law by the Malaysian Registration Department ("JPN asked", 2016).

In some cases when a married man gets involved in an illegitimate relationship with a young girl under customary law, he would only be fined for adultery. But under civil marriage law, it is considered statutory rape; however, parents or guardians do not want to charge the perpetrator; instead they insist them to marry otherwise she will have no husband, while their grandchild will have no father ("Most teen", 2016). Unlike the Muslim population, there are no authoritative bodies (*Jabatan Agama Islam Sarawak*) that oversee and regulate the non-Muslim population that marry under customary law in Sarawak and these create problems such as no marriage documentation and unavailable records among the non-Muslim population.

In short, instead of discouraging cases of being pregnant out of wedlock through strengthening social norms, sanction, and values on marriage and family institution, the weakness in the customary laws itself indirectly aggravated such problems. This contributes to a plethora of other problems, such as no civil marriage registration, a baby born having difficulties to obtain a birth certificate, baby born out of wedlock registered with their mother's name instead of father's name, and not being able to apply for a Malaysian identity card (Child Right Coalition Malaysia, 2012). Other literature also highlighted that early marriages and teenage pregnancy deprive these young girls of education and employment opportunities, imposing on them the burden of household responsibilities at a tender age, leaving them in poor bargaining positions and excluding them from critical decision-making (Asian-Pacific Resources & Research Centre for Women [ARROW], 2014).

Alcohol and Drug Abuse. Alcohol and drug abuse are considered a major public health issue due to health and social consequences such as increasing the risk and likelihood of

engaging in unsafe sexual behavior, non-condom use and having multiple sexual partners that may transmit STIs, HIV/AIDS, and unwanted pregnancy (CDC, 2017).

According to a report from the National Health and Morbidity Survey (MOH, 2012) Sarawak recorded the second highest alcohol consumption (19.7%) after Kuala Lumpur (20.3%). In the same survey, it was found that risky drinking was more prominent among the natives of Sarawak and Sabah (Mutalip et al., 2014, 2013). Another related study on alcohol use among young men in rural Sarawak showed that alcohol consumption among the rural Iban men increased with age (Amit et al., 2013). The severity of this problem could relate to a recent case of a young nurse under alcohol influence who was raped and dumped by the roadside in Kapit ("Half naked", 2016).

In another survey on pattern and drug misuse among Malaysian youth, the findings showed that Sarawak has the highest substance and drug misuse index (SDMI) compared to other Malaysian states, which is 1.74 while the mean score for Malaysia is 0.85 (Mohamed et al., 2008). SDMI is a single score consisting of a total of the scores for the weightage and the frequency of substance and drug misuse for all the licit and illicit substance. Another related study (Hashim et al., 2009) revealed that substance abuse (inhalant) among adolescents was a gateway to be involved in other dangerous drugs such as "syabu" and cocaine. Also, in the same study, it was found that teenagers started to be involved in substance abuse at the early age of 9 years. More recently,

it was reported that a teenager as young as 11-years-old was involved with sex-for-drugs in Kuching ("Draw up", 2013). A report from the Sarawak Welfare, Women and Community Wellbeing revealed that between January and June 2016, 216 arrests out of a total of 252 were drug-related cases involving individuals under 18 years in Sarawak ("Police half-year", 2016).

Although most cases of substance abuse in Sarawak involved inhalants, it could get them involved with other dangerous drugs and involvement along with other risky sexual behavior. Evidence from a study on 227 drug dependents methamphetamine and heroin in Kota Kinabalu, Kota Bharu and Kuala Lumpur revealed that the use of methamphetamine caused them to be more obsessed with sex (Isa et al., 2013).

Low Awareness on Sexual and Reproductive Health. Awareness on sexual and reproductive health (SRH) is among the vital elements needed to develop a teenager who is sexually healthy. However, awareness on SRH should be translated into behavior change in terms of adopting healthy lifestyles in negotiating with risky sexual behavior (MOH, 2007).

Several studies on sexual and reproductive health knowledge among the young population in Sarawak can be categorized into two parts; studies among general teenagers population and studies that target students in secondary school and colleges/universities. A study on risk and protective factors and risky sexual behavior among general adolescents in Sarawak

by the National Population and Family Development Board (LPPKN) indicated low knowledge on SRH; that only 39.5% have knowledge of how the baby is born and 45.5% know what a womb is (LPPKN, 2014). Findings also showed that friends and peers are the main sources of information about sexual health. In another study on the prevalence of premarital sex among students in one of the technical colleges in Kuching showed that the lower prevalence of premarital sex is related with higher levels of knowledge on HIV/AIDS, positive attitudes toward HIV/AIDS and higher intention on safe sex practice (Chia, 2010).

Furthermore, awareness on SRH among the Sarawak rural younger population is low because it is related to how far they could access primary and secondary school and healthcare services, such as clinics and hospitals (Kiyu et al., 2006). Accessing to better and modern facilities is limited, especially in rural areas. There are two main issues related to this scenario that may contribute to low awareness on SRH. First, the Federation of Reproductive Health Associations, Malaysia (Federation of Reproductive Health Associations Malaysia [FRHAM], 2017) reported that there is an unmet need in terms of teenagers who are not aware of healthcare services provided by the clinics even though the services are available (FRHAM, 2017). Second, lack of modern infrastructure in rural areas contributed to primary–secondary school transition dropouts because primary schools are located in their community but secondary schools are mostly available in towns,

thus there are significant lower schooling completion rates at the secondary level among the rural students compared to the primary level because rural students cannot afford to accommodate transportation cost (Ministry of Education Malaysia, 2014). Thus, lower schooling years in secondary school might reduce their accessibility to sexual and reproductive health education that is taught in secondary schools.

Pornography. Pornography influences the adolescent's thought and behavior, and inspire them with inappropriate sexual desires, which for vulnerable teens can become psychologically addictive, leading to sexual disorders (Fung & Zhimin, 2015). Furthermore, teenagers can learn sexual behaviors from observing the behaviors depicted in the sexually explicit material (Owens et al., 2012). Closely related to pornography is online sexual behavior or "sexting" which involves the transmission or sharing of sexually explicit images, text or messages via an electronic device (Houck et al., 2014). Peter and Valkenburg (2006) suggested that this situation was accelerated by three elements: accessibility to the source and channels of information, anonymity due to assessing information online through personal information and communication technology (ICT) gadgets, and affordability with ICT getting cheaper.

In general, 90% of Malaysian school children used the Internet and 83% were susceptible to online dangers due to poor supervision which is based on online behavior among young people in Malaysia

(CyberSafe, 2015). In Sabah and Sarawak, a study focusing on risk and protective factors affecting teenagers indicated that access to pornography material is among the main risk factors associated with premarital sex (LPPKN, 2014). In the same study, the average daily hours spent in a day on the Internet among respondents in Sarawak revealed that social media is the main source in accessing pornographic material. This finding is supported by a more recent qualitative study conducted in Kapit, Sarawak which explored teenagers' perceptions toward teenage pregnancies issues, which showed that informants perceived social media as the main communication channel in sexual promiscuity relations among friends (Brandah, 2017).

Based on the aforementioned discussion, there is a potential risk that access to pornography among Sarawak teenagers may lead to involvement in risky sexual behavior because evidence from other international studies on pornography and online sexual behavior indicated its associations with risky sexual behavior. In the United States, a study among 420 participants from five urban public middle schools in Rhode Island on online sexual behavior and pornography among at-risk teenagers showed that sexting was associated with higher rates of engaging in a variety of sexual behaviors, and sharing photos (pornography) was associated with higher rates of sexual activity than sending text messages only (Houck et al., 2014). While another related study in the United States, Youth Risk Behaviour Survey among Los Angeles high schools on "sexting" and sexual health indicated that teenagers who did "sexting" themselves were more likely to report being sexually active (Rice et al., 2012).

DISCUSSION

The prevalence of teenage pregnancy in Sarawak was among the highest in Malaysia and there is a possibility that the data only accounts for cases reported in the state government clinics and hospitals. This figure may not describe the actual magnitude of the problem because unreported cases of pregnant teenagers that are not registered in government clinics and hospitals may be bigger if the numbers combined with the actual reported cases of teenage pregnancy. This may be due to psychological factors such as shame, guilt, and stigmatizing from peers and community. Thus, these possibilities must be taken into account in describing the prevalence of teenage pregnancy in Sarawak.

There seem to be some similarities and differences in terms of contributing social risk factors for teen pregnancy in Sarawak and other states in Peninsular Malaysia. A similar study on risk and protective factors showed that sexual activity among Malaysian adolescents aged 18 to 19 years was positively associated with pornographic viewing (Awaluddin et al., 2015) and evidence from a study on drug abuse indicated an association between using methamphetamine and sexual activities (Isa et al., 2013).

However, some contributing sociocultural factors such as weakness in marriage customary law or "*adat*" laws and "*bejalai*" culture on teenage pregnancy are unique to Sarawak. Any attempt to describe teenage pregnancy issues in Sarawak should take into account the social determinants of health in the state – poverty, social and economic inequities, urbanization, poor living, and cultural and religious expectations (ARROW, 2014 & UNICEF, 2008). Hence, preventive and rehabilitative programs implemented by various stakeholders must end this so-called vicious circle—the daughters of young, married or unwed, and uneducated mothers are also likely to drop out of school and get married early in the future ("Advocacy programme", 2017).

Any intervention program to tackle premarital sex and teenage pregnancy among teenagers in Sarawak also must look into other related health issues such as STIs and HIV/AIDS. Among the contributing factors such as premarital sex and substance abuse are major risk behaviors toward HIV/AIDS (MOH, 2011). For instance, HIV/AIDS cases in Sarawak had doubled up in the past 10 years, from 3.5 per 100,000 in 2003 to 7.5 per 100,000 in 2013 and also recorded the highest syphilis cases (176 cases) in Malaysia (Department of Statistics Malaysia, 2012a). Although Sarawak is not considered to be in a crisis stage pertaining to the AIDS epidemic, there is a need to pay attention to the illness to avoid any outbreak or epidemic (Chong, 2007). Baer (2007) pointed out that among urban health issue

that will have serious repercussions in the rural areas in Sarawak is STIs and HIV/AIDS. With the high level of labor mobility in the state, the fear is that such urban health issues will become problems in the rural areas as well. Therefore, addressing sexual and reproductive health issues might not only reduce teenage pregnancy cases but also HIV/AIDS cases as well.

However, studies pertaining to teenage pregnancy and other social issues related to sexual behavior among teenagers in Sarawak are limited because this area of research is considered sensitive to the local community (Low, 2009). Furthermore, most of these issues are reported in the local newspaper such as "The Borneo Post" which is less credible compared to those articles that were published in peer-reviewed journal. However, this problem is also resulted in lack of quality studies related to teenage pregnancies issues that were published in local or international medical journal (Suan et al., 2015). This might contribute to a lack of input to strengthen the evidence-based health education strategies in inculcating positive sexual health among the young population (Noar & Zimmerman, 2005). Hence, there exists an unmet need in investigating this issue in the future.

CONCLUSION

In conclusion, there are various social risk factors that may contribute to teenage pregnancy issues in Sarawak. However, some aspects of the problem remained less explored and this needs some in-depth investigation to get a better understanding

of the root cause of the problem. A better understanding of these issues can strengthen the effectiveness of health education strategies toward improving sexual and reproductive health among the Sarawak's young population.

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Vagrancy as a Result of Injustice: Exploring the Lived Experiences of City Street Beggars

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ABSTRACT

Vagrancy is a major contemporary social problem that the world faces, specifically in the third world countries such as the Philippines. Metro Manila had the world's highest homeless population. It is estimated that there are 22.8 million Filipinos who are homeless. This situation becomes very alarming particularly in urban areas in which several numbers of vagrants are present. This study explored the city street beggars' lived experiences in the streets, the influencing factors and reasons that caused them to engage in vagrancy. This study was conducted in the streets of Malaybalay City, Bukidnon, Mindanao in the months of August to December 2016. The participants were the six (6) vagrants who were purposively chosen. The phenomenological method of research was utilized through a heavy form of in-depth interviews. Interview guide questionnaire was adopted and modified based from the questionnaire of Taludhar (2013). Results from the in-depth interviews were examined qualitatively to supplement and deepen the analyses and interpretation of the findings. The findings showed the vagrants lived experiences on the street, specifically begging, unsecured on their condition, experienced ostracism and discrimination, and other forms of social injustices. This study has implications on policies protecting and support services for the disadvantaged sector in the Philippine society.

Keywords: Injustice, Malaybalay City, Mindanao, phenomenology, street beggars, vagrancy

INTRODUCTION

Vagrancy is a major contemporary social problem that the world faces, specifically in the third world countries such as the Philippines. Vagrancy cases are widespread all over the country it is estimated that there are 22.8 million Filipinos in Metro Manila who are homeless (Orosa, 2014). The data is grounded by the United Nations Commission on Human Rights released statistics which estimates that there are 100 million homeless people worldwide. This situation becomes very alarming particularly in urban areas in which several numbers of vagrants are present.

Vagrancy is the condition of a person going about as a gatherer or collector of alms or endeavouring to procure charitable contributions of any nature or kind, under any false or fraudulent pretence (Southern Africa Litigation Centre and Centre for Human Rights Education, Advice and Assistance, 2013). In addition, Aoki (2013) defined vagrants as those who wandered idly from place to place without lawful or visible means of support and the transients as those who needed help to return to their homes. Vagrants are those who belong to the lowest bracket of society, those who ask alms for their daily survival, those who live in hunger and cold and those people considered to be the poorest among the poor. Vagrants are also labelled as deviants.

Macionis (2012) argued that people who were powerless carried the stigma of deviance; it was the result of social inequality in which the norms, specifically the laws have served the interest of the

ones who's in power most especially the capitalist. These bases may correspond and explain the observational situation wherein society discriminates, stereotypes and stigmatizes the people who engage in vagrancy as it sets standards in defining vagrants.

In the Philippine setting, the formation of *Article 202 of the Revised Penal Code of the Vagrancy Law* is an indicator of social stratification and social inequality, as it isolates the poor and enabled vagrants from the rest of the society. The law itself describes vagrant as any person having no apparent means of subsistence, who has the physical ability to work and who neglects to apply himself or herself to some lawful calling. The code contemplates vagrants as deviants for the reason that it violates the expected norms in the society that individuals should work in order to live.

As stipulated in R.A. 7160 "Local Government Code of 1991", the Local Government Unit (LGU) should enact ordinances intended to prevent, suppress and impose appropriate penalties for vagrancy to the welfare and morals of the inhabitants of the municipality, city and/or province. Local government units shall likewise exercise such other powers and discharge such other functions and responsibilities as are necessary, appropriate, or incidental to efficient and effective provision of the basic services and facilities, such as social welfare services which include programs and projects on community-based rehabilitation programs for vagrants, beggars, street children, scavengers, juvenile delinquents,

and victims of drug abuse; livelihood and other pro-poor projects; nutrition services; and family planning services.

Despite of the social welfare services, vagrancy still remains a big social problem in the Philippines. In the study of Aoki (2013), it was reported that there were 1,581 persons in 2008, 1,571 persons in 2009 and 1,091 persons in 2010 arrested by Manila Police District for vagrancy in the City of Manila. In a petition presented by Ynares-Santiago on 2009 similar case had happened to two Filipinas Siton and Sagarano who has been arrested in Davao City on the 14th day of November 2003, they were charged with vagrancy pursuant of the Article 202 of the Revised Penal Code for wandering and loitering unlawfully around San Pedro and Legaspi Streets without any visible means to support themselves nor lawful and justifiable purpose.

There are many theories that explain the scenario and causes of vagrancy. But this research utilizes the social-conflict theory of Karl Marx as the main approach for the interpretation of data. This theory claims that the growth of inequality in all aspect of social life, specifically in the labour market is basically a product of structural stratification in the society, which pushes persons to be in low economic statuses and because of these conditions poverty is the inevitable consequence.

This study is also anchored on the phenomenology of Marx, Husserl and Schutz. Phenomenology denotes that the mental consciousness of man is shaped by understanding the external world through the use of its senses (Cabaraban & Fernandez, 2005). One of the unique features of a phenomenological thought in the interpretation of social action is putting great consideration on the basis of mental consciousness and subjective measures.

Another significant principle of phenomenology is inter-subjectivity which signifies that the interacting individuals have a common subjective world which is brought by the stock of knowledge of each individual summing to a total mind rules, social recipes, conception and information. Wherein, people can interpret events based on the stock knowledge which give them a frame of reference and orientation (Cabaraban & Fernandez, 2005).

This study determined the lived experiences of the vagrants in the streets and identified the influencing factors that causes vagrancy in Malaybalay City. The findings showed the three classifications of vagrants lived experiences on the street: the begging condition; life on street; and consequences of vagrancy on health. There were also categories of causes that influence beggars onto the city street: the economic and cultural factors.

LITERATURE REVIEW

Countries all over the world have tried to regulate and control the expansion of vagrants' population. One of the serious problems that influences one to become a vagrant is the economic hardship (Wolch et al., 1988). Moreover, it is also connected with the isolation of an individual or a person towards their family members. More

often these people are pushed to the streets and cities because of social displacement (Wolch et al., 1988).

Vagrancy laws have been formed by different states to minimize and limit the population of vagrants. Accordingly, these laws are a form of social control to the rising cases of vagrancy. The emergence of vagrancy law on England in 1349 was an indicator that the phenomenon on vagrancy was not basically new to a society. This law had punished individuals who were unemployed, including those people who engaged on activities such as begging and asking for alms as they refused to do labor and had violated the morality of hard work, thus, the punishment of the violators was forced labor. After several years, there was a shift on the focal concern of vagrancy law, vagrants were now punished not for violating the morals of labor but instead because of the unlawful attainment on their means of living wherein there were no specific reckon. Vagrancy was then considered a criminal act. It was then five years later, vagrancy was deliberated a serious crime punishable by execution. This scenario is also true to the 1750 vagrancy law of the United States, in which it was applied indiscriminately to people whom the authority considered as nuisance (Chambliss, 1964)

Using the conflict perspective of Karl Marx, the argument of Chambliss (1964) stipulates that the creation of Vagrancy Law in England and United States is a result on the fluctuation in the social setting in a given society. Throughout history, these laws have been enacted by the different ruling elites in order to serve their own interest. Moreover, in his study it was shown that during the era of feudalism, vagrancy law was ordained to provide those elites specifically the landlords with low-cost labour. In the long run, he argued that in the time wherein society have shifted to commerce and trade, vagrants were then defined as criminals – it is to justify the crimes in a society based on class. Thus, he argued that the innovation of the law is a result on the changes in the social setting that would likely occur on the economic institutions of the society.

The analysis and findings of Chambliss is also true to the economic determinism of Karl Marx that the one who owns the economy controls the politics and dictates the culture. Thus, because of social inequality, the norms specifically the laws are controlled by the elites in order to serve the interest of the ruling class (Macionis, 2012).

Throughout the world the public view of vagrants is often one sided, negative and internal. In a study of Pitsula (1980), he argued that there was a demand for the suppression of vagrants, as these people symbolized the rejection of work ethic and the values of middle class and that there was a need for suppression as they personified defects in character which was identified by middle-class as the root cause of social disorder and society's crisis. Girard and Phillips (1990) reached the same conclusion wherein he pointed that vagrancy laws was part in the process of social control towards members of the lower class who could

possibly be a threat towards social discipline and should be put to the criminal justice system to execute the middle-class concept of order and respectability.

In the Philippine setting, government agencies and several administrations have formed and implemented numerous laws and policy which would help to control and minimize the rapidly increasing cases of such phenomenon. The Anti-Mendicancy Law or Presidential Decree No. 1563 was issued by Former Philippine President Ferdinand Marcos on 1978 which was designed to control and eradicate the condition of street vagrancy in the country. Under this provision those minors who are caught begging will be in the custody of the Department of Social Services. Those who are used for begging will be rescued and adults who are caught will be imposed with heavy fines and can be imprisoned and those people who give alms to the beggars are also accountable to be fined (RetiredinSamar. com, 2016). This scenario supports the Sociology Lens (2012) argument that the phenomenon on vagrancy is a product of social stratification and social inequalities. It argues that capitalism produces social inequalities and it is distinguished by individuality of private property. Thus, the ruling elites who create the conditions of the oppressed class express their power in the form of laws which purpose is to serve the interest of the bourgeoisie.

While vagrants obtain public attention nationally and internationally, that attention is merely focused on the individuals' economic capacity and their ethics towards labour. People tend to perceive the vagrants with prejudice without looking at these peoples' economic and socio-political phase in the society and the common problem they often experience when it comes to health. On a certain report by Human Rights Watch on 1994, it was stated that the police authorities had slaughtered a substantial number of vagrant children in Brazil and Columbia (Taludhar, 2013). This scenario depicts Paul Ocobock's (2008) argument that vagrancy law was used as a coercive force for punishment, exploitation and even for murder.

Vagrants lived experiences do have commonalities and differences. Their daily survival and the causes that pushed them towards vagrancy have created and shaped their common subjective interpretation of their life in the street. Several researchers have conducted a study using phenomenological thought in elucidating the lives of vagrants. In the study of Tufeiru (2016), he had found out that the condition of begging was seen as degrading by the society. Also, he argued that vagrants found their begging life more comprehensible as they saw themselves as poor and resorting on begging would give them economic relief. The findings of Tufeiru is also true to the results of Ahamdi (2010) that the culture of economic poverty has contributed to the development and spread of vagrancy. Moreover, Aoki (2013) argued that the street policy of the local and national government was also a great influence on the increasing number of vagrants, wherein due to the increasing cases of squatter eviction the

condition of vagrancy had also proliferated.

The various literature presented brings a significant bearing to the present study. Since the phenomenon on vagrancy is not a new thing, knowing its origin and history would widen our understanding towards the historical situation of the emergence of beggars that can give us an insight into the commonalities of their experiences to the present vagrants.

Moreover, presenting and analysing the several laws and programs of the government in answering the phenomenon of vagrancy would give us knowledge and ideas on its implications to the lives of the city street beggars. Thus, knowing the vagrants' situation from different parts of the world could lead to a common understanding of the beggars lived experiences that would certainly contribute to the present study.

METHODOLOGY

The paper utilized a phenomenological method that was done through a heavy form of in-depth interviews conducted among vagrant and was mainly an analysis into the experiences of the city street beggars. The issue on the condition and experiences of vagrancy demands the analysis and interpretation of data in a social-conflict perspective and, as such explains the appropriateness of the chosen design.

Further, the adopted research method on the conduct of in-depth phenomenological interviews by Groenewald (2004) was utilized, wherein questions were directed towards the participants' experiences, feelings and opinions. According to Bailey (1996) the "informal interview is a conscious attempt by the researcher to find out more information about the setting of the person".

This was conducted in Malaybalay City, Bukidnon from November 2015-October 2016 wherein a large number of vagrants were found loitering and asking for alms. The city is the capital and the executive centre of Bukidnon Province and considered the South Summer Capital of the Philippines. The geographic feature of Malaybalay City being an urban area was one of the reasons why the participants choose to stay in the place.

The participants of this study were six city street beggars who participated in the in-depths interviews. They were composed of one child vagrant, one youth and four married adults who have engaged in the condition of vagrancy. Two of them left their home for *pagpamasko* (Christmas caroling) while four were on the street engaging mainly on begging. Two of them had physical disabilities, one was a polio victim and the other one was an inborn blind man. Married respondents had an average of five children. Most of them are uneducated or had not attended school with grade 2 as the highest educational attainment. Four of them had engaged on farm labor while the vagrants with physical disabilities have never worked. Job opportunities was not easily accessible although three of them had engaged on farming, one was a farm laborer who could just earn P90.00 ($2) a day, not enough to buy her family's basic needs. The other two had tilled their land, however their small income was just enough to cater

their basic needs. Three participants were originally from San Fernando, Bukidnon, one had migrated to Malaybalay City. Two belonged to the Indigenous People (IP) in Bukidnon and one participant was a non-IP married to an IP woman.

An interview guide questionnaire was utilized as instrument in the data collection. Questions generally evolved around the following topics: family situation, causes of leaving their place, working condition as a vagrant, living condition as a vagrant, health and hygiene in the streets, attitude towards engaging in vagrancy.

Considering the fact that the vagrants' situation and experiences were controversial and painful, the researchers earnestly put significant consideration on the research ethics, essentially in asking the participants' informed consent and putting emphasis on the confidentiality of the information gathered.

To analyse the data, themes and frames were utilized to identify the common and the different responses of the participants lived experiences as vagrants.

FINDINGS AND DISCUSSION

The findings show the three classifications of vagrants lived experiences on the street. The classifications are the begging condition, life on street, and consequences of vagrancy on health. In the participants begging condition, three of them begged at least 10 hours a day, where most could earn an amount of money ranging from P100.00-P200.00 ($2-$4) a day. In the vagrants' life on street three were unsecured on their condition,

four of them had commonly struggled from the city's weather condition and two had experienced ostracism and discrimination. In the consequences of vagrancy on health four of the participants had skipped meals and most of them suffered from poor sanitation, malnutrition and illness.

The study shows that there are two categories of causes that influence beggars onto the city street. They are economic causes and cultural causes. The study revealed that the most influencing cause is the economic. Five participants were pushed to the streets due to their economic hardships, two grounds from cultural causes and natural calamity was also the cause of one participant to being a vagrant.

The conduct of this study entails a detailed account on the lived experiences of city street beggars. It was assumed that the influencing factors that caused vagrancy were reflected in their answers and responses during the conduct of the in-depth interview. Of particular significance is the achievement of the goals and objectives of the study that is to determine the lived experiences of the vagrants in the streets and to identify the influencing factors that causes vagrancy in Malaybalay City.

Lived Experiences of City Street Beggars

This part portrays and analyses the vagrants' experiences in the streets particularly their begging condition, their life in the street, the consequences of their street vagrancy on health, and their dreams and aspirations in life.

Begging Condition as a City Street Beggar. Three participants begged at least 10 hours a day. Two of them were in the street for 11 hours and only one participant would spend their time on the street for 4 hours. Most of the street beggars could earn an amount of money ranging from P100.00-P200.00 ($2-$4) a day. The highest amount of money accumulated is P300.00 ($6).

Two of the participants reported that they could save some money "*I could save P50.00 ($1) from the money I earn from the donations given",* said the blind city street beggar. "*I could save P100.00 ($2) from the money I accumulated"*, said a vagrant polio victim. The rest of the city street vagrants could not save money because the money they earned was just sufficient for their family's daily food consumption. Basic necessities mainly on food consumption (rice and viand) was the common answer that the city street vagrant reported as to what/ where they spent the money they earned from begging.

Two of the city street beggars who worked more than 10 hours were individuals with physical disabilities. They were the ones, who could also save from their earnings. Three of the participants with big families could just earn sufficient money for their family's basic necessities.

Life as a City Street Beggar. The life of a city street beggar had never been easy; most of them felt anxiety and fear of their situation. Some of the participants were afraid of strangers, bad guys and even towards the police (as stated by the

8-year-old child). One of the participants was uncertain on the place they recently stayed on. Though there were three who had adapted to their situation and gradually felt secured as a vagrant. "*I'm afraid seeing guns, I'm afraid I might be imprisoned by the police"* said by an 8-year-old child. One of them also experienced an awful incident by some group of rugby boys *"they have thrown ice water on my face."* These scenarios portray the vagrants' subjective interpretation and feelings towards their security in the street. This may be due to the fact that most of them had been traumatized by their ruthless experiences. Findings in the present study were consistent with the argument of Bright (1995) that vagrants were more likely subjected to physical abuse by the police and they were often disregarded and maltreated by the officials.

The vagrants had suffered several problems on the street. Four of them had commonly struggled from the weather conditions in the city. The city street beggars did not have an adequate and a proper place to stay during their begging activities. They usually had to withstand the varying cold and hot weather in the city. This confirms the literature of Bracamonte et al. (2011) that due to the condition of vagrants, begging and wandering in the street, the vagrants were often exposed to health hazards.

As vagrants they were proned to ostracism and discrimination, although some of them were treated nicely by the public. However, four of the participants were treated with sarcasm, often with spiteful confrontations and often people

would yell at them and utter cruel words. In fact the vagrants' socio-economic status, being at the lowest bracket in the society, has created a negative stigma to the public's eyes. Macionis (2012) argued that the powerful individuals tended to see and defined the powerless as nuts and sluts and due to this situation societies had defined them as deviants for being an unproductive person who refused to work.

On the other hand, three of the participants were satisfied and contented on the kind of life they had, for it could at least help them from poverty. Two were not pleased with their circumstances, because they were left with no choice but to accept the reality of their condition. The participants' social reality had a significant factor that needed to be considered: their contentment the life they had despite of their economic hardships (scarcity of food, lack of livelihood, income and insufficient money accumulated from asking alms) having something to do with their experiences of everyday life. The vagrants struggled and took whatever means just to survive, their main priority was to be able to provide their basic needs.

Heath Consequences of Vagrancy. The poor living condition of the City street beggars, the deprivation of their access to basic necessities and scarcity of food needs have resulted to several circumstances when they cannot have an adequate meal or sometimes suffer from not having food. Four of the participants had reported that they had skipped meals, or at times they never

had food to eat. One participant experienced eating one meal for three consecutive days due to the unavailability of resources.

Moreover, the effects on the participants' health were the consequence of their condition from street vagrancy. Two of them had reported that they suffered from cough and fever "*my two months old baby has been hospitalized due to fever". While others had agonized from asthma and ulcer I was hospitalized due to my ailments".* Also, one of the participants stated that their son experienced stomach ache due to the water he drank. The participants' ailments were mainly due to the weather conditions in the city (rainy and hot seasons), the dust and smoke they had inhaled from vehicles and the inadequate access on their basic necessities that resulted and contributed to their poor health. Furthermore, one participant experienced calamities being in the street "*there was a time when I experienced earthquake or a time when I need to withstand the strong storm".*

These stories on street vagrancy are illustrations of stratification and inequality in the society. The vagrants' condition having no meals, enduring and suffering from diseases and sometimes would become a victim of certain calamities is an example of an image of the economic hardships of the Filipino people. The city street beggars are deprived on the economic resources, depressed on the hardship of life and underprivileged to a lot of opportunities. This argument is also true to the literature of Bracamonte et al. (2011) that due to the living condition of vagrants, begging and

wandering on the street, children and women are often exposed to health hazards. Facing major problems such as scarcity of food needs, poor health, lack of livelihood and income and insufficient money accumulated from asking alms in the streets.

Vagrants were victims of social inequalities and social injustices in the Philippine society. The deprivation of education led them to the disadvantaged leading to poverty and left them to engage in vagrancy. This confirms the report of Huerta (2013) in Vavel.com that the lack of literacy was one of the root causes of poverty leading illiterate people to accept a life of disadvantage.

Dreams and Aspirations in Life. Despite the negative circumstances they have gone through, just like any other people, city street beggars have hopes and aspirations in life. If given an opportunity they have longed for a job where they could earn enough to provide for their family's needs. Specific work based on their skill is preferred by the participants such as farm labourer, babysitter, doing body massage and a driver with a license.

With the simple aspirations they have in life most of the street beggars had longed for an existence wherein their family could survive, to be able to eat three times a day and a life where they would no longer starve. As for the parents' dreams for their children they had desired for their kids to go to school and finished even if up to elementary level only. The highest educational attainment aspired by the parents was for their children to finish Grade 6.

Achieving their dreams and desires in life seems impossible for the city street vagrants. Leaving their destiny and fate to God's grace and mercy is their last resort on achieving it. For them, the outcome of their future lies in the will of the Divine God.

The humble and simple dreams of the participants reflect their condition as a vagrant. Most of their aspirations pertain to their economic aspects, since they are deprived with a lot of resources that a man needs to survive. Moreover, the street beggars put great emphasis towards the value and essence of education since for them it could at least help their children gain some opportunities and it could help them on uplifting their pitiful condition. The overall aspirations of the vagrants are simple compared to non-vagrant Filipinos leaving their future to the will of God. The findings of the study are also true to the argument of Karl Marx which supported by Funderburk and Thobaben (1994) that religion is the sigh of the oppressed creatures, the heart of the heartless world and the spirit of a spiritless situation.

Reasons and Causes of Vagrancy

Vagrancy is not new in the Philippines, specifically in Malaybalay City. A lot of vagrants can be found loitering in the streets due to some causes. Certainly because of economic reasons, or problems they have faced due to the political and societal

situation they have experienced. Other reasons or factors which may have pushed them to engage on street vagrancy should also be considered.

Economic Causes

Six participants were pushed to the street due to their economic incapacity. "….*in order for us to buy some food."* This was the common response of the city street vagrants during the interview. Based on their socio-economic status, the participants suffered below poverty line that would give an idea as to the very reason why they could hardly provide for their basic needs. Because of such reason they did not have any other option but to engage on street vagrancy for them to survive. The research findings coincided with the writings of Karl Marx that the growth of inequality in all aspect of social life, specifically in the labour market is a product of structural stratification in the society, that pushes persons to be in low economic statuses and because of these conditions, poverty is the inevitable consequences.

Moreover, the physical incapacity of two of the participants may explain their situation to engage on street vagrancy. Due to their physical deficiency they do not have any other means to survive but to indulge on such activity. This was also true to the study of Aoki (2013) that people who commonly engaged on vagrancy were those individuals who did not have lawful means to support himself/herself.

The participants' socio-political situation which was also influenced by their economic aspect had contributed on their situation as a vagrant, "*we can't live peacefully due to the commotion in our place…"* One of the participants claimed that the conflict that was present in their area prevented them to live with ease and with peace. Because the participant did not have the means and power to resist and to avoid the conflict between the rebel groups and the army, they decided to come to the city and became vagrants. The results obtained were in consonance with Macionis (2012) that due to social inequality and the unequal distribution of power in the society the powerless were at high risks of being a victim of such threat.

Cultural Causes. Cultural factors such as being influenced by others to go to the city for "*pagpamasko*" (Christmas carolling) is also one of the reasons. Some of the participants have created a *culture of begging* during the period of Christmas. Two of the participants have claimed that they often do it during December.

Other Causes. Other factors such as typhoons and storms were also reasons why the participants had been pushed to vagrancy "*our house was destroyed by the strong wind"*. The house of one of the participants had been destroyed that left them homeless leading them to vagrancy. The respondent did not have resources to fix their house. That was why the participant along with her husband had decided to go to Malaybalay City to ask for *hinabang* (alms). With the result accumulated, Brozan (1983) stated

that natural disasters could affect people in such a way that they would lose homes, they would lose their way of life, and eventually their will.

CONCLUSION

Based from the findings of the study, the following conclusions are drawn: 1) the lived experiences of the city vagrants' show that it is not easy to be vagrants; 2) the local city government does not have a concrete and systematic policy and program for city vagrants; 3) the city street beggars in Malaybalay City commonly suffer due to economic hardship. Thus, it is concluded that the city street vagrants are deprived of economic resources and wealth of the nation.

The results of this study carry stories of subjective interpretation and experiences of city street beggars. Specifically, it demonstrates how economic hardships and cultural influence of the people have pushed them to be impoverished and engaged on vagrancy. This work contributes to a growing body of knowledge on the lived experiences of vagrants and the causes of vagrancy. The phenomenon on vagrancy is more of an issue on economics. Due to unequal distribution of opportunities, wealth and resources, the life of the people that comprises the majority is crumbling. Thus, the presence of social injustices in Less Developed Countries gradually exterminates the life of those who belongs below poverty line.

The economic system in the Philippines, specifically in the agricultural sector has contributed to the miserable life of the people. The semi-feudal and the backward aspect of the system in the agricultural setting have caused sufferings to millions of farmers and farm labourers in the country that certainly leads to poverty and pushes some people to engage in vagrancy.

Moreover, the commercialization and the inaccessibility of education towards the less fortunate individuals have also contributed to the bitter situation of the common people. People in far-flung areas are often deprived from the government's programs and social services.

A number of significant individuals presented solutions to the mounting incidents of the problem. Several resolutions were presented such as government ordinances on street vagrancy. Moreover, some sociologists, researchers and human rights advocates have asserted for more generous welfare policies (as proposed by Sociology Lens, 2012).

Fixing the scenario of social inequality, social injustices and societal stratification is promising but it is not an easy undertaking. It takes a lot of conscious awareness, organizing bulk of people and taking responsive measures. In addition, ordinances or vagrancy laws eradicating vagrants can't basically answer the root cause of the problem. They are marginalized and powerless people, who need to be helped.

The condition of vagrancy has always been a major contemporary problem that the world faces. Taludhar (2013) stated that it was the reflection of a growing social tragedy in the world. It is also true to the literature

of Aoki (2013) that this condition is a product of globalization and a representation of the transformative social structure. Thus, a wide-ranging understanding of vagrancy is essential in order to address this phenomenon (Sociology Lens, 2012).

Vagrancy is indeed an international apprehension, a national anxiety and a local concern that should be given attention and addressed by the authorities, as it is definitely a concern on humanity. People may tend to perceive their situation in an internal aspect which leads to social stigma; judging that they are lazy, opportunist and good for nothing individuals. Nevertheless, the society should not be biased in assessing the situation of the vagrants without considering the external factors that leads to this problem.

A certain statement of Nelson Mandela has bombarded the world that overcoming poverty is not a task of charity for it is an act of justice. Thus, to overcome vagrancy is to be able to overcome poverty and to overcome poverty we need to eradicate social inequalities.

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Gender Bias in Interpretations of Domestic Violence in Rural Areas: A Case Study in Ciamis District, Indonesia

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ABSTRACT

Violence against wives is a very serious social problem in Indonesia, but often it lacks optimal response from various circles, even when, constitutionally, there is a legal umbrella that prevents acts of domestic violence. The purpose of this study is to examine how gender bias can lead to domestic violence in Muslim families in rural areas. This is a case study which used qualitative methods based on critical paradigms. The findings show that Muslim women in rural areas tend to experience simultaneously different types of violence which range from economic, physical, psychological, to sexual. The connection between gender bias and domestic violence can be understood from three different perspectives: the people's understanding of the religion that is discriminatory on women, the way the government uses patriarchal legal norms as social institutions, and the cultural norms that promote patriarchal values in the community.

Keywords: Domestic violence, gender bias, religious issues, social strata

INTRODUCTION

Women and violence is one of the most pervasive issues in Indonesia. Figures show that cases related to violence against women have been on the rise since 2010. Data from the National Commission on Violence against Women (2014, 2015) for example, indicate that there were 293,220 cases of violence against women compared to 279,688 cases in 2013. Violent acts

on women seem to be most prevalent in the household and are related to personal relationship issues. Other incidences of violence against women include those committed by government officers acts such as physical body checks by the police and the arrest of migrant workers.

Constitutionally, in Indonesia there are laws that criminalizes domestic violence, such as Law No. 23 of 2004 which concerns the elimination of domestic violence. However, in reality, violence against wives is still an inherent social problem in the country and often lacks optimal response from various circles. S. 1.1 of *Law on the Elimination of Domestic Violence 2004* (IDN) defines domestic violence as any act against a person, especially women, which results in physical, sexual, and psychological suffering and/or neglected household, including threats to commit acts, coercion, or seizure of independence against the law in the household. According to Soeroso (2010), violence against women in the household can be in the form of: (a) psychological violence, (b) physical violence, (c) sexual violence, and (d) economic violence.

Psychological violence is any action by the husband that may evoke fear in the wife including acts such speaking out loud, denouncing/insulting, threatening and frightening, as well as abandoning her to marry another woman in secret, and isolating her from the outside world. Physical violence is the husband's brutal actions on his wife which include beating, crushing, pinching, and kicking or other similar acts. Sexual violence relates to the use of coercion by the husband to demand sex or forcing himself onto the wife, and also his lack of attention to fulfilling his wife's sexual needs. Economic violence includes the refusal to seek income, failure to provide financial assistance, not addressing to basic needs including food, not allowing the spouse to seek healthcare and employment. In other words, economic violence involves neglecting the life, care, and maintenance of household members (Soeroso, 2010).

These four acts of violence against wives are prevalent in rural areas and the local community is often not aware of these acts. One factor that may be a reason for this is gender bias within the family. As pointed out by Sumadi (2017), some types of physical punishment are considered by society to be part of a husband's rights as a means to control women. According to the Office of the Ministry of Women's Empowerment (2001), Republic of Indonesia, gender is defined as social roles constructed by the community, as well as the responsibilities and opportunities of men and women that are expected by the community. Marcoes (2001) stated that violence was an attack or invasion on the physical, psychological, and mental integrity of a person. There are many causes of violence but where violence against gender is concerned, it may be caused by gender bias. Violence caused by gender bias is called gender-related violence and this type of violence is due to the inequality of forces that exist in society.

Gender bias is generally based on the assumption that the husband has a right to control his wife (Sumadi, 2017). This

kind of perspective emphasizes the view that a man occupies a higher position or status in society than a woman even though the woman is his partner/wife (Umberson et al., 1998). Such imbalance of power would inevitably lead to violence against women by men. Gender bias and domestic violence can be observed in many countries and cultures. For example, many women in Pakistan, especially in the Bahawalpur district, constantly face domestic violence committed by their own family members especially the males (Ashraf et al., 2017). Despite claims of success in the promotion of human rights and women emancipation, there are still many women who are victims of sexual and physical violence by a partner during their lifetime (Smith et al., 2017).

Based on these studies, there is an assumed relationship between gender bias and domestic violence. It is, therefore, the purpose of this study to examine how gender bias can lead to domestic violence in selected Muslim families in rural areas, especially in the Ciamis district of West Java, Indonesia.

METHOD

This research used the qualitative approach based on critical paradigms. More specifically, this is a case study that examined the role of gender bias as the main cause of domestic violence in Muslim families in rural areas. The data was collected through in-depth interviews with the female victims of violence committed in a household (Daymon & Halloway, 2010). The participants of the interview were selected based on cases handled by the *amil*) in Ciamis. The *amil* is an officer who handles domestic violence cases and requests for divorce arising from domestic violence.

According to Given (2008), a study with a critical paradigm such as this requires a specific methodology, which in this case is via in-depth interviews. Reinharz and Davidman (1992) emphasized that any research that concentrated on gender issues should employ the in-depth interview approach as the key method of data collection. Mulyana (2010) asserted that in-depth interviews in this type of study should be flexible, unstructured, and occasionally involved informal conversations or semi structured interviews, where the questions asked were based on the issues emerging from the response to the previous question. Although the theme in the interview must focus on gender-based violence, it does not have to follow a rigid structure (Given, 2008). The participants in this study consisted of five female victims of domestic violence from five families: (1) AC (family A), (2) AT (family B), (3) Y (family C), (4) IC (family D), and (5) IN (family E).

RESULTS

From the interviews it was found that the women experienced various types of violence from their husbands. In this section, the description of the interview is provided and discussed according to the individual families.

Family A: According to AC, she had to work hard to earn a living to support

her family. Her husband who was a retiree, preferred to have a good time by himself and did not care about the welfare of his wife and children. The family lived together in the same house in the past year but the husband rarely played the role as the head of the family and did not communicate with other family members. AC had to go out and work in order to support the family. Consequently, this led to conflicts involving the fight over controlling the assets in the household. Various items acquired by the wife with her income were claimed by the husband to be his property, as he considered himself as head of the family and therefore had the right to. In this case, AC can be regarded as a victim of economic violence.

Family B: The same type of violence was also experienced by the wife in this family. Family B consisted of AT, her husband and their 4 children. The husband was unemployed, yet he never attempted to find an income. AT tried to fulfil the needs of the family by becoming a trader. In addition, her husband's attitude was that he felt that he was always right. According to AT, there was nothing much she could do except to cry and be patient. The psychological violence persisted as the husband felt that, as the head of the family, it was within his rights to do as he pleased. Unfortunately, all AT's income went straight to the husband. It was really tough on her as she had to manage both work outside the house as well as the housework. However, AT never considered herself as the victim of domestic violence. According to her, as a wife, she must accept and be patient under the circumstances.

Family C: Y caught her husband J with another woman; she was accused by her husband of going around without his permission. After the incident, Y was subjected to physical mistreatment by her husband, which resulted in injuries to her face and head. The physical violence continued and this affected their marriage. She would be beaten, suffered insults and verbal abuse. Nevertheless, she believed that as a wife she must be patient. Y claimed that her neighbours perceived her as a good woman, and as someone who had always carried out her duties as a housewife responsibly. According to Y, her husband had recently become ruder and would scold her every time he came home. Y would receive more physical and verbal abuse if his needs were not fulfilled. In the case of family C, Y was not only the victim of physical and verbal abuse, but was also a victim of economic violence as she never received any proper financial support from her husband.

Family D: Unlike victims of economic violence, IC suffered psychological violence from her husband. In this case, her husband CC had unofficially married several other women. IC and CC had three children. IC worked as a teacher while her husband was a civil servant. The psychological violence usually happened after her husband returned home from work at night. As pointed out by IC during the interview, "*sabuni-bunina bangke pasti kaambe*" ("even though a carcass is hidden, it will smell bad"). Apparently, CC had unofficially married another woman who lived in a

different district. Despite that, IC was accepting as she believed that, as a wife, that was how she should behave. The first unofficial marriage ended, but soon after, IC unofficially married another woman. CC felt so hurt by her husband's behaviour. Despite feeling disappointed, she was advised by her mother, who was a religious teacher, to continue to persevere as it was a wife's duty to obey the husband.

Family E: BK (husband) and IN (wife) got married in June 1971. BK was a successful businessman, and over the years, the family managed to live comfortably and amassed significant amount of properties such as expensive cars, land and rice fields. Despite their wealthy life style, according to IN, her husband often hit her. He would grab, hit, throw, and break things, kick, threaten, and get angry for no apparent reason.

BK believed that, as IN's husband, he has the right to educate his wife. He also believed that educating his wife could not be done in a subtle way and would be much more effective if it was done through violence. According to IN, she was often tortured. Although BK's abuse of his wife attracted other people's attention, they could not help or did not dare get involved because of the cultural belief that no one should get involved in another household's issues. The continuous violence was inflicted not only on IN but also on their children and daughter-in-law because BK believed that he needed to educate them.

On February 8, 2016, BK assaulted IN so violently that she had to seek medical treatment. Before going to the hospital, IN consulted the *amil,* the officer who handled matters related to marriage and divorce in the village, for advice. The *amil* advised her to see a doctor and filed a police report. According to the MZ, BK had contravened Criminal Code 356 concerning the mistreatment of family members and Law Number 23 of 2004 concerning Elimination of Domestic Violence. However, after returning from the doctor and the police station, IN changed her mind and chose not to pursue her case as she was worried for her two children and her daughter-in-law. Instead she chose to file for divorce. According to IN's view, there was no hope of continuing the marriage as she feared that the violence might recur in the future.

DISCUSSION

All the women interviewed in this study were victims of various types of domestic violence. In some cases the women experienced more than one type of violence simultaneously, but what is interesting about the findings is that some of the women did not even recognize the fact that they had been victims of domestic violence. As pointed out by Soeroso (2010), there are 4 types of domestic violence; (a) psychological violence, (b) physical violence, (c) sexual violence, and (d) economic violence. Based on the interviews, the economic violence committed by a husband was not always perceived as an act of abuse by the wife. That may explain why no action was taken by the wife to rectify the situation. In one case, a wife experienced

economic, psychological and physical violence simultaneously. The husband's refusal to provide basic living necessities to the family (psychological violence) forced the wife to work to provide for the family (economic violence). Unfortunately, all of her income was taken away by the husband and if the wife protested, she would be physically abused (physical violence).

All the above cases examined in this study point to the fact that domestic violence can be linked to the issue of gender bias. In the context of Indonesian Muslims, the link between domestic violence and gender bias may be explained from three perspectives: the people's understanding of the religion (i.e., Islam), the legal system and the cultural norms that promote local patriarchal social institutions.

Islam is the main religion in Indonesia and the misunderstanding of the religion may explain why there is a persistent gender-biased attitude among the males in the country. One of the main principles in Muslim marriage emphasizes the need for a wife to obey her husband and that she does not have authority over the property (Sumadi, 2018). As stated in the Quran:

Men are in charge of women by [right of] what Allah has given one over the other and what they spend [for maintenance] from their wealth. So, righteous women are devoutly obedient, guarding in [the husband's] absence what Allah would have them guard. But those [wives] from whom you fear arrogance - [first] advise them; [then if they persist], forsake them in bed; and [finally], strike them. But if they obey you [once more], seek no means against them. Indeed, Allah is ever Exalted and Grand. (al-Nisa: 34).

This verse has been interpreted in such a way that it leads to the deeply-ingrained understanding that women should be submissive to their husband regardless of the circumstances. In addition, there are many Islamic sources, works of *fiqh* in Indonesia as well as *hadiths* (sayings of the Prophet), including misogynist *hadiths* that marginalizes women (Marhumah, 2015). According to Mernissi (1991), there are at least five misogynist *hadiths*:

1. Those who give up their affairs to women do not get prosperity.
2. Dogs, donkeys and women will cancel prayers if passing between people who pray and the *qibla*.
3. There are three things that bring disaster: home, women and horses.
4. After my death there is no more fatal problem for men except women.
5. I looked to heaven and I saw that most of the inhabitants were the poor, and I looked to hell, I saw most of the inhabitants were women.

These *hadiths* belittle women and discredit their role in society. According to Mernissi (1991), the narratives of religion about women such as in the above *hadiths* tend to emphasize men's superiority over women. Indeed, in some of the case studies examined in this paper the husbands felt that as the leader in the family they are obligated to educate their women and therefore, their actions, which sometimes involve physical violence, can be considered as legitimate.

Gender bias ideology also seems to be pervasive in the context of the Indonesian legal system. Men are often given the advantageous position in the law compared with women. For example, in UUP (Laws about Marriage) Article 34, Paragraph (2) and KHI (Compilation of Islamic Law) Article 83, Paragraph (2), it is stated that it is the obligation of the wife to organize and manage household affairs as much as possible. This justifies the stereotypical assumption of the community that the most appropriate place for women is at home. This leads to the misguided understanding that since it is the wife who is responsible for performing all the duties in the household, she will be considered as a disgrace if she leaves the house as she has neglected her obligations (Nafisah, 2008). The above also encourages the process of impoverishment (and marginalization) which then makes the wife become economically dependent on the husband. This was, in fact, the case with one of the respondents in the interview (family E) where the wife had to endure countless beatings from him until she had to seek medical treatment.

The cultural norms inherent in the local community may also play a role in the growth of gender bias attitude among the males, which ultimately leads to the occurrence of domestic violence. According to Khotimah (2009), in Javanese culture, there is the assumption that women do not need to go for higher education, because they will eventually end up in the kitchen. Similar assumptions on women subordination and discrimination may also be observed in Sundanese culture. Traditional sayings such as *Adep hidep* [a wife must serve her husband]; *Taraje nanggeuh dulang tinande* [Women must be prepared to accept and carry out the orders of men]; *Awewe mah dulang tinande* [women depend on men and have no choice]; and *Babon kapurba ku jago* [a woman must obey her husband] (Gemini, 2016) which have been passed down over generations emphasize women's dependency on men.

As pointed out by Nafisah (2008), culture plays a significant role in encouraging men to rule and women to depend on men. Culturally, women must display total obedience to their husbands. The assumption that women are irrational or emotional further portrays women as being unable to lead, and this results in the emergence of an attitude that places women in a less important position. Such views and cultural norms encourage and provide an avenue for acts of violence against women. Women who do not obey their husbands or have different world views will be considered as having violated the cultural and religious norms of their society. In many domestic violence cases, the community often blames the wife as the cause of violence as it reflects the wife's inability to serve her husband. The violence inflicted on women by the husband is considered normal and legitimate. As the interviews reveal, the women who were abused often felt that they had no choice but to persevere because that seemed to be the right thing to do.

CONCLUSION

This research showed that domestic violence is a significant and pervasive problem in rural Indonesia. Women often experienced more than one type of domestic violence on one occasion. More importantly, the findings showed that there is an inevitable link between gender bias and domestic violence. The connection between gender bias and domestic violence can be understood from three different perspectives: (i) the people's understanding of the religion that is discriminatory on women, (ii) the way the government uses patriarchal legal norms as social institutions, and (iii) the cultural norms that promote patriarchal values in the community. Although the government has endorsed laws to address domestic violence, more significant efforts should be made in raising society's awareness on the problem of gender bias as this, in the long run, may be more impactful in reducing domestic abuse cases. This includes conducting a more comprehensive understanding of Islamic education as a way to change society's cultural norms and the people's attitude towards women. The government could also play a role in improving women's economic capacity by opening more employment and economic avenues for women so that they can become more financially independent. Last but not least, campaigns that encourage victims of domestic violence to come forward to the authorities should be conducted to make women become more aware that they do not have to endure the violence and that there are places where they can seek help.

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SOCIAL SCIENCES & HUMANITIES

The *Popolo* Tradition within the Wabula Community

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ABSTRACT

Popolo is the tradition of wedding gifts of the Wabula community in Southeast Sulawesi Province. From 12 to 45 five *boka* (old form of money) is given to be distributed to (a) the family of the husband, (b) the family of the wife, (c) religious leaders and traditional community leaders, and (d) the wife. The distribution is a symbol of gratitude by the newly married couple for raising and protecting them. Betel leaf (*roono gili*) which symbolizes the bride, cigarette stick (*tabako*) which symbolizes the bridegroom, betel nut (*wuano pangana)*) which symbolizes the strength of the relationship between husband and wife, *sirih* lime (*hapuno gili*) which symbolizes semen, and *gambir* (*tagambiri*) which symbolizes the blood of creation and the process of human propagation, have important roles within the wedding ceremony. The study is a qualitative case study and aims to analyze the processes within the tradition of *Popolo* and to see (i) to what extent they are consistent in practice across the Wabula Community; and (ii) to what extent they have been accommodated into Islam. Data was collected through document analysis, observations and interviews. The findings show that the practice of *Popolo* is consistent in practice among *Popolo* community and there are no aspects of practice which are contradictory to Islamic teachings.

Keywords: Islam, *Popolo*, Wabula community

INTRODUCTION

Wabula is located in the eastern waters of Buton Island, which is one of the Buton regencies in Southeast Sulawesi Province. The Wabula community consists of immigrant and indigenous tribes. The beliefs and culture of immigrant tribes and indigenous people in Wabula were

different. However, differences in beliefs and culture in the Wabula community at that time did not lead to conflict, but instead enriched the cultural treasures of the local community. Such multiple influences of belief and culture do not result in the loss of the original elements of community culture. The infusion of *Popolo* was no exception. It existed without any major threat, and while there seemed to be elements of un-Islamic elements within it in the past, the immigrants and indigenous people gradually cleansed it of the undesirable elements and maintained it as part of their culture. It has now been embraced by the community as culture and has become tradition for generations.

Initially the people of Buton did not accept Islam as a whole (Yunus, 1995). Things changed when Syeh Abdul Wahid ibn Muhammad al-idrus ibn Umar Mudhar ibn Ma'ruf al-Qurkhi from Pasai arrived at Kadie Burangasi- Tanjung Pamalipada in the eastern part of Buton Island in 1506 AD (Zuhdi, 2010). Syeh Abdul Wahid met Kumaha, directly conveying the teachings of Islam. Kumaha as King Wabula II was the first student and also the first person to accept Islam on the island of Buton. Then, Syeh Abdul Wahid taught Islam to the people of Wabula who accepted Islam as their new religion. Soon the teachings of Islam were accepted by all the people of Burangasi and Lapandewa (Manguin, 2001).

The presence of Islam, and the conversion of people into it resulted in changes. In the initial period, beliefs contrary to Islamic belief remained. People were aware of it. Soon there were questions raised as to what in their culture was acceptable or unacceptable in Islam. People however believed that ancestral beliefs before Islam did not have to be eliminated as a whole, except those that were contrary to Islamic teachings. For pre-Islamic ancestral beliefs that did not conflict with Islamic teachings, it was concluded that they supplemented and enriched Islamic values (Nurcholish, 1992).

Wabula society includes "religious beings" (Nurcholish, 2000), as well as "cultural creatures" (Notowigdagno, 2000). Wabula society has the ability to compile values in life which are diverse and universal. The Wabula community considers marriage ceremonies including that which has the *Popolo* ceremony (held simultaneously with the wedding ceremony) to be Islamic.

The *Popolo* tradition is a statement of the initiation of love between man and woman in marriage, and feelings of gratitude to both parents and their families. The ceremony includes the gift of money, a maximum of up to 45 *boka*, as confirmed by La Botu Mossy (Personal Communication, April 1, 2017), and which is based on a two-party agreement involving both the families of the bride and groom. There is a ritual which comes with the *boka* and this will have symbolic associations with marriage and offspring. *Popolo* includes this and the main items in the ceremony include betel leaves, betel nuts, betel lime, and *gambir* which have been neatly wrapped in a *tangaba*.

After the marriage contract, the betel leaf, betel nut, betel lime and *gambir* are

given to the wife to be eaten; the cigarette is given to the husband to inhale several times, who then passes it to the wife to inhale several times before she returns it to her husband (this symbolizes sex). The money is distributed after the marriage contract into four parts, namely for the parents of the men (husband) and family, for the parents of the women (wife) and family, for religious leaders and traditional leaders (who attend and witness the marriage contract called *sara*), and then to the bride as well.

This paper discusses the meaning of symbols in the *Popolo* tradition, its consistency in practice and how it is related to the values within Islam. More specifically, it aims to investigate (i) to what extent the symbols in the *Popolo* tradition are consistent in practice across the Wabula Community; and (ii) to what extent they have been accommodated into Islam.

METHOD

The methodology used in this research is descriptive qualitative (Moleong, 2000) which is intended to describe the research by collecting information about the status of an existing phenomenon, namely the state of affairs according to what it was at the time the research was conducted (Suharsimi, 2005). Qualitative research is rooted in an interpretive paradigm (Suyanto & Sutinah, 2007). The reason the writer uses qualitative methods in this study is because:

a. The problem studied is not clear, holistic and complex, dynamic and meaningful so that it is impossible for the data in the social situation to be captured

with quantitative research methods using instruments such as tests, questionnaires, and interview guidelines.

b. Researchers intend to understand social situations in depth, find patterns, hypotheses and theories (Sugiyono, 2010). The intention of the writer is to get a clearer understanding of Islam within the *Popolo* tradition according to the customs of the Buton Wabula community.

In this study the author uses a historical approach, as well as three approaches included in the interpretative paradigm, namely the phenomenological approach, symbolic interaction, and ethnomethodology (Suyanto & Sutinah 2007; Taylor & Bogdan, 1984). The data used in this study are primary data, observations, and secondary data as follows:

1. Primary data, consisting of key informants as resource persons, namely customary chiefs and Wabula priests, traditional leaders and religious leaders, as well as *Wabula* community leaders. Data was obtained directly by the researcher when conducting research through observation and interviews, as well as documentation with regards *Popolo* traditions in the Wabula community. In the selection of informants in this study purposive sampling technique was used. Four religious leaders and four experts on *Popolo* tradition (*Kepala Adat*, or community leaders) were interviewed.

Data collection techniques are observation, in-depth interviews and free interviews, and documentation. Data processing and analysis techniques, mainly the identification process, are carried out in

several processes, namely the categorization process, priority process, and the process of determining completeness. This was done over three months. Next the following steps were taken;

a. Data reduction where the writer chose, and then sorted the words and sentences delivered by the respondents when interviews were conducted to be adjusted to standard Indonesian language which was then translated into the English language by experts.

b. Data display where the writer elicited the data at the research location based on the results of observations, interviews, and documentation presented. Concrete evidence in accordance with the rules of scientific writing had to be accounted for.

c. The conclusion was drawn that was the core of the discussion in this article based on the statements of experts, both from primary data and secondary data, namely outlining the subject matter into more detailed elements and sharpening broad statements so that they can be conceptually understood. The steps taken in testing the validity of the research data include triangulation. Triangulation is a data validity checking technique that utilizes something other than data for checking purposes or as a comparison of data (Moleong, 2000). There are two aspects to triangulation of data in this study, namely triangulation with data or sources and triangulation with methods (Moleong, 2000).

2. Observations were carried out 8 times over three different regions of Wabula and notes were taken to be analyzed

based on consistencies in practices and identification of aspects of the tradition and their compatibility to Islam.

3. Secondary data, namely data obtained from literature in the form of books, research results, data retrieved from related institutions was also used. The main resources in document analysis apart from the Holy Quran, included *Terjemahan Singkat Ibnu Katsir* (Bahreisy & Bahreisy, 1986a, 1986b), *Al-Qur'an dan Terjemahannya* (Departmen Agama R.I., 2002). The documents which provided literature on *Popolo* included *Sejarah, budaya dan Peradaban Masyarakat Wabula* (Manguin, 2001).

FINDINGS AND DISCUSSION

The first objective of the study was to determine the processes within *Popolo* and determine if there was consistency in practice across the Wabula Community. Observations were made and interviews carried out in eight locations where the marriages and *Popolo* ceremony were held. The following illustrates the consistency of proceedings within the *Popolo* ceremony in all eight locations across three regions:

In all three regions which involved eight marriages and *Popolo* ceremonies, it was found that the *Popolo* ceremony was carried out together with the wedding ceremony (*akad nikah* which consistently showed the ceremony followed standard Islamic marriage practices). The *Popolo* tradition however came with ancient culture and was unique to the Wabula community. In the *Popolo* ceremony, there was money

(*boka*) exchanged. The value of money was given based on strata agreed upon by *adat*, which was a minimum of 12 *boka*, and a maximum of 45 *boka*; as well as other gifts which included 3 packs of cigarettes, betel leaves (*ro'ono gili*), betel nuts (wuano *pangana)*), whiting (hapuno gili), and *gambir* (ta*gambir*i), stored in *tangaba* made of brass and neatly wrapped in a white square cloth (*pato kampanga*) (La Botu Mossy, Personal Communication, May 12, 2017). Some Wabula communities determine the amount of *Popolo* to be as little as 12 *boka* (La Yubi, Personal Communication, July 22, 2017). There are also those who prescribe 30 *boka* (La Gapu, Personal Communication, January 16, 2017) and there are also those who determine that it should be 45 *boka* (La Botu Mossy, Personal Communication, June 11, 2017). The monetary value of each *boka* is dependent on a mutual agreement between the men and women of families of the bride and groom (Amanto Parabela Wabula, Personal Communication, July 11, 2017). Determination of the amount of *boka* that has been combined with the value of the money does not mean that there is intention of the bride's parents to sell their daughter. The more prosperous the bridegroom and the more educated and wealthy the bride, the higher the value of *boka*. The interviews confirm that the belief among people is that prospective husbands must understand the sacrifice of both parents from the process of the womb to birth and in becoming adults. *Boka* and the value of it should not take precedence. The interviews confirmed that people generally believed

that assets are least important, because they can be obtained at any time – the value of the bride is in her upbringing. The girl has to be educated and raised with love and affection, and to have been nurtured to show responsibility. Prospective husbands must do the same to their future wives when they officially become husband and wife. Interviews also confirmed that parents of the prospective bride needed more than just money, namely love and affection and mutual understanding. They also wanted the potential bridegroom to be sincere in accepting their girl as she was (Amanto Imamu Wabula, Personal Communication, June 22, 2017).

The contents of *Popolo* are stored neatly in a *tangaba*, held by children both of whose parents are still alive. *Popolo* is brought to the bride's house by the bridegroom's entourage. The head of the group is dressed in traditional Wabula community traditional attire, carrying a spear (*Surampa*), along with the prospective husband, to the venue of the wedding ceremony venue (La Maidu, Personal Communication, June 23, 2017). When the groom arrives at the place of the wedding ceremony, the head of the group says his greetings. The proceedings of the *Popolo* tradition in the wedding ceremony at all three locations is as follows: (1) The spear (*surampa*) is brought by the head of the group and is taken by someone who has been assigned to bring it to the wife's room. (2) The head of the group together with the child carrying the *tangaba* containing *Popolo*, sits face to face with traditional leaders and religious leaders.

(3) *Tangaba* containing *Popolo* is handed over to religious figures, while the other luggage is carried by someone who has been assigned and then brought to the prospective wife who is waiting for the arrival of the prospective husband in the room. (4) The wedding ceremony or marriage contract (*ijab qabul*) is conducted. (5) The husband is escorted by someone into the room to meet the wife, and at the same time to handover the agreed dowry.

Then the husband and wife leave the room to meet the religious leaders and traditional leaders as well as the invited guests who are waiting for their presence, to take part in the next event, namely; (6) A mother who has been mutually agreed upon by both parties, teaches the bride how to eat *sirih* (betel nut leaves), and groom is taught how to smoke cigarettes, then the cigarette is given to the bride who learns how to smoke cigarettes. (7) This is followed by the readings of salvation. (8) *Tangaba* which contains *Popolo* (and the money) will be opened by religious leaders and distributed to; (a) the husband's family; (b) the wife's family; (c) the community leaders and religious leaders; and (d) the wife (Amanto Imamu Wasuemba, Personal Communication, July 20, 2017).

The observations and interviews of community leaders also revealed that the process of determining the *boka* in the *Popolo* tradition was lengthy. The men must bear all the needs of the groom, which range from beauty products to clothing. If the bride is still in the formal education process, the male party must support her

until she accomplishes what she set out to achieve (La Yubi, Personal Communication, March 22, 2017). A husband should live with his mother-in-law, because the husband must be responsible for the health of his in-laws. The parents of the bride must also be responsible for their son-in-law's household because they are new in facing the challenges that come with the unification of two families and the responsibilities that potentially come with the birth of children of the newlywed couple (La Maidu, Personal Communication, January 16, 2017).

The second objective of the study was to find out as to what extent *Popolo* has been accommodated into the religion of Islam which is the religion of the majority of people in the community. The following was found:

i) The documents analyzed showed that there was nothing about *Popolo* that was practiced by the Wabula Community that showed that there were questionable rituals which were against Islamic practices. The notes from documents and the actual documents themselves were checked and the analyses validated by three professors (Islamic Scholars) from universities in Indonesia.

ii) The notes from the observations and interviews, which were also validated, showed that the Wabula community guarded themselves from ritual that they considered un-Islamic. As a result, they have been, across the ages, removed. "Suspect" practices deemed to be contradictory to Islamic teachings were scrutinized by the religious heads and community leaders

and removed. This again was validated by the three professors, all experts in Islamic Studies.

iii) While the *boka* in the *Popolo* ceremony can be a source of friction, many of the elders and the community and religious leaders that were interviewed believed that good sense prevailed during discussion because as Muslims the Wabula community also referred to the Holy *Quran*.

iv) The determination of *Popolo* between the two parties and whatever conflict that comes in-between can be resolved by understanding each other and making decisions based on Islamic solidarity as it is mentioned in *QS. Al Nisa* (2: 4). And most of those interviewed quoted this verse very often:

وَءَاتُوا الْنِّسَاءَ صَدُقَاتِهِنَّ نِحْلَةً فَإِنْ طِبْنَ
لَكُمْ عَنْ شَيْءٍ مِنْهُ نَفْسًا فَكُلُوهُ هَنِيئًا مَرِيئًا

CONCLUSION

This investigation has revealed that *Popolo*, a tradition handed down through the ages and which had in the past aspects which were un-Islamic, has evolved into something acceptable to the Muslims within the Wabula community. This was confirmed after the review of books and manuscripts (document analysis), observations of the actual marriage ceremony which included *Popolo*, and interviews of community and religious leaders.

An interesting finding recorded was that there was consistency in the proceedings in the eight places where the ceremonies were observed (both in the marriage ceremony and the *Popolo*).

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Women Leaving Leadership: Learnings from Female School Principals in Gauteng Province, South Africa

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ABSTRACT

This instrumental case study investigates reasons behind female school principals resigning from their posts as school principals in Gauteng Province in South Africa. The qualitative study focused on the experiences of two purposefully chosen former school principals who resigned from their leadership positions before retirement. Data were collected through in-depth face-to-face individual interviews which were digitally recorded and transcribed verbatim by the researchers. Direct quotations were used to present the data, and these were thematically analysed using content analysis. The study established that female school principals in the study resigned from their positions because of individual, social and work-related barriers. Insidious, subtle, discriminatory gender-related practices and barriers that worked against the leadership of women were established. Key among these were jealousy, backbiting, rejection of female authority, lack of support from colleagues, lack of role models, isolation, discrimination and loneliness. These barriers were the same as those that contributed to the underrepresentation of females from positions of leadership as reviewed in the literature review. The study recommends a change of attitudes regarding leadership perception by individuals, society and organisations. While the findings of this study are useful in providing insights as is the case in most qualitative studies; the sample is rather small for generalisability. Hence it is recommended that future researchers could conduct large-scale research on this aspect.

Keywords: 'Boys' club, emotional labour, female school principals, gender roles, glass ceiling, glass escalator, socio-cultural contexts, women leaving leadership

INTRODUCTION

Women leaving leadership positions is a significant threat to gender equity and equality which are imperatives of the twenty-first century. Nonetheless, female attrition has received little attention as more focus is directed towards other issues that affect gender equity such as underrepresentation of women in organisations. The international community, for example, has come up with some conventions aimed at redressing women's underrepresentation in positions of leadership. The 1965 Convention on the Elimination of all Forms of Racial Discrimination [CERD] and the 1979 United Nations Convention on the Elimination of Discrimination against Women are some of the conventions.

Despite measures to improve gender equity such as the above mentioned, trends indicate that the numbers of women in leadership is dwindling. Cropsey et al. (2008) found that attrition of women was a severe problem at the Virginia Commonwealth University School of Medicine. Likewise, the Gender Advisory Council (2008) found that women attrition in organisations was a problem and likened it to a leaking pipeline. They found that women were lost from the pipeline through voluntary termination at a rate two or three times faster than men once they had attained the mid-career, manager/senior manager level of their careers. The drop in female leadership was also evident in Masvingo Province secondary schools in Zimbabwe where out of a total of, 5.69%

female school principals in 2009 (Chabaya et al., 2009) the numbers plummeted down to 2.66% (Research Director, 2016).

Research data on female school principals' attrition in South Africa is very scarce. Jackson and Rothman (2005) voiced concern about the lack of empirical research that systematically investigated this phenomenon in this country. Hence this study makes a critical contribution in this respect.

However, literature concerning challenges that female school principals encounter in South Africa abound (Bosch, 2015; Damons, 2008; Moorosi, 2007, 2010). A study by Moorosi (2010) indicated that the historical legacy of apartheid discriminated against race, culture, ethnicity and women from leadership. She indicated that at the organisational level, patriarchal values and practices, devalued transformation processes aimed at gender equity and at social level, women lacked support from families and colleagues. Women principals lacked mentors, and their authority was resisted by both male and female colleagues at the workplace (Bosch, 2015).

To unveil the reasons behind the attrition of women in leadership, the study is guided by the following sub-questions: (i).What cultural and social practices contribute to women leaving positions as schools principals? (ii).What are the work practices that contribute to women leaving positions as school principals?

Cultural and Social Perspectives on Leadership

According to Higham et al. (2015), cultural factors, especially socialisation, influence whether one becomes a leader or not. A cross-national analysis of countries in Western and Eastern Europe, Scandinavia and North America revealed that gender roles played a significant part in determining the different cultural and societal value orientation (Maseko, 2013). The author theorises that men and women's behaviour is influenced by cultural and psychological processes which are internalised through the process of socialisation. Men and women are socialised into traditional gender roles. Girls are taught to obey and boys to be strong and be leaders. Girls learn everything associated with 'women's duties' and boys are taught to be the masters of the world (Marinova, 2003). This, in turn, shapes career orientation for men and women.

According to Dana (2009), some cultures, such as those of the Pacific countries like Papua New Guinea, the Solomon Islands and Vanuatu, openly value males as superior and females as subordinates. In other cultures, such as in New Zealand and Melanesia, women are treated violently when they try to take a different role, assert their rights or take behaviour that differs from the culture's familiar role that they must take (Dana, 2009). In Turkey, the issue of motherhood and becoming a good spouse are critical for a good woman (Evetts in Inandi, 2009).

Bourdieu views habitus as necessary in developing and internalising ways of approaching, thinking about and acting upon our social world (Perumal, 2007). Similarly, Critical Feminists view the self as a result of power relations of groups of people in particular socio-cultural and historical contexts (Qin, 2004). In South Africa, the ideology of patriarchy or androcentrism, that is, viewing the world from a man's perspective, acts as a barrier to women's advancement because of the attitudes, and routine practices taught and reinforced (Bosch, 2015; Moorosi, 2007, 2010).

Contrary to the views raised above, in China, the traditional ethic that men are superior to women are decreasing, and women in education view themselves highly (Qiang et al., 2009).

Practices at the Workplace

Women rarely break the glass ceiling at the workplace, and for those that manage to break, they continue to suffer from occupational segregation (Maseko, 2013; Naidoo, 2013; Zikhali, 2013). Celikten (in Inandi, 2009) defined the glass ceiling as the "invisible and insurmountable barriers that exist between women and levels of top management and that prevent women from making progress". Cultural factors influence the level of support for women candidates and values to shape the beliefs of gatekeepers and perceptions of what should count as important (Siemienska, 2004). Gender-based social roles are carried into the workplace, where institutional and organisational structures reproduce gender differences through daily practices, routines and internal structures (Smulder,

2008). These relations are kept in place by both dominant actors and subordinates who subscribe to social and organisational reality and these form part of the glass ceiling (ibid). On the contrary, Ryan and Haslam (2005) noted that while women were affected by the glass ceiling, "men are likely to be conveyed into management positions by a glass escalator".

A study by Collinson (2002) indicated that although leaders and managers were progressively cautious about expressing negative attitudes concerning female leaders, related attitudes were persistent and evident in personnel policies. In South Africa, policy implementation has failed policy intent, and there is a continuous preference for male leadership at the appointment level (Bosch, 2015). Resultantly, only a few women move up the organisational ladder hence the structures that reproduce gendered barriers remain the same, and these pose unique challenges for women professionals who pursue careers in them (ibid).

Relationships at the Workplace

As earlier mentioned, organisations are male-dominated. The lack of women in senior positions makes them feel marginalised (White, 2003). Furthermore, research has indicated that women are exposed to sexism and harassment from male counterparts and senior colleagues (De Wede & Laursen, in Howe-Walsh & Turnbull, 2016).

The other aspect of male domination is experienced through the exclusion of women from male networks usually known

as the 'boys' clubs' (Celiktan in Inandi, 2009). Male leaders have the advantage of networking which encourages and supports senior-level promotion while women do not. Senior female executives in a study by Sperling, Marcati and Rennie (2014) commented that some of the decisions that affected organisations were made in informal settings which women did not have access to. Blackmore (1989) likened the old 'boys' club' to a 'male mafia'. Women who try to join these groups are viewed as being too radical by other female colleagues and as a potential source of conflict and disruptiveness by male colleagues (Blackmore, 1989). A senior female manager in a study by Sperling et al. (2014) explained that it was culturally challenging to have business lunch with a male colleague or to stay late in the office during the evenings. At times, if women made contributions or criticisms, they were referred to as nagging or as bitches. According to Lang et al. (2012), lack of social support from colleagues and administrators can cause burnout, that is, emotional exhaustion.

Attempts at equal opportunities have met with resistance from men who believe that a master should not serve under a mistress. Sometimes male subordinates create undercurrents that undermine the authority of female school heads (Chipunza, 2003). As a result, when they make a mistake or encounter a setback, it is received with much jubilation (Phillips in Chipunza, 2003). There are also well-reported instances where female colleagues resented other

women, and some successful women want to maintain their unique status at the expense of other women (Matthews in Coleman, 2007). Such gatekeeping is referred to as the "queen bee syndrome" (Ellemers et al., 2004).

Individual Factors That Influence Women against Leadership

According to Powell (2000), factors related to individual personality traits can act as barriers to women's career advancement. To have successful female leaders in a male-dominated culture, there is need to have women with academic and relational self-efficacy beliefs (Howe-Walsh & Turnbull, 2016). These will enable the individuals to overcome hardships and to persist under adverse conditions in male-dominated work environments (Zeldin & Pajares, 2000). Self-efficacy belief is derived from social interactions with other members of the society and is critical to that individual's esteem and accomplishment (Dovidio & Gaertner, 2005). Taylor (2009) talked about the Imposter Phenomenon (IP), i.e. the internal experience in which the individual believed they were not bright despite being high achievers and of high intellect. Women are said to view themselves as 'impostors' (Clance & Imes, 1978). Furthermore, they are afraid of failure, and this may partly explain why some of them leave senior positions of leadership. In South Africa, Moorosi (2010) established that female principals found management stressful as they associated it with restrictiveness and inflexibility. Low self-esteem, lack of confidence, lack of motivation and

aspiration acted against women's success to leadership (Kagoda & Sperandio, 2009). Thus, they were victims of their personal beliefs and convictions, caught in "the prison of their minds" (Friedman, in Genz 2009). Rhodes et al. (2009) viewed self-confidence and self-belief as critical in the journey to leadership.

Theoretical Framework

Emotional Labour. This paper utilises the theory of emotional labour to understand the experiences of former female school principals. The rationale being that for those who work in school offices, the emotional labour related to both home and school is usually invisible, yet it can deplete the psychic reserves of the participants (Osgood, 2010). The theory of emotional labour originates from Hochschild's study of airline workers. Hochschild found that these employees utilised emotional resources to ensure the operation of the work environment. Hochschild established that aircrew had to continually deny and manage their own emotions to deal with the needs of the passengers (Thomson et al., 2007) and to please the customers. In the context of school leadership, the concept is applicable because school principals have to manage emotions as they deal with parents, colleagues and school children (Hebson et al., 2007).

Emotional labour can be as exhausting as physical labour because emotional labourers must surrender their hearts just as physical labourers surrender their bodies (Stenross & Klein in Mann, 2004). Mann

(1998 in Mann, 2004) established that emotional labour resulted in high-stress levels for the respondents. Hochschild (in Robson & Bailey, 2009) observed that it was women who specialised in emotional labour because of their social and political positioning which made them particularly vulnerable to pressures hence the preference of this theory in this study.

Hochschild (in Rodgers, 2010) explained that the needed to manage emotions to avoid distressing and uncomfortable sensations can be accompanied by emotional exhaustion, burnout, withdrawal and negative attitudes. This could result in, a feeling of being over-extended and having depleted one's emotional resources and one that may eventually lead to women leaving leadership (Chang, 2009).

MATERIALS AND METHODS

This instrumental case study investigated reasons behind women leaving school leadership positions is qualitative in nature. It focused on the experiences of two South African women who were former school principals and who left their leadership positions for some reasons other than retirement. The instrumental case approach was utilised because it was viewed as an appropriate tool that would facilitate an understanding and possibly provide insights into the phenomenon under study (Mills et al., 2010). The qualitative approach which embraces an interpretative approach was chosen for the reason that it enabled the researchers to explore the lived experiences of the participants (Thuyle, 2011).

The participants were purposefully sampled firstly because of the nature of the study (Yin, 2011) which limited participation to females who had left their positions as principals of schools and secondly, because they were close, known to the researchers, and prepared to share their experiences. Views from the heads were elicited through the use of semi-structured, in-depth, face to face interviews because these enabled the researchers to probe on responses of significance. The interviews were piloted with two female colleagues. The actual interviews were tape-recorded and transcribed verbatim by the researchers.

The data were manually categorised and analysed through the use of themes. Content analysis was utilised to interpret the data. Direct quotations from participants were used to present the data. This helped in producing credible and convincing data. Janesick (2004) argued that the use of narrative vignettes and quotations supported by comments help to convince the reader.

The study adhered to the ethical standards of Unisa as granted by the ethics committee at the University. Informed written consent was obtained from the participants. These were assured of confidentiality and anonymity of their identities. To cater for these aspects, pseudonyms were used. These ethical issues are critical for qualitative research (Kumar, 2005).

RESULTS AND DISCUSSION

This section discusses the cultural, social and

work practices that contributed to women leaving positions as school principals in South Africa.

Cultural and Social Practices That Contributed To Women Leaving Positions as School Principals

The narratives from the study indicated that the patriarchal perception of male as leader was the main contributor to females leaving leadership. Nobuhle commented that the local community and some of her male colleagues resisted her leadership as a woman. She had this to share;

> I have realised that people associate leadership with men. In my case, most parents would come and ask to speak to 'Mr' Nkomazulu when they knew the school was being led by a female. I would ask them Mr Nkomazulu in connection with what? They would say he is the school principal and I would say the principal is not a Mr it is a Mrs.

This signified that they expected to see a male figure as the principal and not a female. She cited an incident that occurred when she went to attend a workshop with other school principals.

> We were supposed to collect some items and take them to our schools. So when I went there, one of the gentlemen said, 'I said school principals. Are you a school principal?' I said why? What do you think? Ok, I am the principal so what? You keep on fighting, and I was already tired of preparing

myself up for a fight every day, but for men, it is smooth sailing.

In line with Nobuhle's observation, Monica observes that gender affected the way she was perceived as a school principal. She commented that although she had studied leadership and management and was pretty organised, her colleagues and parents could not believe that she could run the school. She said that some parents challenged her. In her case, the situation was worsened by the fact that her school was private and parents paid much money. They, therefore, expected her to perform miracles even with the children that were underperforming. She had this to share:

> They doubt that you are capable until you prove yourself. You do get this question what do you know what you are doing?

She added that sometimes she had to deal with aggressive and hostile parents.

> For example, I had a parent with a huge body who came and told me that 'Where I come from, people roll the red carpet …' I looked at him and thought now I need to change my strategy I need to remain a leader. Now how do you handle a man who is a man's men with this huge personality and huge expectations? She asked.

Similarly, Nobuhle explained that there were times when some parents created desolation for her. For example, she reported that:

Parents would take their children's work straight to the province complaining that teachers are not doing this and that, therefore the principal is not working. I realised that things were bad when I learned that the community was accusing me of incompetence simply because I had transferred my grandson to another school yet I had done that because I wanted him to grow and to be like other children.

There was a time when a group of some high school boys wanted to put Nobuhle's leadership to test. It was when school children were fighting for 'pass one pass all' that is; they wanted every student to be passed regardless of the performance. They forced her to close the school. Meanwhile, the teachers were watching from a distance to see what would happen. She stood her ground, and they went away only to come back a month later to apologise. They said, "Maam we thought you were going to be scared because you are a woman". She said the way she handled this situation earned her respect from her teachers and the school children.

The incidents cited above serve to illustrate how gender stereotypes can affect leadership perceptions. According to Maseko (2013), stereotypes often define roles that players enact. Furthermore, many of the roles that actors play are based on gendered differential expectations (Carter, 2014). In this case, women are least expected to be school principals and their leadership potential is doubted and is tested.

These findings seem to support Moorosi (2007) whose studies in South Africa established that the traditional stereotypes in that country associate school principalship with masculinity, and that this hampered women's career progression in educational management.

Monica raised a pertinent issue where respect was not guaranteed, but she had to prove her abilities to earn it. This point was demonstrated by Nobuhle who earned her respect through the way she handled a volatile situation which could otherwise had been explosive. Studies on female school principals by Coleman (2007) and Zikhali (2013) revealed that they had to prove their worth as leaders. According to Chipunza (2003), in general, women have to work twice as hard as their male counterparts to achieve the same level of recognition. Madden (2005) is of the view that living up to unrealistic expectations and invisibility can result in burnout or exhaustion. It is this exhaustion that can lead to women resigning from their positions as school principals.

Work Practices That Contributed To Women Leaving Positions as School Principals

Although South African policy guarantees equal treatment of everyone before the law, the reality of women principals' experiences suggests that women fight a constant battle against discrimination at the organisational level (Moorosi, 2007). Inandi (2009) said attitudes and prejudices formed the glass ceiling or barrier that prevented women from making progress in leadership. As earlier mentioned, the patriarchal attitudes

at a societal level also manifested at the workplace. Nobuhle explained that when she was appointed school principal, one of her male colleagues was extremely negative. He would criticise her left and right to the extent that she had to confront him one day. She said:

> I called him to my office and told him that, you know what, I realise there is animosity between the two of us. I heard from the corridors that the day I went to the interview you were saying 'Mrs Nkomazulu has gone to an interview and something within me tells me she is going to get that post and I am not prepared to be led by a woman.' You know what, this is high time that you changed your attitude and we work together. You were acting principal asking people to prepare and submit scheme books, but you do not want to submit. I told him on the face that you stop that or else I am going to take the correct procedures. That is when he became a little better.

Nobuhle further explained that apart from the teachers in general, some members of the school governing board (SGB) made her life miserable:

> We would plan or agree on something, and the following day things would change like nobody's business. You would see at the meeting that there had been caucuses before the meeting and nothing worked to the extent that I became stressed and that stress turned into depression. I went into depression, and I was hospitalised for six

weeks. After that, I got long leave. I was on leave for six months because of depression, so I resigned. While I was on leave, the chairperson would send me an email to say the SGB is complaining about this and that can you comment? I would look at it and keep quiet because how could I comment on something that we would have agreed on as a team?

Nobuhle explained that in staff meetings members of the SGB wanted to out-perform her. She said there was competition trying to show who knows what better to the extent that she could not trust any one of them. To make things worse, she could not report whatever she wanted to the district because one of the troublesome people was wife to the inspector at the district, so she had to keep everything to herself meanwhile it was killing her inside. As though that was not enough, she said:

> There were factions at the school because when I joined, the teachers were already there, so they had trust in the other person than in me because I was new so it was just not working for me.

The resistance of female leadership is well documented. Coleman (in Thuyle, 2011) argued that a male-dominated culture underpinning the socialisation process made women subordinates and men do not like to be led by women. A similar argument was raised by Chipunza (2003) who warned that male subordinates were sometimes unwilling to accept women authority and that some created undercurrents that undermined the authority of women heads. This was

evidenced by the caucuses and the bid to outshine her that Nobuhle experienced. As such, women are advised not to expect men to relinquish their power voluntarily, because the statement that a master should not serve under a mistress continues to hold true (Oram in Chipunza, 2003).

Nobuhle realised that some of her colleagues mistook her feminine qualities such as smiles for weakness. She cited her male deputy school principal who always criticised her smiles saying "Maam you are not firm, you must behave like a man." This finding is in line with Wrushmen and Sherman (in Zikhali, 2013) who suggested that a norm that was usually associated with leadership was that leadership style was masculine. However, the debate on whether women should adopt the feminine or masculine type of leadership is raging on. Historically, if women were to succeed in leadership, they had to adopt traditional masculine characteristics and align themselves with men (Kruse & Prettyman, 2008). On the contrary, when women adopt masculine models, they are seen to violate cultural norms of femininity and are likely to be evaluated negatively (Kruse & Prettyman, 2008).

Relationships at the Workplaces

According to the participants in this study, relationships and interactions at their workplaces were gendered in nature. Monica explained that there was the existence of men's clubs in which women were excluded. She narrated her first experience on being sent to a workshop as a school principle:

When I got there, I realised it was a man's world. These men were just networking, giving out their business cards. There were one or two women, but the majority was males. I felt like withdrawing because I thought it was ridiculous. The man would bring their authority into the conversation, and I had to stand my ground many a time. The male school principals formed their groupings where they shared notes, and you would not find female school principals included in them. As soon as a woman was included, their conversation and even their jokes changed.

To Monica, exclusion of females from male networks was a challenge. She also observed that women were excluded from individual committees:

I have noticed that there are those committees where women are not included. Men do not share their experiences as school principals with females. I found that as a woman you are indeed excluded.

Coronel et al. (2010) found that women faced career barriers such as tokenism, exclusion from informal networks and lacked of developmental opportunities. These findings are in line with Northouse (2010) who established that women were less likely to be included in crucial networks than their male counterparts. Male networks encourage and support men in leadership while women are left out. As a consequence,

exclusion of women from such social clubs and activities where essential networks are built and maintained are a challenge to women in leadership.

Individual Factors That Influence Women against the Leadership

The gender identity theory explains that one will behave according to the meanings they attach to their self-conception of gender and gender roles (Carter, 2014). To succeed in male-dominated cultures, women need to have academic and self-efficacy beliefs (Howe-Walsh & Turnbull 2016). Self-efficacy beliefs enable individuals to overcome hardships and to be persistent under adverse conditions (Zeldin & Pajares, in Howe-Walsh & Turnbull 2016). However, according to Nobuhle, there are times when this does not work. In her own words she summarised the reasons behind her resignation thus:

> I had a passion for leadership. The reason why I finally left is that I had lost hope in the system. I was pushing hard but nothing worked and if you keep on pushing and pushing and you are bumping your head against hard walls, what would you do? I finally said to myself, the reason why I am here is to serve, and I did not see myself serving. When I was trying my level best, people were relaxed, watching and I do have a belief that together we can make it. I knew that alone I could not so I found myself alone and helpless. I was lonely I was helpless

> I was a changed a person. Even at home, I was not talking any longer to my family members. I took the problems home, but my family was tired. They were like 'mama we do not want to hear about your school again. Talk about something else.' Then I lost interest. My passion became hatred. Today even if I pass by that school, it is as if I never worked there. I no longer have that passion for leading anymore.

Hobson (in Rhodes et al., 2009) emphasised the isolation and loneliness that females faced as leaders. Nobuhle said that her solitude was further promoted by lack of female mentors and family support. Moorosi (2010) found that women in management in South Africa lacked mentors and support from their families and their female colleagues. Chang (2009) commented that lack of such social support could be a source of burnout or exhaustion.

On a positive note, Monica did not resign because of the challenges that she encountered. She said she wanted to upgrade herself because she realised that academically she was at the same level with her colleagues, so she wanted to empower herself by studying for her doctorate.

CONCLUSION

This study established that female school principals in the Gauteng Province in South Africa resigned from their positions as school principals because of individual, social and work-related reasons. Insidious, subtle discriminatory gender-related

practices and barriers that worked against the leadership of women were established. These barriers were mainly as a result of patriarchal practices that despised the leadership of women. Patriarchal attitudes manifested in the rejection of female school principals' leadership, authority and lack of support from colleagues at the workplace, lack of role models, isolation, discrimination, and loneliness. Regrettably, these barriers were the same as those that contributed to the underrepresentation of females from positions of leadership as reviewed in the literature review. At an individual level, one of the school principals felt that she could not stand the treatment she was receiving from both her colleagues and the community. The other one resigned on the realisation that she needed to empower herself. She wanted to pursue her doctoral studies.

The study recommends a change of attitudes regarding leadership perception by individuals, society and organisations. Since leadership perception is engrained in patriarchal attitudes, this ideology needs to be tackled from many angles. This may include the government working in collaboration with civil and non-governmental organisations, churches, the family and the school to support women in leadership. The challenge, however, is that most of the people in leadership in these circles are males who were socialised in this ideology and may not be willing to hand over power to women. Hence it would be tantamount to have a system fight against itself. However, change never comes on a

silver plate thus this change of attitude has to be fought for. Women are urged to cling on to their positions if they get an opportunity. It is recommended that more women should apply for positions as school principals. This will increase not only the number of women in leadership but will add to the pool of female mentors as well.

While the findings of this study are useful in providing insights; the sample is too small for generalisability hence it is recommended that future researchers could conduct large-scale research on this aspect. Further research could also investigate attrition of male principals and the reasons behind it and possibly compare these with those of females'.

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Case Study

Relevance to Post-disaster Recovery in Undergraduate Architectural Education: A Case of Southern Turkish Universities

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ABSTRACT

Architectural graduates must undergo sufficient academic training in handling disaster aftermath so that they can fully participate in post-disaster recovery and respond effectively to increasing worldwide demand. This article attempts to examine the contents of the architectural curriculum and evaluate academic initiatives that are relevant to post-disaster recovery in a case study of three Turkish universities. A list of skills and knowledge required for efficient architectural learning on disaster aftermath was developed through three stages Delphi technique in which three foreign and 10 Turkish experts participated. Semi structured interview with selected academicians of the case study universities was conducted to enhance the examination of the curriculum and to evaluate relevant initiatives. The results show that the architectural curricula of the selected universities have limited and indirect relevance. The required skills and knowledge may be embedded into the architectural curricula at the undergraduate level. Each university should then decide on the methods they can employ to achieve their respective curricular designs.

Keywords: Architectural education, post-disaster, refugees, shelter, undergraduate curriculum

INTRODUCTION

Disasters: Turkey and the World

Persecutions and conflicts around the world resulted in a displacement of 45.2 million people. Apart from these, millions of people are displaced by other factors, such as natural disasters, desertification, and droughts (Korody, 2016). Turkey is one of the countries frequently suffering from events caused by natural factors or from inland and cross-border immigrations. The main natural disaster in Turkey is the earthquake. Between 1900 and 2015, more than 100,000 Turkish people were killed and about 600,000 buildings were severely damaged by 239 earthquakes equal to or greater than M 5.0 on the Richter. About 70% of the losses are in urban areas where a big proportion of Turkish people live and approximately 83% of the GDP are generated. Relevant studies are expecting an earthquake of magnitude up to 7.7 around Istanbul in the near future (Sukru & Ali, 2016). In addition to natural disasters, Turkey suffers from refugees from various countries. In April 2017, the number of registered refugees in Turkey was 3.2 million, of whom 2.9 million came from Syria (European Commission, 2017). Syrian refugees mainly target the following five Southern Turkey provinces that share the border with Syria: Sanliurfa, Mardin, Hatay, Gaziantep, and Killis. In 2014, 83% of the registered Syrian refugees were living in these provinces (Cagaptay & Menekse, 2014).

Sheltering the Victims of the Disaster: A Need for New Directions

The camps of the disasters victims are by no means temporary shelters, as proven by various experiences around the world. In fact, people spend an average of 17 years living in such camps. In Turkey, in 2018, Syrian refuges started their sixth year in the camps provided by Turkish government. Some of the camps are tented while the others comprised prefabricated containers (Dincer et al., 2013). Providing public facilities was not easy in the tented camps. The residents of both types of the camps in Turkey are dissatisfied due to the boredom associated with camp life (Nielsen & Mark, 2013). Most of the camps worldwide are frequently constructed informally with no proper expert's supervision and advice (Stephenson cited in Wagemann & Ramage, 2013). Even the permanent solutions to shelter the affected people were merely transplanted foreign architecture that neglected the local people as well as the specific cultural, climatic, and landscape characteristics of an area (Lyons et al., 2010). Accordingly, concerned stakeholders, researchers and decision makers around the world highlight the need for a new mindset that can cater the needs of the victims of natural and man-made disasters, especially in terms of building and organizing temporary and transitional housing areas (IRP, UNISDR, &UNDP-India, 2010; Manu et al., 2010). In such undertakings, the architect is the key contributor. As Allen (2013) wrote in the Daily Architect: "Indeed, if there's

anyone qualified to consider the long-term when rebuilding in post-disaster situations, its architects. And if there's anyone with a moral obligation to provide safe, affordable, and sustainable shelter, it's most definitely architects." Architects and other university graduates usually obtain the core part of their knowledge and skills during their university study.

Responses of Undergraduate Architectural Education around the World to Post-Disaster Recovery

Since the 1990s, architectural schools around the world have responded to the demand for qualified architects who can contribute to the disaster aftermath recovery by receiving education through the initiatives of university academics and students. However, these initiatives have yet to be integrated into the general architectural curriculum. To illustrate, a shelter project initiated at the University of Cambridge late in the 1990s is still going on. This project led to the establishment of The Shelter Centre as an NGO (Non-Governmental Organisation) in Geneva and, later in 2012, to the creation of guidelines for transitional shelters (Wagemann, & Ramage, 2013). In another example, third-year graduate students of the School of Architecture and Planning, Spring Studio, at the University at Buffalo, attempted to design a temporary housing community for refugees who resettled in Buffalo in 2016. The focus was on developing short- and long-term housing plans for these refugees (Inkumsah, 2016).

Turkish Undergraduate Architectural Education: Relevance to Post Disaster Recovery

The architectural education of Turkey consists of three stages: undergraduate (a four years program), Master's, and Doctorate levels. In 2012, the number of architectural departments in Turkish universities increased from 42 to 67 (Yuksek, 2013). Like the education of other disciplines, Turkish architectural education is centralized and strongly controlled by the Higher Education Council (YOK). In the recent decades, relevant policies have led to a diminishing professional and academic impact of the Turkish Chamber of Architects. Further, accreditation of architectural programmes by the Chamber of Architects is not practiced in Turkey (Tunalı & Öztekin, 2015). The Turkish architectural education approach consists of an architectural design studio supported by theoretical and technical classes. The subjects under the architectural undergraduate curriculum (compulsory and optional) can be grouped into six categories: General Information; Constructional Sciences and Technology; Design Information: History, Theory, Culture, and Art; Environment and City and Vocational Studies; Management and Economy (Gökmen et al., 2007). Eight percent of the subjects are optional. Table 1 shows the subjects in each category. The successful completion of an undergraduate architectural program provides the graduates with a direct membership access to the Turkish Chamber of Architects and the opportunity to conduct their professional practice in Turkey (Özmen, 2013).

Table 1

Categories of architectural curriculum in turkey and their respective subjects

No.	Categories	Subjects
1	General Information	- Basic Sciences (Mathematics, Physics, Chemistry, Computer, etc.). - Social Sciences (Research Methods, Sociology, History, Economy, Psychology, Anthropology, etc.), and - Language Sciences (Turkish, English).
2	Constructional Sciences and Technology	Construction Materials, Building Systems, Construction Physics (lighting and air conditioning).
3	Design Information	Architectural Design, Presentation Techniques Indoor Design.
4	History, Theory, Culture, and Art	Art History, Architecture History and theories, city history, Typology, and Structure History.
5	Environment and City	Natural Environment-Natural Catastrophes, Ecology, Urban Environment, Historical Environment, Historical Design, Urban Design, Protection Restoration, Environment Control, Landscape, and Topography.
6	Vocational Studies, Management, and Economy	Management, Laws, and Constructional Economy.

Source: Constructed by authors based on Gökmen et al. (2007).

Each university can set up its own architectural curriculum, but the curriculum should be within the scope of the six categories shown in Table 1. This means that additions on post disaster recovery or other themes to the curriculum are possible as long as they are within the limits that are decided by the Higher Education Council (YOK). However, the very few available relevant studies have shown limited concerns. In Çankaya University, sophomore students carried out an experiment on the social context of structural design decisions throughout the second semester (14 weeks). The experiment results revealed that exploring the social context of the structural design work by the students widened their perspective toward the societal role of architects. This finding led to the curricular reform in the Çankaya University Department of Architecture (Özmen, 2013). Two studies were presented in the "Architecture in Emergency: Re-thinking the Refugee Crises International Symposium" held at Istanbul Kultur University in 2016. The first research was established through a joint studio experiment, education, and space for mobile lives. The experiment was conducted in Ayvalık, a seaside town on the North-western Turkish Aegean coast (Ormecioglu, & Cakici, 2016). The second research by Pak and Schoonjans (2016), focused on embedding bottom–up practices in teaching

urban and architectural design to address post-disaster situations.

Based on this background, this article attempts to enhance the limitedly available literature on post-disaster recovery in Turkish undergraduate architectural education. Further, the article aims at examining whether Turkish universities provide their architectural graduates with the necessary knowledge and skills for the successful performance of their expected role in post-disaster recovery.

Objectives

To reach the above mentioned aim, the following objectives were identified:

a. To examine the relevance to post-disaster recovery in the subjects content of the architectural curriculum of selected Turkish universities.

b. To analyse academic initiatives made, in relevance to post-disaster recovery, in the departments of architecture of the selected Turkish universities.

METHODS

This research requires qualitative, case studies and multi-stage methods. Two public universities (Gaziantep and Cukorova) and a private one (Zirve) in the southern part of Turkey, the main target of refugees, were selected for this study. The criteria for the selection included the department age and English as a teaching medium. Using the Delphi technique, we developed a set of skills and knowledge required for architectural graduates to enable efficient participation in post-disaster recovery. Three foreign and 10 Turkish experts from the case studies and other Turkish universities were involved. The set was developed through three stages that were coordinated by the authors via e-mail. In the first stage, each participant produced an individual list. From the individual lists, a list was compiled by the authors and sent, in the second stage, to the participants to individually comment on. Based on the comments, a refined list was prepared and sent again to the participants for comments in the third stage. The final list was then prepared by the authors. It consists of 3 dimensions and 16 components and covers the shelter, settlement, services, and amenities. The components were coded to facilitate an easy and accurate analysis (refer Table 2).

The developed set was used to analyse the architectural curriculum of each case study using the document analysis technique. The content of each subject of the curriculum was examined carefully in search for the presence of direct or indirect relevance to each of the criteria in the set. Based on the analysis outcome, suitable semi-structured interview questions were set up. Five staff members from Gaziantep University, two from Zerve University, and two from Cukorova University, were selected for the interview. The interviewees were required to meet any of the following criteria: knowing English language; teaching one of the major subjects in higher years, such as Architectural Design, City Planning, and Building Construction; or having an administrative position. Most of the interviewees requested anonymity so each

one was given a code name. The interviewees from Gaziantep University included a staff with an administrative position (GAZ1) and four staff members who teach major subjects (GAZ2, GAZ3, GAZ4, and GAZ5). The two staff members of Zerve University teach major subjects (ZER1 and ZER2). The two lecturers of Cukorova University also teach major subjects, and none of them holds an administrative position (CUK1, CUK2). A 30 minutes face to face -Interview with each of the selected academic staff was conducted in the next stage. The interviews were recorded and notes were taken by the interviewer. Next, the outcome of the interviews was analysed. The conclusion was made based on all earlier analysis.

Table 2

Knowledge and skills necessary for architectural students in relevance to post-disaster recovery, as defined by the expert

Dimensions	Components	Code
Shelter	Temporary and transitional structures	TTS
	Construction technologies in the context of disaster response and preparedness	CTC
	Local building material	LBM
	Local construction practices	LCP
	Design needs for people with disabilities	DND
	Design requirements for emergency	DRE
	Design alternative assessments	DAA
Settlement	Transitional clusters	TCS
	Settlement Incremental development	SID
	Planning and design needs for emergency settlements	PDE
	Concepts of remove, reuse, and upgrade for post-reconstruction	RRP
	Impacts of emergency settlement on the local environment and culture	IES
Services and amenities	Emergency services	ESS
	Temporary and permanent service installations	TPS
	Service and amenity incremental development	SID
	Concepts of reusable and recyclable services and amenities	RRS

RESULTS AND DISCUSSION

Curriculum Content Analysis

Notably, after the military cope in the second half of 2016 in Turkey, Zirve University, one of the cases for this study was suspended on 23/7/2016. Thus, the outcome here covers only the other two universities, namely, Gaziantep and Cokurova. However, the interviews with the staff of Zirve University were retained in this article to enhance the academic perspective regarding the subject of this research. Architectural curricula were analysed to search for the presence of the components defined at the previous stage in any of the courses. Document analysis was used for this purpose. According to Stake (1995), as cited in Bowen (2009), document analysis is particularly employed in qualitative case studies targeting a full and thorough description of a phenomenon, program, and event. Moreover, "Document analysis involves skimming (superficial examination), reading (through examination) and interpretation" (Bowen, 2009).

Gaziantep University

The Department of Architecture of Gaziantep University started receiving students in the academic year 2009/2010. The website of the department shows that the department only offers an undergraduate program. Its curriculum consists of 48 compulsory subjects and 29 elective subjects. The electives can be taken in the third and fourth levels depending on the availability of a staff who can handle the offered subject.

While analysing the compulsory subjects, we found no components or any with corresponding relevance in the contents. However, we found two elective subjects, namely, Architectural Accessibility for Disabled People (ARCH 433) and the Components in Traditional Houses (ARCH 443), to have relevance to some components. The former focuses on people with disabilities, the problems they face, and the search for appropriate solutions. This content is indirectly related to the component of DND. The latter revolves around investigating the construction techniques and structural elements of traditional houses in the different regions of Turkey. This content partly covers local construction practice (LCP). However, the two elective subjects are not intended to train students on post-disaster recovery matters. Hence, the architectural curriculum of Gaziantep University has not yet introduced any direct relevance to post-disaster recovery education.

Çukurova University

The Department of Architecture of this university was established in 1989. The Department runs four-year undergraduate program along with master's and doctorate architectural programs. According to the department website, the curriculum consists of 60 compulsory subjects and 33 elective subjects. Students start taking electives in their third year.

Two compulsory subjects have relevance to the components of the developed set. The first subject is Reinforced Concrete

Practice in Architecture (MİM 228). In this subject, students learn how to design reinforced concrete structural systems that are resistant to earthquake. This course contributes to (CTC). The second subject is Building Elements 2 (MİM 266). This subject handles traditional, advanced-traditional, and contemporary construction systems with examples in terms of elements. It also includes an analysis of structural problems (motion, insulation, structure, and material life) and its solution in relation to architectural design. This subject is linked with the components of local construction practices (LCP).

In the third year, two elective subjects of the first semester, namely, Design without Barriers in Architecture (MIM 309) and Turkish House (MIM 377), contain relevant themes to some of the components. The former is relevant to DDN and focuses on the design for people with disabilities and relevant standards and issues. The latter contains some parts (e.g., typological construction systems of traditional Turkish house), which can be linked with LCP. The two subjects are a part of a group of seven elective subjects, where the students can select only one.

Table 3

Relevance of architectural curriculum of the case study universities to the skills and knowledge required for architectural graduates on post-disaster recovery

Dimension	Components	Gaziantep University		Cukurova University	
		Compulsory Subjects	Elective subjects	Compulsory subject	Elective subjects
Shelter	Temporary and transitional structures			No relevance	
	Construction technologies in the context of disaster response and preparedness		No relevance	MIM228 is partly relevant	No relevance
	Local building material			No relevance	
	Local construction practices	No relevance	ARCH433 is Partly relevant	MIM266 is Partly relevant	MIM377, MIM 386 are Partly relevant
	Design needs for people with disabilities		ARCH443 indirectly relevant		MIM309 is Partly relevant
	Design requirements for emergency				
	Design alternative assessments				

Table 3 *(Continue)*

Dimension	Components	Gaziantep University		Cukurova University	
		Compulsory Subjects	Elective subjects	Compulsory subject	Elective subjects
Settlement	Transitional clusters				
	Settlement Incremental development		No relevance	No relevance	No relevance
	Planning and design needs for emergency settlements				
	Concepts of remove, reuse, and upgrade for post-reconstruction				
	Impacts of emergency settlement on the local environment and culture				
Services and amenities	Emergency services				
	Temporary and permanent service installations				
	Service and amenity incremental development				
	Concepts of reusable and recyclable services and amenities				

In the second semester, some parts of Building Production Techniques II (MİM 386) provide students with knowledge on traditional construction techniques. This course offering is relevant to LCP. The opportunity of selecting this subject is one out of six. These subjects (MIM228, MIM266, MIM377 and MIM309) are, like the case of Gaziantep University, not intended to serve the purpose of educating the architectural students of Cukurova University on post-disaster recovery. Table 3 presents the outcome of curriculum content analysis in the two-case study university.

Interview with the Academic Staff

From the above analysis, the architectural curriculum of the case-study universities still clearly lacks direct concern for post-disaster recovery. This result raises the need to investigate the staff's understanding of the architect's role in post-disaster recovery and to check the presence of any type of initiatives by the staff regarding the disaster aftermath. The result also raises the need to explore the staff's opinion on how to incorporate the dimensions and components defined by this study into the architectural curriculum and on what level. These investigations were carried out through semi-structured interview in which the interviewer can delve further into a discussion whenever necessary. A semi-structured interview is an efficient tool used to provide reliable, comparable, and qualitative data (Bernard, 1988 cited in Cohen & Crabtree, 2006). The outcome of the interviews is summarised in Table 4.

The Role of the Architect in the Disaster Aftermath: A Staff's Perspective

The first question in the interview introduced a UN expert's opinion on how the current refugee camps could be converted into cities in the future. The interviewees were then asked the following question: In light of this vision, how can you envisage the role of architects?

All the interviewed staff believed in the important role of architects in the disaster aftermath and in the inefficiency of the current architect's role. The answers points at some considerations the architect needs to take into account when being involved in post-disaster recovery. Respondents GAZ3 and CUK1 emphasized on the special cultural, economic and social characteristics of the refugee's community before starting the design process. Respondents GAZ2, GAZ4, GAZ5, ZER1, ZER2 and CUK2 emphasis was on the special design requirements of refugees' shelters and settlements, such as mobility and flexibility. New technologies and new building materials, according to respondent GAZ1, assist architects and engineers in finding transitional structures rather than temporary ones. When asked regarding his understanding of a transitional shelter, he said that it would accommodate people for a longer time. This shelter can later be developed into either a permanent shelter or recycled.

Teaching and Training Initiative

The second question revolved around relevant teaching or training initiatives to post-disaster recovery, which have been made in the interviewee's department, such as a lecture, an assignment, a design studio project, or others. If the answer was yes, then, the interviewee needed to explain the initiative. The answers revealed the absence of any direct initiatives for teaching and training architectural students on post-disaster situation in all the case-study universities. For example, respondent ZER1 said: "None has ever thought of this subject earlier" and respondent (CUK2) declared that: "There is nothing at all, any kind of elective course, compulsory, topic, or project about temporary structures or temporary buildings".

However, in the subject (ARCH 122), one of the themes given in the student of Gaziantep University assignment during the second semester (2015–2016) was on local building materials and local construction techniques. This theme is relevant to both LBM and LCP. The assignment was a group work for five students per group and was not intended for post-disaster recovery training. At this point, Turkey is clearly vulnerable to frequent earthquakes and, its location has made it the target of a huge number of refugees. Thus far, the case study universities have not started a serious training for their architectural students to cope with post-disaster recovery.

Incorporation of the Developed Set of Skills and Knowledge into Architectural Education

In the third question, the interviewee was asked to explain and express his/her vision on how to embed the required knowledge

and skills (the list developed in the Delphi method) into the architectural education of his/her university. The answers varied even in each university. Respondent ZER1 suggested a specialized mix-mode master's degree course in architecture, whereas the undergraduate architectural curriculum concentrates on creating awareness among the students regarding post-disaster recovery. Respondent ZER2 has a different view. She suggested incorporating this subject into the third-year architectural design studio. Respondent CUK2's opinion was in line with this suggestion; conversely, respondent CUK1 suggested that some concepts, such as temporary structures, can be introduced even to the first-year design studio. This respondent argued that:

"It should be in the first year. Why not start with temporary shelter rather than teach them (the students) the size of the brick and how we can build a brick wall. It would be easier to build a model because you can test it right away whether it stands or not and the way individual structures can be put together" (Personal communication, 2016).

When respondent CUK1 was asked on how to embed other knowledge and skills into the curriculum, her opinion was that each part of the required knowledge and skills can be embedded into the relevant part of the curriculum.

"I think the component of settlements can be introduced in the third year; the third year is the time when we start discussing about culture; third-year students may be ready to start such philosophical discussion; as for the services if you mean infrastructure,

it can be directly added to those courses related to infrastructure."

When she was asked regarding the need for a relevant Master's degree program, the answer was yes. Meanwhile, respondent GAZ1 explained that his faculty still lacked the relevant staff and still depended on the curriculum of other universities of Turkey. He further clarified that "in the present compulsory and elective courses, we do not have any relevant content. According to the faculty circumstances, the best is to start with the graduate level and with relevant research to accumulate knowledge in the department. Then, we can move to the undergraduate level" (Personal communication, 2016). This opinion reveals the importance of establishing a strong background, that is, after gaining sufficient experience, the department can start teaching undergraduate students on post-recovery. Respondents GAZ5 and GAZ3 both opined that the current and expected future circumstances call for a specialized undergraduate architectural course, with main focus on design and management issues of post-disaster situation. Respondent GAZ4 favoured on injecting basic knowledge and skills into the undergraduate level program through design studio work. Despite his belief in the possibility of covering the main skills and knowledge through a new master's program, respondent GAZ2 did not have a clear idea regarding this point. A summary of these answers is presented in Table 4. It is clear from the table that all the interviewees (8 staff) who answered this set of questions gave importance to

undergraduate level in incorporating post-disaster recovery in architectural education. However, they differed on the method of incorporation. Two respondents suggested starting in the third year, one suggested the first year to start while the undergraduate level is for creating awareness on the subject according to another opinion. 4 out of 8 answers pointed out the need to inject post-disaster recovery into master's as well as undergraduate levels. But, one called a specialised Master's Degree course and another one called for a Master's course by research. The answers of this part of the interview questions support the incorporation of the list of knowledge and skills into the undergraduate architectural level. However, further investigation is required on this point and on the way of incorporation.

Table 4

Summary of interviews with the academic staff of the selected universities

Question / Staff	Incorporation of skills and knowledge into architectural curriculum	Teaching initiatives	Role of the architect	Short term training for architects	Stakeholders involvement
GAZ1	First, research in the graduate level. Then, undergraduate	No direct initiatives.	Important. Present role is not satisfactory	Needed in cooperation with the Turkish Board of Architects	Needed, first with research background.
GAZ2	No idea	An assignment contains some relevance			N.A.
GAZ3	Undergraduate specialized course				N.A.
GAZ4	Through undergraduate studio, along with master's level				N.A.
GAZ5	Undergraduate specialized course				N.A.
ZER1	Master's level while undergraduate is for creating awareness	No direct initiatives			N.A.
ZER2	At 3ed year studio				N.A.
CUK1	Gradually in undergraduate level, along with master's level	No direct initiatives			N.A.
CUK2	At 3ed year studio	An assignment contains some degree of relevance			N.A.

Emerging Questions

An emerging question was raised in all the interviews. The interviewees were asked whether they thought that the university can respond to the need for professionals trained on post-disaster recovery by running short-term training courses to interested government and private sector architects. Analysing the answers revealed that all the interviewees were in favour of running a short-term training course for architects. 5 out of 9 interviewees (GAZ1, GAZ4, ZER1, CUK1, and CUK2) acknowledged the need for proper collaboration with the concerned board of Turkish architects in running such type of courses.

During the interview with GAZ1, the first question emerged after answering the pre-prepared questions was: Are we required to obtain the participation of local and international stakeholders in making a relevant architectural curriculum for post-disaster recovery? How is it important? In his answer, GAZ1 pointed out the importance of such collaboration in enriching architectural curriculum. He highlighted the following reason: "the need for reliable data and feasible and practical solutions calls for such collaboration" (personal communication, 2916). This discussion led to the following question: What is the best approach to establish such communication and collaboration? GAZ1 suggested that a group of people/ researchers in the faculty can initially start the work to gain confidence. GAZ1 argued the following: "when going to people, we have to produce something; we have to show something to

tell them that we are able to do more. We have to show samples related to the topic. Then, working with other institutions (e.g., AFAT) may start. Conference activities may come next". Finally, he suggested the creation of a specialized institute (Personal communication, May 2016). It is clear from the answers of this part that short-term training course for architects through professional channels is supported and can compensate for the current shortage of architects equipped for effective contribution to the disaster aftermath.

CONCLUSION

The importance of the role of architects in the disaster aftermath has been emphasized by researchers around the world as well as by the interviewees of the current study. Teaching and training undergraduate architectural students on disaster aftermath management around the world, including those from Turkey, are still in the form of initiatives made by students and academics. Examples can be found in the University of Cambridge, the UK, in the late 1990s; in the University at Buffalo, USA, 2016; and in Çankaya University, Turkey, in 2016. In the Turkish university, the initiatives have led to curricular revisions.

Settlement, shelter, services and amenities were the dimensions relevant o post-disaster recovery developed through the Delphi technique. Against these dimensions and components, the curriculum of the case-study universities was examined. No direct relevance to post-disaster education could be traced in any of the case studies.

However, in Cukorova University, two compulsory subjects, namely, Reinforced Concrete Practice in Architecture (MİM 228) and Building Elements 2 (MİM 266), have been found to have some degree of indirect relevance. Indirect relevance of some elective subjects could also be identified in Gaziantep University and Cukorova University. The former includes the following subjects: Architectural Accessibility for Disabled People (ARCH 433) and the Components in Traditional Houses (ARCH 443); whereas the latter includes the following subjects: Design without Barriers in Architecture (MIM 309) and Turkish House (MIM 377). However, the chance of teaching these subjects is slim. The interviewed staff suggested that the dimensions and their components can be embedded into the undergraduate architectural curriculum in southern Turkish universities. Each university can then decide on the suitable method to attain their curricular objective. Less than half of the staff supported the embedding at the master's level.

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Campus Sustainability: The Level of Knowledge on Sustainable Development Issues and Perception on Community College Physical Development

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ABSTRACT

Sustainable development in education, or Education for Sustainable Development (ESD), is one of the proposed sustainable development policies in Malaysia. This resulted in educational institutions of the country, in particular higher education institutions, starting to bond with the transition towards sustainable campus development. The main purpose of this study was to identify the level of students' knowledge on sustainable development, and their perceptions of the concept of the physical development of community colleges. Data was obtained through a survey method, using questionnaires. This study involved 126 students from three different type of community college which are shophouses, campus and commercial type where the selection of community college campus was made on the basis of a random sampling. The study revealed lack of awareness in the level of students' knowledge regarding sustainability, and the challenges faced by existing community colleges on improving the quality of physical development. Community colleges require a physical development framework to support their efforts in transitioning towards more sustainable campuses.

Keywords: community college, physical development, sustainable development, sustainable development in education, sustainable campus

INTRODUCTION

During the 1992 United Nations Environment and Development summit organized by the United Nation Environment Programme (UNEP) in Rio De Janeiro, it became apparent that Education for Sustainable Development (ESD) comprised the essence of education reform. Sustainable

development has been defined as "enhancing the quality of human life while residing in an area that supports the ecosystem" (Tasci, 2015). This concept has had an impact on social and economic development and the environment, all around the world. Following a discussion on the role of education for sustainable development, which was discussed in Agenda 21 of the United Nations Conference on Environment and Development (UNESCO, 1997) on sustainable development in Johannesburg in 2002, and during the UN Decade Education sustainable development (UNESCO, 2007), the involvement of higher education institutions in sustainability has increased worldwide (HEIS).

However, progress towards the goals established at Rio de Janeiro was slower than expected and the implementation of sustainability in higher level education institutions has had its ups and downs (Velazquez et al., 2006). Malaysia and 178 other countries in the world have signed an agreement of acceptance and implementation of sustainable development as stipulated in Agenda 21 and these have been reconfirmed in Johannesburg in 2002. According to Dernbach and Cheever (2015) in January 2010, the number of universities around the world who signed this Declaration rose up to 413.

In January 2010, a total of 413 universities around the world agreed to sign the Talloires Declaration. The Talloires Declaration was the first attempt to promote the implementation of sustainable aspects in the development of institutions of higher learning (Dernbach, 2003). The Declaration for sustainability initially received the support of 22 universities, each of which is expected to develop, create and support the idea of this kind of sustainability. Universiti Kebangsaan Malaysia (UKM) is one of the universities which has signed this Declaration, thus they are striving to apply the idea of sustainability in their university system. The United Nations Decade of Education for Sustainable Development (DESD) 2005-2014, was created to place emphasis on the field of education as a site to implement the concept of sustainable development, among campus community and the general public (UNESCO, 1997).

The Malaysian Government's commitment can be seen in the five-year Development Scheme of the sixth Malaysia Plan up to the ninth, from 1990 to 2010. In Malaysia, the concept of sustainable development was first introduced in the seventh Malaysia Plan (RMK-7) in 1996. As a country that fully supports these sustainability development efforts, the issue of environmental sustainability has been added in line with economic development in the long-term planning of Malaysia through the 'Third Outline 1 Plan, 2001-2010'. Education for Sustainable Development (ESD) is one of the suggested sustainable development programmes that were proposed by Malaysia. The importance of ESD has become one of the priorities in this country, and one hopes that it also becomes a global priority. Higher education institutions throughout Malaysia have adopted the movement towards the development of

sustainable campuses (Saadatian et al., 2010) therefore most universities and colleges are in various stages of integrating sustainable components in their planning and management structures.

The transformational impact of sustainable education in the institutions of higher learning in Malaysia showed through the recognition of the role of the universities in Malaysia, such as Universiti Sains Malaysia (USM). There are initiatives being taken in order for USM to develop sustainable development organization, namely through its corporate and sustainable development division (BPLK). In 2006, BPLK organized an international conference on education for sustainable development which was attended by 120 experts from various fields, to identify practical solutions to the issues of environmental, economic, social and cultural current (Kaprawi & Azroai, 2009). Similarly, Universiti Kebangsaan Malaysia (UKM) committed to implementing sustainable development with the establishment of the Institute of the environment and Sustainable Development in 1994. These efforts were reinforced when it introduced a ' sustainable campus master plan ', as aggressive measures to aid the development of a sustainable campus. Polytechnic institutions are also not excluded from the set targets for sustainability in their human capital and also environment.

"Environment and development are integrated into education from school to higher education" (Malaysia's Green Strategy) the responsibility of the community college to the sustainability challenge. "Until now, community colleges have been through the process of branding, consolidation and empowerment in the years 2007, 2010 and 2013. The involvement of the community college staff with the community and industry should be accelerated dynamically" to empower the sustainability development (Noor, 2015). These could provide rebranding to community colleges, thereby contributing to the educational institutions of the country.

The role of the community college in sustainability in education began over a decade ago, around the year 2005. The successes of community colleges in producing thousands of graduates who are sought-after by the industry each year, has become symbolic of the existence and sustainability of the community college (Noor, 2015). The Policy, International Relations and Education department of the community college have analysed the development of Technical Vocational Education and Training (TVET) and lifelong learning to ensure sustainability and the relevance of a community college education system at a global level. Various efforts and initiatives have been taken in order to implement this concept of sustainability among the students and the local community. In February 2016, Kemaman Community College held sustainability programs aimed at enhancing skills among participants, furthermore, promoting the role of the community college in providing lifelong learning as well as opportunities, to the local community. The community should be notified of the achievements, and success of the process of sustainability at the university, as encouragement to increase

their commitment to it. Compared to others Higher Education Institution (HEI) across Malaysia, community colleges offer a better avenue of reaching out to the community; it is in keeping with the mission of community colleges, which is to develop local communities and to provide lifelong education to individuals and local communities in order to enhance the quality of community life.

Each university must enhance its capacity building effort among all members of the university (Grindsted, 2011). In September 2015, a national innovation competition for community college lecturers (FLAVORS) was organized by the Research and Innovation, Academic and Continuation of Education Department of the college community. The theme for the program was 'Innovation Catalyst: Sustainability of Knowledge', which intended to foster and promote the competitiveness and sustainability of innovation as well as research in the community college, among the lecturers. To ensure the sustainability of these efforts reaches all levels, the cooperation and participation of all stakeholders of the university are needed to effectively achieve sustainability (Alshuwaikhat & Abubakar, 2008). Clearly, in order to achieve sustainability of an IPT, responsibility and participation of all parties is needed to ensure that the concept of sustainable development in education is accessible to all levels of society.

The implementation of the programme is based on the concept of sustainability at the level of community colleges, for example, in the field of entrepreneurship programs either on-going programmes or lifetime programmes are offered. However, there are still no sustainable development efforts that lead to the physical development of community colleges. Universities in the country which had been recognizing the concept of Sustainable in Higher Education Institutions (SHEi) or sustainability in institutions of higher learning, began to take different initiatives in aspects of sustainability policy, planning and administration, courses and curriculum, research and scholarship, and outreach in operations of university services (Saadatian et al., 2013). However, there are still many aspects of physical planning which fail to offer an environment that is conducive to learning and living in the campus (Shuhana et al., 2007). In this regard, development or physical planning should be taken seriously by the community colleges in an effort to implement the concept of a sustainable campus.

The main purpose of this study was to identify and analyse two issues; (i) the level of students ' knowledge about issues of sustainability, and (ii) the perceptions on the concept of the physical development of existing community colleges. Data was obtained through the survey method, using questionnaires. The next section discusses the proposed strategy in support of the above, which will be submitted to ensure that efforts towards sustainable physical development of the community college campus is achieved.

METHODS

A study on the students' level of knowledge on sustainable development and perceptions on the concept of physical development in community college was done in July 2016, at several community colleges in Malaysia. The survey was conducted in all types of community colleges which included campus premises, shop houses and commercial premises. A total of 126 students, which is 18.3% of the total students in nationwide community colleges, were selected. The community college selections were made using a random sampling method, based on the types of premises of the college community. The 10 colleges involved are as shown in Table 1.

Table 1
List of community college together with the status of premises

No.	Community College	Status of Premises	Number of respondentS
1.	Kolej Komuniti Segamat 2, Johor	Campus	10
2.	Kolej Komuniti Jasin, Melaka	Campus	13
3.	Kolej Komuniti Jempol, Negeri Sembilan	Shop houses	17
4.	Kolej Komuniti Ampang, Kuala Lumpur	Shop houses	8
5.	Kolej Komuniti Sabak Bernam, Selangor	Shop houses	15
6.	Kolej Komuniti Telok Intan, Perak	Shop houses	15
7.	Kolej Komuniti Arau, Perlis	Shop houses	15
8.	Kolej Komuniti Bayan Baru, Pulau Pinang	Commercial	8
9.	Kolej Komuniti Kuantan, Pahang	Shop houses	15
10.	Kolej Komuniti Penampang, Sabah	Shop houses	10

In addition to theoretical examples from a literature study, this study used a survey to gain feedback from students on the sustainable development of their community college. This study limits itself to the physical development of community colleges and the reason behind the selection of students as respondents is because they are the majority of users involved directly or indirectly in setting up a sustainable environment. Students' perceptions are important in shaping the perspective of quality education (Shuhana et al., 2007).

Data collection was carried out using a questionnaire comprising both structured and open questions. The questionnaire was divided into four sections as follows: 1) profile of students 2) level of knowledge of respondents about sustainable development 3) level of satisfaction of respondents towards the development of community colleges and 4) level of satisfaction of respondents regarding elements of development in the community college. The perceptions of respondents was assessed using five levels of Likert scales using "1" to mean strongly disagree, "2" to mean disagree, "3" for naturality "4" to mean agree and "5" to strongly agree. Using '3' as the mean value of the scale the values above "3" were

treated as agreement and values below the mean were treated as disagreement. The answers to this questionnaire were given a value in percentage and the mean displayed in the form of diagrams. Descriptive analysis was chosen to analyse each component of this study. SPSS 19 was used to analyse the data and the results are presented in the form of a percentage of the mean.

RESULTS AND DISCUSSION

A total of 126 students took part in the survey which was conducted in 10 community colleges throughout the country.

Respondents' Demographics

Table 2 shows the distribution and the percentage of students who took part in the questionnaire. Males dominate the percentage of respondents, with 75 students (59.5%) and 51 students were female (40.4%). This distribution is in line with the concept that 70% of learning in community college consists of technical skills. As for the distribution of race, a total of 106 (84.1%) students were Malays, followed by one (0.7%) Indian student, one (0.7%) Chinese student and 15 (11.9%) students of other races such as the Dusun and Sabah.

The number and percentage of respondents by the type of premises of the community college showed that 23 (18%) students were from the community college campus premises category, 95 (76%) students from the community college shop houses, and 8 (6%) students from the community college commercial premises. Data shows that the number of students from community college shop houses was the highest since the number of college community shop houses is the highest category of all the premises (Komuniti, 2015).

Table 2
Respondents' demography distribution

		No.	%
Gender	Male	75	59.5
	Female	51	40.4
Age	18-23	114	90.4
	24-29	6	4.8
	30-35	5	4.0
	36-41	1	0.7
	42-above	0	0.0
Race	Malay	106	84.1
	India	1	0.7
	Chinese	1	0.7
	Other	15	11.9
Types of premises	Campus	23	18
	Shop houses	95	76
	Commercial	8	6

Knowledge of Sustainable Development

In the context of the students' knowledge of sustainable development issues, students were asked questions pertaining to the concept of sustainable development. Table 3 shows that the level of students' knowledge about sustainable development is average. A majority of students did not have a deep understanding about the concept of sustainable development, which was 66 of the respondents (52.4%) but surprisingly half of them (64 students (50.8%)) agreed to the importance of preserving the environment.

Table 4 shows the role of community college students on sustainability. The analysis shows that students which consisted

Table 3
Level of students' knowledge about sustainable development

	Strongly disagree		Disagree		Medium Agree		Agree		Strongly agree	
	N	%	N	%	N	%	N	%	N	%
I know about sustainable development	5	4.0	11	8.7	61	48.4	45	35.7	4	3.2
I know about the concept of sustainable development	5	4.0	8	6.3	66	52.4	43	34.1	4	3.2
I know about the importance of preserving and conserving the environment.		0.0	3	2.4	14	11.1	64	50.8	45	35.7
I agree sustainable development can build a prosperous and comfortable environment.	1	0.8	5	4.0	25	19.8	66	52.4	29	23.0
I know sustainable development can improve the quality of the learning environment in educational institutions	1	0.8	4	3.2	25	19.8	63	50.0	33	26.2

N = number of respondents

of 56 respondents (44.4%), knew their great role in the sustainable development. In addition, a total of 52 students (41.3%) are always, advicing their colleagues in the use of existing space development. Respondents were also willing to participate in any development program, namely a total of 71 students (56.3%). Willingness of respondents were not only limited in their participation in the programs of sustainable development, but they also agreed to help on managing sustainable campus development program either within the college or outside the college. A total of 76 students (60.3%) had agreed to help on managing the program.

Table 4
Community college student's role in sustainable development

	Strongly disagree		Disagree		Medium Agree		Agree		Strongly agree	
	N	%	N	%	N	%	N	%	N	%
I know my bigger contribution toward forming a sustainable campus	0	0.0	5	4.0	53	42.1	56	44.4	12	9.5
I always advise my colleagues on the ethics of using existing space development	2	1.6	11	8.7	51	40.5	52	41.3	10	7.9
I am ready to participate in any sustainable development program at the college	2	1.6	2	1.6	30	23.8	71	56.3	21	16.7
I'm willing to help in arranging any sustainable campus development program at the college.	1	0.8	4	3.2	28	22.2	76	60.3	17	13.5

N = number of respondents

Students' awareness of their role in terms of sustainable development showed a positive response and could therefore had a high impact on the community college's attempt in achieving sustainable development. Community colleges need to be more aggressive in implementing conservation programs and improving sustainability education among students so that they can together help with, and appreciate, the efforts being carried out in the context of the development of community colleges.

Community College Sustainable Development

In this study, respondents were also asked about their level of satisfaction with the development efforts of community colleges. Regarding this, respondents were asked about the level of sustainable development in their community colleges with their responses being categorized according to four scores mean ranging from "1.00-1.99" to weak mean score, "2.00-2.99" to low mean score, "3.00-3.99" for the moderate mean score, "4.00-5.00" for high mean score. Figure 1 below shows that the mean value of 'community college students at the commercial college' status is the highest, followed by the mean value of 'community college students at the college campus' status, and the lowest is the mean value of 'community college students at the college shophouses' status. This shows that the level of students' satisfaction pertaining to the sustainable development of community colleges at shophouses is still low as compared with other community college premises.

The majority of students showed a moderate level of satisfaction with the statement that 'the development of the college gives them the opportunity to get a

	Development in college took consideration of environmental factors and sustainability	Development in colleges provided comfort and well-being	Development in college gave me a bit of understanding on sustainable development	Development in college gave me the opportunity to feel the sustainable environment	Development in college always be reviewed from time to time to meet the user's needs, comfort and well-being
campus	3.5652	3.7391	3.5652	3.4348	3.7391
shop houses	3.4526	3.4947	3.3789	3.2737	3.3895
commercial	3.8750	3.8750	3.5000	3.5000	3.8750

Figure 1. Satisfaction value towards sustainable development in community college. The data obtained were analyzed using simple descriptive analysis mean score.

sustainable environment', as the 'students from the campus premises' showed mean score 3.438, while those from the shop houses is mean score 3.2737 and the mean score of the commercial premises was 3.500. All of them agreed that the development in colleges should be improved from time to time to meet the needs, comfort and well-being of students. On the other hand, students from the shop houses showed a score mean 3.3895, as they less-than-agreed with the statement.

There are 69 shophouses premises of community colleges nationwide. Most of the shop houses began as rented premises and did not have a physical design that met the needs and functions of an educational institution; as a result, it could be seen as the weak factor when it came to providing a sustainable learning environment. Improvements to these premises were also constrained by the factors already mentioned.

Figure 2 shows that the mean value of students from community colleges at commercial premises precedes the mean value of community college students at other premises (n = 4.000). It mainly refers to the development factor in providing a comfortable learning environment and stimulating the learning process during the various activities and programs of study. This data is parallel with the development plan of the community colleges at commercial premises, where selection of the courses was based on the existing functions and facilities that are available at the premises. One example is that the commercial premises at Bayan Baru Community College were originally built up as a club house. The courses being offered in this college are a Pastry Certificate, Certificate of Beautification & Spa Therapy and a Hairdressing Certificate (Azis, 2016), which is suited to the existing facilities.

	Development in colleges providing a comfortable learning environment and stimulated the learning process	Learning environment in college enhancing the relationships between staff and students	Learning environment in colleges ease the activities and programs of study to conducted	Design development in college represent a good educational institutions	The design concept of development suited to the courses offered by the colleges
campus	3.7391	3.6957	3.7391	3.7826	3.8261
shop houses	3.4632	3.5368	3.4105	3.4632	3.5368
commercial	4.0000	3.7500	4.0000	3.7500	3.8750

Figure 2. Satisfaction levels toward environment and campus development concepts

Campus premises reached a mean value of above 3.500, indicating a moderate level of satisfaction and agreement to all evaluation factors. The mean value of 3.7826 obtained in the statement of design development at the college reflect a good educational institution, and the mean value of 3.8261 for the development of planning concepts is appropriate with the courses offered by community colleges. The development concept of community college campus premises started from the early stages, which included identifying areas that would be offered, planning the development concept, designing areas that had been provided, and the overall physical design should meet the design standard of educational buildings. The development concept became a factor that showed student satisfaction levels at the campus premises as being higher than that of the college and shop houses.

The lowest mean satisfaction level value of community college students are at the shop houses. Low levels of satisfaction are driven by the shop houses not having clear guidelines regarding the improvement and renovation of the education building. Overall, the mean value of the level of satisfaction based on the development of community colleges is moderate. The development of community colleges in all types of premises did not highly concern environmental factors which are in directly will affect the student's comfort and well-being. In addition, the community colleges do not provide an understanding of sustainability; and less opportunities were given to community college students to feel the atmosphere of sustainability.

CONCLUSION

Based on this study, students in the shop house premises of community colleges are lacking in and understanding of and opportunities to experience sustainable development. Developments that are less concerned with environmental aspects can affect the understanding of sustainability. Developments in the shop house premises are less than those of a comfortable environment which stimulates the learning process. One of the factors is the lack of physical development compared to other premises such as the campuses and commercial buildings.

Overall it can be seen that the premises of the shop houses showed a significant weakness in relation to the other premises. Through the study, the overall level of satisfaction of respondents found the lowest satisfaction in shop house premises, followed by campus and commercial buildings. Although the percentages of weaknesses are almost the same, improvements need to be done to ensure that sustainability for community college campuses be achieved. By minimizing these weaknesses, the level of comfort and well-being of campus citizens can be improved.

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Asymmetric Co-integration for the MINT in Testing for Purchasing Power Parity Theory

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ABSTRACT

This paper inspects if the purchasing power parity (PPP) exists with asymmetric adjustment in the MINT (Malaysia, Indonesia, Nigeria and Turkey) countries. An asymmetric co-integration approach was conducted to test for the presence of long-run PPP in the MINT nations by utilizing the threshold co-integration tests (TAR and MTAR) of Enders and Siklos. By employing monthly data from 2003 to 2016, results of the threshold co-integration tests (using the TAR model) revealed proof of long-run purchasing power parity accompanied by an asymmetric adjustment in Nigeria and Turkey but not in Mexico and Indonesia. According to the asymmetric error correction model for Nigeria, negative deviations from PPP are terminated more rapidly than positive deviations in attaining the purchasing power parity. However, in Turkey, positive deviations are terminated more quickly than negative deviations. The results of the long-run estimates generally show that most of the coefficients are statistically significant indicating that a unit increase in the domestic price (LCPI) results in a depreciation of some units in the nominal exchange rates, and a unit increase in the foreign price (LCPIUS) brings about an appreciation of some units in nominal exchange rates, for both Nigeria and Turkey. In Nigeria and Turkey, we experience both exchange rate depreciation and appreciation. Consequently, depreciation will cause exports to be cheaper, imports very expensive, and cause inflation to increase in Nigeria and Turkey. Nonetheless, appreciation of the exchange rate will cause exports to be more expensive, imports cheaper and hence, reduce inflation in Nigeria and Turkey.

Keywords: Asymmetric adjustment, breakdates threshold regression, Momentum Threshold Autoregressive (MTAR) model, purchasing power parity, Threshold Autoregressive (TAR) model

INTRODUCTION

The purchasing power parity theory is one of the oldest theories in the area of international finance. It states that the exchange rate between two nations ought to be equivalent to the aggregate price levels between the two nations. Even though substantial empirical studies on the theory of PPP have been carried out, research on the purchasing power parity is still being carried out because of its importance for policy implications in international finance and trade. The importance of PPP is not limited to the fact that it can be utilized to foresee exchange rate to decide if a country's currency is exaggerated or underestimated. PPP is also used in measuring and looking at national pay levels among nations. It is an apparatus utilized for estimating general monetary conditions of nations (Michael, 2005).

Numerous researchers have utilised conventional linear unit root tests for real exchange rates, and co-integration between different measures of local and foreign prices, and spot exchange rates in the investigation of long-run PPP (Su et al., 2010). The conclusions drawn from these investigations depend on linear tests of unit roots as well as/ or co-integration. Since a lot of proof supporting asymmetric reactions in core economic variables have been recognized, there is no motivation to keep accepting that the long-run PPP adjustment process for balance is symmetric (Lu et al., 2011). As shown by Bahmani-Oskooee et al. (2015), economic variables such as the exchange rate may follow an asymmetric

adjustment process. The power of the linear co-integration test is low in an asymmetric change process. It has been shown by Enders and Granger (1998) that the standard tests of stationarity and co-integration have low power when misspecified dynamics are present.

In an effort to finding more powerful tests, a number of researchers have considered tests of nonlinearity or asymmetry in testing economic variables. These include: Cook (2007) who tested for asymmetric adjustment in a co-integrating relationship between stock price and economic activity in the U.K. He found asymmetric co-integration with the use of the MTAR instead of the TAR model (the threshold co-integration method of Enders and Siklos (2001)) with the use of quarterly data from 1975Q1 to 2005Q2. Moreover, Chen et al. (2005) found evidence in support of asymmetric adjustment in the U.S. selling gasoline prices by using the Enders and Siklos (2001) co-integration with weekly data, from January 1991 to March 2003. They found that the asymmetric transmission occured not simply in the spot markets of raw petroleum and refinery fuel, but also in their future markets. However, Baum et al. (2001) modelled the acts of adjustments to long-run PPP, covering the post-Bretton Wood generation, in a nonlinear framework for a set of U.S. trading partners from August 1973 to December 1995, using the exponential smooth transition autoregressive (ESTAR) model. They found evidence to support a nonlinear dynamic structure with a very slow convergence to long-run

purchasing power parity in the post-Bretton Woods generation. Additionally, Arouri and Fouquau (2009) studied the effect of oil costs and stock market returns in GCC (Golf Cooperation Council Countries) using monthly data from January 1996-December 2007. Their results found proof for asymmetric co-integration between oil costs and stock market dividends when they combined the Schorderet (2003) with the Lardic and Mignon (2008) methods of asymmetric co-integration.

Furthermore, Chen et al. (2013) found that co-integration adjustment between exchange rate and oil costs in the Philippines, from 1970Q1-2011Q4, appeared to be asymmetric with the use of the momentum threshold autoregressive (MTAR) model. But they got a contrary result when they applied the threshold autoregressive (TAR) model. Moreover, Haughton and Iglesias (2012) analysed asymmetric interest rates and the monetary transmission mechanism on the instability of interest rates, and the monetary transmission mechanism in the countries of Caribbean single market and economy (CSME) by utilizing monthly data from the period 1995 to 2010. The results of TAR and MTAR models showed an asymmetric long-run relationship for Guyana, Jamaica, and St. Lucia (but not for Barbados, Haiti, and Trinidad and Tobago) for both lending and deposit rates. Furthermore, Tiwari and Shahbaz (2014) examined the PPP hypothesis for India with her five main trading associates from 1991M1-2009M2 by utilizing the DF-GLS unit root test, the threshold autoregressive

(TAR) model, and the momentum-TAR (M-TAR) models. Their analysis revealed that the PPP theory did not hold for all the main trading associates of India, indicating that intermediate goods encounter massive obstacles to trade in the countries considered. Finally, Aliyu and Tijjani (2015) found an asymmetric long-run relationship between exchange rate and trade balance in Nigeria with monthly data from 1999-2012 when they applied the threshold co-integration of Enders and Siklos (2001).

To this end, the purpose of this research paper is to investigate if there exists a long-run validity of purchasing power parity alongside the asymmetric adjustment in MINT by utilizing the nonlinear co-integration test of Enders and Siklos (2001). Co-integration holds when the mixture of at least two non-stationary series can form a long-run stationary relationship, if the series have the same order of integration. Basically, the non-stationarity clears out in these series and a long-run stationary relationship is seen. Co-integration tests demand that only some linear blend of exchange rates and prices be stationary. The rejection of the null hypothesis of no co-integration and the null hypothesis of symmetry will lead us to conclude that the PPP is valid with asymmetric adjustment.

MINT stands for Mexico, Indonesia, Nigeria, and Turkey. The acronym was formed by Jim O'Neill of Goldman Sachs who termed these countries as emerging economic giants because of their prospects as the second generation of emerging market pacesetters. They share some common

characteristics such as growing population, youthful workforce, and are located strategically close to large markets. Based on their strategic locations, Mexico is very close to the US, Indonesia is in the middle of Asia, Nigeria is leading Africa's rising, and Turkey combines eastern and western influences. As in 2014, as indicated by the World Bank information on GDP market prices, the MINTs included the world's fifteenth (Mexico), sixteenth (Indonesia), seventeenth (Turkey), and 21st (Nigeria) economy (Kokotović & Kurečić, 2016).

Generally, the characteristics of the exchange rate for the MINT are similar, based on how these countries faced severe challenges with falling exchange rates that made these countries encounter several exchange rate regimes in attempts to finding ways of saving their currencies. They moved from rigid exchange rate regimes to more flexible ones. Despite the efforts put in to save the Mexican peso, it kept falling. The Peso started at 8.65Pesos/USD in 1954, but due to several devaluations of the currency, the exchange rate now stands at 18.752Pesos/USD, as in November 2017. Furthermore, the Indonesian Rupiah is not left behind in terms of fallen currencies. The Rupiah faced severe inflation for most of its existence. Despite the huge effort/intervention invested in the Rupiah, it has not stopped falling. At its inception in 1949, the Rupiah exchanged for Rp.3.8/USD however, it has drastically fallen to Rp. 14185.25/USD, as in November 2017. The case of Nigeria is quite pathetic because its currency was higher in value than the USD. The Naira/USD exchange rate as in 1975

was 0.616Naira/USD, which has drastically fallen to 364Naira/USD as in November 2017. Finally, the Turkish Lira, which was the least valuable currency in the world, based on the Guinness Book of Records, in 1995, 1996, and 1999 to 2004, however, is now the strongest currency in the MINT. In 2001 before the government redominated the currency by removing six zeros, the TL/USD was 1,650,000TL/USD. In the year after the conversion to the new currency, the average yearly exchange rate range, from 2005 to 2015, was 1.29TL/USD to 2.62/USD. Since then the TL has been falling gradually to be at 3.96TL/USD as on 27th November 2017.

This paper significantly contributes to this area of research to the best of our knowledge, in the sense that it is the first to utilise the asymmetric co-integration tests of Enders and Siklos (2001) in testing for purchasing power parity from the period of January 2003 to August 2016 in the MINT. This group of countries is chosen because very little research exists for MINT, and no research has been done in the area of PPP for this group of nations. Based on the threshold co-integration tests, results showed proof of long-run purchasing power parity alongside asymmetric adjustment in Nigeria and Turkey but not for Mexico and Indonesia.

The remaining parts of the paper are organised thus: Section 2 presents the PPP theory, in Section 3, we present some of the few empirical work done on the MINT, the data and methods used are presented in section 4, sections 5 shows our results, and then, we conclude in section 6.

The Theory of PPP

The PPP theory says that the exchange rate between two nations should be the same as the ratio of the total price level between the two currencies so that the unit of currency of one nation will have equal power to purchase goods and services in a foreign nation/country. To understand the concept of PPP, we need to look at the law of one price since PPP theory is built on the variation and expansion of the law of one price applied to the whole economy.

The law of one price states that identical goods in different countries should have the same cost whenever denominated in the same currency. This means that when there is no moving cost or no differential taxes affecting the two different markets, similar products should have the same costs in two different markets. If a price difference exists between two markets, then we experience arbitrage. The success of the law of one price depends on arbitrage between countries. The process of having the same prices in different countries is time consuming, which is why PPP is favoured more as a long-run relationship instead of a short-run relationship. A mathematical representation of the law of one price is given in the equation below:

$$e = \frac{p}{p^*} \qquad (1)$$

where, e is the nominal or spot exchange rate, p and p^* are the costs for the similar commodity in the local and foreign countries, successively.

There are basically two types of PPP; the absolute PPP and the relative PPP. The absolute PPP happens when the purchasing power of a unit of money is precisely equivalent in the local economy and in a foreign economy, once it is changed to foreign currency at the market exchange rate. This thought implies that the exchange rate between two nations is the same as the ratio of the price levels for those two nations. Absolute PPP could be represented by the equation $e = \frac{p}{p^*}$. Applying log we have

$$e = p - p^* \qquad (2)$$

where e is the log of the exchange rate, p is the log of the local price and p^* is the log of the foreign price. Generally, this form of PPP is unlikely to hold over nations because of obstacles such as mobility costs and tariffs to trade.

On the other hand, relative PPP holds that the exchange rate regulates to the amount of the inflation differential between nations, implying that changes in the exchange rate are equivalent to changes in the corresponding national prices.

The variations between the absolute and the relative PPP is that the former shows that the exchange rate reflects the ratio of the two countries' price levels, which is not simple. In all actuality, there are market defects, for example, non-transferable inputs, transportation costs, taxes, quotas, et cetera. Consequently, relative PPP puts these defects into account and moderates the relationship between the exchange rate and the prices of these two nations. It does

that by considering the connection between the adjustments in the exchange rate and the adjustments in the ratio of the prices. All that the relative PPP needs are the changes in the exchange rate and the changes in the ratio of price levels. Relative PPP could be represented by the equation below

$$\%\Delta e = \%\Delta p - \%\Delta p^* \qquad (3)$$

where $\%\Delta e$ is the percentage change in the exchange rate, $\%\Delta p$ is the percentage change in the local rate of inflation and $\%\Delta p^*$ is the percentage change in the foreign rate of inflation (Beirne, 2010).

Empirical Literature on the MINT

Very little empirical work has been done on the MINT. Some of the few empirical works done include the work of Asteriou et al. (2016) who used the GARCH model and the ARDL (Autoregressive Distributed Lag) Bounds testing approach to test for the effect of exchange rate volatility on international trade volumes for the MINT with monthly data from 1995 to 2012. Results indicated that there was no linkage between exchange rate volatility and international trade activities for Mexico, Indonesia, and Nigeria, except for Turkey in the long-run. However, in the short-run, all the variables indicated some form of linkages. Furthermore, Coban et al. (2016) found high correlations between telecom investments and the GDP in the MINT countries when they used three well-known calculations of the correlation coefficient. The results showed high correlations in each

of the four countries. Moreover, Kokotović and Kurečić (2016) examined the basic economic trends in MINT for over 25 years by analysing the linear relationship between GDP, household consumption, foreign direct investment and government consumption using OLS (ordinary least squares). They arrived at the conclusion that the MINT countries might have a significant role in international relations as a regional power. Finally, Ozturk and Yildirim (2015) used annual data from 1967-2010 to examine the Environmental Kuznets Curve (EKC) hypothesis for MINT. They applied the co-integration tests of Pedroni and the fully modified ordinary least squares (FMOLS). Results of the analysis supported the EKC hypothesis only for Nigeria but failed to provide support for other countries of the MINT.

METHODS

Data

Data used was collected from *Datastream*, Thomson Reuters. It is a set of monthly data for MINT (Mexico, Indonesia, Nigeria and Turkey) starting from January 2003 to August 2016. The data consists of the nominal exchange rate (local currency per 1USD), consumer price index (CPI) for Mexico, Indonesia, Nigeria, and Turkey, and CPI for the US since the US is used as the base currency. All the variables (EXRATE, CPI, and CPIus) were transformed into log (LEXRATE, LCPI and LCPIus) forms for consistency before the analyses were carried out.

The data would be analyzed first by the unit root tests in order to check if the variables were stationary. If the variables were integrated of order one, we would go ahead to run several co-integration tests and finally we estimated the long-run relationships with the threshold regression, DOLS, and FMOLS.

Threshold Co-integration Tests (TAR and MTAR)

Following Su et al. (2010), we applied the asymmetric co-integration method of Enders and Siklos (2001) to test for the long-run purchasing power parity alongside asymmetric adjustment in MINT. The test depends on a two-step process. Firstly, we calculate a long-run balanced relationship of the form:

$$e_t = \alpha_0 + \beta_1 p_t^* + \beta_2 p_t + \mu_t \qquad (5)$$

where e_t is the log of thenominal exchange rate, p_t^* and p_t are the log of foreign and local prices respectively and μ_t is the stochastic error term. Secondly, we focus on the ordinary least square estimates of ρ_1 and ρ_2 in the regression below,

$$\Delta\mu_t = I_t\rho_1\mu_{t-1} + (1-I_t)\rho_2\mu_{t-1} + \sum_{i=1}^{t}\gamma_i\Delta\mu_{t-1}$$
$$+ \varepsilon_t \qquad (6)$$

where ε_t is a white-noise disturbance term and the residuals, μ_t, in equation (5) are taken to (6) for further estimation. I_t is the Heaviside indicator function thus:

$$I_t = \begin{cases} 1 & \text{if} & \mu_{t-1} \geq \tau \\ 0 & \text{if} & \mu_{t-1} < \tau \end{cases}$$

where τ is the threshold value. An essential setup for $\{\mu_t\}$ to be stationary is: $-2 < (\rho_1, \rho_2) < 0$. If the variance of ε_t is adequately large, then it is possible for one value of ρ_j to be between -2 and 0 and for the other to be the same as zero. Although there is no convergence in the regime with the unit-root (i.e., when $\rho_j = 0$), large realisation of ε_t will change the system to a convergent regime. Enders and Granger (1998) and, Enders and Siklos (2001) both called attention to the null hypothesis of no convergence, where the F-statistic for the null hypothesis $\rho_1 = \rho_2 = 0$ has a distribution that is not standard. They showed critical values for this non-standard F-statistic in their paper. Enders and Granger (1998) also showed that if there was a stationary sequence, the least square estimates of ρ_1 and ρ_2 had an asymptotic multivariate normal distribution.

The model utilizing equation (6) is known as the threshold autoregressive model (TAR), and the test for threshold characteristics of the equilibrium error is called the threshold co-integration test. Supposing the system is converged, $\mu_t = 0$ is seen as the long-run equilibrium value of the sequence. If μ_t is over its long-run balance, the adjustment is $\rho_1\mu_{t-1}$ and if μ_t is in its long-run equilibrium, the adjustment is $\rho_2\mu_{t-1}$. The equilibrium error, therefore, acts as a threshold auto-regression. The null hypothesis of $\rho_1 = \rho_2 = 0$ tests for the long-run relationship and the rejection

of the null tells us that there is existence of co-integration between the variables. In revealing of $\rho_1 = \rho_2 = 0$ hypothesis, it is valuable to further test for symmetric adjustment (i.e., $\rho_1 = \rho_2$) by utilizing a standard F-test. If the adjustment is symmetric as $\rho_1 = \rho_2$, equation (6) converges to the ADF test of Said and Dickey (1984). Rejecting the null hypotheses of $\rho_1 = \rho_2 = 0$ and $\rho_1 = \rho_2$ indicates the reality of threshold co-integration and the asymmetric adjustment.

Based on Enders and Granger (1998), the model is very precious when the adjustment is asymmetric in the sense that the series show more 'momentum' on one side than the other. Rather than calculating (2) with the Heaviside indicator relying on the level of μ_{t-1}, the decay can be made to depend on the preceding period's change in μ_{t-1}. The Heaviside indicator could then be represented as:

$$I_t = \begin{cases} 1 & \text{if} & \Delta\mu_{t-1} \geq \tau \\ 0 & \text{if} & \Delta\mu_{t-1} < \tau \end{cases}$$

where τ is the threshold value. The model is referred to as momentum-threshold auto-regression model (M-TAR). The TAR model grasps 'deep' cycle process if, for example, positive deviations are sustained more than negative deviations. The M-TAR model makes the auto-regressive decay to be conditioned on $\Delta\mu_{t-1}$. As such, the M-TAR representation can grasp 'sharp' movements in a sequence.

In the broadest case, if the value of τ is not known, it should be evaluated alongside the values of ρ_1 and ρ_2. By demeaning

the $\{\mu_t\}$ sequence, the Enders and Granger (1998) test strategy utilizes the sample mean of the succession as the threshold estimate of τ. Nonetheless, the sample mean is a biased threshold estimator in the presence of asymmetric adjustments. For example, if auto-regressive decay is slow for positive deviations of μ_{t-1} from τ, than for negative deviations, the sample mean estimator will be biased upwards. A consistent estimate of the threshold τ is gotten by utilizing Chan's (Chan, 1993) methodology of looking for possible threshold values to minimise the residual sum of squares from the fitted model.

Enders and Siklos (2001) used Chan's method in a Monte Carlo study to get the F-statistic for the null hypothesis of $\rho_1 = \rho_2 = 0$ when the threshold τ was approximated using Chan's procedure. The critical values of this non-standard F-statistic for testing the null hypothesis of $\rho_1 = \rho_2 = 0$ are shown in their work. There is no assumption concerning whether to utilize TAR or M-TAR model, for the most part, the suggestion is to choose the adjustment process by a model selection criterion, for example, the AIC or SBC.

Threshold Error-Correction Model (TECM)

If proof in favour of asymmetric adjustment of threshold co-integration is found, then an asymmetric error-correction model will be utilized to examine the adjustment process of variables to the long-run balanced relationship. The traditional error-correction models do not show whether the value of the

threshold is true, over, or below fundamental value τ, that have varying adjustment processes. We calculate the set of equations in (7) for asymmetric error-correction models in Nigeria and Turkey since the asymmetric adjustment of threshold co-integration is found.

$$\Delta e_t = \mu_{10} + \sum_{i=1}^{k} a_{1i}\Delta e_{t-1} + \sum_{i=1}^{k} b_{1i}\Delta p^*_{t-1}$$
$$+ \sum_{i=1}^{k} c_{1i}\Delta p_{t-1} + \lambda_{1e} z^+_{t-1} + \lambda_{2e} z^-_{t-1} + \varepsilon_t$$

$$(7)$$

where $z^+_{t-1} = I_t \mu_{t-1}$ and $z^-_{t-1} = (1 - I_t)\mu_{t-1}$. μ_{t-1} is residual from (7),

$$I_t = \begin{cases} 1 & \text{if} & \mu_{t-1} \geq \tau \\ 0 & \text{if} & \mu_{t-1} < \tau \end{cases}$$

for the TAR model.

Moreover, z^+_{t-1} and z^-_{t-1} represent the shock of adjustment for $\mu_{t-1} \geq \tau$ and $\mu_{t-1} < \tau$. The calculated coefficients of z^+_{t-1} and z^-_{t-1}, λ_2 and λ_2, measure the speed of adjustment for positive and negative departures from long-run purchasing power parity. The choosing of a suitable lag order is according to the AIC (Su et al., 2010).

Estimation Approaches

The breakdate threshold regression was considered in obtaining the long-run estimates. The equation for breakpoint threshold regression used in searching for breaks in the sample can be written as:

$$e_t = \beta_1 I\left(t \leq k_1\right)\left[c_0 + b_{0,1}p^*_t + b_{0,2}p_t\right]$$
$$+ \beta_2 I\left(k_1 + 1 \leq t \leq k_2\right)\left[c_1 + b_{1,1}p^*_t + a_{1,2}p_t\right]$$
$$+ \beta_3 I\left(k_2 + 1 \leq t \leq T\right)\left[c_2 + a_{2,1}p^*_t + a_{2,2}p_t\right]$$
$$+ u_t$$

$$(8)$$

for two breakdate models, where k_1 and k_2 are the breakdates. In this study, we used the Bai and Perron (1998) test of L+1 breaks vs. L to sequentially determine two breakdates. The break dates k_1 and k_2 have divided the sample period into three sub-periods, i.e., $\left(t \leq k\right)\left(k_1 + 1 \leq t \leq k_2\right)$ and $\left(k_2 + 1 \leq t \leq T\right)$. Apart from the breakdates threshold regression, we also applied the DOLS and FMOLS for consistency check.

RESULTS AND DISCUSSION

We applied the threshold co-integration tests to test for the PPP hypothesis. Prior to the TAR and MTAR co-integration tests, time series unit root tests were performed to see if the variables are stationary. The time series unit root tests include the ADF (Said & Dickey, 1984) and PP (Phillips & Perron, 1988). The Engle and Granger (1987) and Phillips and Ouliaris (1990) linear co-integration tests were also conducted to check if there were evidence of linear co-integration. Below are results of the analyses.

Table 1 presents the results of the time series unit root tests for Mexico, Indonesia, Nigeria, and Turkey. The table shows results for ADF and PP unit root tests. The results provide evidence for a unit root for the log of the nominal exchange rate (LEXRATE)

and the log of respective price levels for all countries involved in the sample (i.e., the log of consumer price index for MINT countries and the log of the consumer price index for US (LCPI and LCPIUS)). But after first differenced (ΔLEXRATE ΔLCPI and ΔLCPIUS), these variables became stationary, confirming that they are integrated of order one for Mexico, Indonesia, Nigeria, and Turkey. Therefore, we do not reject the null hypothesis of a unit root, meaning that all variables for all countries are not stationary at levels but stationary at first difference. This shows that all our variables are integrated of order one for all the countries. Therefore, we can go ahead with the co-integration tests to see if the combination of these variables will be stationary.

Additionally, Table 2 shows the outcome of linear co-integration tests for Mexico, Indonesia, Nigeria, and Turkey using the linear tests of Engle and Granger (1987) and Phillips and Ouliaris (1990). Both tests results failed to reject the null hypothesis of no co-integration for Mexico and Indonesia but rejected for Nigeria and Turkey. This shows that a long-run relationship exists between the exchange rate and the relative price levels, which means that the PPP theory is valid in Nigeria and Turkey, but not in Mexico and Indonesia.

Moreover, Table 3 presents the outcome of the test for threshold co-integration in all the countries. Here we have the TAR and the MTAR with estimated threshold values, and when the threshold value is zero

(that is when τ has a consistent estimate and when $\tau = 0$). For the TAR model, the null hypothesis of no co-integration and symmetry are rejected for Nigeria and Turkey, indicating the presence of co-integration and asymmetric adjustment in Nigeria and Turkey, but shows the absence of both co-integration and asymmetric adjustment for Mexico, and shows the presence of asymmetric adjustment but not co-integration in Indonesia. However, results of MTAR reject the null hypothesis of no co-integration but not that of symmetry in Nigeria and Turkey, indicating the presence of co-integration and symmetric adjustment in Nigeria and Turkey but shows the absence of both co-integration and asymmetric adjustment in Mexico, and shows only the presence of asymmetric adjustment in Indonesia but no co-integration. Both results show that PPP is valid in Nigeria and Turkey, but only the TAR model indicates the presence of asymmetric adjustment towards equilibrium in Nigeria and Turkey. We have seen from the methodology that the TAR model grasps 'deep' cycle process and the MTAR model is able to grasp 'sharp' movement in a sequence. Consequently, the asymmetric adjustment towards equilibrium in Nigeria and Turkey are 'deep' cycle processes, which is why they are captured by the TAR model. Since there is asymmetric co-integration in Nigeria and Turkey, it implies that PPP exists in these countries with asymmetric adjustments. We, therefore, go ahead with the threshold error correction models for Nigeria and Turkey.

Table 1
Linear unit root tests

Country/Variable	ADF test statistic	PP test statistic
Mexico		
LEXRATE(e_t)	-0.2305(0.9308)	-0.3330(0.9161)
ΔLEXRATE(Δe_t)	-11.3102(0.0000)**	-11.2600(0.0000)**
LCPI(p_t)	-1.6587(0.4501)	-1.1044(0.7136)
Δ LCPI(Δp_t)	-8.4214(0.0000)**	-6.2140(0.0000)**
LCPIus(p_t*)	-1.8122(0.3736)	-1.8991(0.3322)
ΔLCPIus(Δp_t*)	-8.4547(0.0000)**	-7.4206(0.0000)**
Indonesia		
LEXRATE(e_t)	-0.6690(0.8503)	-0.8246(0.8091)
ΔLEXRATE(Δe_t)	-11.7438(0.0000)**	-11.7460(0.0000)**
LCPI(p_t)	-1.5862(0.4873)	-1.4884(0.5372)
Δ LCPI(Δp_t)	-10.3052(0.0000)**	-10.2290(0.0000)**
LCPIus(p_t*)	-1.8122(0.3736)	-1.8991(0.3322)
ΔLCPIus(Δp_t*)	-8.4547(0.000)**	-7.4206(0.0000)**
Nigeria		
LEXRATE(e_t)	1.6408(0.9753)	1.7735(0.9816)
ΔLEXRATE(Δe_t)	-9.0938(0.0000)**	-9.1023(0.0000)**
LCPI(p_t)	5.7106(1.0000)	7.7643(1.0000)
Δ LCPI(Δp_t)	-7.2031(0.0000)**	-7.2771(0.0000)**
LCPIus(p_t*)	4.2913(1.0000)	5.3755(1.0000)
ΔLCPIus(Δp_t*)	-6.7629(0.0000)**	-6.7629(0.0000)**
Turkey		
LEXRATE(e_t)	0.1609(0.9693)	0.1976(0.9717)
ΔLEXRATE(Δe_t)	-12.0714(0.0000)**	-12.0570(0.0000)**
LCPI(p_t)	-0.8297(0.8076)	-2.4487(0.1302)
Δ LCPI(Δp_t)	-9.7854(0.0000)**	-15.9846(0.0000)**
LCPIus(p_t*)	-1.8122(0.3736)	-1.8991(0.3322)
ΔLCPIus(Δp_t*)	-8.4547(0.0000)**	-12.4206(0.0000)**

where ** indicates 5% level of significance

Table 2
Linear cointegration tests

Country	Engle-Granger test	Phillips-Ouliaris test
Mexico	-18.7851(0.1695)	-18.2128(0.1866)
Indonesia	-11.7210(0.4889)	-10.7403(0.5502)
Nigeria	-72.1518(0.0000)***	-30.9705(0.0157)**
Turkey	-34.7993(0.0068)***	-36.3944(0.0047)***

The table shows the z-statistic and probability values for all the countries. *** and ** indicate significance at 1% and 5% levels, respectively.

Table 3
Threshold cointegration test

Country/ Model	τ	ρ_1	ρ_2	No Cointegration	Symmetry
				$\rho_1 = \rho_2 = 0$	$\rho_1 = \rho_2$
Mexico					
TAR	0.0000	-0.0756	-0.0730	1.0210(6.9417)	
	0.0607	-0.1009	-0.0517	1.2008(6.8646)	NA
MTAR	0.0000	-0.0135	-0.1251	18993(7.4397)	
	0.0025	0.0009	-0.1362	2.3482(7.4289)	NA
Indonesia					
TAR	0.0000	-0.0037	-0.0345	0.7437(4.6063)	
	0.0979	-0.2057	-0.0066	6.6073(7.2541)	NA
MTAR	0.0000	-0.1006	-0.0075	3.0538(7.7822)	
	0.0151	-0.1474	-0.0190	3.9235(7.6958)	NA
Nigeria					
TAR	0.0000	-0.1869	-0.3640	9.6801(7.2312)**	2.2253(2.0720)**
	-0.0454	-0.1466	-0.5033	13.2808(7.0902)**	8.7260(2.2691)**
MTAR	0.0000	-0.2454	-0.3101	8.6056(7.7383)**	0.2841(3.7735)
	-0.0135	-0.3513	-0.1502	9.9203(7.7719)**	2.6580(3.9410)
Turkey					
TAR	0.0000	-0.3313	-0.1767	11.5107(7.2906)**	2.6670(2.2551)**
	0.0550	-0.3637	-0.1674	12.3813(7.2189)**	4.2091(2.2326)**
MTAR	0.0000	-0.2438	-0.2344	10.0106(7.7204)**	0.0098(3.7607)
	0.0450	-0.3641	0.2016	11.3044(7.7237)**	2.3016(3.7075)

where ** indicate significance at 5% level

Furthermore, Table 4 shows estimated results of symmetric and asymmetric error correction models for Nigeria and Turkey where we have evidence of co-integration with asymmetric adjustments. The estimated coefficients λ_1 and λ_2 of z_{t-1}^+ and z_{t-1}^- show the speed of adjustment (from short-term positive or negative deviation) to attaining a long-run PPP. For the results of Nigeria, λ_2 the coefficient z_{t-1}^- (the speed of adjustment from short-term negative deviation to long-run equilibrium) is negative and significant, showing long-

run purchasing power parity and also, it has been observed that negative deviation to long-run equilibrium are eliminated more quickly than positive deviations. The symmetric error correction model was also estimated for comparison. The result of the linear error correction model is consistent with that of the asymmetric error correction model. However, for Turkey, results show that λ_1, the coefficient of z_{t-1}^+ (the speed of adjustment from short-term positive deviation to long-run equilibrium) is negative and significant, showing long-

run purchasing power parity and also, it is seen that positive deviation to long-run equilibrium are eliminated more quickly than negative deviations in Turkey. The result of the symmetric error correction model for Turkey is also consistent with that of asymmetric. Since the speed of adjustment (from short-run positive or negative deviation) to long-run equilibrium are negative and significance for both Nigeria and Turkey, it means that the presence of co-integration (long-run PPP) is confirmed in these countries. However, Nigeria's adjustment was from a negative deviation while Turkey's adjustment was from a positive deviation.

Finally, results of the long-run estimates are displayed in Table 5. The table shows results of coefficients for the breakdate threshold regression, DOLS and FMOLS for Nigeria and Turkey. Looking at the results of the breakdates threshold regression, the sequential determination searching procedure was used to detect two breakdates which break the samples into three different sub-periods for Nigeria and Turkey. The breakdates for Nigeria are; 2003M01-2008M12, 2009M01-2014M08 and 2014M09-2016M08. All the coefficients of the variables for the breakdates threshold regression are statistically significant for 2003M01-2008M12 and 2014M09-2016M08 except for 2009M01-2014M08. It is obvious that the local and foreign prices both have significant impacts on the nominal exchange rates for 2003M01-2008M12 and 2014M09-2016M08 periods. 1 unit increase in the domestic price (LCPI) causes a depreciation of 0.38 units of the exchange rate, and 1unit increase in the foreign price (LCPIUS) results in an appreciation of 2.01 units in nominal exchange for 2003M01-2008M12. In the same way, 1unit increase in the domestic price (LCPI) gives rise to a depreciation of 1.81 units of the nominal exchange rate, and 1unit increase in the foreign price (LCPIUS) brings about an appreciation of 5.84 units in nominal exchange for 2014M09-2016M08. However, for Turkey, the breakdates are; 2003M01-2007M08, 2007M09-2009M11 and 2009M12-2016M08. Here, the coefficients of the variables for the breakdates threshold regression are statistically significant for 2007M09-2009M11 and 2009M12-2016M08 but not for 2003M01-2007M08. The local and foreign prices both have significant impacts on the nominal exchange rates for 2007M09-2009M11 and 2009M12-2016M08 periods. Consequently, 1unit increase in the domestic price (LCPI) gives rise to a depreciation of 2.83 units in the nominal exchange rate, and 1unit increase in the foreign price (LCPIUS) brings about an appreciation of 5.39 units in nominal exchange for 2007M09-2009M11. Moreover, 1unit increase in the domestic price (LCPI) results in a depreciation of 2.10 units in the nominal exchange rate, and 1unit increase in the foreign price (LCPIUS) causes an appreciation of 3.23 units in nominal exchange for 2009M12-2016M08. All the variables for DOLS and FMOLS estimators are significant in Nigeria and Turkey. The results of DOLS are consistent with that of FMOLS. For both countries, we

can see that local and foreign prices both have significant impacts on the nominal exchange rates for both countries. We can say that a unit increase in the domestic price (LCPI) results in a depreciation of 1.27 units in the nominal exchange rate, and a unit increase in the foreign price (LCPIUS) gives rise to an appreciation of 4.67 units in the nominal exchange rate for Nigeria. In the same way, the results for Turkey indicate that a unit increase in the domestic price (LCPI) causes a depreciation of 2.95 units in the nominal exchange rate, and a unit increase in the foreign price (LCPIUS) brings about an appreciation of 8.67 units in the nominal exchange rate. However, the results of DOLS obviously produced better estimates than that of FMOLS because both the R-square and adjusted R-square values are higher than those of FMOLS.

Table 4
Estimated symmetric and asymmetric Error Correction Models (speeds of adjustments)

Country/Variable	Linear ECM	Threshold ECM	
	λ	λ_1	λ_2
Nigeria	-0.1637***	-0.0406	-0.2789***
	(-2.7256)	(-0.4303)	(-3.4448)
Turkey			
	-0.0793*	-0.1130*	-0.0917
	(-1.8402)	(-1.8436)	(-1.5048)

The table presents the estimated coefficients and t-statistics in brackets. *** and * indicate 1% and 10% levels of significance.

Table 5
Long-run estimates

Country/ Variable	Coef. of Threshold regression			Coef. of DOLS	Coef. of FMOLS
Nigeria	2003M01-2008M12	2009M01-2014M09	2014M10-2016M08		
C	13.8775***	0.7977	27.8776**	24.2655***	25.8650***
LCPI(p)	0.3846***	0.0225	1.8067***	1.2657***	1.3391***
LCPIu(p*)	-2.0104***	0.7977	-5.8387**	-4.6744***	-5.0333***
R-square	0.9453	0.9453	0.9453	0.9138	0.8770
Adj. R-square	0.9424	0.9424	0.9424	0.9092	0.8754
Turkey	2003M01-2007M08	2007M09-2009M11	2009M12-2016M08		
C	-2.8016	14.9872***	6.9608**	31.9776***	32.4066***
LCPI(p)	-0.6334	2.8262***	2.1009***	2.9475***	2.9556***
LCPIus(p*)	1.1701	-5.3936***	-3.2332***	-8.6720***	-8.7573***
R-square	0.9528	0.9528	0.9528	0.9174	0.8981
Adj. R-square	0.9503	0.9503	0.9503	0.9131	0.8968

The table presents long-run estimates with *** and ** indicating significance at 1% and 5% level.

CONCLUSION

This paper examined if there exist a long-run validity of purchasing power parity and asymmetric adjustment in MINT (Mexico, Indonesia, Nigeria, and Turkey) by utilizing the threshold co-integration test of Enders and Siklos (2001). We applied the threshold co-integration tests to the PPP hypothesis. Prior to the TAR and MTAR co-integration tests, time series unit root tests were carried out to check the stationarity of variables for all the counties involved. The ADF and PP time series unit root tests were used. Results of the time series unit root tests revealed all variables to be integrated of the same order (order one) for all countries, which gave us the confidence to proceed with the co-integrations tests. The Engle and Granger (1987) and Phillips and Ouliaris (1990) tests were conducted to check if there was linear co-integration. Both tests gave evidence of linear co-integration for Nigeria and Turkey but failed to give evidence of co-integration for Mexico and Indonesia. With the application of the threshold co-integration test, we found evidence of asymmetric co-integration in Nigeria and Turkey, meaning that PPP was valid in Nigeria and Turkey with asymmetric adjustment. The results of the linear co-integration tests were consistent with that of the asymmetric co-integration tests, the results confirmed that co-integration and hence PPP was observed in Nigeria and Turkey but not in Mexico and Indonesia. Additionally, the symmetric and asymmetric error correction models were estimated. According to the outcome of the asymmetric error correction model, negative deviations from the purchasing power parity were terminated more quickly than positive deviations in Nigeria. The result of the symmetric error correction model is consistent with that of the asymmetric error correction model. However, for Turkey, positive deviations were eliminated more quickly than negative deviations. The symmetric error correction model is also consistent with that of the asymmetric error correction model.

Furthermore, we conducted the breakdate threshold regression, DOLS and FMOLS for Nigeria and Turkey respectively, since the evidence of long-run relationship (PPP) was revealed in these countries. Both DOLS and FMOLS confirmed the validity of PPP (long-run relationship) in Nigeria and Turkey as both the domestic (LCPI) and foreign (LCPI) prices are significant determinants of the exchange rate. To be specific, an increase in domestic price (LCPI) leads to exchange rate depreciation while an increase of foreign price (LCPI) causes exchange rate appreciation. The magnitude of the effect of the foreign price (appreciation) on the nominal exchange rate is much larger than the magnitude of the effect of the domestic price (depreciation) on the nominal exchange rate. The results hold for both Nigeria and Turkey. On the other hand, breakdate threshold regression provides deeper results, i.e. provides estimates of the PPP long-run relationship under different time frames due to breakdates. In Nigeria, PPP relationship holds in the periods of 2003M01 – 2008M12 and 2014M10-2016M08 but does not hold

during 2009M01-2014M09. For Turkey, PPP relationship holds for 2007M09-2009M11 and 2009M12-2016M08 but not during 2003M01-2007M08. The results imply that PPP relationship may not necessarily hold for all periods. Basically, our results can be summarised thus: (i) PPP theory does not hold for all countries; (ii) Exchange rate may adjust asymmetrically, where negative deviations from PPP are terminated more quickly than positive deviations; (iii) PPP theory may not hold all the time; (iv) Higher foreign price causes appreciation of exchange rate while higher domestic price leads to depreciation of exchange rate.

Higher foreign prices cause appreciation of the exchange rates while higher domestic prices lead to depreciation of the exchange rates. However, we have observed that in both Nigeria and Turkey, there is a combined effect of appreciation and depreciation of the exchange rates which is good for these countries since the effect of only appreciation or depreciation will not be good as they have their individual advantages and disadvantages. Consequently, appreciation of the exchange rates will cause exports to be more expensive, imports cheaper, and hence reduce inflation. If the economies of these countries become more productive and competitive, appreciation of the exchange rates is beneficial because it can be sustained, and therefore help in the growth of, the economy. However, if the currency appreciates rapidly in difficult economic times, it can be a problem. Depreciation, on the other hand, makes exports to be

cheaper, imports more expensive and thereby cause inflation to increase in Nigeria and Turkey. An exchange rate that is falling can be advantageous to an economy if the economy is not competitive and trapped in a recession. A devaluation/depreciation assists in increasing the demand for exports and the creation of jobs. The standard of living of these countries is reduced by depreciation. In conclusion, the foreign price contributes more to the adjustments in the nominal exchange rates, thereby making the effect of nominal exchange rate appreciation more pronounced than depreciation in both Nigeria and Turkey. Since this is the first research on the PPP in the MINT group, we advise that more research for this group of countries be conducted by researchers and the government of these countries to see how they would strike the balance between appreciation and depreciation of their exchange rates, and also find out why the PPP theory does not hold for some of those countries in the MINT.

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SOCIAL SCIENCES & HUMANITIES

Corruption a Bane to Development in Nigeria

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ABSTRACT

There is a mixed opinion in the economics literature on whether corruption promotes economic development or not. The complexity of corruption in terms of its definition and measurement has also deterred many studies to be carried out in terms of its effect on economic development. In order to have a good clarification, the study investigates the extent at which corruption affects development in Nigeria between 1982 and 2015 using cointegration and ECM methods of analysis to determine the long and short run effects of the variables. The findings from the study suggest that there is a long-run relationship among the variables (economic development (ED) and corruption) while the ECM explains that the previous year disequilibrium is adjusted back in this current year at 88.67% speed of adjustment. Overall, it is concluded that corruption has significant negative effect on economic development in Nigeria thereby slows down development in the country. This study therefore recommends among others, the need to strengthen anti-corruption agencies and also give them autonomy so as to enable them discharge their duties effectively.

Keywords: Cointegration, corruption, development, economic performance, ECM

INTRODUCTION

Basically, lack of economic development in Nigeria has been as a result of institutional deficiency due to misplaced priority of pursuing self-interest at the expense of the nation. Generally, corruption spreads faster when the institutions that intend to correct and monitor it are very weak and inefficient.

Over the past four decades, Nigeria which is one of the largest oil producing countries has been finding it difficult to reduce its unemployment rate, income inequality among others (Igbaekemen et al., 2014; Omenka, 2013; Olatunji et al., 2014). Therefore, the thinking that the abundant human and natural resources should serve as

catalysts for rapid development in Nigeria is misleading. Dagaci (2009) and Global Witness (2012) identified this to high level of corruption among the elites in Nigeria.

Ogbuagu et al. (2014) and Sachs (2007) explained further that corruption had scuttled critical development in Nigeria and had resulted into political and economic challenge for Nigeria. So, socio-political corruption has been bedeviled Nigeria for a long time.

Against this background, many researchers and policy-makers have been trying to identify the causes and effects of corruption so as to design appropriate policy interventions that could alleviate this phenomenon. In line with the above, this study addresses the role corruption plays in the development process of Nigeria and provides the quantitative estimates.

Majorly, in this study we examine the extent at which corruption affects economic development in Nigeria. The rest of the study consists of literature review, methodology, results and discussions, and finally conclusion.

LITERATURE REVIEW

Theoretically, principal-agent theory which is a prevalent theory to this study states that corruption reduces economic development. It is a situation where government is the principal and corrupt official acting as agent by demanding bribes from individuals who require certain obligation to be rendered by the principal. The theory emphasizes on two types of corruption in government; the first is corruption without theft which makes the agent to charge excess fees than government prescription while corruption with theft is a situation where the agent obtains the bribes without rendering anything to government. Corruption with theft is very rampant in Nigeria because individuals' benefits are more paramount than the nation's interests. Under this theory, corruption hurts development two ways. In the first place, bad governance allows for high level of bribes taking by the agents which can deter the execution of projects and also discourage investments which may affect further growth. Second, secretly corrupt practices encourage diversion of investment and resource allocation from high productive projects (education) to less productive projects (defense). This is possible because bribery on the defense projects can be done secretly but in the education sector collective responsibilities of the people is required. Thus, less productive projects promote secrecy of bribery which deters investments and development.

Gray and Kaufmann (1998) identified two types of corruption. The chaotic type of corruption subjected the bribe giver to bribe many officials without limitation as to the amount and assurance of obtaining anything in return. As for the well-planned corruption, the amount involved is fixed and there is assurance that the purpose for which the bribe is obtained will be achieved. These two types of corruption are very peculiar to Nigeria.

In defining corruption, the International Monetary Fund (International Monetary Fund [IMF], 2000) stated that it was misuse of trust imposed on somebody for

self-interest which permeates in public and private enterprises and non-profit organizations. One strand of the literature considers corruption a "grease the wheels" instrument that helps overcome cumbersome bureaucratic constraints, inefficient public services, and rigid laws (Lein, 1986), especially when countries' institutions are weak, and ill functioning (Meon & Weill, 2010; De Vaal & Ebben, 2011). Senior (2006) in his own perception of corruption provided a condensed definition as a situation which made the bribe collector to influence certain things in which the bribe giver had interests. Accordingly, Ayoola (2005) emphasized that corruption in Nigeria had moved beyond bribery but in recent time it had transformed into embezzlement and theft of public funds, misuse of public power for self-interest, favouritism and nepotism, conflict of interest, and illegal political party financing. Consistent with the World Bank's philosophy to eradicate corruption, Kim (2013) stated that corruption had become a permanent feature in developing countries and that any form of corruption was a denial of a pregnant woman who needed health care; or a girl or boy who deserved an education; or communities that needed water, roads, and schools. This is also buttressed further by Hakimi and Hamdi (2015) that a USAID opinion poll survey found that 60 percent of aid ended up in the hands of corrupt officials, while the Department for International Development in the United Kingdom found that 57 percent of the population reckoned that giving aid was pointless because of

the level of corruption. Furthermore, the World Bank (2015) observed that the goal to eradicate poverty by 2030 and improve people's welfare could only be achieved when there was proper accountability and zero tolerance for corruption. So, corruption deters development.

Basically, developing is a general term that applies to those countries which are economically and socially underdeveloped and institutionally weak. Sorkaa (2003) asserted that development was the process by which goods and services were produced and distributed from the society's resources for human welfare. It is emphasized further that for meaningful development to be achieved there must be improvement in the welfare of the people, in terms of their well-being and sense of belongings. Ujo (1995) in his own view described development as the transformation of institution which also required the citizens to reason positively. Iyoha (1996) and Hoff and Stiglitz (2000) observed further that development entailed progressing and having sustainable growth in the GNP and organizational change. Growth which is a prerequisite for change to occur is explained in Solow-Swan growth theory as the long-run growth rate of output based on two basic exogenous variables such as population growth rate and level of corruption in the country. This theory explains technological changes that occur from the rate of capital stock, human capital development, reduction in corruption and investment rate which serves as foundation of our modeling.

The Effects of Corruption in Nigeria

Despite all the achievements made by Nigeria in terms of being the largest oil exporter and other minerals and natural resources the economy suffered setbacks as a result of decadence of high level of corruption coupled with the bad governance, misappropriation of funds and high level banking frauds (Olatunji et al., 2014). The citizens are living below the poverty line at a per capital income of $1,220 and one of the top three most corrupt countries in the world (Ribadu, 2003). Also ranked the 38th most corrupt country in the world, that is,136th out of 175 countries assessed (Transparency International [TI], 2014).

In the last twenty five years more than $200 billion out of $300 billion of oil revenue have been mismanaged through fraud and wastage. This corruption which affected the entire nation also extended to Ajaokuta steel mill and Alscon aluminum plant which were constructed with seven billion dollars and three billion dollars respectively but produced no steel or aluminum up to date.

Corruption has been bedeviled Nigeria since independence in 1960 and also dented the image of the county externally due to the people's flamboyant affluence and high level of tastes. These have tempted many Nigerians to engage in fraudulent activities and rituals. The reason for this is as a result of inept attitude of past administrations in Nigeria because successive regimes subdued the rule of law. This is also buttressed further by Oyinola (2011) that despite anti-graft/anti-corruption laws in Nigeria the criminals are still committing the act and facing the consequences.

The various empirical studies on corruption and economic growth have mixed results. For instance, Mo (2001) and Drury et al. (2006) identified political instability as the main channel through which corruption negatively impacted growth. In their own studies, Abed and Davoodi (2002), Hakimi and Hamdi (2015), Odi (2014), and Svensson (2005), results showed that corruption had negative impact on economic growth, while the studies of Chamseddine (2016) and Nwogu and Ijirshar (2016) result also found negative but no significant relationship. In another dimension, Kutan et al. (2009) found that higher levels of corruption were related to higher levels of GDP in those countries of study. In a related study, Rotini et al. (2013) results showed that corruption impaired and impacted economic growth. In the same vein, Akinpelu et al. (2013), and Muhuda (2013) using co-integration test and vector error correction model found a long run relation between corruption and economic growth in Nigeria.

In this study we observed that most empirical studies focused on the corruption-growth relationship rather than corruption-development nexus and failed to establish the existence of short and long run relationships with policy implication. There is need to fill this gap.

METHODS

The study employed Augmented Dicker-Fuller test, granger casualty test and co-

integration test in analyzing the secondary data collected from World Bank Database, Central Bank of Nigeria and Transparency International from 1982-2015. The study made use of co-integration test to see whether there exists a co-integration relationship among the variables in both the long and short run term.

Empirical Model

The empirical model of this study is based on Solow (1956) growth model, which examined economic growth in terms of capital accumulation and technological change. The study utilized Hicks-Neutral production function in the form of:

$$Q = Af(K, L) \qquad (1)$$

where, Q, A, K and L denote output, technological change, capital and labor respectively. In this study technological change which serves as an increasing scale factor in the function is not relevant. Premise on the agency theory assumption that corruption reduces economic development the model was extended by including corruption and other controlled variables identified in the literature.

Thus, the linear expression of the above model is expanded and can be re-written as follows:

$$ED_t = \beta_0 + {} + \beta_1 FDI\_GDP_t + \beta_2 LABOR_t + \beta_3 CPI_t + \beta_4 EXD\_GNI_t + U_t \qquad (2)$$

where, ED is economic development, FDI_DGP is foreign direct investment as percentage of GDP, LABOR is the labor force, CPI is a corruption perception index, EXD_GNI is external debt as percentage of gross national income and U, as the error term.

The logarithm of the model can be specified as:

$$\log ED_t = \beta_0 + {} + \beta_1 \log FDI\_GDP_t + \beta_2 l0g LABOR_t + \beta_3 CPI_t + \beta_4 EXD\_GNI_t + U_t \qquad (2.1)$$

The dynamic model of the long run relationship equation is specified as follows:

$$\Delta \log ED_t = \beta_0 + \beta_1 \Delta \log FDI\_GDP_{t-1} + \beta_2 \Delta \log LABOR_{t-1} + \beta_3 \Delta CPI_{t-1} + \beta_4 \Delta EXD\_GNI_{t-1} + ECM_{t-1} + V_t \qquad (2.2)$$

Where Δ represents the first difference operator, ECM_{t-1} the error correction term, and V_t is a disturbance term.

Operationalization of the Variables

Table 1 below shows the brief description of the variables and the sources of their data.

Table 1
Variables exposition

Variables	Description	Sources
Dependent		
EDt	Economic development is a proxy for GDP. World Bank (2016) defines GDP as the sum of goods and services produced in a country.	World Bank Database

Table 1 *(continue)*

Variables	Description	Sources
Independent		
CPI$_t$	Corruptions Perceptions Index is proxy for corruption. The score is between 0 and 10, that is a country is highly corrupt at 0 point and very clean at 10 point.	Transparency International
LABOR$_t$	It consists of people who are 15 years and above and within economically active population, ILO defined them as all people (both employed and unemployed) who supply labor for the production of goods and services during a specific period.	World Bank Database
FDI_GDP$_t$	It is the inflows of foreign direct investments as a percentage of GDP.	World Bank Database
EXD$_t$	It serves as the value of total external debt owed by a country. It is included as percentage of GNI.	Central Bank of Nigeria

Source: Author's compilation, 2017

RESULTS AND DISCUSSION

Descriptive Statistics

The results in Table 2 below show that all the variables probabilities except corruption are less than the Jarque Bera chi-square and significant at the 5% level. The hypothesis which states that all the variables are normally distributed cannot be rejected because they pass the significance test at the 1 percent level. The Kurtosis coefficient indicates normal curves for all the variables with the values ranging between -3 and +3, while the positive skewness indicates too few cases at the tail of the distribution. So, these results suggest that the use of a Johansen Cointegration model is justified since the hypothesis that the error vector is Gaussian white noise, that is, zero mean and finite variance, cannot be rejected.

Correlation

As depicted in Table 3 below, economic development is positively correlated with corruption but not significant, foreign investment and external debt while it is negatively correlated with labour force.

Table 2
Descriptive statistics

	ED	CPI	FDI_GDP	LABOR	EXD_GNI
Mean	3.665714	1.128286	3.008000	65.97714	1147.678
Std. Dev	7.672715	1.090603	2.268444	17.24344	1354.088
Skewness	1.172247	0.146831	1.737447	1.110701	1.434451
Kurtosis	8.559254	1.353963	6.184037	2.244564	3.933123
Jarque-Bera	53.08619	4.077025	32.39394	8.028574	13.27275
Probability	0.000000	0.130222	0.000000	0.018056	0.001312
Observations	35	35	35	35	35

Source: Author's compilation, 2017

This implies that increase in corruption, foreign investment and external debt are rather correlated with increased economic development while increased in labour force are correlated with decrease in economic development. Corruption has a negative correlation with foreign investment and labour force but positive correlation with external debt. Foreign investment negative correlated with labour force and external debt. Finally, labour force is negatively correlated with external debt.

Table 3
Correlation results among the study variables

	ED	**CPI**	**FDI_GDP**	**LABFORCE**	**EXD_GNI**
ED	1				
CPI	0.379746	1			
FDI_GDP	0.068872	-0.148706	1		
LABFORCE	-0.459750	-0.633791	-0.258809	1	
EXD_GNI	0.522876	0.370475	-0.040582	-0.493190	1

Source: Author's compilation, 2017

Regression Results

The results of ADF unit root test in Table 4 below shows that economic development (ED) and corruption perception index (CIP), investment (FDI_GDP), labor force (LABOR) and external debt (EXD) are integrated of order one (1(I)). Since the results show that all variables are non-stationary in levels, but stationary in first difference satisfies the condition of using Johansen's multivariate cointegration method to estimate the study model.

Table 4
Augmented Dickey Fuller Unit Root Test

Variables	ADF Test Statistic	1% critical values	5%critical values	Order	Remarks
EDt	4.800716	3.639407	2.951125	1(1)**	Stationary
CPIt	4.598834	3.646342	2.954021	1(1)**	Stationary
FDI_GDPt	3.461534	3.639407	2.951125	1(1)**	Stationary
LABORt	5.883406	3.646342	2.954021	1(1)**	Stationary
EXDt	3.611605	3.646342	2.954021	1(1)**	Stationary

*, **, *** are at 1%, 5% and 10% level of significant respectively.
Source: Author's compilation, 2017

Analysis Johansen Cointegration Results

The results of Johansen's multivariate cointegration test in Tables 5 and 6 show that both the Trace and maximum Eigen value statistics exceeded the critical values at 5% significant level. More so, Eigenvalues are greater than zero and significant. So, the

null hypothesis which states that there is no cointegration has to be rejected in three equations which is an evident of a long-run relationship among some variables under the study. This is in line with the results of

Akinpelu et al. (2013) and Muhuda (2013) In order to absolve the short run fluctuations caused by the existence of a long-run relationship an Error Correction Mechanism (ECM) test was carried out.

Table 5
Unrestricted Cointegration Rank Test (trace)

Hypothesized No. of CE(s)	Eigenvalue	Trace Statistic	0.05 Critical Value	Prob.**
None *	0.590888	61.01692	47.85613	0.0018
At most 1 *	0.472474	32.41641	29.79707	0.0244
At most 3 *	0.141594	4.885692	3.841466	0.0271

Source: Author's compilation, 2017

Table 6
Unrestricted Cointegration Rank Test (maximum eigenvalue)

Hypothesized No. of CE(s)	Eigenvalue	Trace Statistic	0.05 Critical Value	Prob.**
None *	0.590888	28.60051	27.58434	0.0370
At most 3 *	0.141594	4.885692	3.841466	0.0271

Source: Author's compilation, 2017

Error Correction Model

Since cointegration is proven to exist, there is need to carry out error correction test to determine dynamic relationship. The purpose of the error correction model is to indicate the speed of equilibrium to the long-run equilibrium state. The results of Error Correction Model (ECM) in Table 7 below of -0.8886746 show that the system corrects itself back to equilibrium at the rate of 88.68% speed of adjustment after one year period. Also, since the value of R^2 of 0.477368 is lesser than Durbin Watson (DW) value of 1.91, it is evident that the ECM is not spurious model. More so, it shows that corruption and other related variables accounted for up to 47.74% variations in ED.

Table 7
Error correction model

ECM	-0.886746
R^2	0.477368
Durbin Watson Statistics	1.906038

Source: Author's compilation, 2017

Granger Causality Test

The study carried out Granger Causality test based on lag 2 and 33 degree of freedom using F-tabulated value of 2.65 significant at 5% level in Table 8 below. The results show that EXD_GNI granger causes ED because the F-statistics of 3.80 is greater than 2.65 and also significant at 5% level. This implies that there is a uni-directional relationship between EXD_GNI and ED which is an evident that external debt slows

down economic development. Also, the FDI_GDP granger cause LABOR because the F-statistics of 5.04 is greater than 2.65 and also significant at 5% level, therefore, there is uni-directional relationship between FDI_GDP and LABOR and this is evident that investments promote employment.

Table 8
Pairwise Granger Causality Test

Null Hypothesis	Obs	F-Statistic	Prob.
EXD_GNI does not Granger Cause ED	33	3.80369	0.0346
ED does not Granger Cause EXD_GNI		1.89257	0.1695
LABOR does not Granger Cause FDI_GDP	33	0.17088	0.8438
FDI_GDP does not Granger Cause LABOR		5.03500	0.0136

Source: Author's compilation, 2017

CONCLUSION

This study examined the effect of corruption on development of Nigeria. The outcomes of this study confirm some previous studies' result. Our findings show that corruption has negative but significant effect on development, and also hinders economic development through foreign investment in Nigeria. The foundations of sustainable development can only be shaped if the society could get rid of corruption which may invariably reduce poverty if not completely eradicated. Trillions of Naira which have been stolen by few Nigerians would have been put into providing the socio-economic needs of the people. So, it is concluded that meaningful development cannot take place in Nigeria in a situation where corrupt officials, politicians and their cohorts engaged in reckless misallocation of resources due to lack of proper monitoring and inability to apply the basic rules and regulations. Overall, this study will be of benefit to the government in terms of formulating and implementing anti-corruption policy initiatives that will promote investment in human capital development that aids economic development.

In line with discussions and findings in in this study the following recommendations were made:

- There is need for the general populace to change their perception of material wealth for a better value system.
- Strong anti-corruption campaign must be put in place by the government.
- The country perception of the culture and legacy of corruption need to be transformed.
- There is need to strengthen anti-corruption agencies and also give them autonomy so as to enable them discharge their duties effectively.

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SOCIAL SCIENCES & HUMANITIES

Review Article

Malaysia's National Security Council Act 2016: A Critical Review in Reference to the Federal Constitution and the Rule of Law Principles

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ABSTRACT

The National Security Council Act 2016 (NSCA) came into force on the 1st of August 2016 and is a stringent security legislation that threatens Malaysian democracy because it has provisions that infringes fundamental rights as defined in the Federal Constitution (FC) of Malaysia and the principles of the Rule of Law. Currently, there are a number of laws such as the Security Offences (Special Measures) Act 2012 and the Prevention of Terrorism Act 2015 which were enacted to counter the threat of Malaysians joining the Islamic State of Iraq and Syria (ISIS). Despite the existence of these laws, the NSCA was enacted. Given the laws that already authorize detention without charge or trial, the need for the NSCA has raised questions. This study critically assesses the validity of the attacks that the NSCA contravenes or conflicts with the FC in two stages. First, it attempts to ascertain if the constitutional principles or rights said to be extinguished or eroded by the NSCA are really embodied in the FC and, if so, the extent to which they are a part the founding document. Next, it critically examines the provisions of the NSCA to determine the extent, if any, to which they represent a new assault on constitutional rights or principles. In line with this, this study provides a comprehensive overview on the NSCA using a purely doctrinal research method where key documents comprising the NSCA, the FC and the principles of the Rule of Law are analysed.

Keywords: Federal constitution, National Security Council Act 2016, rule of law

INTRODUCTION

"Those whose give up essential Liberty, to purchase a little temporary Safety, deserve neither Liberty for Safety"

~ Benjamin Franklin (1755)

Article 149 of the Federal Constitution (FC) permits the enactment of legislation to combat, inter alia, subversion and action prejudicial to public order in the form of detention without charge or trial purportedly to prevent any outrage against the security of the state (hereafter referred as preventive detention legislation). The oldest of preventive detention legislation since independence was the Internal Security Act 1960 ("ISA") which was in operation for 52 years, from 1960 until its repeal in 2012, The ISA was used to stifle legitimate opposition and silence lawful dissent (Tikamdas, 2003). Since the repeal of ISA, a number of anti-terrorists' statutes have been passed to address the threat of Malaysians joining the armed forces of the Islamic State of Iraq and Syria (ISIS). Among these are the Security Offences (Special Measures) Act 2012 ("SOSMA"), the Prevention of Terrorism Act 2015 ("POTA"), Prevention of Crime Act 2015 ("POCA") and most recently, the NSCA.

The process by which the NSCA was enacted from its enactment under Article 74(1) of the FC instead of Article 149, its rapid passage in the legislature, to the Malaysian Council of Rulers abandoning its normal aloofness from the legislative process to suggest changes to the proposed legislation (which suggestions were ignored by the government) to its being gazette without Royal assent is analysed. The National Security Council Bill was introduced in the House of Representatives on 1st of December 2015. The current Prime Minister (PM) had justified the passing of the law on the basis of the threats Malaysia was facing from the Islamic State (IS) and other terrorist activities (Alhadjri, 2016). In pursuance of this need, the National Security Council Bill 2015 was passed in Parliament after a six-hour proceeding taking two days to gain the majority vote, with 107 in favour and 74 against the bill. As we shall see, as a preventive detention legislation, the NSCA is of the same elk as the ISA. For that reason, it should have been passed under Article 149 of the FC. But it was not. Instead, it was enacted under Article 74(1) of the FC which empowered the Parliament to legislate on matters "in the Federal List or the Concurrent List" that is, the normal legislation of the nation. It is not known if inadvertence caused NSCA not to be the passed under the aegis of Article 149 or whether the by-passing of Article 149 was an ineffectual attempt to veil the fact that NSCA was a preventive detention statute.

That the NSCA 2016 was not enacted under Article 149 and yet has provisions that contravene some of the provisions of the FC is the main criticism against it. Since the Act has been purportedly passed pursuant to Article 74(1) (Gartland, 2016), it must conform to the constitution as a whole and this is indicated in the case of Ah Thian v. Government of Malaysia (1976). In this

case, the applicant had been charged with committing armed gang robbery under sections 392 and 397 of the Penal Code, an offense punishable under section 5 of the firearms (Increased Penalty) Act 1971 as amended. The argument brought forth was that the amended Act was ultra vires the FC as it contravened Article 8(1) of the FC. The court held that its powers to declare any law invalid on the grounds of Article 4 clause (2 and 3) is not subject to any restriction. Suffian LP observed that the doctrine of supremacy of Parliament did not apply in Malaysia. He added that we had a written constitution by which the powers of the Parliament and States were limited where they were prohibited from enacting laws as they wished. This would apply in cases where the Acts are enacted on a matter that the Parliament has no power under those conferred in Article 74 or is inconsistent with the FC according to Article 4(1) and Article 75. This limitation is clearly found in Article 74(3), "The power to make laws conferred by this Article is exercisable subject to any conditions or restrictions imposed with respect to any particular matter by this Constitution".

It must be borne in mind that the FC expressly declares the Constitution is the supreme law of the land (Art.4(1)) where it embodies three basic principles; fundamental liberties of individuals that cannot be encroached by the state, distribution of sovereign power between the Federation and the States, and that no power should be concentrated on one person (Loh Kooi Choon v. Government of Malaysia, 1977) any law enacted by the state must adhere to these principles for it to be constitutional. Chief Justice Eusoff Chin also stated that Article 74 (3) of the Constitution limits the Parliament's law-making power under Article 74 (1) as seen in the case of Faridah Begum bte Abdullah v. Sultan Haji Ahmad Al Mustain Billah Ibni Almarhum Sultan Abu Bakar Ri'Ayatuddin Al Mu' Adzam Shatch (1996). Harding (1996) distinguished Article 149 and 150 succinctly by stating that under Article 149, laws can only be enacted after it has been debated in the Parliament while under Article 150, it can be done by the executive without parliamentary debates. It must be noted that the National Security Act was enacted pursuant to Clause (4_A) of Article 66 of the FC where it allows an act to become law without royal assent. However, Article 66 refers to the process of law making which does not take away the fundamental rights provided in the FC. Any act that tampers with the fundamental rights under Part II of the FC can only be done via Article 149 and 150 and not under Article 66 as done in the case of NSCA 2016

The quoted words in effect mean that the fundamental liberties embodied by the FC may only be curtailed in the manner provided for by the Constitution under Article 149 (and Article 150 in an emergency). The NSCA 2016 itself does not recite the formula that Article 149 prescribes for a statute that provides for, inter alia, detention without charge or trial as does the NSCA 2016. Whether this makes the NSCA 2016 ultra vires the FC is an open question.

At this juncture, it is important to take note of Article 4 (1) and (3) of the FC which are quoted below:

> Art. 4(1) This Constitution is the supreme law of the Federation and any law passed after Merdeka Day which is inconsistent with this Constitution shall, to the extent of the inconsistency, be void.

> Art. 4(3) The validity of any law made by Parliament or the Legislature of any State shall not be questioned on the ground that it makes provision with respect to any matter with respect to which Parliament or, as the case may be, the Legislature of the State has no power to make laws, except in proceedings for a declaration that the law is invalid on that ground or—

> *(a)* if the law was made by Parliament, in proceedings between the Federation and one or more States;

> *(b)* if the law was made by the Legislature of a State, in proceedings between the Federation and that State.

This was discussed in length in the cases of Inspector-General of Police v. Tan Sri Raja Khalid bin Raja Harun (1988) and Minister for Home Affairs, Malaysia & Anor v. Jamaluddin bin Othman (1989). Both these cases are related to contentions about detention where the parties had filed for habeas corpus. The differences in the decisions indicate discrepancies in how the judiciary reviews Acts that contravene the FC. In the first case, it was held that 'where the detaining authorities invoke national security as the grounds for non-disclosure of facts leading to the making of an order of detention, the test to be applied by the court in any proceedings for habeas corpus would be a subjective test. However, in the second case, it was held that the Minister had no power to deprive a person of his right to profess and practice his religion which is guaranteed under Article 11 of the Constitution. If the Minister acts to restrict the freedom of a person from professing and practicing his religion, his act will be inconsistent with the provision of Article 11 and therefore any order of detention would not be valid. Here, it appears that the test applied was an objective test. Since, the detentions were made under ISA 1960 which was enacted under Article 149 of the FC and it is a legislation essentially to prevent and combat subversions and actions prejudicial to public order and national security, the second can be said to have given the proper reading of Articles 149 and 150 of the FC.

The way in which the NSCA was rushed through the legislature also raised eyebrows. To become law, a Bill which has been passed by both Houses must be assented to by the Yang di-Pertuan Agong (or His Majesty the King) within 30 days after it is presented to him for his assent (Article 66(1) and (3)). If a Bill is not assented to by the Yang di-Pertuan Agong within 30 days, it becomes law (Article 66(4A)). The Bill was passed without any amendments by the House of Representatives and Senate on

3rd and 22nd of December 2015 respectively. The opposition had criticized the act as, "power grab" that would give the PM absolute powers to declare an "emergency" (Star online, 2015). The report went on to cite some of the comments made by the opposition such as those of Lim Guan Eng (DAP-Bagan) who urged the Bill to be withdrawn and referred to the Parliament's Select Committee for proper consideration because the proposed laws would erode the power of the Yang di-Pertuan Agong and the states as it would allow the Government to declare an area as a security area and Datuk Seri Dr Wan Azizah Wan Ismail (PKR-Permatang Pauh) argument that the law would give absolute powers to the PM.

Although the Bill did not receive the royal assent as is the norm, the NSCA came into force on 1st of August 2016 pursuant to Article 66 (4A) of the FC. The Council of Rulers had requested for the NSC Bill that empowers the federal government to declare localized emergencies to be refined. However, their request was not taken into consideration. Lim Kit Siang told reporters during a walkabout in Sekinchan (Ruban, 2016) that the failure the government to *take heed* of this advice is clearly an act of disrespect and contempt towards the Conference of Rulers. According to Faruqi (2008), the Conference of Rulers has the power to veto federal legislation on several critical and sensitive issues as seen in Article 38(4) where it is stated that any amendment that directly affects the privileges, position, honors or dignities of the rulers shall not become law without their consent. However,

the amendment of Article 66 of the FC in 1984 has curtailed the powers of the Yang di-Pertuan Agong in the legislative process enabling the Parliament to bypass His Majesty if he does not consent to a bill 30 day after it is presented to him.

At this point, it is crucial to discuss the reactions of Council of Rulers to the amendment of Article 66 of the FC. It started in 1983 with the government's proposed amendments to the Constitution which triggered open conflict for the first time between the rulers and government (Rawlings, 1986). The proposed amendments changed the provisions with respect to the King's assent to bills where it is considered to have been assented to after 15 days from failure to assent (Constitution [Amendment] Bill, 1983). The proposed amendments would have also provided for a change in the power to declare an emergency. These amendments were not approved by the Conference of Rulers and led to political rallies by the PM and a media blitz (Gillen, 1995). Eventually a solution was found where the final amended version of the Constitution provided that the King, within 30 days of the passing of a bill by both houses, would either give his assent to the bill or, if it was not a money bill, return the bill to Parliament with a statement of reasons for his objection to the bill (Constitution [Amendment][No.1] Act, 1984). On the return of a bill, the bill will again be passed by both Houses and would again be presented to the King for his assent and the King would have 30 more days to assent to the bill after which time

the bill will be gazetted as law (Sulaiman, 2008). With regards to the amendment proposed in 1983 in respect of power to declare emergency, it appears to have been reinstated not in 1984 but only in 2016 under the NSCA 2016. Thus, it can be said that the role of the Council of Rulers and the King is being diluted slowly and this is something that the nation should be concerned about. This is supported by the view presented by Shad Salem Faruqi (2007) who has highlighted succinctly the important role played by the Council;

> Scrutiny by the conference can supply some check and balance and promote some openness and transparency. There is some potential for influencing the nation's goals and policies. One must remember that even in the UK the constitutional monarch is not prevented from "advising, cautioning and warning".

> Since the enactment of NSCA 2016, there are strong criticisms claiming that some of the provisions in the Act contravene the rights conferred by the Constitution. Further, there is criticism made that some of its provisions also contradict the principles of the Rule of Law and basic human rights upheld in the FC. This has become an area of concern and has triggered debates at various levels. The ongoing debate on the Act has prompted the researchers to conduct this research. The aim of this research is two-fold; firstly, it attempts to ascertain if the constitutional principles or basic human rights said to

be extinguished or eroded by the NSCA 2016 are really embodied in the FC and, if so, the extent to which they are a part of the founding document and secondly, it critically examines the provisions of the NSCA 2016 to determine the extent, if any, to which they represent a new assault on constitutional rights or principles. To achieve this, the three basic the principles of Rule of Law highlighted by Dicey (1985); the need to curb the conferral of discretionary power on government officials in the interests of certainty and predictability; the ability to seek a remedy in independent courts should the government act illegally and the importance of equality before the law were used. In essence, the study provides a comprehensive overview of the NSCA 2016 by adopting a doctrinal research method where key documents comprising the NSC Act, the FC and the principles of Rule of Law are analysed.

LITERATURE REVIEW

The NSCA's main objective is to endorse the National Security Council (NSC) which is a federal agency under the PM's Department responsible for managing and coordinating the implementation of policies related to the security of Malaysia. It was established on 23rd of February 1971 after the 13th of May 1969 racial riot. There was a number of changes in its name and composition over the years. Currently, it is chaired by the PM of Malaysia and comprises eight executive members including the Deputy Prime Minister as Deputy Chairman, NSC Director General, three ministers (Minister

of Defence, Minister of Foreign Affairs and the Minister of Communications and Multimedia), the Chief Secretary to the Government, Chief of Defence Forces (CDF) and the Inspector-General of Police (IGP). The NSC as it exists today was established to specifically co-ordinate policies related to the nation's safety and to provide instructions on safety including security movements, public peace and all matters related to safety. It must be noted that originally, the source of the NSC's authority (previously identified as MAGERAN and National Security Division) was Emergency (Essential Powers) Act 1969 and Emergency (Public Order and Prevention of Crime) Act 1969. However, with the abrogation of these ordinances, the role of the Council became purely administrative in nature and according to the current PM, this has raised the need for an Act that will formalize and strengthen its role to be more efficient in formulating new policies to ensure the safety of the nation (Najib, 2015). He further elaborated that the formal establishment of the NSC via a legislation is not something new and has been done in countries like the United States, United Kingdom, Germany, and most recently, Japan. The Act which was enacted to endorse the NSC has specific provision to regulate the council's role and function. In line with this, section 3 of the Act lists 4 primary functions of the NSC which includes formulating policies and strategic measures on national security, monitoring the implementation of the policies and strategic measures on national security, advising on the declaration of

security areas and performing any other functions related to the national security.

At this juncture, it is important to note that the last two functions are the ones which are being heavily criticized for infringing the doctrine of separation of powers. Giving the power to NSC to advise the PM on the declaration of security areas while an emergency is in force is equal to giving the power to one single person (PM) to decide the fate of a nation as the NSC is headed by the PM himself. Further, Section 3 also gives unlimited power to the NSC as seen in the broad phrase "perform any other functions related to national security" which can be open to abuse.

The passing of the NSCA has generated strong criticisms among various sectors of the community. Thiru (2015) raised several contestable arguments about the Act on the basis that it provided enormous powers to a single body, the passing of the Act itself not being under Articles 149 or 150 and the usurpation of the constitutional powers of the YDPA. Ananth (2016) supplemented this criticism by asserting that the passing of the NSCA was a colourable exercise of power and was therefore unlawful. The Act denies key fundamental liberties guaranteed under Part II of the constitution which can only be done under Articles 149 (pre-condition of identifying a threat to national security and including the same in a recital) and Article 150(5) (as emergency law during an emergency period). He went on to add that a constitutional authority could not do indirectly what it was not permitted to do directly and this could be considered as a

fraud for a Parliament cannot contravene its legislative power in a surreptitious or indirect manner as in the case of D.C. Wadhwa & Ors v. State of Bihar & Ors (1987). In Malaysia, a similar view was adopted in the case of Public Prosecutor v. Teh Cheng Poh (1979). This clearly shows that the act is unconstitutional as the basic human rights of Malaysians are being compromised.

Further, there is also concern that the Act contravenes some of the principles of the Rule of Law which is the essential key to establish a democratic state that provides legal guarantees for citizens' rights where the dignity of the individual is given utmost importance. If a nation upholds the principles of the Rule of Law, it means that the extant laws can restrain governmental excesses by promoting certain liberties and creating order and predictability on how a country function. Thus, it can be summed that the Rule of Law is a system that attempts to protect the rights of citizens from arbitrary and abusive use of government power. According to Hachez and Wouters (2013), the Rule of Law is a beacon for those who promote better-functioning legal systems for improving the interactions between the members of a social order. According to Dhanapal and Shamsuddin (2016), the most important application of the Rule of Law is the principle that governmental authority is legitimately exercised only in accordance with written, publicly disclosed laws adopted and enforced in accordance with the established procedural steps that are referred to as due process. Besides this,

there are other principles of the Rule of Law which the Act disregards. This comprises the breach of the three principles of the Rule of Law stressed by Dicey (1985): the need to curb the conferral of discretionary power on government officials in the interests of certainty and predictability; the ability to seek a remedy in independent courts should the government act illegally and the importance of equality before the law. These principles are clearly disregarded by Part IV and V of the NSCA. An example of how the act contravenes these key principles of the Rule of Law can be seen in section 38 which vetoes judicial review.

It can be stated that the Reid Commission actually intended to frame the Malaysian Constitution based on the principles of Rule of Law. The fundamental liberty provisions prepared by the Commission in reference to the principles of the Rule of Law are embedded in Part II of the Federal Constitution. This can be supported with the argument that if the original renditions of Articles 3, 4, & 10 of the Reid Commission recommendations in regards of fundamental liberties had been accepted altogether, Malaysia would now be more officially rooted in the principles of the Rule of Law than it is at present. An example can be seen in the words used in Article 3(1) and 3(2) of the draft proposal which asserts that:

> Art.3(1) The Constitution shall be the supreme law of the Federation, and any provision of the Constitution of any

State or of any law which is repugnant to any provision of this Constitution shall, to the extent of repugnance, be void.

Art.3(2) Where any public authority within the Federation or within any State performs any executive act which is inconsistent with any provision of this Constitution or any law, such act shall be void.

However, the final Constitution did not reflect this call to ensure the principles of the Rule of Law are upheld. As such it cannot be said emphatically that the principles of the Rule of Law are comprehensively preserved in the Constitution. According to Ahmad Masum (2009), the Malaysian Constitution does embody the principles of the Rule of Law in many of its provisions. However, he went on to claim in close reference to Article 4 of FC that "it is still a moot issue as to whether the Federal Constitution embody this fundamental doctrine as part and parcel of our legal system". Thus, it can be concluded that although the basic principles of the Rule of Law are found in some of the articles of FC, their applications are limited to a certain extent by the articles themselves of by other articles in FC which will be discussed further.

A recent case (Public Prosecutor v. Gan Boon Aun, 2017) has shed some light on this issue. There is indication that the courts consider the principles of the Rule of Law as contained in Part II of the FC are real and not just a myth. In this case, the High Court e found that the right of an accused person to be presumed innocent until proven guilty and the right of an accused person to have a charge proven against him beyond reasonable doubt are fundamental rights enshrined in Article 5(1) of the FC. Further, the High Court found that the deeming provision in section 122(1) of the Securities Industry Act 1983 (Act 280) strikes at the heart of Article 8(1) of the FC for the reason that the Public Prosecutor had discriminated against the respondent and Khiudin by charging them but not the other directors in the company.

ANALYSIS OF THE PROVISIONS OF THE NATIONAL SECURITY

COUNCIL ACT 2016

The NSCA has 44 sections and is divided into 7 parts as listed:

Part I : Preliminary (section 1 & 2)

Part II : National Security Council (section 3 to 14)

Part III : Duties of the Director General of National Security and Government Entities (section 15 to 17)

Part IV : Declaration of Security Area (section 18-21)

Part V : Special Powers of the Director of Operations and Security Forces Deployed to the Security Area (section 22 to 36)

Part VI : General (section 37 to 42)
Part VII: Savings (section 43 to 44)

An analysis of the key sections of the Act will show that there are extensive powers given to the NSC. Table 1 list some of the keys sections which many have viewed as contravening the rights upheld under Part II of the FC which, according to them, comprises the principles of the Rule of Law.

An analysis of the sections listed in Table 1 shows that the NSC has been

Table 1

Selected provisions of NSC Act 2016

Sections	Powers Conferred
Section 18	"Declaration of security area - the Prime Minister may declare in writing if he considers it to be necessary in the interest of national security."
Section 22	"Exclusion and evacuation of persons - Security forces can evacuate or resettle any person or persons from any part of the security area."
Section 24 and 25	"Power to control movement, road, etc. - Provides the power to control the movement of any person." "Power of arrest - Provides power to arrest anyone without the need of a warrant respectively."
Section 26	"Power to search and seize - Security forces can evacuate or resettle any person or persons from any part of the security area."
Section 27 and 28	"Power to search premises for dangerous things - Grants Security Forces the power to search premises." "Power to search persons for dangerous things - Grants Security Forces the power to search the person for dangerous thing; and seize any such dangerous thing found in the search."
Section 29	"Power to seize vehicle, vessel, aircraft or conveyance - Provides for the power to seize vehicles and other properties in the security area if he suspects that the vehicle, vessel, aircraft or conveyance is likely to be connected with the commission of an offence under any written laws."
Section 30	"Power to take temporary possession of land, building or movable property - Provides for the power to take temporary possession of land, building or movable property in the interest of national security."
Section 31	"Demand for use of resources - Permits the Government to demand the use of resources including utilities and assets."
Section 34	"Use of reasonable and necessary force - Provides for the use of reasonable and necessary force to preserve national security."
Section 35	"Power to dispense with inquests, etc.- power of a Magistrate or coroner to dispense with death inquiry or inquests on the dead body of any member of the Security Forces on duty in a security area or on the body of any person if the Magistrate or coroner is satisfied that the person has been killed in the security area as a result of operations undertaken by the Security Forces for the purpose of enforcing any written laws."

given vague wide-ranging powers without any limitations imposed on them. This is clearly indicated in section 38 which confers conferring immunity upon the members of the NSC and Security Forces. The section clearly prohibits "any action, suit, prosecution or any other proceeding shall lie or be brought, instituted or maintained in any court against the Council, any committee, any member of the Council or committee, the Director of Operations, or any member of the Security Forces or personnel of other Government Entities in respect of any act, neglect or default done or omitted by it or him in good faith, in such capacity" Ismail (2016) denounced the absence of any mechanism to review any direction or order under the NSCA as providing 'blanket immunity' to the council. This clearly contravenes the principle of the Rule of Law that all people and institutions are subject to and accountable to law that is fairly applied and enforced; the principle of government by law (Bingham, 2011). Section 38 which forbids judicial review displaces the principle of the Rule of Law advocated by Dicey (1985) that the law should provide for a remedy in independent courts against government illegality. In addition, according to Ratnapala et al., (2007), the principles the Rule of Law has laid the basis for the legal protection of fundamental rights against political tyranny where there is a presupposition that rules exist to serve as an effective check on the exercise of government power. Leong (2014), had argued, in relation to the

SOSMA, the repeal of any provision that excluded judicial review as an infringement to the doctrine of separation of powers. This criticism applies to the NSC too. However, the validity of this criticism must be understood with reference to the views presented by the Federal Court in the case of Pendakwa Raya (Public Prosecutor) *v.* Kok Wah Kuan (2007). According to Tun Abdul Hamid Mohamad, delivering the majority judgment:

> The Malaysian Constitution has features of the doctrine of the separation of powers and at the same time, contains features which do not strictly comply with the doctrine. To what extent the doctrine applies depends on the provisions of the Constitution. … A provision of the Constitution cannot be struck out on the ground that it contravenes the doctrine. Similarly, no provision of the law may be struck out as unconstitutional if it is not inconsistent with the Constitution, even though it may be inconsistent with the doctrine. The doctrine is not a provision of the Malaysian Constitution even though it influenced the framers of the Malaysian Constitution.

His Lordship concludes that the separation of power is not part of the FC. However, in the same case, Richard Malanjum CJ (Sabah & Sarawak) held that:

> if the courts in Malaysia can only function in accordance

with what has been assigned to them by federal laws, it would be contrary to the democratic system of government wherein the courts form the third branch of the government and function to ensure that there is 'check and balance' in the system including the crucial duty to dispense justice according to law.

The authors are of the opinion that the doctrine of separation of powers is imbedded in the FC although it is not worded explicitly. This assumption is based on the fact that the FC is divided into distinctive parts which discuss the powers of the legislative, executive and judiciary separately. Ahmad Masum (2009) was concerned by the ouster clause in section 38 as judicial review was important in protecting individuals from arbitrary action of powerful bodies especially the government. Although the phrase "in good faith" in section 38 seems to be a safeguard, nowhere in the Act is there a definition of how the subjective phrase 'good faith' is to be determined. In order to ensure there is consistency in interpretation, the phrase 'good faith' must be defined as in the Malaysian Penal Code. The immunity is strengthened by section 40 providing that the Public Authorities Protection Act 1948 [Act 198] 'shall apply to any action, suit, prosecution or proceedings against the Council, any committee, any member of the Council or committee, the Director of Operations, or any member of the Security Forces or personnel of other Government Entities in respect of any act

or thing done or committed by it or him in such capacity'. It must be conceded here that such ouster clause is not exclusive to NSCA 2016 alone for it can be found in many Acts such as Anti-Money Laundering, Anti-Terrorism Financing and Proceeds of Unlawful Activities Act 2001, Security Offences (Special Measures) Act 2012 and Security Offences (Special Measures) Act 2012.

The sections highlighted in Table 1 are objectionable for many reasons. First and foremost, once the PM declares an area as security area under section 18 (1), he has the "power to appoint a person from amongst the public officers to be the Director General (DG) of National Security" (section 15) at the advice of the Chief Secretary of the Government. As a safeguard, this is an inadequate in the light of the extensive powers conferred upon the DG. r Section 16 empowers the DG to discharge a list of duties. The list may be supplemented with him having to e "perform such other duties as directed by the council" (section 16 (2) (g). If this meant to present the DG as an independent officer acting as he deems fit, it is defective The office of the DG as a democratic safeguard lacks credibility because the Chief Secretary of the Government is an appointee of and holds office in reality at the pleasure of the PM and he is supposed to advise the PM; it is like the PM advising himself.

Further, there is also concern that the proclamation of an area as a security area is at the sole discretion of the PM. This power is seen to be a usurpation of the powers of

the YDPA (the King) as under Article 150 of the FC, it is only the King who has the power to declare a state of emergency. Under the NSCA, the PM has total discretion to declare an area as security area. According to Shad Saleem Faruqi, the King's power to declare emergency is not absolute because under Article 40(1) and 40(1A), all the powers under Article 150(1) are subject to ministerial advice and this has been affirmed in Stephen Kalong Ningkan (1968), Karam Singh v. Menteri Hal Ehwal Dalam Negeri Malaysia (Minister of Home Affairs Malaysia) (1969), Madhavan Nair & Anor. v. Public Prosecutor (1975), Public Prosecutor v. Teh Cheng Poh (1979), Balakrishnan v. Ketua Pengarah Perkhidmatan Awam Malaysia (Director General of Public Service Malaysia) & The Government of Malaysia (1981) and Abdul Ghani bin Ali Ahmad & Ors v. Public Prosecutor (2001).. Thus, the PM's power to declare a security area in times of emergency is not a radical change. The NSCA 2016 does provide some check against this power which is said to be conclusive. This is seen in section 18(6) which provides that "a declaration made under subsection (1) and the renewal of declaration made under subsection (4) shall be published in the Gazette and laid before Parliament as soon as possible after it has been made, and if resolutions are passed by both Houses of Parliament annulling the declaration, it shall cease to have effect, notwithstanding subsections (3) and (4), but without prejudice to anything previously done by virtue of the declaration." This provision is another illusory safeguard

given the overwhelming majority that the current government has in both Houses of Parliament.

In reference to the powers that are related to the declaration of the security area, it must be noted that the powers given are extensive as indicated in the words and phrases quoted from various sections of NSCA 2016. These include the power to 'exclude, evacuate, resettle any person or groups of persons' (section 22), 'order people to remain indoors unless with permit' (section 23), 'control the movement of persons, vehicles, vessels, etc'. (section 42), 'to control or prohibit the use of any road, waterway or airspace' (section 29), 'to arrest any individual without a warrant' (section 25) and 'impose severe restrictions on the right to property' (sections 30-33). These powers can be said to violate basic human rights as conferred in the FC. This is affirmed by Malik Imtiaz Sarwar and Surendra Ananth (2016) who declared that some of the sections of NSCA were inconsistent with the FC and the key provisions of the Act illegitimately violated the fundamental liberties guaranteed under Part II of the FC. Khaira (2007) too agreed that the Act contravened Article 5, 9, 10 and 13 of the FC. Here it is important to note that the fundamental rights under Part II of the FC are not absolute as these rights can be cribbed by the articles in the FC. For example, Art. 9 which provides for the freedom of movement may be limited by 'any law relating to the security of the Federation or any part thereof, public order, public health, or the punishment of

offenders and Art. 10 which guarantees freedom of speech, assembly and association provides that Parliament may by law impose restrictions on these rights on various grounds including security and public order. Further, Article 149 and 150 provide for the infringement of the basic human rights upheld in the FC through special powers to be used against subversion, organized violence, acts and crimes prejudicial to the public order as well as emergency powers.

According to Robertson (2016), Deputy Asia Director, "[g]iven the Malaysian government's recent track record of harassing and arresting government critics, the likely abuses under this new law are truly frightening" and there are serious "concerns that this law will be used as a back door to severe rights violations, using government claims that it only seeks to protect its citizens from terror threats." It can become a reincarnation of ISA 1960 which was first introduced with assurance by the PM at that time, Tun Razak, that the Act will only be used to address communists' terrorists but subsequently it was used for political victimization. In line with all these concerns, Human Rights Watch (2016) said that the NSCA 2016 should be repealed as the law could be used to impose unjust restrictions on freedom of opinion, expression and assembly and it is recommended that there is a need for the Malaysian government to review its laws to integrate international human rights standards into its effort to counter terrorism. Non-governmental organizations, including human rights groups such as SUARA Rakyat Malaysia

(SUARAM), Lawyers for Liberty, BERSIH, and Amnesty International Malaysia have also raised strong criticisms against the Act.

Josef Benedict, Amnesty's Deputy Director for Southeast Asia and the Pacific claims that with the new law, the government has disdained checks and has assumed theoretically abusive powers (cited in Gartland, 2016). The country's opposition coalition, Pakatan Harapan, also said that the coming into force of the NSCA has brought Malaysia "to the brink of dictatorship" (Gartland, 2016). According to Razali Ismail (2016), the Chairperson of the Human Rights Commission of Malaysia (Suhakam), the imposition of emergency-like conditions in security areas declared by NSC have ensued in the suppression of groups whose ideas are incompatible with the state. He cited the internal conflict in Nanggroe Aceh Darussalam, Indonesia where after the presidential decree declaring a 'military emergency' had led to the loss of thousands of lives, destruction of properties and suspension as well as violation of fundamental rights as an example. The example cited can very well occur in Malaysia if a state of emergency is proclaimed under section. 18 of NSCA 2016 and security forces are deployed to the area under section 22 of NSCA 2016.

Another important criticism raised against the Act by various parties is summarized succinctly by Sarwar and Ananth (2016). They argued that the provisions of the Act contravene Article 5 (Life and Personal Liberty), Article 9 (Freedom of Movement), Article 10

(Freedom of Speech, Assembly and Association) and 13 (Rights to Property) of the FC. It has also been claimed that the enactment of the Act is unconstitutional as the provisions within the Act overrides rights conferred by the Constitution. It must be noted that Article 149 empowers the Parliament to enact legislation against subversion and action prejudicial to public order but it lays out a special procedure for the enacting of such laws while Article 150 (5) confers the same power to the Parliament but such power is only available during a state of emergency (Osman & Anor v Public Prosecutor, 1968). Thus, for a law to legitimately override Articles 5, 9, 10, and 13 of the FC, it must be purported to be made under either Article 149 or 150 but the enactment of NSCA does not fall within these ambits. According to Sarwar and Ananth (2016), the provisions of the Act deny fundamental liberties guaranteed under Part II of the FC and the Parliament does not have the power to enact an Act with such provisions unless certain conditions prevail.

In moving the second reading of the Bill that became the NSCA, Shahidan bin Kassim Bill 61 (2015) argued that the enactment of the NSCA was crucial as an increasing number of terrorists' activities were e threatening Malaysia's sovereignty. To counter these threats, it was crucial to enhance intelligence gathering and sharing and this is provided for under section 17(3) of NSCA 2016, and to have a more unified security force that will respond expeditiously to unfolding events to minimize loss. Parameswaran (2015) reports

that the NSCA 2016 has a positive outcome in that it validates the existing NSC to ensure that it is able to act in a more efficient and effective manner to streamline policies and the country's security strategies but he adds that this does not eradicate the fact that the Act also affords the government wide powers of arrest, search and seizure without a warrant in the so-called "security zones". According to Steven Thiru, "the extensive powers under the Act effectively resurrect the powers granted to the Government under the Emergency Ordinances, which were repealed by Parliament in 2011". Thus, it appears that the act was enacted to reinstate the power of arrest without warrant in times of emergency which is not justified for the current situation in Malaysia does not require such drastic measures. Najib Razak, Malaysian PM (cited in Parameswaran, 2015) claims that the NSCA is necessary to ensure Malaysia's NSC is on par with similar agencies in the United States (The United States NSC, 1947), Japan (NSC, 2013), Britain (NSC, 2010) and other countries. An analysis of the councils of the various countries show clear indication that the powers inherent in those councils are for more extensive as compared to the Malaysian council for example, the US NSC has authority to kill terrorists that have been identified and placed on a kill or capture list by a secretive panel of senior government officials, which then informs the president of its decisions for necessary action (Hosenball, 2011). In comparison, Malaysia's NSCA 2016 does not provide such extreme powers to the NSC. With this

argument, the authors are not condoning such extremism but are merely showing evidences as to how other nations treat terrorists without mercy.

The criticism that the NSCA 2016 usurps the power of the YDPA has been answered by Paxton (1978) and Harding (1996) long before the enactment of the NSCA 2016. The short answer is that when the YDPA functions as the supreme commander of armed forces, he has to act on the advice of the Cabinet (Paxton 1978). Harding's (1996) comment that although the armed forces are acting directly under the YDPA and the Cabinet, the YDPA's role

as the Supreme Commander of the armed forces is purely ceremonial and that it is the government which has control over the armed forces.

Another point which most critics of the NSCA 2016 have not given adequate attention is the difference in the extent of powers conferred by Article 150 of the FC and section 18 of the NSCA 2016. A linguistic analysis reveals a major distinction between the two. Article 150 of the FC and section 18 of NSCA 2016 are quoted in Table 2 (words are bolded for emphasis) to show the distinction:

Table 2

Comparison between Article 150 of FC and Section 18 of NSCA 2016

Article 150 Federal Constitution	Section 18 NSCA 2016
150. (1) *"If the Yang di-Pertuan Agong is satisfied that* **a grave emergency exists whereby the security, or the economic life, or public order in the Federation or any part thereof is threatened,** *he may issue a* **Proclamation of Emergency** *making therein a declaration to that effect." (2c) "An ordinance promulgated under Clause (2b) shall have the same force and effect as an Act of Parliament and shall continue in full force and effect as if it is an Act of Parliament until it is revoked or annulled under Clause (3) or until it lapses under Clause (7); ...."*	**18. (1)** *"Where the Council advises the Prime Minister that the* **security in any area in Malaysia** *is seriously disturbed or threatened by any person matter or thing which causes or is likely* **to cause serious harm to the people, or serious harm to the territories, economy, national key infrastructure of Malaysia or any other interest of Malaysia,** *and* **requires immediate national response,** *the Prime Minister may, if he considers it to be necessary in the interest of national security,* **declare in writing the area as a security area."**
(3) *"A Proclamation of Emergency and any ordinance promulgated under Clause (2b) shall be laid before both Houses of Parliament and, if not sooner revoked,* **shall cease to have effect if resolutions are passed by both Houses annulling such Proclamation or ordinance…."**	**(2)** *"A declaration made under subsection (1) Shall - (a) apply only to such security area as specified in the declaration; and (b) cease to have effect upon the expiration of the period specified in subsection (3) or upon the expiration of the period of renewal specified in subsection (4), or in accordance with subsection (6).*
(7) *"At the expiration of a period of six months beginning with the date on which a Proclamation of Emergency ceases to be in force,* *any ordinance promulgated in pursuance of the Proclamation and, to the extent that it could not have been validly made but for this Article, any law made while the Proclamation was in force,* **shall cease to have effect, except as to things done or omitted to be done before the expiration of that period."**	**(3)** *"A declaration made under subsection (1) shall, but without prejudice to anything previously done by virtue of the declaration,* **cease to have effect upon the expiration of six months from the date it comes into force".**
	(4) *"Notwithstanding subsection (3),* **a declaration in force may be renewed by the Prime Minister from time to time for such period, not exceeding six months at a time, as may be specified in the declaration."**

Two important things must be considered here. Firstly, under Article 150, the YDPA has the power to issue a proclamation of emergency to cover the whole federation but under section 18 of the NSCA 2016, the PM can only declare a specific area or number of areas and not the whole Federation as a security area. This conclusion flows from the section18 of the NSCA 2016 replacing the word 'Federation' in Article 150 (1) of the FC with the phrase 'the area'. Section 4(3) the Malaysian Interpretation Acts 1948 and1967 states that "words and expressions in the singular include the plural, and words and expressions in the plural include the singular." However, the phrase, 'the area' in section 18 of NSCA 2016 reflects the intentional limiting of the power conferred by the NSC on the PM to a specific geographical area or a number of such areas but not the Federation as a whole. Thus, under the NSCA 2016, the PM has lesser power than that conferred by Article 150 upon the YDPA. Despite this, it must be concurred that the greater extent of the King's power in this context is illusory as under Article 150 read with Article 40(1A), his Majesty has to act on the advice of the Cabinet. Another difference in the power conferred by NSCA 2016, is that the PM has the power to renew the declaration of a security area for periods not exceeding 6 months at a time without limit. However, under the FC, the proclamation of an emergency has full force and effect as if it is an Act of Parliament until it is revoked or annulled under Clause (3) or until it lapses under Clause (7). Hence, there is a limitation

to the duration of the proclamation under Article 150. This may seem to be a hitherto unrecognized important distinction between Article 150 and section 18 of the NSCA 2016. Although some claim that the power to declare emergency under NSCA 2016 does not really transform the scenario which existed in the past with the power being in the hands of YDPA under Article 150 of FC, the authors personally feel that there is a difference between the two. The YDPA acting on the advice of the PM to declare emergency of the federation is definitely different from the PM deciding on the advice of NSC to enforce an emergency on a specific area or areas.

The NSCA 2016 is mired, largely in the popular press, in a debate about the need and implications of the statute. The conflicting opinions of the different stakeholders are supported with convincing justifications of different levels as the perspectives come from different angles of either upholding human rights or the national security of the nation at the cost of human rights. Further, the concern is intensified due to some of the provisions of the Act which abrogate the principles of the Rule of Law and basic human rights.

CONCLUSION

The NSCA is a harsh legislation described by some as a draconian law which threatens democracy. This is mainly due to a number of its provisions which infringe the fundamental rights as defined under the FC itself. It is claimed that NSCA is beneficial in that it strengthens the pre-existing

NSC in endowing it with an advisory role in security related matters. However, it cannot be denied that the NSCA gives unrestricted powers to the Council and in being enacted like any other ordinary law, and in violating the fundamental human rights, it is unconstitutional and unlawful. Further, we close by drawing attention to the fact that for the first time since 1948, a state of emergency does not exist in Malaysia. Yet, the NSCA, a statute conferring powers meant to deal with an emergency has been enacted. Proponents of the NSCA may scream that the NSCA is a preventive legislation meant to prevent unthinkable terrorists' atrocities, it has to be pointed out that a slew of emergence legislation (such as the SOSMA, the "POTA", the POCA are already in place with similar provisions. In short, the NSCA is unjustified, unnecessary and unconstitutional in being enacted under Article 66(4) of the FC which does not permit the abrogation of basic human rights. Thus, we conclude that the NSCA 2016 is redundant and also antithetical to the concept of constitutional democracy.

Finally, the big elephant in the room in all matters related to emergency legislation in Malaysia has to be identified. This is in the fear that the government will, as it has in the past, misuse this emergency/security legislation to suppress dissent and political opponents. Most statutes are not perfect and even which seem to be at the time they are "born" can be improved. The NSCA is, as should be apparent, perfect. Yet, it is hard to foresee the government repealing it. The best that can be hoped for is that it will be reviewed. In any review of the NSCA, it is crucial to restore judicial review which operationalizes the principles of the Rule of Law. Without the judicial review, the democratic state will be short of the legal mechanism necessary for a civilized society to flourish. There is no doubt that there is a need for internal security legislation to protect the nation from terrorist atrocities. However, such laws should strike a balance between the need to protect national security and the protection of basic human rights. Given the other internal security laws in Malaysia, the superfluity of the NSCA is glaring. We conclude with the words of Benjamin Franklin's quoted at the beginning of this paper "Liberty without Safety and Safety without Liberty is meaningless".

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A New Paradigm of Indonesian Forest Management Based on Local Wisdom

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ABSTRACT

At present, Indonesia still applies the state-based paradigm of forest management. When the State takes full control of the forest management, it causes mismanagement, such as forest degradation and deforestation, displacement of local communities from their lands, loss of biodiversity, and forest fires. This paper proposes a new paradigm of forest management in Indonesia that is based on local wisdom. A review of the literature was carried out in which the following were discussed in detail: local wisdom, the decentralization of forest management in the era of autonomy, and the status of tribal peoples in relation to forest management. This paper argues that there are several challenges to the paradigm shift in forest management, which include (a) a narrow interpretation of Article 18B, Paragraph 2, and Article 33, Paragraph (3) of the 1945 Constitution of the Republic of Indonesia; (b) regional regulation of the legalization of tribal peoples; (c) the strong influence of the principle of state-owned property *(domein verklaring)*; and (d) the lack of participation of tribal peoples. Four solutions are proposed toward building a new paradigm of forest management in Indonesia: (a) a broader reinterpretation of Article 18B, Paragraph 2, and Article 33, Paragraph 3, of the 1945 Constitution of the Republic of Indonesia; (b) simplification of the legalization procedure for tribal peoples; (c) mechanism implementation of the state owned principle; and (d) optimization of the participation of tribal peoples in a co-management system.

Keywords: Community-based forest management, forest management in Indonesia, local wisdom, new paradigm

INTRODUCTION

For more than 50 years, the management of forest resources in Indonesia has experienced Dutch disease, that is, the excessive exploitation of natural resources without regard for their sustainability. The government tends to address political policies on forest management as a zero-sum game, thus resulting in authoritarian forest management by either the government or businesses in the forestry sector (Runggandini, 2015).

Authoritarianism in forest management leads to massive ecocide practices that threaten the source of life of human beings and negatively impact the national economy. Moreover, ecocide practices result in the loss of both human rights and ecosystem rights, as well as endangering the sustainability of human life, the next generation, and biodiversity (Saleh, 2005).

Forest exploitation continues to increase due to the demands of expanding capital for more profit. The policies and political-economic system of a country also result in practices that are destructive to nature. In the present work, "country" refers to an exploiter and capital hunter, along with the massive power it possesses. Over time, natural resources diminish, water becomes polluted, lands become arid, pollution levels increase, and natural ecosystems deteriorate (Saleh, 2005).

The inappropriateness in managing forests is probably caused by the lack of concern for involving parties in understanding the essence of the representatives and the detailed principles

of regulations and procedures that have to be carried out. Thus, the existing regulations achieve the opposite of their intended effect, resulting in more problems (Kartodihardjo, 2002).

The innovation for community-based forest development is hampered by a linear approach, which is not innovatively interpreted in either the Constitution or government regulations. When the legislation is not clear and effective enough to provide solutions to the problems that occur, the policies will not produce their intended results (Kartodihardjo, 2002).

Paramita Iswari, the Head of Circle for *Agrarian* and *Rural* Reform, agrees that indigenous people have suffered considerably from the impact of policies regulating development in the New Order. Their existence and life sustainability have been paralyzed and destroyed by unjust development policies. The intimidation has been legally done by intentionally reinforcing that it is all for the sake of development (Thamrin, 2015). The government tends to ignore the fact that there is plurality between the legal institutions among societies and the existence and role of tribal peoples in the development of the nation (Nurjaya, 2012a, 2012b).

The bottom line is that the unfairness is felt by most tribal peoples, as follows: (1) unfairness in owning natural resources; (2) unfairness in using natural resources; and (3) unfairness in decision-making related to the ownership and use of natural resources. This creates conflicts that inevitably lead to the destruction of the environment, on which

social production and cultural reproduction are based (Malik et al., 2003).

The government is exerting efforts to bring back the roles of communities living around the forests through several alternative models, such as Forest Management with Community, Community Forests, Empowerment of Villagers of Forest Areas, and Social Forestry. However, these efforts have not been maximally carried out.

The return of the forest—to which the native communities have the right (*ulayat*) and which is seen as valid according to Customary law—to the hands of the tribal peoples is stipulated in the Decision of Constitutional Court No. 35/PUU-X/2012. Tribal peoples are considered as legal subjects with the right to cultivate natural resources. However, this Constitutional Court Decision has yet to succeed in creating a paradigm of fundamental and thorough forest management. Hence, there is a need for a comprehensive study of the challenges and strategies required to transform the paradigm of forest management from state-based to community-based according to the local wisdom in Indonesia.

Theoretical Framework
The Concept of Local Wisdom.
Etymologically, local wisdom consists of two words. "Wisdom", *kearifan* or *bijaksana* in Indonesian*,* refers to the love of wisdom and intelligence (Echols & Shadily, 2017). "Local" may mean *setempat* (locally), *komunitas tertentu* (particular communities), or *wilayah tertentu* (particular regions) in Indonesian (ibid). Thus, local wisdom as a whole can refer to wisdom and wise ideas from particular communities or regions.

Sibarani found that local wisdom can be viewed from two different perspectives: (1) *Kearifan* (wisdom), or the original knowledge of communities, which stems from noble values of cultural traditions in the rule of communities. In this context, local wisdom is emphasized on *kearifan* (wisdom) or the sharpness required to organize social life formed by noble values; and (2) Local wisdom comprises values of local cultures that are involved to create the safety needed by communities in a wise way. In this case, local wisdom is seen as the cultural values that are involved to control social life (Erwany et al., 2016).

Furthermore, the international legal instrument on the local wisdom concept can be found in the ILO Convention No.169 of 1989 on Indigenous and Tribal Peoples. According to this Convention, the scope of local wisdom, especially in managing natural resources, can be divided into two categories, indigenous and tribal.

The existence of local wisdom cannot be separated from the existence of tribal peoples. Local wisdom is passed on from generation to generation by a leader or an influential person among the tribal peoples. In relation to forests, local wisdom contributes to the protection of forests and natural environments, which are central habitats in the communities and play an important role toward human survival. If people fail to maintain their natural environment, they will surely fail to survive (Sungkharat et al., 2010).

Tribal peoples have collective rights regarding the natural resources of the forests in their regions. These may include (a) the right to rule; (b) the right to use the lands; (c) the right to provide; (d) the right to take care of the lands; and (e) the right to decide the relationship of law with its people and natural resources (Konradus, 2015).

These collective rights can be viewed from two perspectives: structural and cultural. Structural collective rights are known as given rights. It is the responsibility of the state to guarantee, protect, and meet these rights, including the right to political participation in deciding on all forms of development for the communities in terms of enjoying what nature can give them. Collective cultural rights are known as innate rights. These rights are naturally brought together in a system related to environment management and its resources (Saleh, 2005).

Local wisdom is often applied as a solution to several problems faced by a community. In general, local wisdom can also serve as a means to solve environment-related problems in a community in a way upon which all the members of the community can agree. However, Indonesian laws, to some extent, often override and marginalize the rights of the local communities, known as tribal people or "adat" communities, in particular with regard to control over the natural resources. Here, the overlapping between the state law and the law of local communities emerges (Nurjaya, 2014).

Forest Management Decentralization under Autonomy. Article 1, Paragraph 8, Law No. 23, Year 2014, on Local Government defines decentralization as delegating the responsibility of the central government to certain regions that are in the hierarchy of the autonomy. Manan (2005) asserted that the local government system in Indonesia only adopted the principle of autonomy and its supplementary tasks. He agreed that decentralization could not be regarded as a principle but as a process or method of carrying out a task.

Article 9, Paragraph (1), Law No. 23, Year 2014, on Local Government divides government responsibilities into three categories: absolute, concurrent, and general. Concurrent responsibility comprises two categories, namely, compulsory and optional responsibility. Compulsory responsibility is further broken down into two categories—basic services and non-basic services.

The authority to rule and determine tribal peoples is under compulsory responsibility for non-basic services related to community and village empowerment. The forest sector, however, falls under the concurrent optional responsibility, which is carried out collaboratively by the provincial government and the local regency/municipal government.

Furthermore, according to the scope of the authority, an essential aspect can be centralized to the regions; that is, administrative, fiscal, or political decentralization can be implemented. Administrative decentralization involves giving authority to local governments

regarding the delivery of public services. Fiscal decentralization is related to the financial balance between the central and local governments in terms of a general allocation fund, specific allocation fund, and revenue sharing fund. Political decentralization focuses on delegating authority to local governments with regard to public policy (Nurrochmat, 2010).

By virtue of the autonomy principle stipulated in the Law of Regional Government, the local government is able to create several legal products in the regions to help guarantee the existence of tribal peoples and villages, along with their *ulayat* rights. Moreover, the local government has autonomy in managing the forests in its region and has the right to create legal products in the region as long as the forest is within the region.

The Status of Tribal peoples in Forest Management. After an examination of Law No. 41, Year 1999, on Forestry, the Constitutional Court Decision No. 35/PUU-X/2012 made significant changes related to the status of tribal peoples in tribal forest management. The decision led to some juridical consequences, as follows:

1. Tribal peoples are acknowledged as legal subjects.

In accordance with Article 18B, Paragraph (2), of the 1945 Constitution of the Republic of Indonesia, the Constitutional Court states that tribal peoples are legal subjects, constitutionally acknowledged and are respected as individuals with rights and obligations. The decision made by the Constitutional Court affirms that there are three legal subjects in the Forestry Law: (a) The State; (b) Tribal peoples; and (c) Individuals.

2. Customary forests are under the forests-subject-to-rights grouping.

According to the Constitutional Court, the management of customary forests, which are part of state forests, has led to some acts of discrimination, unfairness, and uncertainty in the Law. Therefore, the Constitutional Court agrees that Law Article 5, Paragraph (1), is contradictory to the 1945 Constitution of the Republic of Indonesia with conditions applied. Thus, customary forests are no longer under the category of state forests but instead are classified as forests subject to rights, which consist of customary forests and privately owned forests or those owned by legal bodies.

3. Tribal peoples have the right to manage how customary forests are used.

The rights owned by tribal peoples are stated in the Law Article 67, No. 41, Year 1999, on Forestry, as follows:

"As long as they still exist and their existence is acknowledged, tribal peoples have the right to:

a) earn money from forests to meet their daily needs;

b) cultivate forests according to customary law and not in contradiction to the Law of the Republic of Indonesia; and

c) be empowered to help improve their welfare."

After the decision made by the Constitutional Court, as stated in Decision No. 35/PUU-X/2012, both local and central

governments have made several regulations under the legislation. There are at least 10 regulations under the legislation on strengthening the existence of tribal peoples:

a.   Law No. 6, Year 2014, on Villages

Under the Law of Villages, a tribal village is defined as an option. When there are tribal villages, the government should carry out both general and tribal tasks, which may include (a) managing tribe-related governance, (b) carrying out the development of tribal villages, (c) holding social training for the government of tribal villages, and (d) empowering tribal peoples. In terms of development, tribal peoples have the right to apply local wisdom and use the natural resources of their villages, including the produce obtained from tribal forests.

Generally, Article 97, Paragraph (1), subsection (a), of the Law of Villages states that one of the requirements in determining tribal villages should be territorial, genealogical, or functional. In addition, tribal villages should have the following facultative and cumulative requirements: (a) tribal peoples should have the feeling of community (in-group feeling), (b) there should be structures of government, (c) there should be wealth and/or tribal valuable things, and (d) there should be a set of legal norms in the community.

b.   Regional Regulation

As stated in Law No. 6, Article 98, Paragraph (1), Year 2014, on Villages, the determination of a tribal village (tribal peoples) is implied in the Regional Regulation. Therefore, the Regional Regulation plays an important role in making tribal peoples legal subjects. Since the implementation of Constitutional Court Decision No. 35/PUU-X/2012 until February 2017, the Epistema Institute has recorded that there have been 65 legal products of new regions regarding tribal peoples with the following substances: (a) tribal institutions, (b) tribal courts, (c) determining tribal peoples, (d) determining tribal regions, and (5) tribal forests. Unfortunately, regarding tribal forests, only 213,541.01 hectares of lands and forests have been determined as tribal areas (Arizona et al., 2017).

c.   Other Laws

1.   Ministry of Forestry Regulation No. P.62/Menhut-II/2013, regarding the change in Ministry of Forestry Regulation No. P.44/Menhut-II/2012 on the Inauguration of Forest Regions. The essential part of Ministry of Forestry Regulation No. P.62/Menhut-II/2013 is found in Article 24A, Paragraph (3), which states that "when the areas which tribal peoples are entitled to are partially or entirely within forests, those areas are then excluded from the forest regions." Basically, this regulation is contradictory to the regulation of the Constitutional Court, in which such forests are deemed as part of forests subject to rights; thus, the areas are not excluded from forest regions. According to the Tribal Peoples Alliance of Nusantara (AMAN), the exclusion of forests subject to rights is against the principle stating that tribal peoples are regarded as legal subjects (Safitri & Uliyah, 2015).

2.   Common rules of the Ministry of Home Affairs, Ministry of Forestry; the

Ministry of Public Works; and the National Land Agency in Regulation No. 79, Year 2014, PB Nos. 3/Menhut-II/2014, 17/PRT/2014, and 8/SKB/X/2014, regarding the procedures on the authorization of land within forest regions. These rules aimed to inaugurate forest regions to support legal certainty and justice. When there are conflicts related to land authorization within forest regions, including those areas subject to the rights of tribal peoples, a team will be formed to carry out an inventory of the authorization, ownership, and use of the land (IP4T).

3. Regulation No. 9, Year 2015, of the Ministry of Agrarian and Spatial Planning/Head of National Land Agency, regarding the procedures of implementation of the rights to communal land of tribal peoples and communities within particular regions. This regulation replaced Regulation No. 5, Year 1999, of the Ministry of Agrarian and Spatial Planning, regarding the acknowledgement of *ulayat* rights. A new terminology, namely, communal rights, was introduced in this regulation. Communal rights related to tribal peoples will be published on behalf of the members of tribal peoples or tribal head after they are determined by the head of regency or municipality and officially registered to National Land Agency.

4. Regulation No. P.32/Menlhk-Setjen/2015 of the Ministry of Environment and Forestry, on Forests Subject to Rights. This regulation asserts that tribal peoples can propose the authorization of forest regions subject to rights to the Ministry of Environment and Forestry. However,

before the proposal is submitted, the local government is advised to acknowledge the existence of the tribal peoples through their local legal products.

5. The Presidential Regulation Number 88 Year 2017 on Lands Control in the State Forest Region Settlement. This Regulation aims to implement the Constitutional Court Decision No. 34/PUU-IX/2011, the Constitutional Court Decision No. 45/PUU-IX/2011, the Constitutional Court Decision No. 35/PUU-X/2012 and the Constitutional Court Decision No. 95/PUU-XII/2014. It mainly regulates the settlement of land disputes inside the forest areas between the state and tribal peoples through the Forest Area Designation.

RESEARCH METHODS

This research applies normative legal research using a statute approach. Data within the paper is based on authoritative legal resources, namely, the Constitution, Laws and Regulations, Constitutional Court Decisions, and other legal resources, such as books, journals and previous research reports.

Since the research was conducted in Indonesia, the literature used comprised primarily local resources. However, only relevant resources were referenced based on the similarity of the approach to the addressed topic. All primary and secondary resources were analyzed based upon the existing and relevant theoretical framework while examining the existing reality in managing forest both by local wisdom and government.

RESULTS

In general, efforts to transform the forest management paradigm from state-based to community-based and to improve the participation of communities toward forest co-management are made for the following reasons: (a) to improve the policy rationality of sustainable forest management, either at the level of constitution or the implementation of legal doctrine which is no longer applicable; (b) to guarantee the certainty of rights related to the authorization and use of forest resources by tribal peoples; and (c) to optimize collaboration among all parties toward achieving prosperity of societies.

DISCUSSION

Challenges to the Paradigm Shift in Indonesian Forest Management

The decision stated in Constitutional Court Regulation No. 35/PUU-X/2012 has principally led the shift in the paradigm of forest management from a state-based to a community-based forest. This decision, welcomed with open arms by the government, in turn resulted in the creation of laws to strengthen the position of tribal peoples in managing their forests.

However, the paradigm shift has not yet been fundamentally and thoroughly implemented due to some basic challenges:

1. The narrow interpretation of Article 18B, Paragraph (2), and Article 33, Paragraph (3), of the 1945 Constitution of the Republic of Indonesia.

The 1945 Constitution of the Republic of Indonesia has been the main challenge in transforming the paradigm of forest management, particularly because the Articles of the Constitution cite four points related to the acknowledgement of tribal peoples: (a) as long as these remain, (b) in accordance with the societal development, (c) in accordance with the principles of the Unitary State of the Republic of Indonesia (NKRI), and (d) regulated by Law. With all of these four highlights, the villages that formerly had tribal peoples in them, but who decide not to obey the rules of tribal peoples, will no longer have their rights as tribal peoples. This is common because diverse interpretations will lead to diverse identities of the people (International Council on Human Rights Policy, 2009). In the provinces of East and Central Java, for example, the governments have reported that there are no tribal peoples in their regions (Bahar, 2015).

Law No. 5, Year 1979, on Village Government has changed and negatively affected the structure of communities, in which their togetherness with their diverse uniqueness was transformed into an institution with uniformity across Indonesia (Safa'at, 2016). With this change of structure, the state as an institution should be responsible for protecting, acknowledging, and respecting tribal peoples, as well as fixing the community structure.

The paradigm shift is also hampered by the narrow interpretation of Article 33, Paragraph (3), of the 1945 Constitution of the Republic of Indonesia, which states that "the land, the waters and the natural resources within shall be under the power

of the State and shall be used to the greatest benefit of the people." In this Article, "State" is interpreted to mean only the government and not the government *and* the people. This misinterpretation leads to a super-subordination relationship between the government and the people, which results in repressive laws.

Repressive law is believed to cause victimization and dehumanization of tribal peoples, with some groups living in rural areas being evicted due to rural development. Moreover, forests are destroyed due to exploitation and unplanned development. The cultures of communities are also systematically affected when the lives of these communities depend on the use of the natural resources of the forests.

2. Local Government Regulation of the Legalization of Tribal Peoples.

Law Article 67, Paragraph (2), on Forestry and Article 98, Paragraph (1), on Villages states that the acknowledgement of tribal peoples is subject to the Regional Regulation. However, because the process is time-consuming and costly, most tribal peoples are hampered in their bid to gain legal status as tribal communities, more so when the regulation is legalistically and narrowly interpreted. In addition, such a principle is much too flexible and thus open to any interpretation. It is worrisome when the enforcement of customary law and the creation of regional regulation consider only regional interests, which are momentary and biased; such a situation could give rise to primordiality and chauvinism in a tribe, religion, race, or group (Safa'at, 2016).

In some regulations, such as the Ministry of Home Affairs Regulation No. 52, Year 2014, it is stated that the acknowledgement of the existence of tribal peoples can be decided by the regional head. To a certain extent, there is confusion as to how the rule should be implemented, which may result in legal uncertainty.

3. The Principle of *Domein Verklaring*.

The influential existence of *domein verklaring*, which has been around since the Dutch East Indies to the era of reformation, contributes to the failure of proving the ownership of lands so that they are claimed by the State. Tribal peoples do not have any certificate to prove their ownership of the lands they occupy; thus, the State claims ownership of these lands (Bahar, 2015).

Before the Constitutional Court issued Decision No. 35/PUU-X/2012, *ulayat* forests were categorized as forests of the State. Thus, the *ulayat* rights of tribal peoples were transformed into *ulayat* rights of the State. These rights have long been regarded as a constitutional disavowal, resulting in the destruction of forests and disregard for the rights of tribal peoples. Narrow Access to Participation for Tribal Peoples.

The government has yet to provide enough opportunities for tribal peoples to get involved in policy making. For several decades now, the existence of tribal peoples has been marginalized and disregarded. Thus, these groups seem to have no sensibility and capability to know and understand the issues they are facing and to take the necessary actions to effect

changes. As a consequence, tribal peoples have no sense of ownership of their *ulayat* forests.

The lack of collaboration among parties toward reinforcing the benefits for each other could be one of the factors that contribute to the lack of participation in societies. In several forest management programs held by the government, the successful sustainable forest management programs were always supported by the intention and active participation of the people living within or outside the forest regions.

A New Paradigm of Indonesian Forest Management based on Local Wisdom

Community-based forest management has been gaining increasing popularity as a forest management method in the last two decades. There are approximately 15% of community-based tropical forest managements in the world (Arts & Koning, 2017). The ability to organize tribal peoples plays an important role toward achieving balance, strengthening accountability, and obtaining a higher bargaining position (Harper et al., 2011). A paradigm shift to forest management based on local wisdom will bring about a massive change in sustainable forest conservation. Local wisdom comprises some basic principles and natural management strategies toward the ecological balance that has existed for centuries. Local wisdom is not restricted to abstract things; rather, it is a norm and reflected in day-to-day behavior or the behavior that determines further human civilization (Mahmud, 2015).

For the paradigm shift from state-based forest management to fundamental and thorough community-based forest management, four solutions are proposed:

1.   A reinterpretation Article 18B, Paragraph (2), and Article 33, Paragraph (3), of the 1945 Constitution of the Republic of Indonesia.

Rahardjo (2016) suggested that Article 18B, Paragraph (2), of the 1945 Constitution of the Republic of Indonesia had functioned as a positive law in Indonesia. However, it is essential that the Article not be translated word for word; rather, the contextual meaning should be taken into account to obtain an in-depth meaning that is in line with the growth of societies. Furthermore, in interpreting Article 18B, Paragraph (2), of the 1945 Constitution of the Republic of Indonesia, highlighted the following points:

a.   As long as these remain:

The phrase "as long as these remain" requires careful interpretation. It should not be measured based solely on the quantitative-rational aspect; rather, it should also emphasize empathy and participation. Empathy is related to how the government can delve deeper into people's feelings by involving participation.

b.   In accordance with the societal development:

Thus far, the phrase "in accordance with the societal development" has been interpreted based on economic and political aspects. Thus, large-scale enterprises and governments have played a dominant role, leading to disregard for the existence of tribal peoples. The interpretation of this

phrase, however, should be based on the perspective of the local communities.

c.   In accordance with the principles of the Unitary State of the Republic of Indonesia:

The Unitary State of the Republic of Indonesia (NKRI) and tribal peoples are united and inseparable; they are not against each other. Tribal peoples are part of the whole NKRI itself.

d.   Regulated by Law:

Indonesia is a state of law. In such, in the implementation of the law, the legal texts in the Law should be interpreted carefully and more meaningfully towards its implementation in society.

The spirit implied in Article 33, Paragraph (3), of the 1945 Constitution is related to the wealth of natural resources in Indonesia, and these natural resources are to be used to enable the society to prosper. Therefore, the government and societies in this state should be equal and not be in a super-subordination relationship.

Any policy that focuses more on the growth of the economy, such as the paradigm of government-based development, needs to be immediately transformed into the paradigm of development, which focuses on the welfare of the entire society.

2.   Simplification of the legalization procedures for tribal peoples:

According to its content, regional regulation is divided into three types: (a) regional regulations made purely to manage; (b) regional regulations made to decide; and (c) regional regulations made to manage the organizational structure and

work scheme in the region. To simplify the procedures in the legalization process for tribal peoples, regional regulation focusing on the decision of tribal peoples in general should be made, and everything related to the details of custom territory, customary institutions, and other requirements should be managed based on the decision made by the regional head.

3.   Reformulation of the *Domein Verklaring* Principle:

Following the issuance of Constitutional Court Decision No. 35/PUU-X/2012, customary forests are no longer categorized as state forests but are now considered as forests subject to rights. The statement of the Constitutional Court has brought about positive effects in terms of the protection of *ulayat* forests. Balanced perception of central government, regional government, and tribal peoples to avoid any possibility of despotic action of the governments is necessary to acknowledge the rights of tribal peoples and to empower the peoples as a productive asset for the prosperity of societies. In addition, it is the responsibility of the State to guarantee the rights of tribal peoples, especially their right to use and cultivate the resources in the areas of the *ulayat* forests.

4.   Strengthening of the Participation of Tribal Peoples:

Thus far, in forest management, people are involved only in the decision-making process. However, it is essential to involve the people also in the planning, implementation, and utilization of forest resources. Therefore, an institutional

revitalization of tribal peoples is necessary. Alternative models of institutional and legal empowerment of tribal peoples could be carried out in several stages (Safa'at, 2015):

    a.   Mapping and identification

    b.   Dialogue to raise awareness and mapping of natural resources

    c.   Formulation of alternative models

    d.   Advocacy of policy and legal change

    e.   Introducing a model

    f.   Institutional and legal existence of tribal peoples that is responsive and has a higher bargaining position in managing natural resources.

Moreover, some academic activities should be offered, and economic infrastructures should be provided to help tribal peoples to more readily welcome the transformation in forest management. According to Lestari et al. (2015), highly educated people have more initiative and greater capability to actively participate at the managerial level. When most tribal peoples have firm laws, established institutions, high education levels and good economic status, forest management based on a co-management system, such as equal collaborative management between the government and tribal peoples, can be achieved.

CONCLUSION

State-based forest management has had negative impacts on the pristine forests in Indonesia and on the existence of tribal peoples as guardians of these forests. The paradigm shift to community-based forest management based on local wisdom has not taken place fundamentally and thoroughly due to some challenges: (a) The narrow interpretation of Article 18B, Paragraph (2), and Article 33, Paragraph (3), of the 1945 Constitution of the Republic of Indonesia; (b) The regional regulation of the legalization process for tribal peoples; (c) The influence of the *domein verklaring* principle; and (d) The lack of participation of tribal peoples. To overcome these challenges, the following steps are proposed: (a) A thorough reinterpretation of Article 18B, Paragraph (2), and Article 33, Paragraph (3), of the 1945 Constitution of the Republic of Indonesia; (b) Simplification of the legalization procedures for tribal peoples; (c) A reformulation of the *domein verklaring* principle; and (d) Optimization of the participation of tribal peoples in a forest co-management system.

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The Impact of Provocative Visual Stimulation on Emotional Changes among Introverts

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ABSTRACT

Social networking site (SNS) has become a platform for online self-presentation and a replacement of face-to-face (FTF) interaction. Users tend to like or watch the shared video because video sharing is described as a documentary-related meaningful event on SNS. The use of SNS is associated with personality and the site enables users to hide their identity and emotions from others. An Introvert refers to a person with less dominant personality in interaction and socialization. This study aims to explore whether provocative visual sharing in SNS affects emotional changes in Introverts. The experimental study was conducted via online using a post-test group design. A total of 30 Introvert consisting of students aged 20-29 years were selected through purposive sampling. All subjects were added into groups and required to answer a questionnaire before and after watching a provocative visual. Data were analysed using non-parametric test; Mann-Whitney U Test and Wilcoxon-Signed Rank Test. The results shows that there is no emotional differences between gender and insignificance changes in emotion for the Introverts as a whole ($z = -1.170$, $p = 0.077$). Their emotion was stable and they did not actively participate in giving comments about the visual. In conclusion, users tend to share a variety of stimulation in SNS but these activities did not affect the Introverts' emotion so much.

Keywords: Emotional changes, emotional stability, interaction, neuroticism, personality, provocative visual, social networking sites, stimulation

INTRODUCTION

The boundless nature of social networking site (SNS) allows users to conveniently search for information from multiple sites. Activities in SNS are not only limited to intrapersonal events (Gentile et al., 2012), but also encompassed interpersonal activities (Miller, 2011). Generally, some users use SNS to establish a long-term online relationship because they are more comfortable meeting people using virtual identity (Bargh et al., 2002; Ellison et al., 2007).

Positive and negative characters possessed by each personality have influenced individuals to communicate differently in either FTF or SNS environment. For example, both Introverts and Extroverts enjoy to communicate with other FTF but Extroverts are more involved in reciprocal conversation compared to Introverts (Srivastava et al., 2008). This distinction is further exemplified as Introverts participate the least in social activity and are easily stimulated by loud noise (Eysenck & Eysenck, 1975). Those studies supported a research done by Mitchell et al. (2011) who suggested that Introverts were active in online communication but prefered not to disclose personal information (Orchard et al., 2014).

It had conclusively been shown that Introverts participated less in social activity (Srivastava et al., 2008) because they were very anxious to communicate with others. There is also a discrepancy in the results of

Introvert personalities with the use of SNS. A study by Moore and McElroy (2012) showed that Introverts regularly used SNS to maintain relationships, but Orchard et al. (2014) gave an opposite view. They stated that Introverts did not establish online relationships because they were uncomfortable putting personal information into the search for other friends.

Generally, there are some activities performed by online users such as watching and commenting on videos shared by their friends because exchanging comments encouraged the involvement of interaction and strengthened a relationship (animoto. com, 2016). Moreover, the use of visual mode of online videos would influence the impression judgments compared to text or verbal mode (Heide et al., 2012). Thus, sharing provocative materials in SNS (for example, video with visual) could potentially lead to emotional outburst and the pressures arised from the stimulation could trigger emotional disturbance (Codispoti et al., 2008).

When an individual expresses their emotion verbally as in FTF, the signal will be visible to the partner. Therefore, both people will be able to see or listen to the expressions or the changes on the voices while interacting with each other. However, it is difficult to understand individuals' emotion in SNS because they can hide or replace their facial expressions (as in FTF) by using emoticons or pictures (Pempek et al., 2009) due to the fact that it differs

in every situation (Parkinson, 2008). As a result, the emotions shown in SNS become more difficult to be understood by friends as a whole (Dezecache et al., 2013).

To summarize, the Introverts are not aggressive in communication especially in FTF because reciprocal conversation will make them feel anxious and social involvement will affect their relationship orientation (McCroskey et al., 2001). So, does the use of SNS will encourage the Introverts to converse more and simultaneously affect their emotions especially when they are stimulated with a provocative visual in SNS? To answer this question, this study will identify the differences in emotional changes among the Introverts, by comparing the gender and personality differences as a whole; before and after the exposure of a provocative visual stimulation in a popular SNS, namely, Facebook.

LITERATURE REVIEW

Emotional communication is defined as a message delivered using continuous movement (body language and facial reaction) and anything that cannot be resolved by words (Parkinson, 2008). On the other hand, emotion expression refers to a symbol that reflects the feelings of an individual. Emotion, therefore, is the ability to convey an idea through non-verbal and para-verbal (Barile & Durso, 2002) or in the form of explicit and implicit expression.

An explicit expression can be depicted in several ways such as firstly, in writing (I'm angry!), secondly, a reference (the picture is so scary…), thirdly, a tendency to action (I will beat you!), or fourthly, an emblem (smiley). Implicit expression, on the other hand, refers to the language use, relationship closeness, and the depth of self-disclosure (Derks et al., 2008). The communication channel plays a major role in emotional expression (Riordan & Kreuz, 2010) because some users prefer to express cues (FTF) whilst others feel uncomfortable to communicate verbally (SNS).

Emotional changes (stable or unstable) could affect the character of an individual, especially in terms of emotions and behaviors. Stable emotions will enhance individuals' self-confidence and allow them to control conflicts in their life (Meier et al., 2011). Moreover, an experience-sampling study by Burgin et al. (2012), showed that interpersonal relationships would be enhanced if a person expressed positive emotions throughout the day. This situation demonstrates that emotional style affects individuals' attitudes and thus, affects their emotional stability.

On the other hand, an unstable emotion that encompasses negative feelings (fear, depression, and anger) triggered the brain function to respond violently and aggressively. For example, in FTF environment, emotional changes can be controlled and the individuals can choose to hide the emotion away from their partner. However, this can cause them to be less confident and can lead to their negative behaviour acts such as suicide (Bowen et al., 2011).

In contrast to SNS, this medium allows individuals to either hide or publicly express

their emotions because the behaviours are displayed in the form of writing and emoticons only. Some users use SNS to say harsh and disrespectful words (Qiu et al., 2012) because they feel that SNS offers open and safe space to do so (Wang et al., 2012).

Interestingly, in terms the gender perspective, female users use SNS as a way to maintain or continue their existing interactions in the FTF environment. In addition, to achieve a greater satisfaction in interactions, female users also use pronouns to represent themselves during interacting with their friends, while male users are more likely use harsh words while interacting with the same gender (Savicki & Kelley, 2000).

Several factors influence the changes in emotions. First, the response received by a recipient will affect his/her emotions if the other party manipulates the information (Dezecache, 2013). Next, the temporal delay or slow Internet speeds while communicating online will affect a person's emotion (Powers et al., 2011). The delay will disrupt the

communication accuracy because both users are unable to interact simultaneously, which leads to disappointment.

Lastly, the character of an individual or the personality also affects the changes in emotion. Personality is a combination of individual emotions, attitudes, behaviours, and responses. Each personality has different biological basis which is caused by neurobiological systems (Stemmler & Wacker, 2010). Consequently, any act or conversation can occur because the individual has the tendency to act his/her own personality. Various human emotions are shown in Figure 1.

Introverts personality leads to different tendency in terms of interaction and relationship. Their brain stimulation is higher because they are more sensitive towards their surroundings. Using the Day Reconstruction Method to test two hypotheses (Social Participation Hypothesis and Social Re-activity Hypothesis), Introverts are found to engage lesser than
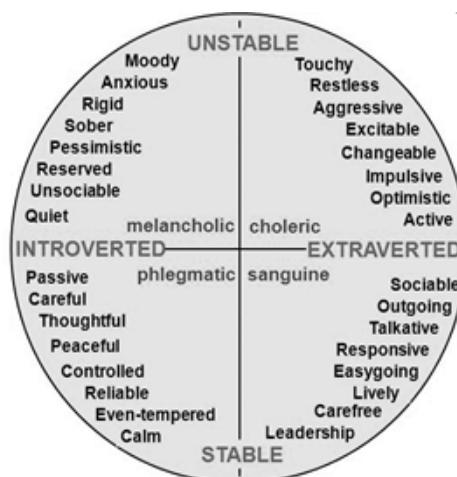
Figure 1. The trait perspective by Eysenck and Eysenck (1975)

Extroverts in social interaction with friends (Srivastava et al., 2008).

The previous findings on an Introvert in FTF situation suggested that this type of individual can still socialize with other people, but often withdrew over personal reasons (Srivastava et al., 2008). The finding is parallel to an online study done by Mitchell et al. (2011) who proposed that an Introvert would spend more time to socialize and joined activities in SNS because it made them happy and they received social support from their online friends.

According to Correa et al. (2010), an individual who feels anxious in FTF will choose SNS to gain supports and partners. Some users will use SNS as a medium for replacement (Tosun & Lajunen, 2010) and an evasion to hide their emotion from others (Moore & McElroy, 2012; Qiu et al., 2012). However, emotion instability will compel them to use impolite language while interacting online (Qiu et al., 2012).

Based on Hyperpersonal Model (Walther, 1996), there is a difference in message dissemination in both FTF and CMC. He mentioned that the message that could not be delivered in FTF would be reorganized into a meaningful way before resending it in CMC (Walther, 2007). The four elements in Hyperpersonal Model can be classified as the effect of the sender, receiver, channel and feedback. All of these elements explain that the interaction through CMC has wider benefits because the relationship and communication process rely on writing as the major mechanism.

As the SNS users came from different personalities, Eysenck Personality Wheels (Eysenck & Eysenck, 1975) clarifies the bipolar dimension personality which includes the character differences between two personalities (Introvert-Extrovert) and two types of emotional changes (Stable-Unstable). The Eysenck Personality Wheels is also known as The Trait Perspective (as shown in Figure 1). Moreover, the use of SNS by different personalities will influence the emotions and the interaction styles. Therefore, a theoretical framework (Figure 2) has been developed as follows:
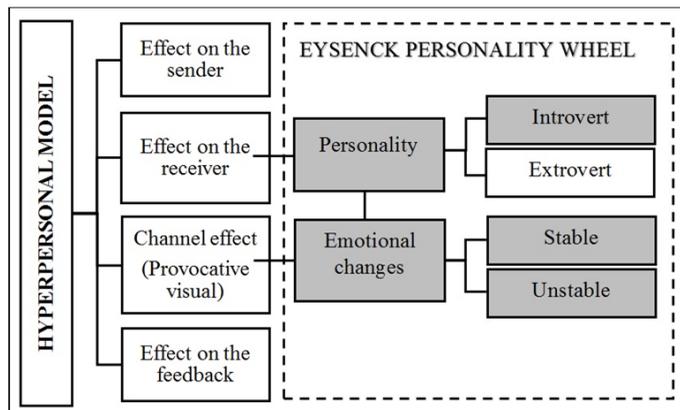
Figure 2. Theoretical framework

A study by Geen (1984) pertaining sound stimuli on personalities (Introverts and Extroverts) in FTF communication shows that the Introverts only respond to a calm environment and low level of noise compared to the Extroverts. According to Eysenck and Eysenck (1975), Introverts can be characterized as a calm, self-conscious, and cautious individual in designing their own life. An unstable individual tends to be anxious and depressed while a stable individual is always calm even if he or she is in the state of anger.

The conceptual framework of this study is an overview of the relationship of each structure measured in SNS environment (Figure 3). The structure of the study is important for the purpose of data collection and data analysis. This study focuses on the emotional changes of Introvert through provocative visual stimulation channeled through Facebook.

With the numerous stimuli that can be found in SNS, there are high chances that Introverts will experience changes in the emotions. Furthermore, the gender personality also plays an important role in emotional changes because every SNS user has his or her way to use and express emotion differently in Facebook. Based on the aforementioned discussion, the following hypotheses are formulated:

H1: Emotional differences in Introvert female are statistically higher than Introvert male before the exposure to provocative visual stimuli in Facebook.

H2: Emotional differences in Introvert female are statistically higher than Introvert male after the exposure to provocative visual stimuli in Facebook.

H3: There is a significant difference of emotional changes in Introverts before and after the exposure to visual stimuli in Facebook.

METHODOLOGY

This study applied pre and post-experimental designs that focus on the effects of provocative visual stimuli to measure emotional changes among the Introverts.
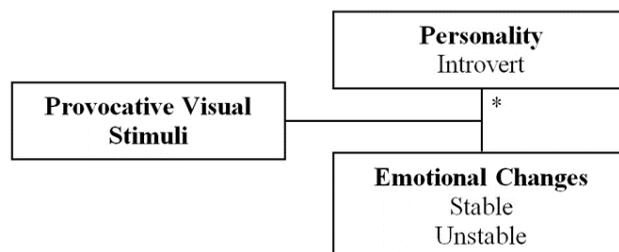
Figure 3. Conceptual framework

* (Note: The lines in the diagram do not indicate the relationship between the variables, but rather give an overview of the interrelated issues.)

This design was chosen because the study sample did not change and could not be manipulated. A set of experimental groups to measure the changes in the variables tested were formed. Therefore, by using the online experimental designs, a provocative visual in Facebook was used as a stimulus to measure emotional changes among the Introverts.

This study did not take the total population because generalization is not required in experimental studies. A sample of 20 subjects was adequate in order to conduct an experimental study (Sani & Todman, 2006). Meanwhile, university students were found to be the most active Facebook users (Mack et al., 2007) and young people's emotions were unstable before the age of 25 or 30 years old (Costa & McCrae, 1994).

Based on these justifications, a total of 30 students aged between 20 to 29 years old from Universiti Putra Malaysia (UPM) were selected through online based on convenience sampling. UPM students were chosen as the subjects because an experimental design allows a researcher to choose a subject according to the required criteria including manipulating variables and treatments during the experiment (Wimmer & Dominick, 2009).

The online experiment studies required a large sample size because a sample could potentially withdraw during mid-test (Reips, 2002). Since the number of subjects was controlled, data collection was continued until the required numbers of 30 subjects were successfully achieved. To ensure the requirement is met, a total of 105 samples were selected as the potential subjects. All subjects were then be added into a Facebook group named "*Emosi dan EPQ*" (Emotion and EPQ). The experiment was conducted in two phases: 1) Screening, and 2) Provoke.

There were several controlled criteria in the experiment. First, each questionnaire was filtered using a code of personality (I_1-I_{30}) to avoid subject misrepresentation. Second, the involvement of each subject could be seen through "seen by" displayed on the comment section. Subjects who met all the criteria were selected as the final subjects. A Malay version of Eysenck Personality Questionnaire (EPQ; Eysenck & Eysenck, 1975) by Asgari (2002) was used to measure the personality and emotional changes with the reliability of 0.822 (pre) and 0.782 (post).

The data were then measured in three parts; a) personality, b) emotional changes before the exposure to visual stimuli and c) emotional changes after the exposure to visual stimuli. Data collection began with three questions about demographics (Part A), and followed by Part B which was consisted of 19 close-ended questions (1 = No, 2 = Yes) to determine the Introverts' personalities (known as EPQ-E).

Next, part C was divided into two: C1 (before the exposure), and C2 (after the exposure) which were consisted of 21 questions in order to measure the changes in the emotions (also known as EPQ-N). The original EPQ-N contained 22 questions, but one question was removed because it violated the religious norms ("*I feel like I*

want to die"). All questions in Part C were measured with Likert scale 1-5.

Data collection was conducted within 17 days in four stages: (1) Notification on experimental schedule (four days); (2) Notification to fill out questionnaires – before (four days); (3) Notification to watch visual stimuli (five days); (4) Notification of questionnaire completion – after (four days). All questionnaires were answered online via google.doc and every phase was locked to avoid multiple data collection.

A video of speech recording i.e., Politics in Campus was selected as the stimuli because the issue highlighted was parallel with the students and hovered in the vicinity of the university campus. The visual contained both types of emotions (positive and negative) because one-sided emotion stimuli would cause an individual failed to accurately interpret the meaning of the information (Gallo et al., 2009).

Provocative visual stimuli are defined as a visual element that involves a combination of several types of emotions (positive and negative) or unpleasant stimuli which will contribute to psychological disorders, physiology or changes in behaviour (Rooney et al., 2012). Therefore, a video of speech recording (Politic Campus) was selected as the stimulus because the issue highlighted in the visual was parallel with the students and hovered in the vicinity of the university (See Table 1).

Political waves begin with people's movements and leaderships are usually dominated by men's participation. However, the demand for gender equality has led to the increased participation of women to obtain their rights (Merchant, 2012). Moreover, Malaysians are practicing high-context cultures that emphasize relationships buildings and interactions. Younger individuals are more likely to hold social motivations for discussion (Merchant, 2012), but social sharing with emotions will hinder the interaction process (Berger, 2014). Therefore, the visual content has been controlled to meet the high cultural contexts (politicians from the governments and oppositions) young leaders who represent both genders and non-use of harsh words

Table 1

The content of visual stimuli

Item	Time	Description
1	0:00:01 – 0:07:14	Speaker blamed the university management for the non-transparency elections, demanded the power of elections to be handled by students and declined the university management interference in students' affairs.
2	0:07:15 – 0:19:09	Speaker stated that their party is better and very active in the university's programmes. They also demanded a fair and transparent election and the power to conduct the election to be given to students.

that can create negative provocation towards the subjects.

Data were analysed using two types of non-parametric tests. Firstly, Mann-Whitney U Test was used to test the differences between two groups (male and female). Secondly, Wilcoxon Matched-Pair Signed Rank Test in SPSS 22.0 was applied to compare the median between the two groups: before (pre) and after the test (post). Furthermore, content analysis was used as a way of analysing the responses by the subjects. However, the content analysis served as a secondary method to support the type of responses given by the subjects regarding the stimuli.

RESULTS AND FINDINGS

Based on Table 2, the number of Facebook users to represent Introverts' personality is in controlled and slightly balanced between male (43.3%) and female (56.7%). Majority of the users are in the aged 20-24 years (86.6%), which is parallel with the data provided by socialbakers.com (2014) as it stated that the highest Facebook users in Malaysia are individuals in the 18-24 years old.

Table 2

Profile distribution (n = 30)

	Frequency (percentage)
Profile	Introvert
Gender	
Male	13 (43.3)
Female	17 (56.7)
Age (years)	
20 – 24	26 (86.6)
25 – 29	4 (13.4)

Table 3 presents the analysis of Mann-Whitney U Test on emotional differences between males and females before the exposure to the provocative visual stimuli in Facebook. The findings indicate that there are no significant differences in Introverts' emotions (p = 0.615 > 0.05), however the differences can be seen through the mean rank which is the emotional differences among the Introverts. It is statistically higher among females (mean rank = 16.21) compared to the Introvert males (mean rank = 14.58).

According to Table 4, the analysis of Mann-Whitney U Test on emotional differences between males and females after the exposure to the provocative visual stimuli in Facebook shows that there are no significant differences in Introverts' emotions (p = 0.294 > 0.05), however, the emotion differences are slightly higher among the Introvert females (mean rank = 16.97) compared to the Introvert males (mean rank = 13.58).

Next, Table 5 presents the analysis of Wilcoxon Matched-Pair Signed Rank Test on emotions comparison, which reveals that the Introverts portray insignificant changes in their emotions after watching the provocative visual stimuli (z = −1.170, p = 0.077). Even though the mean rank decreases from 15.93 to 14.65, it does not affect the significant value of 0.077 (p > 0.05). Therefore, hypothesis alternative (H3) of this study is rejected.

Specifically, the exposure to provocative visual stimuli affects certain emotional state only (Table 6). Items that affect the subjects'

Table 3

Emotional differences in Introvert males and females before the exposure of provocative visual stimuli (n = 30)

	Gender	N	Mean Rank	U	Sig. Value (*p*)
Emotional differences	Male	13	14.58	98.50	0.615
	Female	17	16.21		
	Total	30			

Table 4

Emotional differences in Introvert male and female after the exposure of provocative visual stimuli (n = 30)

	Gender	N	Mean Rank	U	Sig. Value (*p*)
Emotional differences	Male	13	13.58	85.50	0.294
	Female	17	16.97		
	Total	30			

Table 5

Emotional changes in Introverts, before and after the exposure of provocative visual stimuli (n = 30)

Pair		N	Mean Rank	z	Sig. value
After watching visual – before watching visual	Negative Ranks	20[a]	15.93	−1.170[b]	0.077
	Positive Ranks	10[b]	14.65		
	Ties	0[c]			
	Total	30			

a. Emotional changes after < Emotional changes before

b. Emotional changes after > Emotional changes before

c. Emotional changes after = Emotional changes before

emotions are "I suffer from sleeplessness" ($z = −3.247$[b], $p = 0.001$), "I felt tired for no reason" ($z = −2.974$[b], $p = 0.003$), "I was worried after going through embarrassing experience" ($z = −0.313$[b], $p = 0.003$), "I felt sluggish" ($z = −2.908$[b], $p = 0.004$), "My mood often goes up and down" ($z = −2.465$[b], $p = 0.014$), "I was worried about things spoken to others" ($z = −2.400$[b], $p = 0.016$) and "I was hurt when others find fault in myself or my work" ($z = −2.353$[b], $p = 0.019$).

Moreover, out of 30 Introverts who are involved in this study, only 5 participants responded on the visual that they have watched (see Table 7). Here, stable-emotion Introverts use satire type of comments, whilst the unstable choice of words implies disappointment.

Table 6

Emotional changes in Introverts, before and after the exposure of provocative visual stimulation by Wilcoxon Signed-Rank test (n = 30)

Item	Emotional Changes	Mean rank		z	p
		Pre	Post		
1.	I suffer from sleeplessness	6.25	14.58	−3.247	0.001
2.	I feel tired for no reason	6.63	11.47	−2.974	0.003
3.	I feel worried after going through with embarrassing experience	16.22	7.38	−0.313	0.003
4.	I feel sluggish	9.63	11.92	−2.908	0.004
5.	My mood often goes up and down	14.67	13.81	−2.465	0.014
6.	I feel worried about things spoke to others.	10.70	11.74	−2.400	0.016
7.	I easily hurt when others find fault in myself or my work	11.00	11.65	−2.353	0.019
8.	I feel miserable for no reason	11.44	10.67	−0.439	0.661
9.	I feel fed-up	12.28	10.96	−0.528	0.598
10.	I feel bored	9.22	10.70	−0.487	0.626
11.	I feel guilt	13.50	13.50	−0.346	0.730
12.	I feel very anxious	13.06	10.61	−0.725	0.468
13.	My mind worried	8.50	13.21	−1.927	0.054
14.	I feel worried about awful things that might happen in the future	11.18	9.67	−0.684	0.494
15.	I do not feel energized	10.87	11.33	−1.691	0.091
16.	I feel worried about my health	11.00	11.85	−0.921	0.357
17.	I feel this life is very dull	11.67	12.21	−1.023	0.306
18.	I feel worried about my looks	11.71	15.58	−0.298	0.766
19.	I feel nervous	10.00	8.50	−1.535	0.125
20.	I feel lonely	12.29	10.55	−0.689	0.491
21.	I remain silent rather than admit a mistake I have done	11.92	11.00	−0.562	0.574

Table 7

Response by Introverts according to emotional change

No.	Emotional Change	Type of comment	Example
1.	Stable emotion[a] –Stable emotion[b]	Satire	Before... say differ. After... say differ... after won, no words from any of them... Uspot called Usipot. If you are popular but do not know how to do your work... you are useless.
2.	Unstable emotion[a] – Unstable emotion[b]	Disappointment	I do not like to get involved with... I hate it... And I never vote. Hmm... this is... so bored... Next?

Note: [a] emotion before visual exposure, [b] emotion after visual exposure

DISCUSSION

Once the Introverts are included into the group, they are stimulated with the visual stimuli of Politic Campus. However, the content of the visual provides insignificant effects on Introvert emotional changes because they are not interested in engaging with politics in campus. Moreover, Introverts do not tend to engage in goal-oriented conversations in social media except for the purpose of filling out free time, sheer diversion, and others (Zuniga et al., 2016).

The findings suggested that the stimuli do not play a role in gender differences because each gender do not face any major changes in their emotions. However, a slight change of emotion can be seen especially among the females, probably due to them feeling anxious to join and meet other people (Srivastava et al., 2008), and influence the users' impression towards the content of the visual (Heide et al., 2012).

However, the analysis of gender comparative study done by Merchant (2012) showed that the communication style between male and female was different by looking at the purpose of the conversation being held. Emotional changes are more prominent among female Introverts assuming that they are easily attracted to the visual contents. According to Zuniga et al. (2016), individuals with high political beliefs tended to engage in activities and political behaviours. This situation explained that female Introverts showing more interest to involve in political activity because they would engage with the visual contents provided in the group.

The exposure to provocative visual stimuli on Facebook affected a certain state of emotions among the Introverts. The findings suggested that they were involved in online activities but chose to minimize the effects of the emotional influence of those activities. Moreover, less than 20 percent of the Introverts responded to the visual provocation. The limited number of Introverts who responded to the visual

suggested that the delay in the network allowed them to ponder before responding (Powers et al., 2011) and some of them just withdrew or avoided from participating in the group.

Similar to the dimensions of Eysenck Personality Wheel (1975), the majority of Introverts experienced stable emotions and these types belonged to the Phlegmatic perspective. On the other hand, emotionally unstable Introverts who showed negative feeling or being moody were categorized under the Melancholic perspective. The analysis indicated that the use of satire and cynical words did not match the character of emotionally stable Introverts. These findings showed that the Phlegmatic perspective did not fully support this study.

Conclusively, Hyperpersonal Model was used to measure the SNS effects on sources, receiver, channel and also feedback. The combinations of the personality model (Eysenck Personality Wheel) and the understanding towards Hyperpersonal Model can be expanded because the stimulation received in a channel can affect a personality's emotion. This is because when the users are separated by a channel (SNS), the feedback received may be delayed (time lag), thus can affect a person's emotion.

Furthermore, the study focused on the users' personalities because every person has a unique character which allows him or her to interact and socialize differently with people and the surrounding. Furthermore, by understanding the user's personality, it will help others to have an understanding on how to deal and delicately socialize with them. Therefore, the SNS users can create a harmony environment while sharing and commenting on the materials that they shared or viewed in SNS.

The study was narrowed according to the suitability of an experimental design. The stimulation was limited to the use of visual shared in Facebook because visual viewing and sharing in Facebook recorded the increment of 135% within 6 months (October 2014-February 2015) compared to images sharing or reciprocal interaction with others (Socialbakers.com, 2016).

More broadly, future research is also needed to measure the use of words and the state of emotions based on the character type. Future research may consider to diversify the type of stimulus; different subjects to be given different stimuli. Furthermore, as this study applied an experimental design, the emotional changes cannot be generalized to represent the general population. Future research may use physiological approach to examine a wider range of emotional changes.

CONCLUSION

In general, people view the Introverts as having a closed character and they often withdraw from social interaction either in FTF or SNS environment. The activities carried out in a social environment might have some impact on the Introverts' emotions. This study provides further understanding towards the variance of human emotions, especially the Introverts; a type of a person who tends to spend less time communicating and socializing.

Overall, this study found that watching neutral visual stimuli does not affect the Introverts' emotion stability. However, the theme of the visual (campus politics) excites the Introverts to criticize the issues discussed by giving a satire, cynical, and moody comments towards the content of the discussion.

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Increasing Intercultural Contact in Cyberspace: How Does it Affect the Level of Prejudice among Malaysians?

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ABSTRACT

To date, the effect of intercultural contact on racial prejudice toward the out-group has been, for the most part, examined and studied by way of face-to-face encounters but the effect has seldom been investigated in a computer-mediated interaction. The objective of this research, therefore, is to look into the effect of intercultural contact on the level of prejudice among intercultural partners in both face-to-face and computer-mediated communication (CMC) environment from the perspective of the Intergroup Contact Theory. One hundred participants were involved in the time series experiment and they were randomly assigned to intra-cultural versus intercultural conditions in the two-channel conditions namely face-to-face and CMC. Participants were required to interact in pairs with their 'zero history' partners. Parallel to the premise of the theory, for the face-to-face group, the overall level of prejudice among the intercultural communicative partners was significantly lower as compared to those in the intra-cultural group. However, the effect of intercultural contact in the CMC group failed to yield significant findings despite the decreasing trend of the level of prejudice over the four-week period among the intercultural partners. The study provides greater insight into the issue of intercultural integration in Malaysia. With much intercultural interaction and collaboration conducted online nowadays, the study provides preliminary evidences on its effectiveness in reducing perceptual prejudice.

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INTRODUCTION

Intercultural harmony is extremely important, if not vital, in Malaysia. Considering the country's multi-ethnic, multi-lingual, and multi-religious social fabric, intercultural harmony is critical to preserve national security and stability. Past intercultural relations in the country have been, at best, cordial but remain fragile despite the country being portrayed as a moderate Islamic nation globally. There were several recorded upheavals and one major racial riot in May 13, 1969. This interethnic suspicion and tension has complicated the process of nation building for many decades since its independence from the British on August 31, 1957. And despite progressing to the 21st Century, the possibility of interethnic disintegration continues to haunt Malaysians and remains the greatest threat to the country's well-being and stability (Sundaram, 1989).

Forging intercultural unity in Malaysia is, and will continue to persist as, an inimitable challenge for the country's administration. It is a delicate task encumbered with various historical, political, sociological, and economic issues. Being the so-called 'people of the soil,' the *bumiputeras* have enjoyed many special privileges such as leading positions of authority in government, the armed forces, the civil service, and institutions of higher learning. *Bumiputeras* also enjoy the bulk of government scholarships for higher education, government aid, and social welfare. These privileges are guaranteed in the country's Constitution and administered via the New Economic Policy (NEP), a social re-engineering and affirmative action program crafted by the National Operation Council, in the aftermath of the 1969 racial riot. This policy was adopted in 1971 for a period of 20 years and it was succeeded by the National Development Policy in 1991, which has created discontent in the society and contributed to the different ethnic communities viewing each other with a jaundiced eye in addition to increasing the level of prejudice and stereotyping.

The Malaysian society is further divided by its antiquated political and education system. Since independence, Malaysian political parties have been largely race-based. Efforts to encourage mutual interaction at a tender age were hampered by the vernacular school system inherited from the British. Despite numerous government initiatives and efforts to promote national schools, parents still prefer to send their children to vernacular schools for fear of losing their mother tongue, traditions, and culture.

Economic disparity among the major ethnic groups has also not helped. It had, in fact, worsened the already dreadful situation. While the Malays enjoy political power, the Chinese dominate the economy. The Indians and the other smaller ethnic groups felt they were in 'no-man's land' and were the most marginalized group and this set the various communities further apart.

Efforts to close the widening economic and social gaps among the three major ethnic groups did not meet with much success. The one Malaysia concept, the

country's latest initiative in nation building, is based on a core doctrine that the people must perceive themselves as one nation despite the multiracial, multi-religious, and multilingual social tapestry. The campaign, championed by the former Prime Minister, was highly publicized in major media channels and has also spurred many social and educational programs aimed at promoting patriotism and national unity in both the private and public spheres. But this initiative is also quickly spiraling down to mere vapid sloganeering after a series of racial and religious shenanigans. While a low level of prejudice is acceptable to symbolize cultural partisanship and pride, a strong negative perception that often comes with hatred and repulsion may ruin efforts toward intercultural integration. In the long run, such embedded negativity will pose a serious threat to the country's well-being in terms of security and stability.

Intercultural and interreligious conflicts have caused hostilities, death, and injuries in many parts of the world including those in Palestine, Israel, Bosnia and Herzegovina, India and many others. Increasing intercultural contact has been offered as a workable solution to resolve the problem (Amichai-Hamburger & MacKenna, 2006; Harwood, 2010; Weaver, 2007). However, less is known on its impact in reducing the level of prejudice especially in computer-mediated interactions (CMC). In the current digital age we are living in, CMC offers greater chances for sustained contact and interaction between the conflicting groups, especially the context where face-to-face

contact may not be feasible or limited. CMC with its unique qualities can transverse geographical and physical barriers to enable continuous interaction between the conflicting parties. According to Amichai-Hamburger et al. (2015), although CMC has now become an important medium of communication, its potential in reducing prejudice and intercultural conflict has not been fully explored. Hence the following research questions were proposed. What is the effect of intercultural contact on the level of prejudice in face-to-face and synchronous CMC? How does time affect the level of prejudice in face-to-face and synchronous CMC? To what extent does the level of prejudice vary in face-to-face and synchronous CMC?

Prejudice in Face-to-Face Encounters and CMC

It is a known fact that prejudice is very damaging to intercultural relationships. A study by Tropp (2003) showed that exposure to prejudice even in a single expression of an out-group member, would have negative implications on how group members felt in intergroup contexts and their expectations for future cross-cultural interactions.

The expectation of being the target of prejudice is also found to be a determinant in a person's positive or negative experience during intercultural communication. Richeson et al. (2005) observed how people from different cultures participated in the same interaction but walked away with contradicting experiences because of this prejudicial bias. In their study, students

from ethnic minorities who were expected to be treated with prejudice reported a more negative experience, felt less authentic, and disclosed more information during intercultural interactions. Caucasian students, on the other hand, had more positive experiences and even liked their partners more (Richeson et al., 2005).

In view of the complexities in intercultural interaction and how they may hinder positive intercultural relations, Allport's (1954) Intergroup Contact Theory laid out four conditions that must be met before positive intercultural relations can take place. They are: (a) equal status among groups, (b) common goals, (c) intergroup cooperation, and (d) authority sanction for the contact. The theory has received numerous empirical supports and spurred extensive research in various contact settings. A longitudinal study by Kerssen-Griep and Eifler (2008) that supported Allport's theory, observed changes in intercultural communication abilities of pre-service teachers over their eight months as academic mentors for members of an African American cultural group, from whom they themselves learned the realities of institutional racism. Weaver (2007) also found that prejudice declined as contact increased between Hispanic Whites and non-Hispanic Whites. The decline in prejudice, however, occurs differently among cultural groups. In his study, Weaver (2007) noted that both Hispanic and non-Hispanic groups were prejudiced in different ways, with the decline in prejudice observed more significantly in non-Hispanic groups.

Thomsen (2012), based on a nation-wide study in Denmark, found that intergroup contact generated ethnic tolerance by weakening threat perception and stimulating disclosure of personal information. Mickus and Bowen (2017), in a recent study, found stronger intercultural relations as contact increased among U. S. and Mexican students who participated in a three-week learning project in Mexico. A similar finding was generated from Becker's (2017) study involving secondary school students in Bosnia and Herzegovina. The study found that cross-ethnic contact in schools increased tolerance of the out-group members.

The postulation of contact hypothesis however had received mixed findings. Wortley and Homel (1995) in one longitudinal study examined the level of prejudice among 412 Australia police recruits who underwent one-year training program and data collected found that the recruits became more prejudiced after the training. A recent study in Australia by Khan and Pedersen (2010) obtained similar findings with negativity toward Black African immigrants corresponded to the increased quantity of contact. Schumann et al. (2012) explained on the reversed impact of contact by stressing that contact could only lead to reduced prejudices if it occured in an intergroup as compared to an interpersonal setting. Intergroup contact will lead a generalized impression and attitude toward the whole out-group, while an interpersonal contact will only lead to a personalized and idiosyncratic impression and perception toward the communicative

partner. Similarly, Amichai-Hamburger and MacKenna (2006) postulated that intergroup communication in a face-to-face setting could be problematic due to physical, language, and contextual differences highlighting contrasting social status among participants.

Clearly, review of past literature has often generated conflicting findings on the beneficial effect of intercultural contact. In response to this debate, Pettigrew and Tropp (2006), conducted a meta-analysis across 516 separate studies, 714 independent samples with 250,000 subjects from 39 different countries around the globe and concluded that intergroup contact typically reduced intergroup prejudice. However, there were great variations in effect sizes across these studies and this vast heterogeneity of effects was shaped by the varying conditions under which the contact occured. Based on the meta-analysis conducted, Walther et al. (2015) further reinstated that the contact hypothesis was so strongly supported and future research should shift focus from the question of whether contact was important to question of how and under which conditions contact had an impact on people's attitude and behaviors.

In relation to this, research to date has tested the effect of various contact settings namely direct face-to-face contact (Allport, 1954), extended contact (Vezzali et al., 2012), imagined contact (Turner et al., 2013), parasocial contact (Schiappa et al., 2005, 2006), computer-mediated contact (Tavakoli et al., 2010) and video- and text-based CMC (Cao & Lin, 2017) on people's

attitude and behavior. Despite the large consensus on the impact of direct face-to-face contact on intergroup relations, less is known on the effect of the other types of indirect contact. The effect of the other types of indirect contact such as extended contact (the knowledge that in-group members have friends in the out-group) and imagined or para-social contact on various attitudinal and behavioral responses is shown to be mediated by other variables such as intergroup trust and anxiety ((Turner et al., 2013) and its effect is also found to be weak and short lived.

Compared to other types of contact, the computer-mediated contact is considered as a direct contact (Schumann et al., 2012) and it comes with several variations such as text-based synchronous or text-based asynchronous contact or video-based contact and its combination. However, despite its vast application and usage in business, educational, and social settings due to globalization and internationalization, little is known about the effect of computer-mediated intercultural contact in reducing prejudice. While prejudice is obvious in face-to-face settings and tends to decline as intercultural contact increases, not much is known on how salient the perceptual barrier is in computer-mediated interactions. The important question here would be: "How apparent is prejudice in a computer-mediated communication?" Efforts to understand this situation are limited since much literature on prejudice is derived from intercultural studies in a face-to-face environment. However, the growing body of

research evidences on the positive relational outcomes such as trust, affection and equality in various online collaboration (Li & Rau, 2014; Walther, 1996); intercultural interaction (Ma, 1996; Mustafa et al., 2012) and e-learning and distance learning environment (Almonte-Acosta et al., 2013; Han & Zhang, 2009; Merryfield, 2003; Stepanyan et al., 2014) may provide stronger argument toward a gradual reduction of prejudice online.

Similar to face-to-face interaction, perceptual barrier, like prejudice, could exert considerable influence during online interactions especially during initial encounters. However, once the relationship reaches the friendship stage, the differences between these relationships would be too insignificant to consider, even between people of the same ethnic group. Similar to the perspective of Intergroup Contact Theory, Altman and Taylor (1973) asserted that perceptual barriers were broken down in an intimate relationship. Thus, prejudice may affect relational development during initial encounters, but would diminish over time as partners shared and disclosed more personal information in CMC. However, compared to some relational dimensions such as immediacy and similarity, prejudice may take longer to diminish as it is more fundamental, internalized, and deeply rooted in one's cognitive process and personality. It is also learnt at a younger age (Vezzali et al., 2012) and is more enduring due to its connection to various psychological, social, economic, and cultural environment (Dovidio et al., 2005).

We also examine several CMC theories to provide clues on the effect of online contact among intercultural partners. Burgoon and Walther (1992) in a series of experiments found that those interacting within CMC, regardless of race and gender, had exhibited significant development of trust, immediacy and perceived similarity over four experimental sessions. Consequently, Burgoon and Walther proposed the Social Information Processing Theory (SIP) which posited that positive online interactions did occur in CMC despite the obvious limitations of the medium in transmitting verbal and non-verbal cues which were essential for the development of positive human relations. The Hyper-personal Theory (Walther, 1996), which was an extension of the SIP Theory, reiterates that CMC users could develop a more positive relationship or hyper-personal relationship because the medium allows both the sender and the receiver of the messages to strategically edit and enhance their online self-image presentation. In other words, CMC users have greater control over the presentation of their "self" by strategically selecting positive information to be revealed to the other communicative partners and concealing negative information that may disrupt the process, which in turn leads to better presentation of oneself and a positive interaction effect (Walther, 1996; Walther et al., 2015). The self-image presentation affordance would facilitate a smooth intercultural interaction amongst intercultural partners in a CMC setting.

Rodino (1997) later proposed the 'equalization view' of CMC. This view is imperative in relationship studies since it suggested that CMC democratized communication because of the medium's reduced reliance on social cues such as physical appearance, gender, and race. Van Gelder (1991) held a similar opinion. He believed that since some barriers, for example, race, gender, physical appearance, and language accent that were common in face-to-face communication were non-existent in CMC a more egalitarian situation could be created at some stage. Meanwhile, people judge each other in CMC through the mind rather than appearance, race, gender, and accent. While face-to-face communicative partners have to conform to the social expectation and sanction in the medium, CMC partners exhibited less concerns about social expectation, which in turn leads to lower communication apprehension (Bazarov & Yuan, 2013) and active participation in intercultural collaboration.

With three notable theories in CMC proposing a more positive relational development in an online setting regardless of race and other physical and social barriers, we predict that the level of prejudice would also work in the opposite direction to relational development. Similar to face-to-face intercultural interaction as evidenced in the Intercultural Contact Theory, the level of prejudice would decrease as intercultural contact is repeated. However, since physical and social barriers are almost non-existent in

CMC, we predict that the level of prejudice would fall at a faster rate when compared to face-to-face interaction.

With due consideration to the paucity of literature on the topic, the present study aims to explore and investigate on the effect of intercultural contact on the level of prejudice among intra-cultural and intercultural partners in face-to-face and synchronous CMC.

Measuring Prejudice

From the available body of literature, there are a myriad way and approaches to measuring prejudice. There exists, however, a high levelof ambiguity in the measuring concepts. While prejudice is widely defined and conceived as a negative attitude toward the out-group (Allport, 1954; Brown, 1995), diverse measures using different dimensions and indicators can be found in the literature (Griffiths et al., 2011; Kosic et al., 2012; Olson & Fazio, 2003). Prejudice is often viewed as a multifaceted and multidimensional construct with various scholars offering different dimensional concepts, for example, positive and negative dimensions (Czopp & Monteith, 2006) as well as subtle and blatant dimensions (Meertens & Pettigrew, 1997). Additionally, a three-dimensional construct of belief, feeling, and intentional behavior of prejudice is often mentioned in the literature even though the precise measurement of its multidimensionality was not fully explored or tested using appropriate statistical tests such as confirmatory factor analysis.

Furthermore, since a good portion of studies on prejudice were conducted in Western countries, especially the United States, the measure of prejudice is more often than not narrow in scope and confined to the social, political issues and the cultural perspectives of Americans. In most measures (see Blatant Prejudice Scale by Meertens & Pettigrew, 1997, for example), the respondents are asked to provide responses based on a series of statements developed based on the specific political or social issues of the country such as "welfare system really just allows Black people to "mooch" money from the government" or "white people lose a lot of jobs to Black people because of racial quotas in hiring processes." Czopp and Monteith (2006) were of the opinion that many measures of prejudice, even in the U.S., were outdated as they refered to "issues that are no longer particularly salient" to the current situation or the specific context of the study.

Despite the challenges and criticism on the precise measurement of prejudice, a number of scholars believed that since it is regarded as an attitude, the three-component concept of attitude comprising the cognitive, affection, and conative components must be applied to better understand the nature of this often unreasonable, unjustified, and incorrect attitude (Luque et al., 2011). Prejudice is often operationalized based on a summative score of the belief or opinion (cognitive component), feeling or emotion (affective component) and behavioral intention to establish social or physical distance from the out-group (conative component).

The measure of prejudice must also be subjected to a more stringent test to effectively determine its reliability and validity. A good measure should have greater convergent and divergent validity. In the context of prejudice, various earlier research has revealed that prejudice is inversely proportional to interpersonal relationship. Altman and Taylor (1973), meanwhile, had also asserted that perceptual barriers such as prejudice and ethnocentrism were broken down in an intimate relationship. Burgoon and Walther (1992), in a series of their experiments, also found those interacting face-to-face and in CMC, regardless of race and gender exhibited significant development in the relational dimension, for instance, in factors such as trust, immediacy, and perceived similarity.

Feddes and Turner (2011), in a longitudinal study among university undergraduates who were asked to nominate one out-group and in-group friend and report their intimacy of self-disclosure in the first week of their encounter and 6 weeks after, found intimacy of self-disclosure predicted a more positive attitude toward the out-group than it was for the in-group. Boatswain et al. (2006) found that anticipated prejudice partially mediated the effects of out-group members' reference to group membership on feelings of trust and acceptance.

MATERIALS AND METHODS

To achieve the objectives of the study, we used a time series experimental design. Specifically, we employed the Two-Groups Repeated Measures Design (Campbell &

Stanley, 1963), which involved repeated measurements of dependent variable over time, on two groups representing differing levels of independent variables.

Subjects in face-to-face control group had to attend four sessions conducted once a week for four weeks. They were placed in a classroom and were required to interact in pairs. Each pair was given up to three hours to complete the task assignment. Subjects were assigned four different tasks throughout the four sessions. In each task, they were given five questions to discuss with their partners. All the questions were personal in nature. This method was intentionally used to encourage participants to disclose more private information to each other.

Examples of the questions used include: "What do you like most about yourself?" and "What are the worst things that have ever happened to you?" The questions in the first session revolved mostly around personal background and experience. In the second and third sessions, the questions were mostly related to family, friends, and their life in the university, while the questions in the final session were mainly related to ambitions and future undertakings. After they had completed the tasks, they were given questionnaires to be completed.

Participants in the synchronous CMC group had to attend four experimental sessions conducted once a week over the four-week period. Participants were also separated from their partners. They were located in two different computer laboratories. Subjects in the synchronous CMC group interacted with their partners using Yahoo! Messenger 9.0. Each session was scheduled for up to three hours to provide ample time for the participants to complete the related tasks. After they have finished the tasks, they were given questionnaires to complete. And when that was done, they were duly briefed of the date, time, and venue for the next session. The same procedure was employed by both Burgoon and Walther (1992).

Participants

The participants in this experiment were 100 undergraduate students of a large public university in Malaysia. Since the experiment required zero-history partners with no outside interaction except those held during the experiment, three-step procedures were imposed. First, the participants were sourced from two different schools of the university: the School of Communication and the School of Mathematics. The distance between one faculty's buildings to another was about 600 meters, hence, making outside acquaintance and interaction among partners difficult. Second, each participant was asked whether they knew their partners before the experiment. This question was asked after treatment condition in Time 1, but in Time 2, Time 3 and Time 4, the question was replaced with another question asking whether the participant had contacted his/her partner since the previous experimental session. None responded in the affirmative. Third, as an additional precaution for the synchronous CMC

group, all participants were separated from their partners in two distant computer laboratories. Using Yahoo! Messenger 9.0 allowed the researcher to monitor and control the experiment from any outside interaction as the program would provide notification and conversation history about who among the participants were previously online outside the experimental sessions.

Several announcements were made during class hours inviting students to participate in the experiment. Students who volunteered were asked to attend a short briefing prior to the experiment. A short briefing was conducted for the Communications students in a classroom at the School of Communication building. Another similar briefing was conducted at the School of Mathematics. During the briefing, the participants were given detailed information of the experiment. They were told that participation in all four experimental sessions were key to their being awarded a full course credit.

This requirement was imposed to avoid the likelihood of sample attrition. Participants were told that they would be interacting in pairs and would remain with the same partners throughout the four sessions. They were reminded not to make any outside contact with their partners except until the experimental sessions were completed. The participants were duly informed that the experiment was conducted to better understand the communication process across different media channels. The actual objective of the study was withheld from the participants until the fourth session so as not to contaminate the results.

The assignment of subjects involved a two-step process. Subjects were first randomly assigned to either the face-to-face control group (50 students) or the synchronous CMC group (50 students). Within each group, they were randomly assigned based on intra-cultural and intercultural conditions. Chinese participants in both intra-cultural and intercultural conditions were asked to indicate their attitudes toward the Malay ethnic and vice versa. An equal number of participants were assigned for the two conditions in the face-to-face group, with 25 participants each. In the synchronous group, 26 participants were assigned to the intra-cultural group, while another 24 participants were assigned to the intercultural group. And in accordance with the Intergroup Contact Theory, the experimental procedure was set to fulfill four conditions. All participants in the experiment were of equal status. They were all undergraduates in their freshman and sophomore years. The second and third conditions were common goals and intergroup cooperation. The participants were asked to cooperate in order to complete a common task. The final condition was authority approval for the contact. While participation in the experiment was strictly voluntary, all participants were granted the necessary approval from their respective lecturers to participate in the experiment.

The age of the participants was between 19 and 22 years, and the mean age for the entire sample was 21 years (SD=1.23). A majority of the participants (80%) were female with the remaining 20% male with

equal number of Malays and Chinese participants.

Measures

Thirteen attitudinal items comprising cognitive, affective, and behavioral components were developed to measure prejudice. Most of the items were developed based on Luque et al.'s (2011) measure. The cognitive component comprised four items – the participants were asked to rate on four main socio-cultural areas of the out-group members namely social, family, cultural, and religious values from Likert's scale of 1 to 7 with 1 denoting very bad and 7 denoting very well. The scale was reversely coded so that higher scores would indicate greater level of prejudice.

The affective component comprised six items evaluated based on Likert's scale of 1 to 7. The participants were instructed to rate their emotions toward the out-group based on their level of: (a) trustworthiness, (b) friendliness, (c) insincerity, (d) ungratefulness, (e) insecurity, and (f) helpfulness. As for the conative component, the participants were asked to rate on their willingness to do the following four items (again, evaluated based on Likert's scale of 1 to 7) namely: (a) to have neighbors from the out-group, (b) to work with people from the out-group, (c) to have a close friendship with people of the out-group, and (d) to have intimate/marital relationship with people of the out-group. The response format consisted of seven options ranging from 'strongly disagree' to 'strongly agree.'

Since the experiment was conducted at four points of times, four sets of questionnaires were developed. All questionnaires in Time 1, Time 2, Time 3, and Time 4 used the same questions which might lead to the testing effect. Testing effect was the learning effect caused by administrating the same questions overtime which could sensitize the participants to response in a particular manner. In order to overcome the effect of testing, the sequence of the questions was arranged differently for each time period.

Another issue is the social desirability effect, which may impair the validity of prejudice assessment. Several preventive measures were utilized to reduce the social desirability bias. Following recommendations by Nederhof (1985), the present study used self-administered questionnaires to reduce the effect of social desirability by isolating the participants from the experimenter. In the study, the participants completed the questionnaires in the absence of the experimenter and efforts were made to reduce direct person-to-person contact between the experimenter and the participants. Nederhof (1985) also recommended the use of a professional, task-oriented experimenter than a warm, people-oriented experimenter to reduce the effect of social desirability bias, which was duly adopted in the present study.

RESULTS AND DISCUSSION

Two steps were involved in the validation of the prejudice measure. First, the Principle Component Factor Analysis using Varimax

Rotation was conducted. The criteria for a factor was at least an eigenvalue of 1, primary loadings of at least 0.40, with secondary loading above 0.20 difference. In addition, scree plot was used to determine the number of factors to be considered in the study. The final factor analysis produced three factors that accounted for 69.8% of the variance. Factor 1 which consists of three items (social, cultural, and religious values), explained 15.6% of variance and was labeled as the "cognitive component."

The second factor which had five items (trustworthiness, insincerity, ungratefulness, insecurity, and helpfulness) explained 34.8% of variance and was labeled as "affective component" while the final factor which had 4 items namely (items include- to have neighbors from the out-group, to work with people from the out-group, to have close friends with people from the out-group, and to have intimate/marital relationship with people from the out-group) explained 19.4% of variance and was labeled as a "conative component." All items in each factor had acceptable reliabilities of greater than 0.7.

The second step involved scale validation with other concepts related to interpersonal dimensions namely immediacy/affection, composure/relaxation and receptivity/trust (Burgoon & Hale, 1987). Immediacy/affection was measured using five items namely "He/She was intensely involved in our conversations", "He/She did not want deeper relationship between us", "He/She seemed to find conversation stimulating", "He/She created sense of distance between us", and "He/She communicated coldness rather than warmth". Four items were used to measure composure/relaxation and these include "He/She seemed very tense interacting with me", "He/She seemed very relaxed communicating with me", "He/She seemed nervous", and "He/She seemed comfortable interacting with me". Finally, receptivity/trust was measured using five Likert scale items namely "He/She was sincere" "He/She wanted me to trust him/her", "He/She was willing to listen to me", "He/She was open to my ideas" and "He/She was honest in communicating with me".

The results showed significant negative correlation between prejudice and immediacy/affection (r = -0.263, p < 0.000), composure/relaxation (r = -0.241, p < 0.000), receptivity/trust (r = -0.151, p < 0.003) (Burgoon and Hale, 1987) which added to the divergent validity of the measure prejudice.

The primary objective of the study was to test the effect of intercultural contact on the level of prejudice among intra-cultural and intercultural partners in face-to-face and synchronous CMC. Interestingly, both groups (intra-cultural and intercultural) in all the two channels showed a low level of prejudice (below mid-point) during the four time periods of the survey (Table 1). The intercultural group in the face-to-face setting scored the lowest in Time 1 as compared to those in the intra-cultural condition which reflects the significant effect of the intergroup contact. The same trend continued especially in Time 3 and 4.

Table 1
Mean scores of prejudice among intra-cultural and intercultural partners by times and channel

Channel	Relationship Types	Time 1	Time 2	Time 3	Time 4	Overall
Face-to-face	Intra-cultural group (Control Group)	2.34	2.41	2.56	2.62	2.48
	Intercultural group (Treatment Group)	1.75	1.75	2.10	2.49	2.02
Synchronous CMC	Intra-cultural group (Control Group)	2.08	2.06	2.14	2.07	2.09
	Intercultural group (Treatment Group)	2.35	2.26	2.25	2.01	2.22

Note: Based on Likert's scale of 1-7, with higher score denoting higher level of prejudice vice versa. Prejudice scores range from 1.7_2.62 indicating low level of prejudice.

As shown in Figure 1, the level of prejudice over time was higher in the intra-cultural group when compared to the intercultural group, which clearly reflected the negative preconception that was present even in the absence of physical face-to-face intercultural contact. The intercultural group, on the other hand, demonstrated a significantly lower level of prejudice especially in Time 1 and Time 2, which might suggest the positive effect of intercultural contact on the level of prejudice especially during the initial encounters.
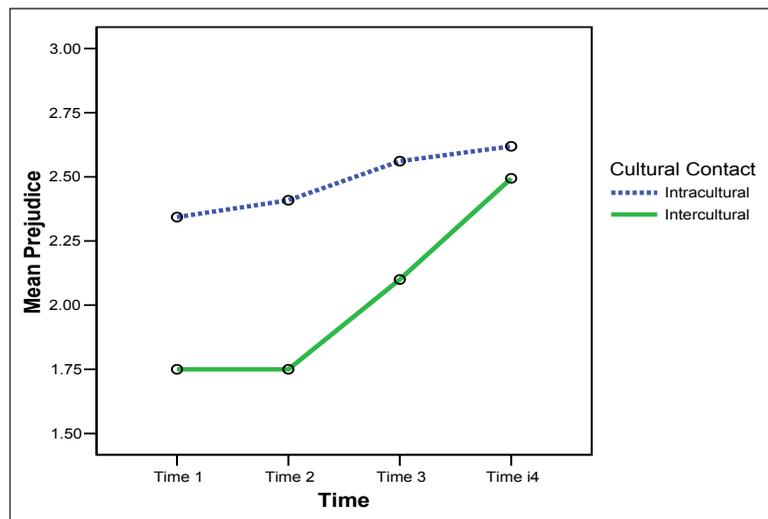
Figure 1. The level of prejudice among intercultural partners and intra-cultural partners by time in face-to-face group
Note: Based on Likert's scale of 1-7, with higher score denoting higher level of prejudice and vice versa

As shown in Figure 2, the intercultural partners in CMC exhibited a higher level of prejudice than those in intra-cultural setting in Time 1, but this inclination trended down from Time 2 onwards indicating that prejudice is salient only at the beginning of the interaction but not beyond that. The level of prejudice, however, was significantly lower among intra-cultural group in Time 1 and was stable over the four time periods.
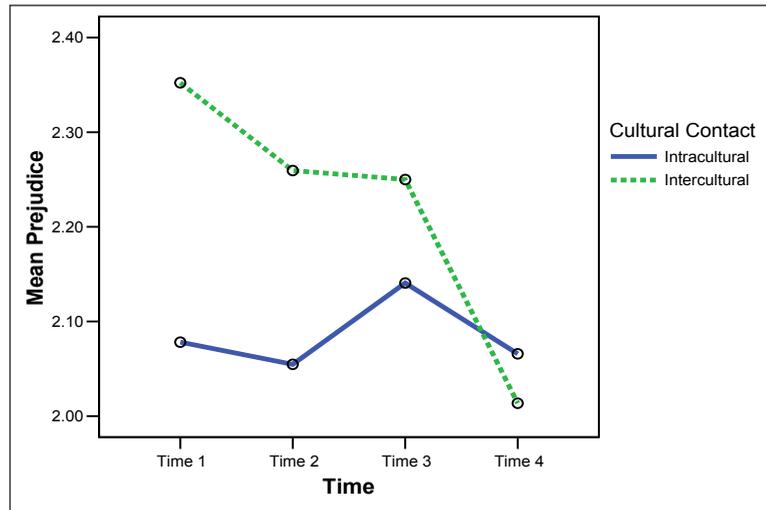
Figure 2. The level of prejudice among intercultural partners and intra-cultural partners by time in synchronous CMC group
Note: Based on Likert's scale of 1-7, with higher score denoting higher level of prejudice and vice versa

The research question of the study was assessed with a 2 x 2 x 4 Mixed Between and Within Analysis of Variance. The between-group factors were channel (face-to-face and CMC) and intercultural contact (intra-cultural verses intercultural) while the within-subjects factor was time (Time 1, Time 2, Time 3, and Time 4) and the dependent variable was prejudice. No significant effect of channel (F=0.20, p > 0.05), intercultural contact (F=2.86, p > 0.05) and time (F=0.30, p > 0.05) were observed. No significant interaction effect between time and intercultural contact (F=0.04, p > 0.05), time and channel (F=0.48, p > 0.05) and time, channel and intercultural contact (F=0.19, p > 0.05).

Interestingly, there were significant interaction effects between intercultural contact and channel [F=5.86, p < 0.05, partial eta^2 = 0.15]. Following a significant interaction effect between intercultural contact and channels, a follow-up test was conducted by splitting the sample based on channel (Pallant, 2011) and Independent Sample t-test was carried out to explore on the effect of intercultural contact separately for face-to-face and CMC groups. Results indicate significant mean difference in the level of prejudice between the intra-cultural (M=2.48) and intercultural groups (M=2.02), t = 2.82, p < 0.05 in the face-to-face condition which provides empirical evidence on the effect of intercultural contact in reducing the level of prejudice in the face-to-face group. However, there is no significant difference in the level of prejudice between intra-cultural (M=2.09) and intercultural (M=2.22), t = -1.04, p > 0.05 in the CMC group.

Independent Sample t-test was conducted to test the effect of gender on the level of prejudice. Results indicated non-significant mean difference between

male (M=2.28) and female (M=2.22), t=-0.37, p > 0.05 on their level of prejudice. The same statistical test was also conducted to test the effect of the participants' ethnic group (Chinese versus Malay) on the level of prejudice. Results indicated significant mean difference between Chinese (M=2.39) and Malay (M=2.06), t=-2.85, p < 0.05 on their level of prejudice which reflected that intercultural contact had larger beneficial effect in reducing the level of prejudice among the majority group members compared to minority group members.

CONCLUSION

In the face-to-face setting, the present study has provided strong empirical evidence on the contact hypothesis as demonstrated in many previous studies. Results derived from Mixed Between and Within ANOVA and the follow-up test provided additional support to the Intergroup Contact Theory. Continuous face-to-face interaction between communicative partners or group members of different cultures encourages affable interpersonal relations leading to a reduction of prejudice (Walther et al., 2015).

The study, however, failed to provide empirical support toward the beneficial effect of CMC in reducing the level of prejudice between the intercultural communicative partners. The overall level of prejudice between the intra-cultural and intercultural communicative partners in the CMC group remained relatively similar. While it is believed that increasing intercultural contact between online communicative partners would lead to the inhibition of cultural differences and eventually a decrease of perceptual prejudice, results of the present study however may suggest the influence of time factor for acquaintance development and gradual progression of interpersonal relations among the intercultural communicative partners. Given adequate time through repeated electronic interaction or increased used of the medium, users are able to adapt to the textual cues system and later, use these cues to transmit interpersonal and social information to their communicative partners. As such information accumulates over a period of time, participants' uncertainty and prejudice about their partners is reduced and gradually interpersonal relationships develop (Walther, 1996).

Despite this unexpected finding, we observed a gradual decrease of prejudice across the four time periods of the study especially for the intercultural partners in the CMC group (see Figure 2). These preliminary findings could provide further support to the "equalization view" of CMC (Rodino, 1997), which in essence, holds the view that CMC democratizes communication among its communicative partners due to the medium's reduced reliance on social cues such as culture, physical appearance, gender, and race in the media. The absence of physical intercultural contact in the CMC group may led to greater reliance on other non-social and non-cultural cues such as textual, typographic cues, and emoticons to help in impression and relationship development as highlighted by the Social Information Processing

Theory (Burgoon & Walther, 1992; Walther & D'Addario, 2001). Such intercultural participants in the CMC group may need more time to develop trust and reduce their uncertainty and perceptual prejudice toward their out-group members.

The present study thus provides strong theoretical innovation for the Intergroup Contact Theory or the Contact Hypothesis, a widely-known sociological theory in intercultural relations, by testing it on an online platform. While more empirical evidence needs to be accumulated, clearly, the finding of the present study could provide preliminary information on the beneficial effect of a text-based CMC medium in reducing interracial prejudice.

The findings of the study should be interpreted with its limitation in mind. Firstly, it is an experimental study that was designed without the element of pre-testing. Secondly, the level of prejudice was not measured before experimental manipulation was introduced. It would, therefore, be difficult to appreciate the effect of the treatment condition before the manipulation. We, however, opted for this design because of two issues. Firstly, we cannot administer the measures of prejudice without identifying the ethnic group of the partners. Secondly, we believe that the time-series post-test design used in the study is adequate to detect the effect of manipulation as each of the four post-tests would act as a comparison base for each other.

It must be noted here, that the present study was predominantly designed as a quantitative research inquiry relying solely on quantitative questionnaires in evaluating the level of prejudice. While recording the thread of conversation in both face-to-face and CMC setting may provide richer description and interpretation of the data, it may increase the social desirability bias hence posing another threat to the internal validity of the findings. Future studies, however, may consider incorporating some qualitative dimensions with regard to relational discursive interaction among dyads while controlling for social desirability bias. Such an approach was deemed important in order to provide richer understanding of the data, thereby lending greater depth to the study.

That said, this study is also limited to only one type of CMC that is text-based CMC. Future studies should examine intercultural differences in relational development between text-based CMC (synchronous CMC and asynchronous CMC) as well as other CMC channels such as audio-conferencing and video-conferencing. More importantly, future study should extend the period of interaction to enable ample amount of online contact between the intercultural communicative partners.

The limitations notwithstanding, the results of this study are particularly noteworthy because they provide conclusive evidence on the beneficial effect of interracial contact in reducing prejudice in the face-to-face setting. More importantly, the result of the present study shed new light on the promising impact of repeated intercultural contact in reducing the level

of prejudice in the CMC group as evidenced in a decreasing pattern of prejudice over the four periods of time. Clearly, online interactions through the Internet also have enormous potential in reducing negative preconceptions in intercultural interactions, which in turn, lead to improved intercultural understanding and relations (Zhang, 2012) and reduced stereotypes (Tavakoli et al., 2010) as evidenced in many e-learning environments (Almonte-Acosta et al., 2013; Han & Zhang, 2009).

Research on intercultural relationships in cyberspace is still limited to date. As such, the findings of this study are particularly significant, especially for multiethnic, multicultural countries like Malaysia. It appears the journey toward achieving intercultural unity will continue to be a challenging one in light of the complexities of intercultural relationships.

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SOCIAL SCIENCES & HUMANITIES

Improving Gender Equality in Education Services at Senior High School: The Challenges to Preventing Sexual Violence Through School Management Standard

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ABSTRACT

Sexual violence is considered a serious problem due to its keep-increasing cases. Schools play very important role in preventing sexual violence by providing educational services based on gender equality through school management standard. This study evaluates the implementation of management standard of gender-responsive school and the challenges to preventing sexual violence. Four senior high schools in Sragen Regency Indonesia were selected. The quantitative data were collected from a survey to 198 respondents comprising principals, teachers and students. The qualitative data were obtained from focus group discussions. The quantitative data were analyzed using percentage, whilst the qualitative data were analyzed using interactive-model analysis of Miles and Huberman. The findings show that the majority of the respondents (96.5%) stated that school management standard had been gender-responsive. Nevertheless, the schools did not have sufficient facilities and infrastructures which could prevent sexual violence. The challenges to preventing sexual violence are the schools' willingness to build critical awareness of all students, teachers, employees and parents by formulating their vision, mission and strategy based on gender equality values, developing the principles of conduct and integrating sexual violence issue into the schools' academic and non-academic activities.

Keywords: Gender equality, sexual violence, school management standard

INTRODUCTION

In many countries sexual violence is considered a serious problem. According to United Nations Children's Fund [UNICEF] (2014), about 120 million girls from all

over the world ever experienced forcible sexual intercourse and other forms of sexual actions in their lives. Nine countries having been investigated, i.e. Uganda, Congo, Zimbabwe, Malawi, Nigeria, Liberia, Mozambique, Nepal and Tanzania, 6%-21% of girls aged 15-19 years ever underwent forcible sexual intercourses. The latest percentage is in Nigeria (6%) and the highest is in Congo (21%). Even, the data analysis from all girl samples and girls aged 15 to 49 asserted that most of them experienced first sexual violence incidents when they were teenagers between 15 to 19 years of age. The comparative data of the 42 low to medium income countries show that the prevalent level of sexual violence towards teenage girls is still very high especially in Africa (UNICEF, 2014).

According to Indonesian Women National Commission there were 293,220 cases of violence in 2015 and 3860 of them dealt with sexual violence towards women. Whereas in 2017 the number of violence cases decreased to 259,150 but the number of cases of sexual violence and physical violence increased sharply to 10,205 (Komisi Nasional Perempuan, 2015, 2017).

The data show a paradox that although Indonesian government had stated zero-violence policy, simultaneously the number of victims of sexual violence even reached emergency level instead. Accordingly, a real policy directly related to the handling and or the prevention of violence towards future "victims" is strongly required.

The problem is whether sexual violence is considered public or private problem. If it is considered public problem, should the state and its public policies be required? Should the state participate in solving the problem? What kind of public policy is expected to be able to resolve the problem? Or who should be responsible to prevent and or handle the problem? Conversely if sexual violence is considered private problem, the state and community should not necessarily interfere.

There are different points of view whether sexual violence is considered private or public problem. These different opinions implicate on who should be responsible for the problem. Many people believe that sexual violence is not considered serious problem and therefore it belongs to private area. Thus, only parents who have responsibility for preventing sexual violence. A research conducted by National Sexual Violence Research Center reveals that parents are the ones who are responsible for sexual violence since they are uniquely positioned to assist children and teens experiencing sexual violence, as they often see the warning signs – sudden changes in behavior or mood, lower grades, social withdrawal – before others (National Sexual Violence Research Center, 2014). In Indonesia, violence against women is not acknowledged or recognized as a problem since incest, rape and domestic violence are all considered taboo subjects. Women who are beaten, tortured or abused by their husbands may not able to obtain community

support because they will conceal what they undergo (Kortschak, 2012). Eventually, people see the sexual violence doers as a victim of external conditions such as broken-home family, uncaring parents, drugs abuse or media. Consequently, parents are seen as the most responsible.

In contrast, other people recognized that sexual violence belongs to public sphere. Therefore, not only parents but also government together with parents and society are responsible (Bhuvaneswari & Sibnath, 2016; Bogeanu, 2014; Cabral & Campbell, 2013).

In my point of view, sexual violence is a serious problem and the government, parents and society should take part in preventing the problem from arising. If it is ignored, the number of its cases will keep increasing. The government's important role is to ensure that the public policies produced are able to give protection towards public.

Schools play a very important role in preventing sexual violence since many of the cases happened to teenagers and they spend more times at schools (Mallet & Herbe, 2011). Moreover, sexual violence is frequently committed by people known by the victims, for instance spouse and social environment. In Indonesia there are a number of examples of violence towards women involving the spouse (husband) and the social environment. The examples on how Indonesian women particularly experience sexual and physical violence can be found in the research conducted by Aisyah (2014), Bennett et al. (2011), Hayati et al. (2015), and Krahe (2017).

The best way to prevent more cases of sexual violence from happening is to provide educational services based on gender equality through school management standard. Therefore, schools should develop school management standard which is able to prevent students from becoming the doers of sexual violence.

Indonesian government has implemented a program named gender responsive school since 2012. Gender responsive school was designed through the compilation aspects of academic, social, physical environment, and public society which gave strong attention to the specific needs of male and female in balance. Therefore, teachers, parents, and the surrounding environment are expected to realize and pay close attention to any action supporting equity and equality. According to Kementerian Pendidikan dan Kebudayaan Republik Indonesia [Indonesian Ministry of Education and Culture] (2013), there are three things that should be given attention in actualizing education in gender responsive school, i.e. (1) school management components, (2) learning process, and (3) male and female involvement in public role. The program is not easily implemented because of cultural values that tend to put women in less valuable position than men.

This article focuses on the studies about the role of management standard of gender responsive school and the challenges to preventing sexual violence. The management standard of gender responsive school is classified into school policies and management, school organizations and culture, and school facilities and infrastructure.

METHOD

This study was carried out in Sragen Regency, Central Java Province, Indonesia based on three considerations. Firstly, the regency has the lowest Gender-related Development Index (GDI) and Gender Empowerment Measure Index (GEM) in Central Java, Indonesia (GDI of Sragen in 2012 was 67,23 and 92,13 in 2014) (Kementerian Pemberdayaan Perempuan dan Perlindungan Anak, 2013, 2014). Whilst GEM of Sragen in 2012 was 57,58 and increased to 61,75 in 2014. Secondly, Sragen regency has implemented Gender Mainstreaming in education in accordance with the Regulation of Education Minister Number 84 Year 2008 on Gender Mainstreaming in Education, especially it has implemented gender responsive school program since 2012. Thirdly, the number of cases of sexual harassment and sexual violence in the regency tended to increase in the last few years (from only 4 cases in 2015 to 14 cases in 2016) (Wardoyo, 2016).

Four Senior High Schools in Sragen Regency were deliberately selected based on the types of school (public or vocational school) and specificity of vocational school (focussing in information technology, culinary art and administration). Based on these criteria, this study was carried out at one senior high school and three senior vocational high schools, which are situated in rural and urban areas.

It is a descriptive study, which delineates the implementation of gender-issue integration into the management standard of schools and its challenges to preventing sexual violence, supported with quantitative and qualitative data. The quantitative data were collected through a survey to 198 respondents, comprising of principals, teachers, and students. However, the qualitative data were collected through Focus Group Discussions (FGDs).

The quantitative data were analyzed using descriptive-statistic percentage based on the school category and gender responsiveness of school management standard category. Moreover, the qualitative data-analysis technique employs interactive model of Miles and Huberman (in Denzim & Lincoln, 2009). The data analysis comprised three inter-connected sub-processes, i.e. data reduction, data display and conclusion/verification.

In data reduction phase, the data were simplified by referring to the research instruments. Then, the selected data were summarized, coded, clustered and narrated in written form. In the data-display phase, the structured-summary was made and short description was done by using matrix with text and figures in cells. In conclusion/verification phase, the process of interpretation and determination of meaning of the displayed data were conducted. In this phase, comparative method, formulation of pattern and theme, clustering, and confirmative method (triangulation) were carried out.

The indicators used in assessing the implementation of management standard of schools are described in Table 1.

Table 1
Indicators and description of school management standard

Indicator	Description
School Policy and Management	*School Policy* Vision and mission of school support the implementation of gender equality education Schools have activities endorsing the similarities on access, participation, control and benefit to both male and female. *School management* Integrating gender into the syllabi and lesson plans Integrating gender into learning materials & learning sources Integrating gender into learning media
School Organization and Culture	*School Organization* School organizational structure represents the representation of male and female proportionally and is not subordinate in the allocated jobs School develops regulations to assure the representation of male and female proportionally in the school organizational structure *School Culture* The schools develop values and norms of appreciating to each other between male and female.
School Facilities and Infrastructure	Schools provide facilities and infrastructure which respond the different needs of men and women due to sex and gender, such as desks, school health center and counseling teachers.

RESULTS AND DISCUSSION

Implementation of the Management Standard of Gender-responsive School

Management standard of gender responsive school is school management which is based on gender equality and equity (Departemen Pendidikan Nasional, 2008). In this research the school management standard is seen from three aspects, namely school policy and management, school organization and culture and school facilities and infrastructure. The implementation of the three aspects at the schools are expected to be able to prevent sexual violence from occurring on students.

Based on research result of the three aspects, the majority of the respondents (96.5%) stated that the education management standard had been gender-responsive (see Table 2).

Table 2
Gender responsiveness of school management standard

Category	Name of School	Categories		Total
		Less-Gender Responsive	More-Gender Responsive	
Public Senior High School	SMA 3 Sragen	1	46	47
Public Vocational High School	SMK 2 Sragen	0	50	50
	SMK 1 Sragen	2	49	51
	SMK 1 Gesi	4	46	50
TOTAL		7	191	198
Percentage		3,5	96,5	100

Source: Primary data

The respondents' statement does not match the real condition in the field where the criteria have not shown the indicators of management of gender responsive school. The findings are elaborated in details below.

School Policy and Management. The first criterion of the management standard of gender responsive school is the availability of the school policy and management supporting the implementation of gender equality education. This can be seen from the integration of gender equality in the schools' visions and missions and activities endorsing the similarities on access, participation, control and benefit to both male and female.

Table 3 shows that the schools have inserted important character values into their vision and mission. They are developed

at school based on religious attitude and behavior and that of rooted in the values of Indonesian culture. The values such as being faithful, noble, competent, competitive, qualified, smart and independent and also having national personality characteristics are developed in the schools' vision and mission. In addition, the mission of producing human resources having noble and virtuous characters is also developed.

Besides integrating into the visions and missions the schools should also integrate gender into the school plan. Based on the focus group discussion the four schools had integrated gender into their school plan. One of the principals explained that the gender integration into the school plan was implemented through activities which could improve the understanding of the school community about gender,

Table 3

Integration of gender equality in the schools' vision and mission

Category	Name of School	Vision	Mission
Public Senior High school in urban area	SMA 3 Sragen	Having noble character Cultured	Developing potentials maximally in both academic and non-academic fields
Public Vocational High School	SMK 2 Sragen	Being competent, competitive and having national personality characteristics	Having noble character by developing religious attitude and behavior. Having attitude and behavior that are rooted in Indonesian cultural values
	SMK 1 Sragen	Faithful, competent, competitive and having national personality characteristics	Being faithful and noble by developing religious attitude and behavior. Willing to tolerate other people, to cooperate and appreciate each other, being disciplined, honest, cooperative, creative and innovative. Caring of social environment and loving peace
	SMK 1 Gesi	Having noble character, being qualified, smart and independent	Producing human resources having noble and virtuous characters

Source: Primary data

for example conducting competitions in commemorating Kartini's Day, Hero's Day and the Independence Day. The competitions conducted constitute the ones that are capable of endorsing the participation of all school community both male and female, for instance the competitions of paired dance and hero drawing.

The gender integration into the school plan is expected to be able to endorse school community to be able to understand and comprehend gender, so that both male and female students will be able to appreciate each other and prevent sexual violence from happening.

The development of character values which is based on religious values and rooted to the Indonesian national culture is expected to be able to be used as a shield for preventing sexual violence.

In addition to gender integration into the vision and mission activities which endorse the similarities on access, participation, control and benefit to both male and female, the schools need to develop management of gender responsive school. It is important to prevent sexual violence at school since there are some matters which can be integrated, such as syllabi, lesson plans, learning materials, learning sources and learning media. By integrating gender into them it is expected that this will provide the students with understanding about how to prevent sexual violence at schools through relevant studies.

Based on the focus group discussion, the teachers have not put the issue of sexual violence towards women and its regulations into the teaching materials. In the teaching and learning process the teachers did not integrate the issue of violence towards women into the teaching materials yet, such as that of Indonesian language and Civic education. The issue of sexual violence towards women can be relevant to be taught in the teaching materials at schools.

School Organization and Culture. The second criterion of the management standard of gender responsive school is school organization and culture. The research result finds that school organization represent the representation of male and female proportionally and are not subordinate in the allocated jobs. Meanwhile the school culture describes norms and values which refer to the available regulations and norms protecting the possibility of students undergoing sexual violence.

The research result finds that the character values represented in the school vision and mission then are more elaborated in the forms of schools' code of conduct regulating the prohibitions to men and women for doing any kind of action potentially triggering the action of sexual violence. Some of the values integrated to gender equality values are having noble character, being cultured, faithful and virtuous.

Those values are juxtaposed for actualizing competent, competitive, qualified, smart and independent human resources. The followings are the code of conduct having seen to have potential to cause sexual violence: (1) prohibition to

female students to wear flashy-colored lingeries and are not permitted to behave pornographically or impolitely (*SMA* 3); (2) prohibition to wear inappropriate apparels or have excessive make-up (*SMK* 2); (3) female students are forbidden to wear sexy clothes, to get pregnant and male students are forbidden to impregnate (the highest punishment score), forbidden to misuse alcoholic drinks, drugs and forbidden to wander around during school hours outside school, forbidden to bring pornographic materials (comic, magazine, photo or video) (Extracted from each of the schools' codes of conduct).

The implementation of the values were followed with sweeping actions on pornographic materials (primarily pictures and videos) of the students' cellphones. When teachers find pornographic materials on students' cellphones then they will give them advice and invite their parents to go to school. In the case of students who break the rule, their cellphones are confiscated until their parents redeem them and they are asked to promise not to do that again. (Extracted from Focus Group Discussion).

School Facilities and Infrastructure. The third criterion of the management standard of gender responsive school is the availability of facilities and infrastructure which respond the different needs of men and women due to sex and gender, such as desks, school health center and counseling teachers.

The research reveals that the type of students' desks are not gender-responsive, since the front parts are not covered. This

can trigger the action of sexual harassment or sexual violence to female students. The toilets are also still not gender responsive, for instance at one of the schools the students are female dominated. Thus the toilets provided are merely for female students. In the case of the room of school health center, three schools do not have separated rooms for male and female students. Moreover, to prevent sexual violence the schools installed CCTV at the spots suspected to cause sexual violence such as the classrooms, school alleys, around the toilets and parking lot.

The Challenges to Preventing Sexual Violence

There are two challenges for school to preventing sexual violence. First, the schools' willingness to build a critical awareness of the students, teachers, employees and parents by formulating their vision, mission and strategy based on gender equality values; second, developing principles of conduct and integrating sexual violence issue into their academic and non-academic activities.

Schools' Willingness to Build a Critical Awareness on Gender Equality Values. The research reveals that one of the biggest challenges in implementing school policies to preventing sexual violence is the strong commitment to build critical awareness of all students, teachers, employees and parents by formulating the schools' visions, missions and strategies based on gender equality and equity values. The vision and mission are used as references in formulating the attitude

and behaving to all schools' stakeholders in providing education services to the students.

The necessity of strong commitment is in line with Chopra (2016), Salvesen et al. (2018), Van de Pas et al. (2017), and Zwetsloot and Kines (2017). Chopra (2016) defined commitment as an actor's willingness and intent to take actions to achieve a set of objectives, and to sustain the actions overtime. Van de Pas et al. (2017) argued that commitment was a form of responsibility to solve problems required by national governments and stakeholders around the world. Salvesen et al. (2018) stated that commitment was important since it refered to the willingness of government agency to implement policies. In addition, according to Zwetsloot and Kines (2017), commitment can behold the extent of member's involvement in the organization and it can prevent a case from occurring in undesirable thing. The content of the commitment itself can mean strong belief and acceptance of the organization's goals and values, the willingness to exert great effort on behalf of the organization, and a strong desire to maintain membership in the organization.

Based on the statements the components of commitment cover (1) willingness and intent of actors; (2) responsibility to solve the problem; (3) strong belief and acceptance of the organization's goals and values.

In the context of sexual violence prevention at school, all students, teachers, employees and parents should have strong willingness and intent and responsibility to solve the problem. They should also have belief and acceptance towards the organization's goals and values. In a gender-responsive school organization, the commitment to solve a problem is poured in the visions, missions, and strategies based on gender equality and gender equity values. According to Tonkovic (2016) vision presents an organization's desired future state projection and the mission explains the purpose and the reason of the policy implementation's present existence.

Thus, schools have to have strong commitment to integrate gender issues into their vision, mission, and strategies in preventing sexual violence. The strong commitment should be poured in the vision, mission, and strategy, so that this enables to grow strong intent of every single actor of education (i.e. principals, teachers, academic employees, students and parents) to be responsible in solving the problems of gender inequality, particularly gender violence.

The awareness about gender, especially in relation to actions in preventing sexual violence is necessarily raised among all education stakeholders. This agrees with what Jewkes et al. (2005) said that sexual violence happened because of patriarchal ideology where men's domination was higher. Sexual violence is also used as a punishment act to girls and considered a power and authority symbol of men. Therefore, the unbalanced gender relation should be re-deconstructed to become balanced-gender relation and schools play important role to implant this critical awareness.

The importance of schools in preventing sexual violence was stated by Ajuwon et al. (2004), Cabral and Campbell (2013), Shumba (2001) and Weist et al. (2009). According to Cabral and Campbell (2013), schools have a role as "a way out" for formal and informal help. Teachers and counselors are able to give their support and guidance formally to the victims and their parents by providing them with appropriate guidance for both law and medical services and sharing of their problems. According to Kiadarbandsari, et al. (2016), authoritative parenting styles, uninvolved parenting styles, and fathers' level of education are significantly correlated to positive youth development (PYD). The authoritative parenting style was found to be the most significant predictor of higher PYD. These findings suggest that adolescents with authoritative parents in Malaysia show higher PYD and accordingly, they contribute to self, others and community.

Weist et al. (2009) explained that education program on the prevention of sexual violence at schools became one of the ways conducted by the US government to decrease sexual violence level at schools through Sexual Harassment/ Assault Prevention Program (SHAPP) focuses on preventing sexual violence covering intimidation, seduction, sexual harassment, sexual violence and violence in juvenile dating-life. According to Weist et al. (2009), schools implementing SHAPP have better school climate than that of not implementing SHAPP, improves secure-feeling among the students and staffs, and decrease sexual harassment/assault

and intimidation incidents at schools. The school's role is very important because the victims do not have sufficient knowledge about their rights when they report the sexual violence case (Ajuwon et al., 2004).

Shumba (2001) stated that sexual violence prevention through schools is done by means of using (1) sex education, as part of the schools curricula and teachers' education should be obligated to elementary and secondary schools; (2) Children should be taught about various aspects of their cultural aspects such as values, norms, and faith; (3) Department of Education, Sports and Culture should conduct workshops, seminars and conferences to make teachers, students and parents realize what can be and cannot be categorized as violence to children within schools' curricula; (4) Students need to be aware of the impacts of HIV/ AIDS when they are forced to have sexual intercourse and how they should protect themselves from the doers; (5) Schools have to give support service to the students who become the victims to help them cope with their problem.

In Indonesian context, the prevention mechanism of sexual violence should be implemented by state and public institutions by adhering to human rights. There is an urgent need for a law on sexual violence to better resolve sexual abuse cases (Osman, 2014), beside training for public servants across numerous government sectors, support for the establishment of integrated crisis center, and the development of police and medical guidelines for responding to rape and domestic violence (Bennett et al., 2011).

Developing Principles of Conduct and Integrating Sexual Violence Issue into their Academic and Non-Academic Activities. Based on the focus group discussion it was found that school regulations are considered potential for preventing sexual violence. The implementation of the schools' regulation covers the obligations that must be obeyed and the prohibitions that may not be violated. Each violation of the regulation will be levied sanction or punishment with leveled-scores, ranging from misdemeanors up to gross violations. Wearing flashy-colored lingerie which appeal sexual desire is considered violation of the school ethic and the doer will be given sanction with lower scored-punishment than impregnating a girl. The problem is there was no similar perception about factors triggering sexual violence and how to prevent that, for instance when the education stakeholders were asked about pornography they gave various answers. Regarding the case at *SMK 2 Sragen*, they defined pornography as being starkly naked, whereas being partly naked was not considered pornography (*SMK 2 Sragen*). In *SMK* Gesi, the education stakeholders did not have an agreement yet about the definition of pornography. Pornography category is based on the data of health institution, civil police unit, and public health center which conduct socialization about pornography, porn-actions and sex education to schools (*SMK Gesi*).

As a matter of fact there is regulation regulating pornography, i.e. Act No 44 Year 2008. Based on the regulation, pornography is a picture, sketch, illustration, photo, writing, voice, moving pictures, animation, cartoon, conversation, body movement, or any other message through any means of communication media and/or a show in front of public which bears porn or sexual exploitation breaking obscenity norms of the society. Based on the definition of pornography regulated in the Article 1 point 1 of Act No. 44 Year 2008 the definition of pornography is not merely based on stark nudity or partial nakedness, but the stressing is whether or not it bears obscenity or sexual exploitation breaking the obscenity norms in the society. Even in being dressed-up completely or covered, obscenity or sexual exploitation can still be expressed through facial expressions, body languages or voices. The ones which are considered pornography are: sexual intercourse, deviating intercourse, sexual violence, masturbation, nudity or display expressing nudity, genitals or child pornography. The failure of understanding the act results in different interpretation about pornography itself among education stakeholders.

The execution of the schools' rules which integrate the issue of sexual violence is in line with the statement of Withey (2010), Moor (2011) and Ajuwon, et al. (2004). According to Withey (2010), there should be clear regulation regarding sexual violence and it should be socialized to public especially teenagers since they mostly have high curiosity about their opposite sex and things related to sex. Schools are considered one of the most effective institutions conveying materials about the regulation. Moreover, they can

also give materials pertaining with sex education. The materials about gender equality is necessarily inserted into the curricula in order to execute it.

Meanwhile based on what Moor's (2011) findings in Israel, it is stated that the formation of Association of Rape Crisis Center (ARCCI) is considered to be able to prevent sexual violence. The center was founded with the main vision to donate and endorse to rape victims and conduct workshops on preventing sexual violence conducted by a number of experts. The workshop materials cover information about coercions considered sexual violence actions, differentiating normative and coercive sexual behaviors, social impacts caused by sexual violence and the way how to cope with them and the potential of alcoholic drinks, drugs and pornography which can stimulate sexual violence action.

A study by Ajuwon, et al. (2004) is very relevant with the necessity of schools for developing educational programs enabling teenagers to get sensitive towards the unjust and unequal gender, and realizing that coercions in any form cannot be accepted. In addition, female teenagers must learn to communicate what they experience and it is presented in the schools code of conduct about how to communicate without harassing one of the genders. The program will be a lesson to teenagers to identify the situation causing sexual violence.

Damanik (2016) stated that in a patriarchal culture there were different points of view in viewing sexual violence. To female victim sexual violence is considered a defect, whilst to male (the doers), sexual violence is considered a common thing. Women are taught to avoid sexual violence but men are never told that sexual violence is a serious crime.

It is not easy to explain the phenomenon through feminist theory due to various numbers of feminist theories. By referring to liberal educational feminists that focused on the importance of achieving gender equality through equal access and treatment in education, it is believed that only through the provision of equal educational experiences for both sexes a genuinely equal society could be developed (Arnot, 2007).

This is in line with that of pedagogy feminist theory. The theory states that gender equality should be applied at school for developing critical thinking and promoting social change towards gender equality (Arivia, 2016). With the theory, gender lens should always be utilized to examine the power distribution, to change the awareness, to see the oppression and to act to stop it. Accordingly, gender lens should be integrated in developing principles of conduct for preventing sexual violence.

CONCLUSION

Gender-responsive educational services at high schools is considered capable of preventing sexual violence towards teenagers. This gender-responsive educational services was conducted through the implementation of gender-responsive school management, such as providing gender-responsive lesson materials and trainings to teachers in order

to understand gender equality and equity, compiling, executing and monitoring the implementation of the code of conduct of gender responsive school in order to create conducive schools' environment to both male and female students while learning and producing human resource development to manage gender-responsive school. The comprehension about gender equality and equity values will discourage education stakeholders to commit sexual violence. Therefore to build critical awareness of all students, teachers, employees and parents about gender equality, is the challenge to preventing sexual violence.

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Conflict and Resolution On Politics of Tobacco Control in Indonesia

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ABSTRACT

Even though the Indonesian government and members of parliament have been strongly urged by the general public and international organizations to ratify the Framework Convention on Tobacco Control (FCTC), Indonesia is the only country in Asia that has still not ratified the FCTC. This study sought to analyze the roles and personal interests of the players involved, as well as current conflicts and ways in which resolutions had been achieved. This exploratory research included descriptive analysis carried out through 'analysis of policy' as a review of written sources including books, journals, constitutional laws, and related articles from electronic media. The results of the analyses show that governmental considerations delaying the ratification of tobacco control legislation include that the tobacco industry has long been a source of direct income for a significant portion of Indonesians. These include tobacco farmers and their families, workers at tobacco factories, and other informal sectors supporting the tobacco industry. The industry's strength and other financial considerations such as taxes and advertisements are also factors. The dynamic process of tobacco control in Indonesia has been fraught with conflicts and resolutions, and this will continue because of political processes corresponding to vested interests and power struggles. The fights and tussles resulting from both these aspects have been a source of ongoing conflict. However, delays in the ratification of the FCTC can also be seen as a form of resolution because they have served as a meeting point where the interests and power positions of various actors can be upheld.

INTRODUCTION

Efforts to control tobacco around the world have encountered much opposition, including resistance to implementation in Indonesia. This global movement was initiated by the World Health Organization's (WHO) Framework Convention on Tobacco Control (FCTC) in 2003. However, due to various governmental considerations, Indonesia has not yet signed this international agreement (WHO, 2015).

Based on a WHO report in 2008, Indonesia ranks third among the countries with the largest smoker population (4.8%) in the world, after China (30%) and India (11.2%) (Ministry of Health, 2012; WHO, 2008). Based on a 2013 report, *Riset Kesehatan Dasar* (*Riskesdas*), smoking by Indonesians aged 15 years old and over increased between 2007 and 2013—from 34.2% to 36.3%. Daily active smokers fall mostly within the 30 to 34-year-old age group (33.4%) and include more men (64.9%) than women (2.1%). The data show that 1.4% of smokers are aged 10–14 years old, and 32.3% are in the lowest quintile group of wealth indices. A tendency has also been found toward increased numbers of current smokers among adolescents aged 15–19 years old, rising from 18.8% in 2007 to 20.3% in 2010 (Ministry of Health, 2012).

Tobacco consumption creates potential health problems in the future. Researchers have found proof that harmful content in tobacco products leads to various diseases such as strokes, lung tumors, coronary heart disease, and chronic obstructive pulmonary disease (Ministry of Health, 2016). Achadi et al. (2005) estimated tobacco-related deaths at 10% in Indonesia—about 200,000 deaths annually—while, in 2010, tobacco-related deaths were put at 12.7% (Kosen, 2007).

Various studies have shown that the economic losses resulting from health problems caused by tobacco consumption are higher than the economic benefits of the tobacco industry and its products. For example, Indonesia's Ministry of Health reported that, in 2010, the government's expenditures in tobacco-related communities reached 231.27 trillion rupiahs (Rp). However, the total national revenue from tobacco taxes in the same year was only Rp55 trillion. The percentage of per capita spending on cigarettes was 11.91%, greater than milk and eggs (2.25%), health (2.02%), education (1.88%), and meat (<1%). (Ministry of Health, 2016). According to the Central Bureau of Statistics (BPS), filter *kreteks* (clove cigarettes) accounted for a high percentage of the cost of commodities that contributed to national poverty in 2014 (BPS, 2014).

Indonesia is the only Asian country that has not signed the FCTC (WHO, 2010). Many observers mention that the Indonesian government's position on this issue has weakened tobacco control efforts. Although national policies have been established that are similar to those of the WHO's FCTC, such as higher cigarette taxes, *kawasan tanpa rokoks* (KTRs) (smoke-

free areas), and restrictions on tobacco advertising, sponsorship, and promotion, these regulations and their enforcement are not yet optimal. Thus, the tobacco control movement has not been able to deal with problems in various sectors, which are increasingly widespread and detrimental due to increased tobacco consumption. Indonesia is still a tobacco importer and manufacturer with a significant share of the tobacco industry's market. In addition to the country's own traditional cigarette producers, who make up a large part of tobacco companies, Indonesia has become a haven for the industry's international investors such as Philips Morris.

The policies of the WHO's FCTC that have been ratified by most countries worldwide have not been accepted by the government of Indonesia. Indonesia's conditions and the government's concerns have, therefore, resulted in a deadlock. The government is apprehensive about the nature of international treaties that will bind and limit trade if they are in opposition to national conditions and strategies. The present study, therefore, sought to analyze the roles and personal interests of the players involved, including current conflicts and ways in which resolutions have been achieved in Indonesia's tobacco control policies.

METHOD

This exploratory research constituted a policy study based on descriptive analyses conducted in 2014. The unit of analysis

was tobacco control policies in Indonesia. This study used 'analysis of policy' through government policy documents and the results of other research, which was critically reviewed.

Information was gathered from many sources such as the constitution, laws and regulations, including books, journals, and related articles from electronic media using the keywords "politics of tobacco control" and "FCTC," which were this research's main focus. All data and findings were examined using policy analysis of the roles and personal interests of the players involved in tobacco control policy in Indonesia.

RESULT

Tobacco Consumption and Adverse Effects

The literature reveals that Indonesia's tobacco consumption and prevalence ranked fourth among the countries with the highest tobacco consumption globally in 2009. The number of cigarettes consumed has tended to increase, rising from 182 billion cigarettes per year in 2001 to 260.8 billion in 2009 (Ministry of Health, 2012).

The poorest households spent an average of 12% of their monthly expenditures on tobacco in 2010. Spending on tobacco is second only to rice and/or cereals. By comparison, expenditures on eggs and milk only amounted to 2% of household spending. Up to 63.6% of households have members who have taken up smoking habitually. Unfortunately, tobacco expenditure has no

known benefits and even increases the risk of severe health problems (Fachry, 2011; Ministry of Health, 2012).

The 2006 Global Youth Tobacco Survey (GYTS) in Indonesia provided data on youths' tobacco use. This report showed that more than 1 in 10 students (12.6%) smoked cigarettes, with the prevalence among boys (24.5%) significantly higher than among girls (2.3%). More than 9 out of 10 students (92.9%) had seen many advertisements for cigarettes on billboards during the previous month, and more than 8 in 10 (82.8%) had seen multiple advertisements for cigarettes in newspapers or magazines (Aditama et al., 2008). Study of several countries showed that the prevalence of second-hand smoke was highest in Indonesia, Chile, Kiribati, and Argentina. The prevalence of adult tobacco use in these countries was 29.0% in Indonesia, 28.8% in Chile, 42.6% in Kiribati, and 19.8% in Argentina, which is high by international standards (Xi et al., 2016).

Based on references collected by Achadi et al. (2005) and the Ministry of Health (2012), kreteks are preferred by 88% of Indonesian smokers, which comprises 30–40% cloves that contains eugenol—a compound linked to acute, chronic, and behavioral health effects when inhaled. Another adverse health effect of kreteks are hundreds of possible different additives put in the "sauce" to maintain the flavor. Moreover, many domestic cigarette companies do not perform tar and nicotine tests in their laboratories. The tobacco industry promotes misleading information that covers up health hazards with claims about product differentiation in low nicotine and tar levels, as well as additional flavors such as mint.

An emerging prevalent phenomenon among Indonesians is that the adverse selection is aggravated in households and workplaces by people's habit of using "cigarette money" to replace money tips, providing cigarettes for various social gatherings such as celebrations and meetings. Indonesians also give cigarettes to traditional clerics as a sign of gratitude and share cigarettes with, and offer them to, guests and friends as a symbol of solidarity and a way to communicate mutual support, especially in rural communities.

Conflicts Related to Components of Tobacco Control

Tobacco Control Regulation in Indonesia. Conflicts related to tobacco control, such as the evaluation of trade-offs between the pros and cons of tobacco control, have proved significant in the process of drafting tobacco control regulations. This led to the loss of a clause on tobacco control in Health Law No. 36/2009. This law, on curbing the adverse health impacts of tobacco was rejected and replaced with more general government tobacco control regulations. A paragraph on tobacco control simply disappeared from the Health Law shortly before it was to be enacted. This was the start of a long struggle to pass legislation on tobacco as an addictive substance.

Another conflict arose over discrepancies between regulation of the

Indonesian government No. 109/2012, the *Surat Keputusan Bersama* (SKB*)* (The Joint Degree) the Ministry of Health and the Ministry of Home Affairs's regulation No. 188/2011 protocol on cigarette sales in shopping centers and tobacco advertising in the street. This conflict has meant that Indonesia has not yet signed the FCTC due to a deadlock at the presidential level. However, the FCTC's concepts were adopted in the Ministry of Health's SKB and the Ministry of Home Affairs' regulation No. 188/2011 on Non-Smoking Areas. This is a compromise solution: controlling tobacco's impacts by adopting concepts from the FCTC.

Price and Tax Measures. The policies on controlling tobacco prices and tax measures in Indonesia include Law No. 28/2009 on Regional Taxes and Levies. The rules are as follows:

- Article 94: The provincial tax revenue referred to in Article 2 Paragraph 1 is earmarked for districts and/or cities in the provinces concerned with provision of services, so 70% of cigarette tax receipts are submitted to these districts and/or cities.
- Article 29: The cigarette tax rate is set at 10%, and this tax is taken into account in the determination of national tariffs.
- Article 31: At least 50% of the cigarette tax revenue, both at the provincial and district and/or city level, is allocated to fund public health services and law enforcement by competent authorities.

Cigarette production has continued to increase in Indonesia, but the contribution of the tobacco industry and farms to the gross domestic product was only 1.45% in 2008. The cigarette excise tax has increased over time from 40% in 2006 to 52% of the minimum retail price in 2012. However, this rate is still far from the WHO recommendation of an excise tax of 70% (Ahsan & Wiyono, 2007; Ministry of Health, 2012).

Increasing cigarette prices by raising the excise tax is a win-win solution because state revenues increase and consumption of cigarettes falls, which is better for the public's health. Based on other study/studies it is known that every 100% increase in tax would reduce consumption by 4% in developed countries and 8% in developing countries. In addition, the increase in cigarette prices due to higher excise taxes is primarily felt by the poor and adolescents (Ahsan & Wiyono, 2007; Ministry of Health, 2012).

In Indonesia, the cost of tobacco consumption in 2005 was Rp167.1 trillion (USD18.5 billion), including direct costs to households and indirect costs due to loss of productivity caused by early death, illness, and disability. This is five times higher than the cigarette tax income of Rp32.6 trillion (USD3.62 billion) (Kosen, 2007). Indonesia's policies on tobacco product prices make them cheaper than in developed countries. Furthermore, no regulation

expressly prohibits the sale of cigarettes to minors or bans tobacco production and sales of tobacco in public places. In addition, no clear criminal provisions are stipulated for violations of tobacco control policies.

Comprehensive Bans on Advertising, Promotion and Sponsorship

Comprehensive bans on tobacco advertising, promotion, and sponsorship can include such restrictions as no cigarette advertising in the street and the inclusion of images about the impacts of smoking on health. Bans also stop tobacco companies from selling, advertising, promoting, and sponsoring in public places and community activities. However, in Indonesia, cigarette advertising on television and other social media is still allowed as long as tobacco companies mention smoking's impacts on health, showing the effects of this addiction on television and in the print media. Moreover, no restrictions exist on the sale of cigarettes to children.

Bans on the operations of the cigarette industry and the transformation of farms of other agricultural products into tobacco farms are opposed by local government, the cigarette industry, tobacco farmers, and workers in the tobacco supply chain. No national strategy yet exists to involve central and local government in protecting the local economy from the effects of moving away from tobacco farming and closing cigarette factories. The economic strength of the tobacco industry, including lobbying at the national and regional levels, is extremely strong. Most districts' income involves contributions by the tobacco industry. Most major tobacco companies also practice corporate social responsibility, ranging from scholarships, sponsorship of community activities, and construction of health facilities. Currently, the tobacco industry's roadmap includes only offsetting smoking's impacts on health by building healthcare facilities.

Clean Air Legislation

Before the FCTC, Indonesians took the initiative in some areas to prohibit smoking in public places. However, the law enforcement officials and local government's commitment is still extremely weak, as evidenced by many officials who violate the law themselves. After the FTCT was finalized, Government Regulation No. 109/2012 and the Ministry of Health's SKB No. 188/2011 were issued in Indonesia. Based on data from the Ministry of Health (2012) and a study of several regions in Indonesia (Sulistiadi, 2014), it becomes clear that various regions began drafting regulations or declaring smoke-free areas. The regulations stated that schools, workplaces, public places, medical facilities, places of worship, and public transportation were non-smoking zones. However, no penalty was specified for individuals who smoked in these areas.

Thus, non-smoking area regulations are not accompanied by penalties for people smoking in non-smoking zones, and the regulations cannot be enforced (Ahsan & Wiyono, 2007). This is due to the strong influence of a permissive tradition in which

smokers think of smoking as a human right, while the protection of non-smokers' rights has still not become a public concern. In addition, not all districts and/or cities in Indonesia have local regulations for smoke-free areas (i.e., KTRs). Based on research in several districts and cities, Sulistiadi, (2014) noted that the presence or absence of tobacco farming in the area significantly influenced the presence or absence of KTR policy implementation.

Public Education and Information

Public education and information is offered by mobilizing anti-smoking campaigns in public places. Indonesians thus hear about protocols and guidelines through anti-tobacco campaigns by the Ministry of Health such as Regulation No.28/2013 about health warnings and health information. Public service announcements present the impacts of smoking on health by showing its negative effects on television and in print media (as implemented Government Regulation No.109/2012 also became a legal requirement for warning pictures in cigarette packages).

DISCUSSION

Tobacco control policies in Indonesia are not only important for Indonesians but also internationally. Tobacco control policies, of which one component is the current KTR regulations, cannot be enforced only through the health sector's efforts but instead must involve all stakeholders and potential players (Sulistiadi, 2014). In low and middle-income countries (LMICs),

advocates and government regulators' attempts to control tobacco use have been frustrated, for the most part, by transnational tobacco companies and their supporters. One reason tobacco is so difficult to control is that the associated political economy has yet to be adequately understood and addressed. Tobacco control is complicated by the powerful political and economic forces connected to cigarette production and sales. Therefore, a political economy analysis is needed to help formulate strategies that promote policy adoption and implementation (Bump & Reich, 2013).

The present study's results show that the deadlock on the signing of the FCTC in Indonesia is at the presidential level, indicating that Indonesia is not ready to sign the FCTC. The governmental considerations delaying the ratification include that the tobacco industry has long been a source of direct income for a significant portion of Indonesians. These include tobacco farmers and their families, workers at tobacco factories, and other informal sectors supporting the tobacco industry. This industry's strength and other financial considerations such as tax and advertisements are also factors.

Based on a study across several countries (Hiilamo & Glantz, 2015), researchers found that FCTC ratification increased the odds that LMICs would have FCTC compliant health warning labels by 2013. The odds of FCTC compliance increased by a factor of 1.31 for each year after FCTC ratification. Indonesia's Ministry of Health Decree No. 188/2011 and Government Regulation

No. 109/2012 were a compromise solution meant to address the need to control tobacco's impacts by adopting the FCTC's concepts. However, the government should not delay the signing of this treaty in a bid to protect national interests, tobacco farmers, and state revenues derived from tobacco products.

Indonesia needs to implement a cost-effective policy of tobacco control consistently, in order to reduce smoking's negative impacts on its citizens' health and the economy. Population-level tobacco control interventions have the potential to benefit more disadvantaged groups (Thomas et al., 2008). According to experts, sufficient evidence exists for the effectiveness of increased tobacco prices and excise taxes in reducing overall tobacco consumption and the prevalence of tobacco use, as well as improving public health. Higher taxes are effective in reducing the deaths, diseases, and economic costs associated with tobacco use. The positive impacts on health are even greater when some of the revenues generated by tobacco tax increases are used to support tobacco control, the promotion of healthy habits, and/or other health-related activities and programs (Chaloupka et al., 2010; Chaloupka et al., 2012).

For example, in Ukraine, the higher tobacco excise taxes imposed since 2009 and 2010 have significantly reduced tobacco consumption and encouraged public health and fiscal gains (Ross et al., 2012). In Mexico, taxes representing 59% of cigarettes' total price were imposed in 2006. Researchers have shown that price is a statistically significant factor in households' decisions to smoke or not and in decisions about how many cigarettes to smoke. Each 10% increase in the price of cigarettes results in a 5.2% decrease in the number of cigarettes smoked (Jimenez-Ruiz et al., 2008).

Indonesia needs to learn from other countries' experiences of implementing tobacco control policies. Information about the effectiveness of tobacco control policies include studies of Brazil's efforts over the last 15 years. That country's government has promoted a national network for disseminating knowledge on the harmful effects of tobacco and mobilizing tobacco control efforts through building the capacity for, and development of, partnerships between health offices of municipality, media, and civil society organizations. This movement has created a national critical mass and a social environment supportive of strong improvements in tobacco control (de Almeida et al., 2008).

The California Tobacco Control Program was also associated with significant declines in cigarette consumption among daily smokers over 35 years old, which led to a drop in tobacco-related health conditions. An annual decline in the average number of cigarettes was observed among daily smokers of 20.41 cigarettes per year (Al-Delaimy et al., 2007). Countries with more effective tobacco control programs have seen higher reductions in smoking and, consequently, in smoking-related mortality. Because both longer duration and higher intensity of smoking (i.e., amount of tobacco

smoked per day) are associated with an increased risk of tobacco-related diseases, (Islami et al., 2015).

The WHO's FCTC demonstrates that global political will exists to strengthen tobacco control and thus save lives. This convention is often called the most powerful tool in the fight against tobacco-related morbidity and mortality. As the world undergoes the long-predicted transition from communicable to non-communicable diseases as the greatest health burden, seminal ideas, processes, and outcomes such as the FCTC can be used to inform decision-making and policy-making (Lien & DeLand, 2011; WHO, 2011).

Another important lesson from the FCTC is that success depends directly on the vision, courage, leadership, commitment, political will, and integrity of people, governments, civil society, and organizations. These have been entrusted with the task of turning the concept of an international treaty on global health into reality. Successful implementations of this treaty likewise need the continued commitment of all players (Nikogosian, 2010). The political process also requires a system that includes the actors involved in policy and interest groups (Sulistiadi, 2014). For instance, researchers in China have recommended that, to promote more effective tobacco control policies, any conflicts of interest must be eliminated that inhibit the public health functions of China's State Tobacco Monopoly Administration (Wan et al., 2012).

One obstacle to the FCTC's implementation is political and economic opposition led by the powerful tobacco industry (Warner, 2008). Thus, tobacco control in Indonesia will likely not move forward until the government evaluates and strengthens the existing laws, considers passing new stronger laws, and develops protocols for enforcing all laws (Aditama et al., 2008).

CONCLUSION

The dynamic process of tobacco control in Indonesia has been fraught with conflicts and resolutions. This situation will continue because of political processes that reflect vested interests and power struggles. The fights and struggles involving these forces have been a source of constant conflict. However, Indonesia's delay in ratifying the FCTC can also be seen as a resolution because this deadlock in the process represents a meeting point where the interests and power positions of various actors can be maintained.

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Science and Technology Diplomacy and the Power of Students: The Case of Iranian Student in Malaysia

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ABSTRACT

The world is witnessing a paradigm shift in international relations. Due to rapid changes in science and technology, "Science and Technology Diplomacy" (scientific diplomacy) has emerged as a new strategy for developing, shaping, and reshaping international relations across the world. In this paper, a scientometric approach is applied to study the trend and progress of "Scientific Diplomacy" in Iran's relationship with Malaysia during the last few years. The results of the study show that, with 5569 joint publications and as part of the 10,239 authors from both countries, Iranian students in Malaysia have contributed to 10.13% of Iran's international joint publications between 2012 and 2017. Additionally, Iranian students in Malaysia have contributed to 9.8% of all Malaysian international joint publications during the same period. This is equal to 2.06% and 3.6% of all scientific publications in Iran and Malaysia, respectively. Using Malaysia as a specific case, the study shows a significant relationship between the presence of Iranian students in Malaysia and the growth of scientific and academic collaboration between the two countries. The results of the study have many scientific, political, cultural, and social implications. Considering this study and applying its results to similar cases, "Scientific Diplomacy" seems to work successfully worldwide and plays a key role in future relations among nations. "Scientific Diplomacy" has great potential

for furthering the development of relations between nations in very intelligent ways, and may help their states avoid possible disputes and conflicts.

Keywords: Iran, Malaysia, scientific diplomacy, smart power, students

INTRODUCTION

The world is witnessing a paradigm shift in international relations. Despite having many traditional types of diplomacy (such as political, cultural and media diplomacy), rapid changes in science, knowledge, and technology resulted in the development of a new strategy. "Science and Technology Diplomacy" (Scientific Diplomacy) has emerged as a new mechanism for developing, shaping, and reshaping international relations across the world (Lloyd & Patman, 2014). In "Scientific Diplomacy", science and knowledge are at the core of a country's power and the seductiveness of its ideas, and therefore who will shape and direct it is very important (Degelsegger & Blasy, 2011). In addition, the influence and effectiveness of diplomats and international civil servants is increasingly dependent upon the extent to which they can mobilize scientific and technical expertise in their work (United Nation, 2003). This is why many countries, world institutions, and research centres across the world have initiated measures to study this contemporary phenomenon. Examples of these measures include the United Nations' "Science-Technology Diplomacy Initiative" (United Nation, 2003) and AAAS Diplomacy[1].

[1] The American Association for the Advancement of Science.

As scientific and technological issues become increasingly dominant in global affairs, and in order to build and form a consensus on scientific issues, ways must be found to identify the key players in science and technology as well as how to mobilize them. This is where the roles of those key players, including students as a powerful engine for the progress and development of "Scientific Diplomacy", can be highlighted (Ghanbari & Ideris, 2018). Because of their nature and their abilities, students can be like "ambassadors" of their own countries. This tells a lot about their self-perception as elites of international science, and above all as improvised and spontaneous government representatives (Saint-Martin, 2011).

During the last two decades, many academic and scientific inquiries have tried to understand, examine, and predict the nature of "Scientific Diplomacy" from different points of view using interdisciplinary and multidisciplinary approaches. Some of them highlighted the importance and urgency of implementing scientific diplomacy (Ahad, 1998). Others investigated a few "Scientific Diplomacy" cases, such as France (Raymond, 2014) and Iran (Pickett et al., 2014). Still others investigate the role of "scientific diplomacy on global relations" (Hupaylo, 2016) or the trend and prospect of "scientific diplomacy in the 21st century" (Fedoroff, 2009). The results of all of these efforts were published and appeared in both local and international academic and scientific journals, books, and other academic documents. However, there are few in-depth studies on how students play a role in scientific diplomacy.

Statistics show that in 2017, roughly five million students (more than double that of 2002 and more than triple that of 1990) were studying outside their home countries, including around 100,000 Iranian students pursuing tertiary education across the world. While some of the studies mainly focus on personal relations (Gbadamosi et al., 2014), media (Froget et al., 2013; Vegiayan et al., 2013), communication (Baghestan et al., 2009; Ghanbari-Baghestan et al., 2016) and health (Akhtari-Zavare et al., 2015) aspects of international students, it is very important to also investigate the role of international students in global relations, as well as to understand how they can play a role and what they can do in shaping and reshaping the international relations around the globe. Through this study, the authors use a scientometric approach to present a comprehensive study of the role of Iranian students on increasing the scientific and academic collaboration between Iran and other countries, using Malaysia as a case study.

METHODS

In this paper, a scientometric approach is applied to study the dynamic of Iran's "Scientific Diplomacy" across the world. Scientometrics can be defined as the "quantitative study of science, communications in science, and science policy" (Hess, 1997). Scientometric method is recognized as a novel instrument in the empirical study of the sciences (Leydesdorff & Milojević, 2015). It is used to measure scientific progress in many disciplines

as well as to measure the progress and development of scientific productions. The timespan searched was from 2012 to the end of 2017. For further analysis, data for the four top destinations of Iranian students (US, Malaysia, Canada, and UK) was selected for qualitative content analysis, with specific focus on Malaysia. In this paper, total publications, citations, the average citation per document, and field weight citations were selected as key indicators for in-depth analysis. The average citation per document is more accurate and more scientific than total citations when identifying high impact documents (Chuang et al., 2011; Ho, 2014; Müller et al., 2016). For visualizing the results of the study, Elsevier's SciVal was used, which offers access to the research performance of 8500 research institutions and 220 nations worldwide. A summary table of data collection is illustrated in Table 1.

Table 1
A summary of data collection

1	Database/ Visualization	Scopus Database/ Elsevier's SciVal
2	Timespan	2012-2017

RESULT AND DISCUSSIONS

The Ministry of Science, Research, and Technology and the Ministry of Health Treatment and Medical Education are the main state ministries in Iran involved in higher education, science, research and technology. In addition, these two ministries pay particular attention to implementing science and technology diplomacy; traffic of academic collaborations; and developing,

strengthening, and improving national and international science and technology cooperation with its foreign partners, including overseas universities and science and technology institutions.

Iran currently has 154 main public universities, 58 public medical universities, an Islamic Azad University (IAU) with 567 branches, and over 2000 other private colleges, universities, and research centres. Additionally, Iran has more than 39 technology parks (with a total of 3650 companies inside them) as well as 3,032 knowledge based firms, which are leading the country in terms of higher education, science and technology.

Iran's contribution of scientific publications in the world has grown over the past two decades from 0.04% in 2005 to 1.5% in 2016 (ranked no. 16 in the globe). Likewise, its total contributions for regional scientific publications increased from 14.8% in 2005 to 28.6% in 2016 (ranked no. 1 in

the region). Joint publications by Iranian authors and foreign collaborators accounted for around 20%. A major reason for these improvements is the increasing importance given to scientific publications and research. This has enabled the promotion of university professors through grants and created awards for graduate students pursuing admission at accredited universities. Iran's total exports for technology-based products were recorded at 12.1 billion US$ in 2014, adding to their total contributions to science and technology (The Science and Technology Department of the Iranian President's Office, 2017).

Overall Research and Scientific Performance of Iran

The results of the study show that overall, Iran had 274,919 indexed scientific outputs from 2012 to 2017 in which 239,880 authors were involved and contributed. Altogether, these outputs had 1,199,068

Table 2
Key indicators of research performance of Iran (2012-2017)

Outputs in Top Citation Percentiles
Publications in top 10% most cited worldwide

Iran
11.9%

Publication in Top Journal Percentiles
Publication in top 10% journals by CiteScore Percentile
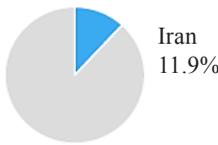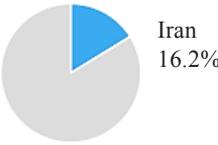
Iran
16.2%

International Collaboration
Publications co-authored with Institutions in other countries

Iran
20.0%

Academic-Corporate Collaboration
Publications with both academic and corporate affiliations
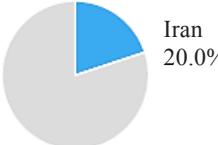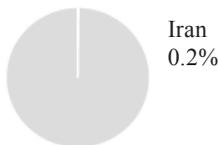
Iran
0.2%

citations. In addition, the citation per publication is recorded as 4.4 and the Field Weighted Citation Impact as 0.93. Table 2 shows additional details of Iran's research performance from 2012 to 2017.

Top Active Academic and Scientific Institutions in Iran

Overall, 123 institutions (universities and research centres) were recorded as affiliates for the scientific outputs of Iran from 2012 to 2017. Figure 1 demonstrates the top 10 active institutions in Iran's scientific outputs within the period of study. Islamic Azad University, comprising 567 branches inside and outside of the country, is ranked first at 54,544 scientific outputs. This is followed by Tehran University of Medical Science with 25,403 scientific outputs and University of Tehran with 23,729 scientific outputs.
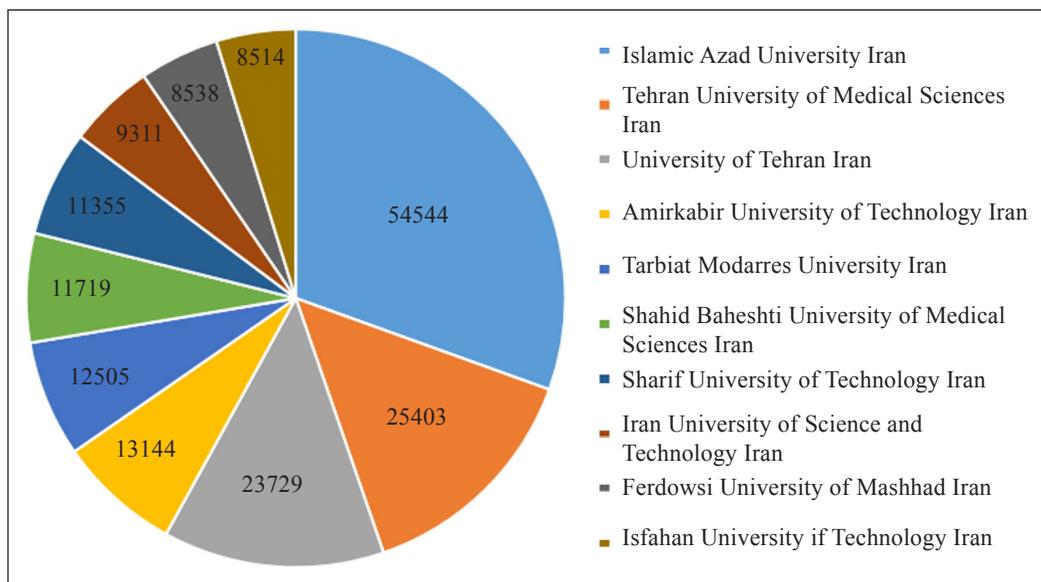
Figure 1. Top 10 active institutions in producing scientific outputs

International Collaboration on Research and Science Productions

The results of this study show that 182 countries around the globe collaborated with Iran between 2012-2017 in joint scientific publications. In fact, around 20% (54,835 documents) of Iran's scientific publications during this period were in collaboration with authors from those 182 countries. Table 3 illustrates the top 20 countries across the world that have the highest number of joint publications with Iran during this period. Based on this table, the top 20 countries alone contributed to 68,542 scientific documents, almost 25% of Iran's total publications between 2012-2017. Among the top 20 countries, the United States of America (12,999), Canada (5927), Malaysia (5569) and the United Kingdom (5158) are ranked as the four most collaborative

countries with Iran during this period. In fact, 10.7% (29,641 documents) of Iran's scientific outputs were in collaboration (co-authored) with these four countries.

Surprisingly, the growth rate for joint research and publications with Iran either was maintained or increased over 2012-2017. Figure 2 demonstrates the growth of co-authorship with Iran for these 20 countries. After the top four countries, who maintained or increased their level of co-authorship, the highest growth rate of co-authorship with Iran is seen in Poland, Sweden, South Korea, the Netherlands, and Belgium.

To evaluate the impact of co-authorship publications (research impact) between Iran and the top 20 countries, Table 4 illustrates the total number of citations received by joint publications based on each independent country. The highest citations were recorded for co-authored publications between Iran and United States (129,985 citations). This is followed by co-authored publications between Iran and the UK (79,188), and Iran and Germany (70,366). Even though Malaysia stands as the fourth ranked collaborative country, the total citations received by co-authored publications with Iran is only 46,975 (ranked as number 12 out of 20 collaborative countries).

Table 3
Top 20 collaborating countries with Iran (2012-2017)

Countries	Co-Authored Publications and Growth (%)		Co-authors	
			in Iran	in the other Country
United States	12999	61.6	17690	18758
Canada	5927	46.6	8716	5021
Malaysia	5569	32.3	5178	5035
UK	5158	35	7008	6046
Germany	4523	40.4	5746	6419
Australia	4240	50.4	6240	3874
Italy	3842	95.3	4492	6145
Turkey	2905	63.9	2934	2220
France	2784	26.5	3224	3803
Spain	2648	53.8	2828	3040
China	2624	126.5	2509	3322
India	2220	48.1	2391	2462
South Korea	2105	30.2	1941	1750
Netherlands	1866	39.5	2698	2599
Sweden	1731	60.4	2718	1878
Switzerland	1702	33.6	1971	5346
Belgium	1542	29.4	1552	1470
Poland	1406	112.3	1296	969
Saudi Arabia	1397	197.2	1255	637
Japan	1366	63.7	1902	2127

	United States	Canada	Malaysia	United Kingdom	Germany	Australia	Italy	Turkey	France	Spain	China	India	South Korea	Netherlands	Sweden	Switzerland	Belgium	Poland	Saudi Arabia	Japan
Series1	80.1	67.7	41.4	43.6	52.5	64.9	105.8	67.3	50.2	62	129.2	49.7	84.7	66.5	126.8	37.8	72	180.6	153	85.1
Series2	82.1	62.7	35.2	69.9	112.5	48.5	83	62.6	75.4	58.5	176.1	85.8	29.8	54.3	66.2	-60.1	27.3	137.6	239.1	68.5
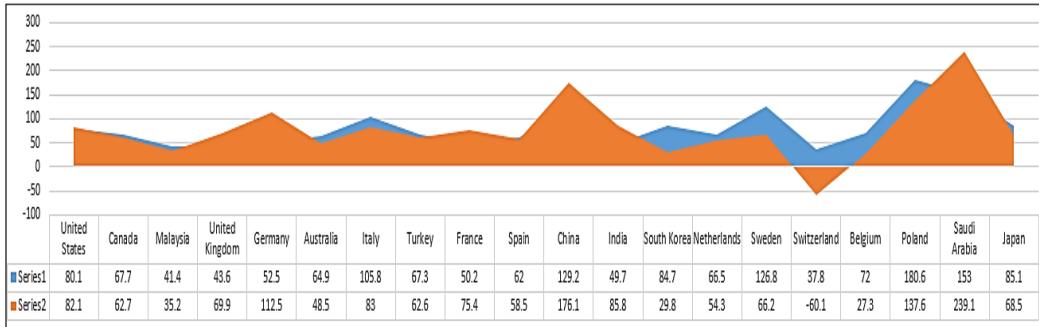
Figure 2. Growth of co-authorship with Iranian researchers between 2012-2017

Table 4
The impact of co-authored publications with Iran

Country	Co-authored publications	Citations	Institutions
United States	12999	129958	621
Canada	5927	60379	92
Malaysia	5557	46975	51
United Kingdom	5158	79188	261
Germany	4523	70366	227
Australia	4240	57175	119
Italy	3842	62195	139
Turkey	2905	45614	138
France	2784	58470	236
Spain	2648	58827	116
China	2624	59795	319
India	2220	57944	214
South Korea	2105	45822	89
Netherlands	1866	38422	59
Sweden	1731	39018	43
Switzerland	1702	48861	31
Belgium	1542	34779	28
Poland	1406	31510	76
Saudi Arabia	1397	32624	22
Japan	1366	35068	188

Figure 3 illustrates two key indicators for the impact of the co-authored publications between Iran and the top 20 collaborative countries. Switzerland is ranked first for the average citation per joint co-authored publication with Iran at 28.7, followed by India at 26.1 and Japan at 25.7. However, based on the Field Weighted Citation Impact (F.W.C.I) score, a more precise indicator, the figure shows that in all cases, the co-authored publications get at least 87% (in Malaysia's case with 1.87) more citations

than the normalized citation score of one. It is worth highlighting that the highest F.W.C.I score belongs to co-authored publications with Saudi Arabia (5.54), India (4.65), Japan (4.62), and Switzerland (4.54).
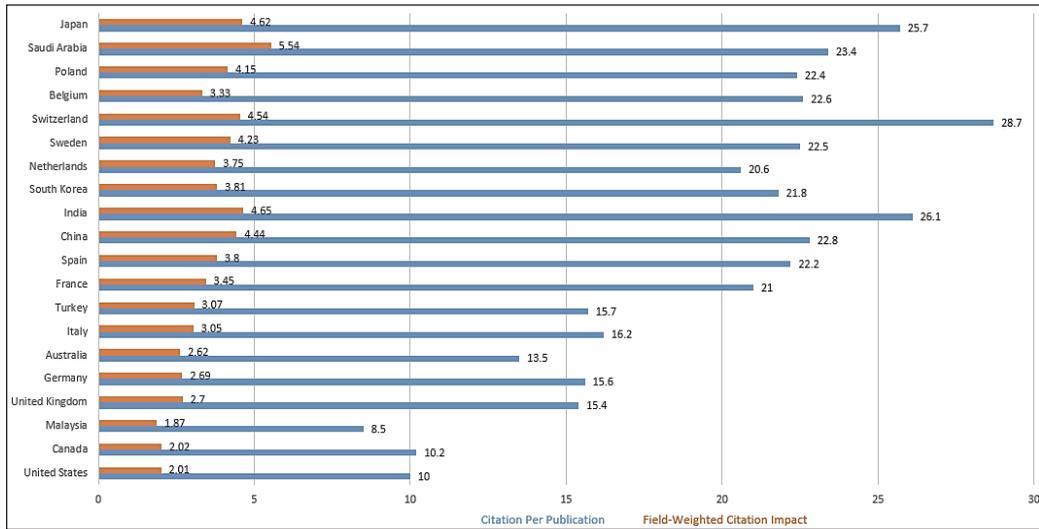
Figure 3. Citation per publication & field weighted citation impact between Iran and top 20 countries

The Role of Students in Iran's International Scientific Collaboration

In 2017, a total of 4,083,012 students were studying in Iranian universities, of whom 46% were women, showing a better gender balance in Iran than in other countries. Table 5 depicts the distribution of students and other related factors in Iran.

Based on the latest statistics, around 80 to 100 thousand Iranian students are studying overseas. Whereas historically the United States of America, Canada and the UK were the main destinations for Iranian students, Malaysia started receiving Iranian students in the early 21st century. This is mainly because of the introduction of Malaysian Research Universities (MRUs) in the country (Ministry of Higher Education [MoHE], 2015). The number of Iranian students in Malaysia increased dramatically from 2007, gradually reaching 13,800 students in 2012. This is the highest

Table 5
Some key statistic about students in Iran

Items	2005	2017	Items	2005	2017
No. of Students	2,389,867	4,083,012	Master Students	--	764,233
Graduates	340,264	738,260 **(2015)**	**Bachelor Students**	--	3,084,406
PhD Students	19,237	234,373	International Students	---	57,600
Students Distribution: 37% in Islamic Azad Unis, 16% Public Unis, 47% in other Unis.			**Total Academic Members:** 80.000 (out of this, 25% are women).		

number of international students in Malaysia (Mehrnoosh Akhtari-Zavare & ghanbari-baghestan, 2010). Overall, from 2000 to 2015, more than 20,000 students were studying in Malaysia, 11,000 of which were in Malaysian public universities, including five research universities. In terms of research and academic performance, students who graduated successfully from Malaysian universities have published three scientific publications (indexed and un-indexed) and five seminar/conference papers on average. Financially, based on the average expense of each international student in Malaysia, Iranian students have made contributions of more than 6 billion Malaysian Ringgit as of 2015 (Baghestan, 2016).

In recent years, like elsewhere (Fedoroff, 2009), due to the presence of Iranian students in Malaysia, both countries experienced very progressive development and collaboration in terms of joint research. There is increased development in academic and scientific co-authored publications as a result (Figure 4). As presented in Table 3, Malaysia ranks third among the top countries in collaboration with Iran that had the highest number of co-authored publications. Conversely, Iran ranked fourth for the number of co-authored publications in the top 20 collaborative countries with Malaysia, following the UK, Australia, and the United States (MoHE, 2017).
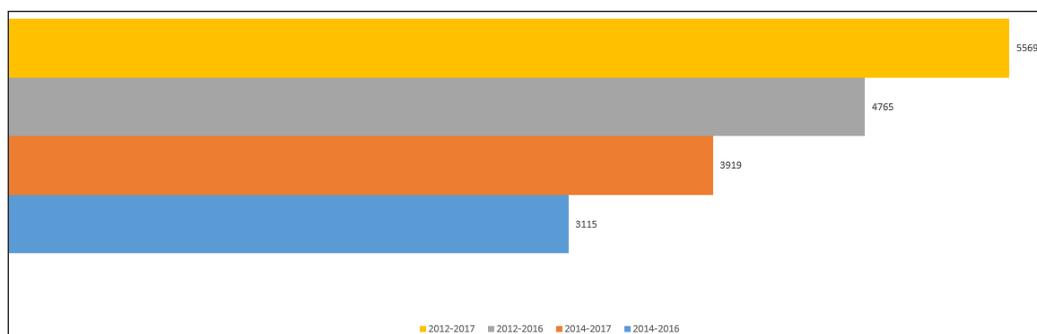
Figure 4. Trend of co-authored publications between Iran and Malaysia

As can be seen in Figure 4, the total number of co-authored publications between Iran and Malaysia reached 5569 scientific documents at the end of 2017. This is equal to 2.06% of Iran's total scientific publications and 10.13% of Iran's total international joint publications between 2012 to 2017. In comparison, the 5569 scientific publications are equal to 3.6% of all Malaysian scientific publications and

9.8% of Malaysia's total international joint publications during the same period. In other words, 10.13% of Iran's international joint publications and 9.8% of Malaysia's international joint publications were mainly due to the presence of Iranian students in Malaysia. Interestingly, a total of 10,239 researchers/scholars (5,045 authors from Malaysia and 5,194 authors from Iran) contributed to these publications. Regarding

the impact, which is normally measured by citations (Etemadifard, 2018), these scientific co-authored publications received 46,976 citations in total (each paper received an average of 8.4 citations with a field weight citation of 1.87). This is equal to 7.9% and 3.9% of all citations received by Malaysia's and Iran's scientific publications, respectively. It is worth highlighting that the Field-Weighted Citation Impact score of the joint publications between the two countries is almost 2 times higher than the overall field weight citation for each country. In addition, the citation per publication of the joint publications between the two countries is 2.2 times and 1.9 times higher than Malaysia's and Iran's overall citation per publications, respectively (Table 6).

Table 6
Comparison between impact of overall performance of each countries and joint publications between Iran and Malaysia

No.	Scholarly Outputs	Authors involved	Citation Count	**Field Weight Citation**	**Citation Per Publication**
Malaysia (Overall)	158,573	130,177	598,681	0.90	3.8
Iran (overall)	274,819	239,880	1,199,068	0.93	4.4
Between Iran & Malaysia	5,569	10,239	46976	1.87	8.5

Due to the scientific backgrounds and profiles of the 10,239 researchers and scientists from both countries, it is unsurprising that they (universities, research centres, technology parks, scholars, and researchers) know each other's counter parts as well as ways to move forward. It is proposed that "strategic planning" be considered at higher levels, in order to provide a more technical and detailed roadmap for quality enhancement of current scientific collaborations.
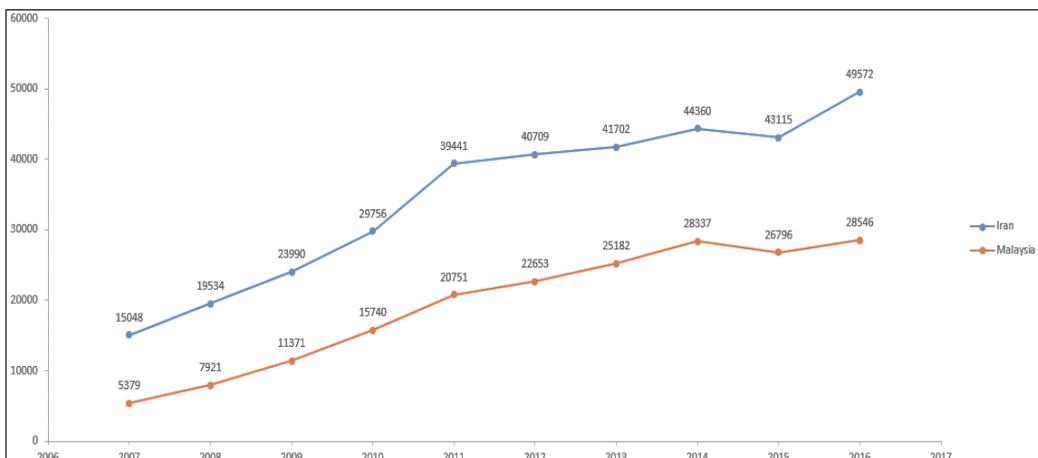
Figure 5. Trends of scientific productions of Iran and Malaysia

Both countries continue to increase the quantity of their annual scientific publications (Figure 5). In the latest version of the Scimago country ranking (2016), Iran and Malaysia ranked number 16 and 23 respectively for science and knowledge production at the global scale. In Malaysia's case, it is obvious that the number of Iranian students impacts not only joint scientific publications between the two countries, but also the total number of scientific publications in Malaysia. The number of students also effects the amount of citations received over the past 10 years. To prove this hypothesis, the Pearson correlation coefficient was applied to evaluate the relationship between the total number of Iranian students during 2008 to 2016 and the total number of publications, total citations, and average number of citations per publication. According to the results (Table 7), there was a positive and significant relationship in Malaysia between the number of Iranian students and the total number of citations. Furthermore, there was a significant relationship between the number of Iranian students and average number of citations per publication.

The total number of citations is only one of the notable achievements that is due to the presence of Iranian students in Malaysia. Many other achievements can be highlighted in terms of the quantity and quality of collaborations that currently exist between the academic and scientific bodies of both countries. The impact on the two countries' overall political, cultural and economic relations can also be discussed. In other words, there is still much to be desired if both countries' relevant organizations use their potential power in intelligent ways, such as working on a joint researchers' network, joint research sharing repositories and joint research programs. For example, a look at the overall research impact shows both countries' performance in receiving citations has decreased in recent years (Figure 6). It is known that citations have major contributions to all global rankings (ranging from 20% to 100%). Strategic planning in this factor may increase both university and country rankings for Malaysia and Iran between 9% to 30% (PeerJ, 2013), desirable for both countries.

Table 7

Relationship between number of Iranian students and the total number of citations in Malaysia

Years	2008	2009	2010	2011	2012	2013	2014	2015	2016
No. of Iranian Students in Malaysia	8000	9700	11823	12500	13800	9750	6228	5304	4182
						NO of Student			
NO of Publication						-0.377			
Citation						0.899**(0.05)			
RATIO (average of citation per publication)						0.634* (0.01)			
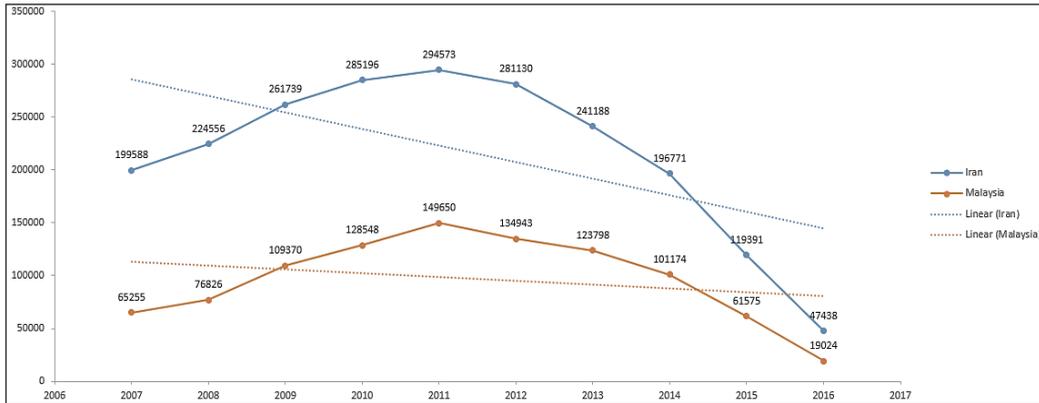
Figure 6. Trend of research impact of Iran and Malaysia scientific publications based on citation

Another area that might be considered for further strategic planning on academic and scientific collaborations between Iran and Malaysia is the identification of strengths for each country and mainly focusing on those areas for enhancement. *Table 8* presents the strongest research areas for each country. For example, Iran seems to be strong in areas such as Pharmacology, Toxicology, and Pharmaceutics and Earth and Planetary Science. In contrast, Malaysia is strong in areas such as Social Sciences and Business, Managements and Accounting. Even in existing overall performance, Iran appears to be very strong in Medicine and Engineering, while Malaysia appears to be strong in Engineering and Computer Sciences. Through the current Iranian students and by mapping and crosschecking the weakest and strongest points of each country, both countries can help each other more purposefully. This would create a pre-planned strategy for further enhancement of their scientific and academic collaborations. Of course, this also will require more researchers and scholars, as well as more institutions belonging to both countries, to be involved.

Table 8
Area of research of total scientific publications (2012-2017)
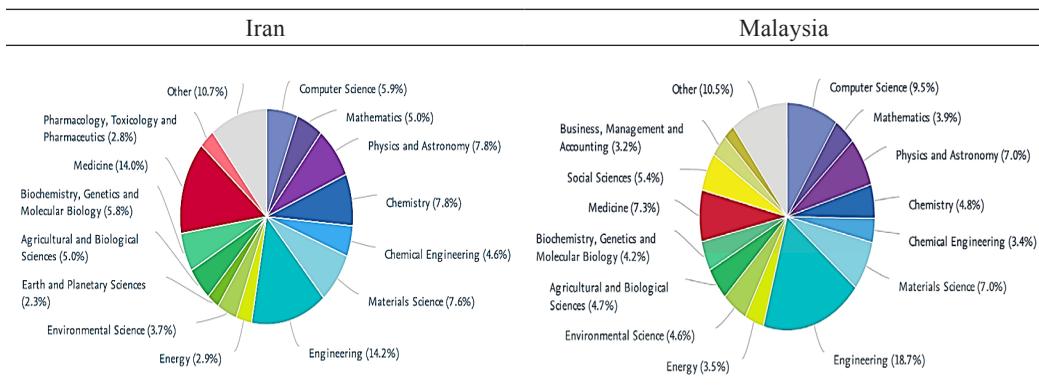
CONCLUSION

The results of the study, which were mapped and discussed in detail with Malaysia as a case study, have many scientific, political, cultural and social implications. These results can be generalized to other countries with confidence, especially the top destination countries of Iranian students, namely the US, Canada, the UK, and Germany. As presented in this study, the more researchers/scholars integrated with each other through research and scientific publications in both countries, the better common understanding and consistency there will be in the ties and relations between the two countries. Using the roles of Iranian students during the last 10 years as an example, with Iran and Malaysia as one of most dynamic and successful cases, "Scientific Diplomacy" seems to work successfully and will play a key role in the future relationship of the authors' countries. Using "Scientific Diplomacy" in intelligent ways has great potential to enhance the quality and quantity of the relations, not only in scientific and academic areas, but in all other areas as well. Finally, scientific diplomacy has the potential to help nations remain secure and avoid any possible type of disputes or conflicts.

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SOCIAL SCIENCES & HUMANITIES

Peer Attachment, Self-Efficacy and Aggression among Secondary School Adolescents in Selangor, Malaysia

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ABSTRACT

The present study investigated the relationships between peer attachment, self-efficacy and aggression among early adolescents. Furthermore, this study examined the mediating role of self-efficacy on the relationship between peers attachment and aggression among early adolescents. A total of 471 early adolescents aged 14 were selected from eight selected secondary schools in Selangor, Malaysia, recruited using multistage cluster sampling method. The questionnaires consisted of the revised version of the Inventory of Parent and Peer Attachment (IPPA), Self-Efficacy Questionnaire for Children (SEQ-C) and Reactive-Proactive Aggression Questionnaire (RPQ). The results revealed that there was significant negative relationships between peer attachment, self-efficacy and early adolescent's aggression. Additionally, the result also showed that peer attachment had an indirect effect on aggression via self-efficacy. Evidently, the relationship between peer attachment and aggression among early adolescents was fully mediated by self-efficacy. Self-efficacy and peers attachment play important roles in the development of aggression among early adolescents. Practical recommendations are discussed and those factors should be taken into consideration to implement the interventions in curbing aggression among early adolescents in Malaysia.

Keywords: Aggression, early adolescents, peer attachment, self-efficacy

INTRODUCTION

Aggression is a matter of public health concern, particularly, aggression among adolescents (Werner & Crick, 2004). It is widely acknowledged to be a serious social problem (Devine et al., 2004), and probably the most common and noticeable problem among school adolescents (Werner &

Crick, 2004). It had received great attention from mental health associations, school authorities and media as it is frequently linked with maladjustment. According to Michaud (2009) and Sullivan et al. (2006), examples of adolescent's aggression include, spreading of rumors, bullying and hitting.

Adolescence is a critical period of transition from childhood to adulthood. This transitional period can bring up new risks and new diverse experiences which relates to the world and individuals. The entire adolescence phase can be a very challenging stage in life for most adolescents due to the gradual onset of cognitive, social and emotional changes (Elias & Butler, 2005) which the interconnection between family (especially parental), peers and self-efficacy are crucial (Bandura et al., 1999). These changes may result in the increased vulnerability to emotional and behavioral problems (Oleszkowicz & Senejko, 2013), including delinquency, experimenting aggression as well as other behavior incompetency (Krahe & Moller, 2004).

The ability to cope with obstacles and challenges is crucial during failure to exercise self-efficacy could lead to negative consequences, for instance, substance abuse and low self-confidence (Tam et al., 2012). Therefore, adolescent's self-belief in restraining themselves from engaging any misbehaviour is closely related to their level of self-efficacy. This ability not only affecting adolescent's behaviours, but also has a major impact on their well-being. Self-efficacy defines as the beliefs in own selves to perform a particular behaviour and have control over a given event in lives. It plays a significant role when it comes to how individuals overcoming their difficulties and changes either from cognitive, emotional or physical aspects, and the motivation to attempt to solve the problem, regardless of whether the attempt is positive or negative.

Throughout adolescence, the level of dependency on parents will reduce while the level of attachment with peers will spike when it comes to attachment related functions, such as seeking for comfort when under pressure or stress (Allen, 2008; Hoeve et al., 2012), protection and support from peers. Peers serve as increasingly important and influential sources of attachment support in adolescent's lives (Allen, 2008; Rubin et al., 2009; Hoeve et al., 2012). Positive emotional supports and care from the peers would encourage adolescents to embrace difficulties and challenges easier than those who are less attached with peers. The statement is in line with a study conducted by Laible et al. (2000), that revealed adolescents with higher peers attachment were the least aggressive and the most sympathetic towards their peers.

According to Bandura (1986), adolescent's sense of self-efficacy is influenced by social factor, such as peers. It is highlighted in Social Cognitive Theory that personal/individual factor such as self-efficacy and environmental factor such as peer attachment are interrelated with individual's behaviour. Individual's behaviour is shaped by the environmental

factor and mediated through personal factor. As such, the peers, often regarded as a group of friends who share similar interests and values (Hazan & Shaver, 1994) serving as another major influence in the development of perceived self-efficacy as the individual gradually develops autonomy from parents. As the level of acceptance among a group of peers could be perceived as the level of self-worth for an individual (Robinson, 1995), while impoverished peer relationships could disrupt the efficacy beliefs in one's mind. This would ultimately, cause forms of anti-social behaviour such as aggression. These beliefs are crucial in critical transitional stage of adolescence in order to help adolescents cope with stressful moments which ultimately, eliminate the chances of disruptive behaviour such as aggression.

Previous studies had indicated that problems in attached with peers affect adolescent's self-efficacy, and lower level of self-efficacy predict behavioural problem, include aggression than those with higher level of peer attachment. Nonetheless, we are still seeing a lack of coherent, comprehensive and developmental study that attempts to examine the associations between peer attachment and aggression among adolescents which are mediated by self-efficacy. Thus, this study attempts to examine how personal/individual factor (self-efficacy) and environmental factor (peer attachment) combined to predict aggression in Malaysian young adolescent. In addition, this study also examined the mediating role of self-efficacy on the relationship between peer attachment and aggression.

METHODS

Sample and Procedures

The present study employed a quantitative research approach and correlational research design. The samples of this study consisted of 471 school-going early adolescents in Selangor, Malaysia. The target population is identified as early adolescents aged 14 years old. Age of respondents is specified in this study using 2 rationales. First, individuals aged 14 years old have been justified as early adolescent. Second, early adolescent are more likely than elementary school children to have problems of aggression. Most parents and teachers agree that early adolescent is a difficult time of life for them (Buchanan & Holmbeck, 1998) because adolescents start to have conflicts with parents and peers, disrupted by mood and other risk behaviours (Arnett, 1999).

Multistage cluster sampling method was applied in this study. Selection of a sample of lower secondary school had several steps. In Step 1, state of Selangor was allocated into three regions that are North, Centre, and South. Each of the regions had some districts, but only one zone and one district - Petaling district in Selangor was randomly selected. In Step 2, the schools were selected using simple random sampling and 8 out of 73 national secondary schools from the chosen districts were involved in the study. In Step 3, only one form, which was Form 2 was selected from each selected school. In the last step, from the list of selected schools, one class from Form Two was randomly selected. All of the Form 2 students from the selected class participated in this study.

Instrument

Participants completed a questionnaire comprising the Reactive-Proactive Aggression Questionnaire (RPQ: Raine et al., 2006), revised version of the Inventory of Parent and Peer Attachment (IPPA; Armsden & Greenberg, 1987) and Self-Efficacy Questionnaire for Children (SEQ-C) (Muris, 2001).

Aggression. Reactive-Proactive Aggression Questionnaire (RPQ: Raine et al., 2006) was used to measure adolescent's aggressive behavior. This scale comprised 23 items with 3-point scale of 0 = Never, 1= Sometimes and 2= Always. Proactive aggression items (2, 4, 6, 9, 10, 12, 15, 17, 18, 20, 21, 23) and reactive items (1, 3, 5, 7, 8, 11, 13, 14, 16, 19, 22) are summated to form proactive and reactive scales. Proactive and reactive scale scores are summated to obtain total aggression scores.

The administration of the RPQ reported high internal consistency, with 0.86 for proactive regression, 0.84 for reactive aggression, and 0.90 for total aggression (Fung et al., 2009). The proactive-reactive scales on the RPQ yielded coefficient alphas of 0.74 and 0.78, respectively (Miller & Lynam, 2006). The Cronbach alpha of aggression in the present was 0.84.

Peer Attachment. The revised version of the Inventory of Parent and Peer Attachment (IPPA) by Armsden and Greenberg (1987) was utilized to measure the attachment relationship with peer among adolescents. The IPPA consists of 3 parts where each

part consists of 25 items to access the adolescent's attachment with their peer. It is a 5-point Likert scale with responses of 5 = Almost always or always true, 4 = Often true, 3 = Sometimes true, 2 = Not very often true, or 1 = Almost never or never true. Higher scores reflects higher attachment with peer. Examples of the items for peer included "I like to get my friend's point of view on things I'm concerned about." and "I can count on my friends when need to get something off my chest." There are reverse-scoring the items for the peer figure, which are 4, 5, 9, 10, 11, 18, 22, 23. The internal consistency coefficients (ρ) for the peer attachment was satisfactory, which was 0.886. The Cronbach alpha of peer attachment in the present was 0.88.

Self-efficacy. The Self-Efficacy Questionnaire for Children (SEQ-C) (Muris, 2001) was used to assess and measure self-efficacy with three domains of self-efficacy. This 24-items scale is a shortened version and is based on the 37-items Perceived Self-Efficacy Scales by Bandura et al. (1999). The first subscale of the SEQ-C is academic self-efficacy (8 items), concerned with the perceived capability to control one's own learning behavior, to excel in academic subjects and to fulfil academic expectations. The second subscale is social self-efficacy (8 items), refers to the self-perceived capability to be assertive and initiate and sustain good peer relationships. The last subscale is emotional self-efficacy (8 items), pertains to one's self-perceived capability for coping with negative emotions.

The items of SEQ-C were rated on a 5-point Likert scale ranging from 1 = Not At All and 5 = Very Well. The scoring ranges from 24 to 120. Higher scores obtained reflected the higher the perceived self-efficacy a person will be. Total self-efficacy score can be computed by summing across all items. The internal consistency of the scale used is appropriate and all deemed in acceptable levels, as it scored 0.88 on Cronbach's alpha for the total self-efficacy (Muris, 2001). The Cronbach alpha of self-efficacy in the present study is 0.87.

Data Analysis

Data were gathered and analyzed using "Statistical Package for the Social Science" (SPSS software version 20.0) to describe the variables and to investigate the relationship between peer attachment, self-efficacy and aggression among early adolescents. In this study, descriptive statistic was conducted to analyze respondent's personal backgrounds information. Pearson Product- Moment Correlation is used to test the correlation between peer attachment, self-efficacy and aggression among early adolescents. A series of simple linear regression was conducted to investigate the mediation effect of self-efficacy on the relationship between peer attachment and early adolescent's aggression.

RESULTS

Personal Background of Respondents

Table 1 displays the frequency distribution of personal background of the respondents

which include gender and ethnic. The majority of the respondents 54.1% (n=255) were females while 45.9% (n=216) were males, giving a total of 471 respondents. Of the total sample, the ethnic composition of the sample were 51.2% (n=241) Chinese, 33.8% (n=159) Malay, 12.1% (n=57) Indian and 3.0% (n=14) were from other ethnic backgrounds.

Table 1
Personal background characteristics

Variable	N	(%)
Gender		
Male	216	45.9
Female	255	54.1
Ethnic		
Malay	159	33.8
Chinese	241	51.2
Indian	57	12.1
Other	14	3.0

Note: S.D=Standard Deviation

Peer Attachment, Self-Efficacy and Aggression

Table 2 presents the means, standard deviations, and inter-correlations for all study variables in this study. All of the variables were correlated with each other. By referring to Table 2, both peer attachment (r = - 0.173, p < 0.001) and self-efficacy (r = -0.229, p < 0.001) had significant negative relationship with aggression. This finding indicated that early adolescents, who had high attached with peers, and reported high self-efficacy were more likely to be less engaging in aggressive acts than those low attached with peers and low self-efficacy.

Table 2
Means, standard deviation (SD), and Zero-Order Correlations for all study variables

Variables	Mean	SD	1	2	3
1. Peers Attachment	88.31	15.124	-	-	-
2. Self-Efficacy	79.75	12.589	0.323***	-	-
3. Aggression	9.16	5.513	-0.173***	-0.229***	-

Note: **p <0.01; ***p < 0.001.

Self-efficacy as a Mediator

Multiple regression analysis was carried out to examine the effect of peer attachment on aggression through the mediator of self-efficacy. There are few steps need to be established before conducting the mediation analysis. These steps include (1) predictor must have a significant relationship with outcome variable, (2) predictor had significantly relationship with mediator, (3) mediator had significant relationship with outcome variable, (4) The predictors and the mediator were treated as the predictors of the outcome variable. Steps of regression analysis were displayed in Table 3.

As depicted in Table 3, peer attachment (B = -0.063, SE = 0.017, t = -3.805, p < 0.001) and self-efficacy (B = -0.100, SE = 0.020, t = -5.105, p < 0.001) independently predict aggression. Higher levels of peer attachment and self-efficacy contributed to lower level of aggression among early adolescents. Peer attachment (B =0.269, SE =0 .036, t = 7.394, p <0 .001) also significantly predicted self-efficacy. High level of peer attachment enhanced efficacy beliefs of early adolescents. In step 4, the regression coefficient of peer attachment to early adolescents' aggression (path c') reduced and turned to non-significant (B= -0.040, SE=0.017, t=-2.337, p =0.014). Thus, this finding indicated that self-efficacy fully mediated the relationship between peer attachment and early adolescents' aggression. The mediation effect was further tested with Sobel test and this test (Z -4.155, p < 0.001) supported the fully mediation

Table 3
Relationships between peers attachment and early adolescents' aggression mediated by self-efficacy

Step	IV	DV	B	SE	Beta	t
1	Peers attachment (Path *c*)	Aggression	-0.063***	0.017	-0.173	-3.805
2	Peers attachment (Path *a*)	Self-efficacy	0.269***	0.036	0.323	7.394
3	Self-efficacy (Path *b*)	Aggression	-0.100***	0.020	-0.229	-5.105
4	Peers attachment Self-efficacy (Path *b* & *c'*)	Aggression	-0.040 -0.085**	0.017 0.021	-0.110 -0.194	-2.337 -4.098

Note: B= Unstandardized coefficient; SE= Standard Error;
Beta= Standardized coefficient; *p< 0.05; **p< 0.01; ***p<0 .001;
Sobel test: Z=-4.155, p <0 .001.

effect of self-efficacy on the relationship between peer attachment and aggression. Results indicated that peer attachment indirectly influence aggression through self-efficacy. Full mediational model is shown in Figure 1.
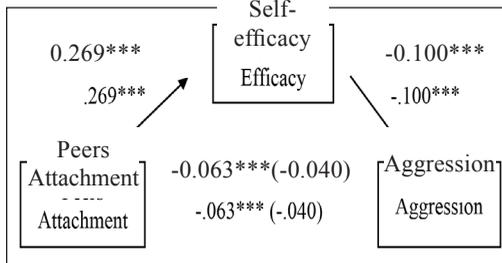
Figure 1. Mediation model

DISCUSSION

The primary goal of the present study was to examine the relationships between peer attachment, self-efficacy and aggression in a sample of Malaysia's early adolescents.

From Table 2, the finding found that peer attachment was significantly related to early adolescent's aggression. The result of this study was in line with past research (Laible et al., 2000), which denoted that in adolescents, who with the higher attached with peers were less involved in aggressive acts and are more sympathetic to their peers. Card et al. (2008) highlighted that the relationship between aggression and poor peer relation was strong where children who impersonally rejected by peers were frequently become ostracized and attempted to act aggressively (Leary et al., 2006).

During adolescence, individuals are more depending on their peer groups for approval and social validation rather than depending on their families. Adolescents

spent most of the time with their peers and on some of the issues, their peer's opinions are more important than their parent's opinions (Masten et al., 2009). Peer relationships have high social influences on adolescent's behaviour. Besides, peers play significant role, particularly when in the transition period of adolescence to adulthood (Cui et al., 2010; Kok et al., 2011). Thus, adolescents who having high level of peer attachment tend to involve less in aggressive acts. However, more study is needed to find the role of peer attachment with self-report aggression.

Self-efficacy has significant relationship with aggression among early adolescents in this study. This showed that early adolescents who have high efficacy on themselves are less likely to be involved in aggressive behavior. The results of the study is in line with past study by Willemse (2008), which denoted that there was a significant negative relationship between self-efficacy and anger. This revealed that high self-efficacy were correlated to the decreases of anger. Adolescents with high self-efficacious are more likely to establish sense of control over their anger will more likely to respond provocation in a better way and positive outcomes are achievable, such as constructive discussions and reasoning (Nocentini et al., 2013).

According to Bandura (1995), individual with higher level of self-efficacy tend to interpret information accurately than those with low self-efficacy. They will interpret the obstacles as a challenging task, and structuring situations in order

to accomplish the task successfully. Also, a study conducted by Singh and Bussey (2009), supported with their findings that there was a link between self-efficacy beliefs and lower level of externalizing behaviors in youth. Additionally, Bandura et al. (2003) emphasized the role of perceived self-regulatory efficacy in regulating the negative affect, for instance peer pressure on developmental outcomes, for example, prosocial behaviour, antisocial and well-being. This can be said that sense of efficacy serves as a buffer against the peer pressure which may pursue them to involve in detrimental activities.

Moreover, the finding indicated that self-efficacy fully mediates the relationship between peer attachment and early adolescent's aggression. This result of full mediation indicated that peers attachment influence aggression among early adolescents predominantly through the way they coping with stressful events. In the stage of adolescence, the importance of peer attachment increases, where adolescents can rely on peers and replace parental attachment for supports and encouragements in the face difficulties and challenges (Armsden & Greenberg, 1987). The findings of this study highlighted the significance of peers-adolescent attachment and self-efficacy in inhibiting adolescent's aggression. Additionally, Caprara, Regalia and Bandura, (2002), denoted that self-efficacy beliefs could serve as a role in counteracting peer pressure from involving in aggressive behavior as well as impeding delinquency by nurturing prosocial behavior

among adolescents (Bandura et al. 1999).

Overall, the present study provided some insights regarding the contribution of peers attachment and self-efficacy in explaining aggression among Malaysia's early adolescents. The finding of this study demonstrated the significance of attachment relationships with peers and higher self-efficacy in manipulating adolescent's aggression. A conclusion can be made that self-efficacy serves as a significant role of mediator in explaining how attachment with peers influence on aggression among early adolescents.

CONCLUSION

In summary, aggression is considered as a growing social problem where therapists and other professionals like teachers and parents as well, should understand the root causes of aggression in order to prevent early adolescents in engaging aggressive acts. Programs targeting at early youth, young adolescents and young adults s should concern on enhancing their self-efficacy as well as their attachment relationship with peers. Consequently, aggression or bullying case in Malaysia might be reduced. Moreover, early adolescents who have high self-efficacious are tend to have good adaptation and good in making judgment than those who with lower level of self-efficacy. According to Bandura (1977), efficacy beliefs help individual believe and have faith on their own abilities in order to strive better life in the meantime motivate them to accomplish desirable outcomes and succeed in life.

Recommendations

There are few of recommendations that should be addressed in this study. First, the sample of this research was merely on school-going early adolescents aged 14 years old in secondary school in Selangor state, Malaysia. The life challenges faced by early adolescents (10 – 14 years old) as they enter to puberty and transition into late adolescents (15-19 years old) might be different from the perspective of physical, psychological, sociocultural and cognitive. Thus, the sample of this study is not representative of the entire population of adolescents (secondary school students) in Malaysia. In future study, researcher may include expanding the age range of school adolescents, either from primary school or secondary school. Both of these groups can be compared in order to have a holistic view on adolescent's aggression. This is because the trend of developmental aggressive behaviour among children and adolescents and consequences may be different. In addition, only national government school was recruited for the study, thus it may limit the extent of findings generalization to other types of secondary schools in Malaysia.

Secondly, this study concerns in the form of causality regarding to aggression among early adolescents. The instruments were administered to respondents for a short period of time and it is difficult for them to determine the cause and effect relationship between the variables studied. Longitudinal study or mixed method would be advantageous to establish the causality between variables.

Furthermore, finding of the study relied solely on the early adolescent's self-report measures who recall their attachment relationships with peers, which might not able to yield accurate information regarding attachment relationship. This may introduce potential problems of common method biases into the data, particularly under-reporting social unacceptable behavior, which is aggression. Longitudinal studies with larger sample size may represent the targeted population more precisely and provide relevant data from the third party, for instance, parent or teacher that better elucidate the relationships among the variables.

ACKNOWLEDGEMENTS

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Motivation for Physical Activity among Preadolescent Malay Students in Kelantan, Malaysia

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ABSTRACT

The purpose of the study was to determine whether there were significant mean differences of motives for participation in physical activity between male and female school students and whether there was a correlation between motives for participation in physical activity and amount of physical activity per week period among preadolescent students in Kelantan, Malaysia. A cross-sectional study was conducted in a primary school in Kelantan. We invited students aged from 10 to 11 years old to fill in the Malay version of the Physical Activity and Leisure Motivation Scale for youth (PALMS-Y-M). Participants completed a demographic survey and the measure of their motives to participate in physical activity. The PALMS-Y-M consisted of 28 items measuring motives of individuals for participation in physical activity. A total of 253 preadolescent students participated in this study. After excluding missing data, there were 204 usable sets of data for subsequent analysis. The majority of the respondents were female (56.4%). All of the participants were Malay. The results of the study showed that males and females only exhibited a significant difference in motives for participation in physical activity in terms of competition ($p = 0.001$). There were significant correlations between four PALMS-Y-M motives (e.g., competition, affiliation, psychological, appearance) and total hours of physical

activity per week. Motives for participation in physical activity play an important role in enhancing frequency of physical activity among primary school students. Thus, it is crucial to motivate preadolescents to engage in physical activity as part of a healthy lifestyle.

Keywords: Malay, motivation, PALMS, physical activity, preadolescent

INTRODUCTION

Preadolescents nowadays experience various kinds of health-related problems because of avoidance of sound management of a healthy lifestyle. In particular increasing numbers of preadolescents does not undertake enough exercise to promote health in the long term, which contributes to the growing number of illnesses that is experienced at a young age (McManus et al., 2008). Preadolescent is defined as people ages 11 to 14 (American Academy of Pediatrics [AAP], 2012). Thus, it is increasingly crucial to motivate preadolescent to engage in a healthy lifestyle by participating in various physical activities.

Physical activity has been associated with psychological benefits in young people by improving their control over symptoms of anxiety and depression (Frederick & Ryan, 1993). Similarly, participation in physical activity can assist in the social development of young people by providing opportunities for self-expression, building self-confidence, social interaction, and integration (Frederick, & Ryan, 1993; Molanorouzi et al., 2014). It had also been suggested that physically active young people are more willing and open to adopt other healthy behaviours, such as avoidance of tobacco, alcohol, and drugs (Malina, 2001). Researchers have demonstrated an association of avoidance of these addictive behaviours with higher academic performance at school (World Health Organisation [WHO], 2015).

The WHO (2002) reported that physical inactivity is one of the ten leading factors in death worldwide. It was reported that inactive lifestyle was estimated to cause two million deaths per year and it has become an increasing concern (WHO, 2002). According to WHO (2002), a physically inactive lifestyle is also dangerous to preadolescents' health. However, preadolescents nowadays tend to choose activities, such as playing computer games in a closed room, rather than enjoying outdoor activities, such as playing in a playground. Therefore, it is increasingly crucial for preadolescents to start engaging with the physically active lifestyle at an early age, in order to reduce illness from physically inactivity.

Motivation is an important factor that stimulates and maintains individuals' participation in physical activities. Motivation can be defined as the act, or providing with a reason to act in a certain way (Simpkins et al., 2005). Nevid (2013) suggested that the term motivation refered to "factors that activate, direct, and sustain goal-directed behavior. Motives are the "whys" of behavior - the needs or wants that drive behavior and explain why we do what we do. We do not actually observe a motive; rather, we infer that one exists based

on the behavior we observe" (Nevid, 2013, p. 278). Therefore, motivation is important to help individuals to actively participate in physical activities.

Furthermore, research has shown that quality of life for children and youth is enhanced by participation in leisure activities (McManus et al., 2008). Participation in physical activities has the capacity to help young people to nurture skills, improve their relationships with people around them, and ensure good quality of life because doing physical activity can help people to gain new experiences and increase the breadth of their knowledge. However, the safest way to health is by being balanced. As stated by Hippocrates "if we could give every individual the right amount of nourishment and exercise, not too little and not too much, we would have found the safest way to health" (Michels, 2003). This shows how much effective management of individuals' lives is important for them to be healthy. With good management and the right motives in physical activity, people may continue to stay healthy by doing more physical activity.

In this study, we aimed to examine the level of motives for participation in physical activities among the preadolescent students in a primary school in Kelantan, Malaysia. In addition, we aimed to examine the difference between males and females in terms of their motives for participating in physical activities, and the correlation between their motives and the amount of physical activity they performed during a typical week.

METHOD

Participants

A total of 253 preadolescent students (year 4 and 5) from a national urban primary education school in Kelantan State, volunteered to participate in the study. All of the participants in this study were Malay, and they received consent from their parents. After excluding missing data, there were 204 usable observations left for subsequent analysis. Participants were females (56.4%) and males (43.6%), with mean age 10.5 (SD = 0.50) years old. Most of the participants were involved in some physical activity, such as football (37.8%), badminton (29.6%), netball (12.2%), cycling (4.3%), handball (3.9%), gymnastics (3.0%), volleyball (2.6%) and others (1.3%), and only a small proportion did no physical activity (5.3%).

Measures

Several demographic and physical activity questions were administered that include age, gender, ethnicity, physical activities.

Duration of Physical Activities. Participants were asked how many sessions per week they participated in the physical activities. Then, they were asked to estimate how many hours and minutes for each session. The duration of physical activities per week were then computed by multiplying the number of sessions per week and the hours or minutes per session. The total hours per week of physical activities were considered as the amount (in hours) of physical activity per week for each participant.

The Malay version of the Physical Activity and Leisure Motivation Scale for Youth (PALMS-Y-M) was used in this study. The English version of PALMS-Y is a modified version of the Physical Activity and Leisure Motivation Scale (PALMS) developed specifically to measure motives for physical activity of adolescents (Morris & Rogers, 2004). The PALMS consists of 40 items reflecting eight subscales. Each subscale on the PALMS, contains five items, all measured on a 5-point Likert scale, ranging from 1 (*strongly disagree)* to 5 (*strongly agree)*, so higher scores reflect greater motivation. The PALMS demonstrated good validity and internal consistency with Cronbach's alpha ranging from 0.78 to 0.82 (Molanorouzi et al., 2014). In the present study, the 28-item PALMS-Y was selected for use among the youth population who do not work, rarely have chronic medical conditions. Thus in PALMS-Y, the number of items was reduced and pilot work was conducted to ensure items are easily understood by adolescents. Hu et al. (2015) removed the 5-item Others' Expectations subscale from the 40 item PALMS because at least four of the items were not appropriate for adolescents. Furthermore, they excluded the least-strong item from each of the other seven subscales, leaving a 28-item measure, which they validated in a Chinese sample. Consequently, the PALMS-Y consists of 28 items reflecting seven subscales where each subscale contains 4 items. The subscales in PALMS-Y are:

enjoyment, mastery, competition, affiliation, psychological condition, physical condition, and appearance. The validity and reliability of PALMS-Y-M were acceptable and reported in the previous study (Kueh et al., 2018). The PALMS-Y-M was pre-tested in 10 primary school students aged 10 to 11 years old before the present study was conducted. We found that the students could comprehend the PALMS-Y-M without any difficulty. In the present study, the overall internal consistency for the PALMS-Y-M measured by Cronbach alpha was 0.89.

Procedure

The present study was approved by Universiti Sains Malaysia Human Research Ethics Committee. A cross-sectional design was employed in the present study because it allows quantitative data to be collected on a single occasion using selected sample. Participants were given a research information sheet and they were briefed about the study and an information sheet was also given to the participants' parents. The parents' written consent was obtained before the questionnaire was administered to the participants. The questionnaire was distributed to the students during their physical education class as agreed by the principal of the school. The same researcher administered the measures throughout the data collection period. Participants were encouraged to ask questions to clarify any concerns before and during completion of the questionnaire.

Data Analysis

Data were entered and analysed using SPSS 22.0. Data were checked for missing data, outliers, and normality. Descriptive statistics, means and standard deviations (SD) were used to describe the levels of motives for participation in physical activities among the preadolescent students. Independent *t*-tests were used to examine mean differences between male and female participants' motives for participation in physical activities for each of the seven motive subscales. Pearson product-moment correlation coefficients were calculated to examine whether there was a correlation between motives for participation in physical activity and amount of physical activity per week.

RESULTS

Table 1 shows the mean level of each subscale of motives for participation in physical activities measured by PALMS-Y-M. It is evident that participants reported moderate to high levels based on the 5-point Likert scale, from low motivated to high motivated for all seven motives for participation in physical activity with maintaining or improving physical condition and enjoyment the most prominent motives.

Table 1
Descriptive statistics on motive subscales measured by PALMS-Y-M

Variable	Mean	SD
Motives for participation in physical activity: Enjoyment	4.04	0.78
Mastery	3.83	0.76
Competition/ego	3.57	0.79
Affiliation	3.72	1.03
Psychological condition	3.78	0.86
Physical condition	4.15	0.71
Appearance	3.72	0.86

The independent *t*-test results presented in Table 2 showed that there were no significant mean differences between genders for all the motives for participation in physical activity measured by PALMS-Y-M, except for competition/ego. The analysis for competition indicated that males had a higher level of competition/ego motive than females.

Table 2
Independent t-tests comparing males and females on PALMS-Y-M motive subscales

Variable	Male Mean(SD)	Female Mean (SD)	*t*-statistic (df=202)	*p* value
Enjoyment	4.02(0.88)	4.06(0.69)	-0.325	0.746
Mastery	3.87(0.85)	3.80(0.69)	0.630	0.530
Competition/ego	3.79(0.79)	3.40(0.75)	3.676	<0.001
Affiliation	3.85(1.19)	3.62(0.86)	1.657	0.099
Psychological Condition	3.76(0.95)	3.79(0.79)	-0.260	0.795
Physical Condition	4.07(0.77)	4.21(0.65)	-1.417	0.158
Appearance	3.75(0.94)	3.69(0.80)	0.447	0.655

The Pearson product-moment correlation analysis indicated that there were significant correlations between total amount of physical activity per week and motivation for affiliation (p = 0.020) within male sample, psychological condition within male (p = 0.005) and female (p = 0.047) samples. When all samples were combined, the Pearson product-moment correlation analysis indicated that there were significant correlations between total amount of physical activity per week and motivation for competition/ego (p = 0.001), affiliation (p = 0.008), psychological condition (p = 0.003), and appearance (p = 0.049) subscales. The significant correlation coefficient values range from little to fair correlation (Table 3).

Table 3
Pearson product-moment correlation coefficients between motives for participation in physical activity and total amount of physical activity

Variable	Total amount of physical activity, Pearson correlation, r (*p*-value)		
	Male\nn = 89	Female\nn = 115	All samples\nn = 204
Enjoyment	0.08 (0.435)	0.08 (0.370)	0.08 (0.289)
Mastery	0.13 (0.241)	0.09 (0.364)	0.12 (0.097)
Competition	0.19 (0.075)	0.18 (0.052)	0.23 (0.001)
Affiliation	0.25 (0.020)	0.12 (0.207)	0.22 (0.001)
Psychological condition	0.29 (0.005)	0.19 (0.047)	0.24 (0.001)
Physical condition	0.17 (0.119)	0.02 (0.826)	0.08 (0.251)
Appearance	0.17 (0.105)	0.11 (0.242)	0.15 (0.033)

DISCUSSION

Motives for participation in physical activities play an important role in enhancing the frequency of exercise among preadolescent. Thus, it is crucial to motivate preadolescents to have a healthy lifestyle by engaging in various physical activities. As shown in other studies, physical inactivity is linked to major causes of mortality and morbidity, including heart disease, cancer, diabetes, and depression (Armstrong et al., 2000). On the other hand, studies have shown that males are more physically active than their females' counterpart (James, 1993; Troiano et al., 2008). Drake (2013) reported that men spent more time in physical activities than women. Thus, in this study we examined whether there were significance differences of motives for participation in physical activity between males and females and whether there was a correlation between motives for participation in physical activity and amount of physical activity per week for preadolescent students.

In the present study, we found that male and female students exhibited their highest rating for the physical condition motive among all seven aspects of motives measured in PALMS-Y-M. This shows

that they understood that it was important to be healthy, which involved having a healthy lifestyle, including adequate physical activity. We also found that females were less attracted to physical activity by the competition/ego motive than males. This means that female preadolescents are not strongly motivated to show their ability by beating others. The means of all the other motives are similar for males and females. These findings are consistent with other research. For example, research on gender indicates that males and females exhibits differences in motives for participation in physical activity especially for the competition motive (Frederick & Ryan, 1993; Morris et al., 1995; Weinberg et al., 2000). Males favour competition as a motive for participation in physical activity more than females (Mathes & Battista, 1985).

Researchers have suggested that the habit of being active in physical activity during adult life is highly dependent on childhood fitness (Malina, 2001). Thus, it is important to create awareness and motivation in preadolescent students to participate in various physical activities, which not only have benefits on an individual level, but also help the community by reducing lifestyle-related illnesses, and might improve academic performance. Therefore, it is important for us to understand the relationship between motives of participation in physical activities in order to increase the duration of students participate in physical activities.

The present study revealed that affiliation, psychological condition, and appearance motives were positively correlated with the amount of physical activities per week, increasing support for the claim that motives for participation in physical activities are related to amount of physical activity preadolescents undertake. The correlation between the motives and total duration of physical activity was significant for competition motive that suggests that compete can motivate preadolescents spend more time involved in physical activity. Huotari et al. (2010) reported on the importance of physical activities on fitness levels and supporting evidence of relationship between motives and the amount of physical activities. This important issue should be examined in more detail in future especially in older adolescent age cohorts.

This was a preliminary study, so it has limitations. It was conducted with a relatively small group of preadolescent students. Also, we used convenience sampling by selecting one school only in the Kelantan State of Malaysia. This means that it is not appropriate to make inferences from the results to the preadolescent population across Malaysia or to preadolescents in general. Also, the measurement of amount of physical activity involved responses to a simple self-report question, rather than a validated measure of physical activity. This can be justified on the basis of the age group studied, but use of established measures should be examined with preadolescents prior to further research on this critical issue.

In future, researchers should focus on the effect of motives for participation in physical activity on health-related physical fitness. This can provide a basis for implementing appropriate health plans to improve physical fitness among preadolescent students. It will be also interesting to know whether motives for participation in physical activity are correlated with academic performance among preadolescent students. Therefore, future research should also look at the association between academic performance and students' motives for participation in physical activity. On the basis of findings from this exploratory study, further research should be conducted on the role of motives for participation in physical activity in promoting actual involvement in physical activity in the long term. This research should employ established measures of amount of physical activity, such as the International Physical Activity Questionnaire (IPAQ), which has been validated in Malay language (Craiq et al., 2003).

CONCLUSION

In conclusion, motives for participation in physical activity should be considered in the objective to improve the amount of physical activity among primary school students. This study demonstrated that differences in motives for participation in physical activity between male and female preadolescents. The significant correlations between several motives for participation in physical activity and amount of physical activity identified in this study further support the need to improve preadolescent students' motivation

in physical activities in order to enhance the time spent on physical activity among preadolescent school students.

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Performance Strategies Across Team and Individual Sports of Negeri Sembilan Athletes

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ABSTRACT

The objective of this study was to determine the differences in the use of performance strategies of Negeri Sembilan Sukan Malaysia (SUKMA) 2014 athletes during practice and competition. The participants consisted of 142 athletes (49 team sports, 93 individual sports). The participants completed the Test of Performance Strategies (TOPS) questionnaire during the final camp before competing in the competition. Results showed that there were significant differences in performance strategies used by individual and team sport athletes during practice and competition conditions. Individual athletes were better in using performance strategies during practice (i.e., goal setting, relaxation and self-talk) and competition condition (i.e., goal setting and self-talk) compared to team sport athletes. The idea of using the psychological skills training could be taken into consideration for coaches and sport psychologist in order to help athletes improve their performance.

Keywords: Competition, individual sport, practice, performance strategies, team sport

INTRODUCTION

Successful and unsuccessful athletes could be differentiated by their psychological skills (Ismail & Ahmad, 2014). Furthermore, the competitive nature of sport and the ability to perform under stressful condition give different experience emotionally to the athlete's sport performance. Each sport has different types of psychological pressure. For example, in golf, the pressure comes from the distance to make putt (Ismail, 2014). Previous researchers found, in team sports like rugby, the players' level of anxiety increases before the first game, but there is no pressure during the second game (Ismail & Amer, 2016). These experiences would bring about specific psychological problems that need special attention by the coaches and sport psychologists. Additionally,

in individual sports like golf, athletics, swimming and archery it all depends on the athlete's abilities. But, as for athletes in team sports like football and rugby, they depend on the colleagues' performance or team cohesion compared to individual sports (Heuze et al., 2006).

Performance strategies are one of the factors that may lead to enhanced performance towards individual and team athletes. Although these athletes have a lot of experience in big competitions, they could not achieve better performance if they are only fit physically. Performance strategies are based on different type of sports of play (Ismail & Ahmad, 2014). Therefore, it is difficult for coaches and sport psychologist to build effective performance strategies for individual athletes and teams. However, athletes need to work on mental training and psychological skills in order to obtain good achievement (Ismail & Ahmad, 2014). Kremer and Moran (2008) found that the reason why athletes got uptight before competition could be related to the pressure of being observed. However, athletes who suffer severe anxiety and do not know how to manage it can cause performance degradation (Sabato et al., 2016). Past researchers also found that professional athletes have a higher ability in psychological states like self-confidence, concentration and skills to use goal setting and imagery that can regulate arousal effectively other than high responsibility with their own training program (Gould et al., 2002; Harwood et al., 2004). With regard to gender differences, Harwood et al.

(2004) clearly mentioned that male athletes used more emotion based strategies like relaxation compared to female's athletes.

Previous researchers suggested using imagery, self-talk, and relaxation during practice to help athletes during competition (Frey et al., 2003). The more athletes use mental skill at practice, the more successful they perceive themselves to be, not only at practice but also in competition. For instance, the level of anxiety in athletes is reduced after using certain psychological strategies (Fletcher & Hanton, 2001). The study concluded that those athletes who used strategies like self-talk, relaxation and imagery had helped in controlling their cognitive anxiety, somatic anxiety and increase self – confidence compared to those who did not use it.

Katsikas et al. (2009) highlighted that an individual athlete had higher anxiety control and confidence than team sports athletes. It is because the different types of strategies are involved in team sports compared to individual sports (Polson, 2013). However, Sadeghi et al. (2010) revealed that imagery, self-talk, goal-setting and relaxation were found to be the most needed psychological strategies in training and competition conditions. In fact, most athletes strongly agree with the use of imagery and believe it can increase self-confidence and motivation (Halim et al., 2016, Ismail, 2014; Ismail, 2015; Ismail, 2016a; Yahya et al., 2016). For example, goal setting may be used before a competition and may have an effect on increasing motivation, attention and self-confidence (Sadeghi et al., 2010).

Previous study also argued that goal setting not only increased playing skill, techniques, performance but also increased focus and concentration that could be necessary for winning the competition (Burton & Radeke, 2008). In literature, however, there is still a lack of information regarding the level of performance strategies used by the athletes in Malaysia. Therefore, the objective of this study is to determine the performance strategies used by individual sports and team sports of Negeri Sembilan athletes.

METHODS

Sample and Participant Selection

A hundred and forty two athletes purposively recruited from Negeri Sembilan Sukan Malaysia (SUKMA) contingent 2014 participated in this study. Forty nine athletes were selected from team sports (e.g., football, sepak takraw and hockey), and ninety three athletes from individual sports (e.g., kickboxing, silat, badminton, squash, archery, taekwondo, cycling, weightlifting, petanque, shooting, karate, bowling, tennis, diving, athletic, golf and lawn bowls).

Assessments and Measures

The participants completed the Test of Performance Strategies (TOPS) questionnaire during the competition's final camp before the Sukan Malaysia (SUKMA) 2014 competition. TOPS is a 64-item self-report instrument, designed by Thomas et al. (1999) to measure the psychological skills and strategies used by athletes in competition and during practice.

It consists of two scales; competition and practice. Each scale consists of another eight subscales. The 8 competition subscales are: self-talk, emotional control, automaticity, goal setting, imagery, positive thinking, activation, and relaxation. The practice subscales are the same except positive thinking which is replaced by attentional control (Thomas et al., 1999). For this study, the Cronbach alpha coefficient of Test of Performance Strategies (TOPS) questionnaire was 0.86.

Procedure

The present study was conducted during the final camp or a week before the competition at the time of data collection. After a briefing given by the main researcher and also as a team psychologist, athletes were asked to read the questionnaire carefully and complete all sections. They took approximately 15 minutes to complete the survey and they were informed that their participation were on voluntary basis.

RESULTS AND DISCUSSION

The preliminary assumptions were conducted and the data were normally distributed. Descriptive statistics for performance strategies during practice and competition are presented in Table 1 and Table 2. An Independent t-test result in Table 1 shows significant differences in relaxation strategies scores during practice condition for team athletes (M = 14.45, SD = 2.78) and individual athletes (M = 15.33, SD = 2.32; t (140) = -2.01, p < 0.05, two-tailed). The magnitude of the differences in

the means (means difference = -0.884, 95% *CI*: -1.75 to -0.016) is small (eta squared = 0.02). The self-talk strategies scores for team athletes (*M* = 15.90, *SD* = 2.77) and individual athletes (*M* = 16.96, *SD* = 2.31; *t* (140) = -2.43, *p* < 0.05, two -tailed). The magnitude of the differences in the means (means difference = -1.059, 95% *CI*: -1.92 to -0.196) is small (eta squared = 0.04). Additionally, the goal setting strategies scores for team athletes (*M* = 13.53, *SD* = 2.01) and individual athletes (*M* = 14.42, *SD* = 2.02; *t* (140) = -2.49, *p* < 0.05, two -tailed). The magnitude of the differences in the means (means difference = -0.889, 95% *CI*: -1.59 to -0.185) is small (eta squared = 0.04). It is clearly shown that individual athletes were using problem focused strategies such

as goal setting and self-talk and emotional focused strategies like relaxation compared to team athletes during practice.

During competition condition, the Independent t-test result in Table 2 shows significance difference in self-talk and goal setting strategies. The self-talk strategies scores for team athletes (*M* = 15.39, *SD* = 3.19) and individual athletes (*M* = 16.86, *SD* = 2.08; *t* (140) = -3.31, *p* < 0.05, two -tailed). The magnitude of the differences in the means (means difference = -1.47, 95% *CI*: -2.35 to -0.593) is moderate (eta squared = 0.07). Meanwhile, the goal setting strategies for team athletes (*M* = 11.57, *SD* = 1.88) and individual athletes (*M* = 12.63, *SD* = 1.76; *t* (140) = -3.35, *p* < 0.05, two -tailed). The magnitude of the differences in

Table 1

Independent t-test for differences between individual and team sport athletes for performance strategies during practice condition

Variable	Sport	N	Mean	SD	*t*	df	*p*	Mean diff	Std. error diff
Activation	Team	49	14.06	2.14	0.61	140	0.55	0.23	0.38
	Individual	93	13.83	2.20					
Emotion	Team	49	9.65	2.21	-1.47	140	0.14	-0.58	0.39
	Individual	93	10.24	2.26					
Automaticity	Team	49	15.43	2.35	-0.92	140	0.36	-0.41	0.45
	Individual	93	15.84	2.61					
Relaxation	Team	49	14.45	2.78	-2.01	140	0.04*	-0.88	0.44
	Individual	93	15.33	2.32					
Attention	Team	49	13.27	1.51	-0.77	140	0.44	-0.23	0.29
	Individual	93	13.49	1.77					
Imagery	Team	49	14.53	2.55	-1.78	140	0.07	-0.79	0.45
	Individual	93	15.32	2.51					
Self - talk	Team	49	15.90	2.76	-2.43	140	0.01*	-1.06	0.44
	Individual	93	16.96	2.31					
Goal setting	Team	49	13.53	2.01	-2.49	140	0.01*	-0.89	0.36
	Individual	93	14.42	2.02					

Note. **p* < .05

the means (means difference = -1.06, 95% *CI*: -1.69 to -0.44) is moderate (eta squared = 0.07). The findings of the study showed that those individual athletes significantly used more strategies than the team athletes.

This is supported by the previous study which stated that the nature of sports caused conditions that individual athletes could independently train and use all the skills (Kremer & Moran, 2008).

Table 2
Independent t-test for differences between individual and team sport athletes for performance strategies during competition condition

Variable	Sport	N	Mean	SD	*t*	df	*p*	Mean diff	Std. error diff
Activation	Team	49	15.47	2.74	-0.46	140	0.65	-0.21	0.46
	Individual	93	15.68	2.50					
Emotion	Team	49	12.49	3.54	0.39	140	0.70	0.22	0.57
	Individual	93	12.27	3.09					
Automaticity	Team	49	14.33	3.56	0.92	140	0.36	0.57	0.62
	Individual	93	13.75	3.49					
Relaxation	Team	49	11.16	2.28	0.39	140	0.69	0.15	0.39
	Individual	93	11.01	2.19					
Negative talk	Team	49	11.33	2.77	0.36	140	0.72	0.17	0.46
	Individual	93	11.16	2.48					
Imagery	Team	49	13.27	2.29	-1.45	140	0.15	-0.61	0.42
	Individual	93	13.87	2.39					
Self - talk	Team	49	15.39	3.19	-3.31	140	0.01*	-1.47	0.45
	Individual	93	16.86	2.08					
Goal setting	Team	49	11.57	1.88	-3.35	140	0.01*	-1.06	0.32
	Individual	93	12.63	1.76					

Note. $*p < .05$

CONCLUSION

The objective of this study was to determine the performance strategies of individual and team sports. From the present study it was concluded that the individual athletes used more performance strategies during practice and competition condition compared to team sport athletes. It is clearly shown that individual athletes were trained independently because they were using problem focused strategies such as

goal setting and self-talk. Additionally, the individual athletes were also using emotional focused strategies like relaxation during practice condition. As Kremer and Moran (2008) concluded that the nature of sports caused conditions that individual athlete could use all the skills and train independently. This is contrary to a previous study when problem solving referred to strategies used to deal with stress through behaviors such as goal setting and problem

setting which was used more by the team athletes (Dachen, 2012). However, Polson (2013) evaluated the process of goals from various sports, and concluded that athletes in individual sport set more process goals than those in team sports.

A possible explanation of this difference could be that goal setting used before a competition and may have an effect on increasing motivation, attention and self-confidence (Sadeghi et al., 2010). The researcher suggested that athletes from different sports may judge goal setting with a different way, relatively to the demands of their own sport. Previous researchers have demonstrated that effective team functioning and the achievement of group psychological outcomes are associated with success (i.e., cohesion, collective efficacy), other than individual and inter-individual sub factors like self-regulation skills, role clarity, communication skills, leadership style, peer acceptance from each athlete (Kleinert et al., 2012). In fact, team athletes are very enthusiastic to have a chance to participate in games and competitions so they should be in competitions with their teammates or their opponents in other teams, and probably further research is needed (Samad et al., 2015**).**

In conclusion, the results from the current study supported the hypothesis that those individual athletes significantly used more strategies than the team athletes. Therefore, the coaches and sport psychologist must play a fundamental role in the Group Dynamics in Sports. For example, in awareness building, assessment, education, strategy development, and counseling at the level of the individual member, dyadic relationships, and the group as a whole (Kleinert et al., 2012). The limitations found in this study are whether the athletes have any experience in mental training before the competition. In fact, the findings of the present study could help coaches together with sport psychologist to design more effective psychological skills strategies such as imagery training rather than only focusing on technical and tactical of the game individually (Ismail, 2016b ; Yahya et al., 2016). Further research is needed to identify the performance strategies use in bigger population and the different gender.

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Harold Pinter's Theatre of Power: Studying Space as a Motif for Authority and Identity in *The Birthday Party, One for a Road and Mountain Language*

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ABSTRACT

The major motif in Pinter's drama is the desire for power, coupled with the achievement of dominance. Pinter attacks the policies of oppressive regimes practicing violence and torture, and his political dramas concentrate on the struggle between the individual and the authoritative power. Pinter's *The Birthday Party* (1957) examines the significance of power and identity in spaces of self and power relations. In *One for the Road* (1980) and *Mountain Language* (1988), Pinter deals with incarceration and torture, using the theatrical space of prison to highlight and examine the narratives of authoritative control and violation of human rights. Space as a motif in Pinter's plays, serves as a site for discourse and aims to mark the interaction between power and identity. In this paper, I will attempt to examine how Pinter uses the idea of space and to what extent space can be read and decoded as a site for struggle for power and identity. My aim is to show that how an ordinary physical space of a room become a site for recreation of new spaces for exercise of power and maintaining identity. However, I aim to delve into these spaces of conflict, exploitation and subjugation showing the significance of power and identity. This paper, therefore, concludes that Pinter's theatre of power constitutes a polyphony of political rhetoric within the spaces, all competing for approval or control.

Keywords: Approval, authority, control, identity, pinter, space, theatre of power

INTRODUCTION

Pinter is one of the greatest and the most influential of the post-war British playwrights and is considered as a successor in style to Samuel Beckett. Pinter surrounds the stage with the void and absurdity but remains a realist throughout his works. Pinter's dramas

deal with his psychological, sociological, and political views in association with the mode of consciousness of the audience. The audience is drawn to the theatre with certain expectations and an awareness that the past identities of the characters portrayed by the dramatist are mere puppets in the hands of the circumstances or obsessed anxiety. Pinter, in fact, does not allow the audience to make up its mind and keeps them in a constant state of tension by bringing its mind into a dialectical opposition to its feelings. The moment we begin to settle down with something familiar, we have the sudden invasion of the unknown which turns our world upside down. According to Joshi (2011), the characters in Pinter's dramas are real, as they feel pain, anguish, and anger. However, they become victims in private and public spaces, due to what was imposed upon them, either by tradition in society or by the rules and regulations of a system. They try hard to look for an identity so that they can express the self in the space they created to exert power for their purposes. The space that they avail as a device for meaning and survival becomes significant in their journey.

The main concerns and preoccupation in Harold Pinter's plays are the impending menace of an unknown intruder, the haunting of memories, and ceaseless desire for power. For early Pinter plays, menace was often understood as the unseen that always lurked offstage as an absent yet determining factor for each characters' identity. For instance, it is the unseen Monty in *The Birthday Party*, or the absent Wilson in *The Dub Waiter*. For the later political works, the third presence reveals itself as the State apparatus that governs and determines the meaning of the rooms that its inhabitants occupy. Along with the dialogue of torture, incarceration and prison that pervades the spaces of Pinter's theatre of power, is a discourse with larger socio-political forces that render these neutral spaces into brutal spaces. For example, the space of the interrogation room in *One for the Road* where we do not see the family being tortured becomes a brutal space as well as the symbolism of the menacing fingers that Nicholas waves before Victor's eyes. Such discourses and voices issue forth from the dialogue of oppressor and oppressed, but underneath that dialogue is a shared connection to the third addressee of the brutal space itself. Thus, Pinter explores and experiments with spaces of violence, conflict, subjugation and victimization, which are made neutral and brutal by discourse of power that exists in his theatre.

Pinter portrays various types of characters to show how the characters are interested to maintain and protect themselves in the conflict of power equations that is closely related to the achievement of dominance. For example, one character may struggle to defend one's own territory, a father may combat his sons to assert his patriarchal position, a lover may manipulate erotic feelings for possession and identity, or an agent may exploit and control the victim that represents the abuse of the brute force of power. Pinter dramatizes his characters to be involved in the strategies of power

struggle. Almansi and Henderson (1983) commented that the strategies of power struggle were the combination of silence and pause, imagery, memory and role-playing, in which the characters bolstered their power for exploitation and domination.

Billington (2007) explained that Pinter's reputation had come through his two voices: first, as a writer and, second, as a citizen-activist. His Nobel lecture, in 2008, served to prove how the best of his dramaturgy of two seemingly separate halves of his canon were artistically connected. Gordon (2013) pointed that although Pinter distanced himself from his earlier works, which were dramas that focused on ambiguous anxieties, metaphoric and existential, his later plays were the extensions of his political mindset, which maintained the texture and tonality of his earlier work overtly.

In the center of Pinter's dramatic plays, language serves as a strategic tool to reveal the hidden spaces which are present off the stage. These hidden spaces which referred to as the third addressee underneath the plays are revealed through different discourse of power. Pinter's main dramatic landscape was always about language and the spaces of his stage. The rhetoric of his work can essentially be comprehended as the meaning of the spaces that the characters inhabit. These spaces were consequently engaged with the crisis of identity and location. In this regard, Santriojprapai (2009) explained that the rooms of Pinter's early plays were innocuous spaces that gradually developed into political spaces in the early eighties. These seemingly harmless rooms were, thus, transformed into political spaces of interrogation, torture, and violence. However, these brutal spaces were never seen by audiences and their atrocious connotations were figuratively depicted. He made elaborate use of space as an important instrument of the power struggle between individuals and society. Space in Pinter's plays, whether physical or virtual, indicates the representation of the character's thoughts, fears, dreams, conflicts, and power struggles that they negotiate through language.

In this paper, I aim to examine how Pinter uses the idea of space and to what extent space can be read and decoded as a site for struggle of power and identity. I argue that spaces of authority, control and approval are symbolic of the struggle for power and identity. However, Pinter's plays can be read as plays about power equations, where he sets the conflict to show how discourse is produced within various kinds of spaces. Pinter dramatizes space as an important tool for power control and domination. In order to arrive to this point, one can see that the plays exhibit themes of intrusion and oppression, and in different situations, characters intrude and impinge upon spaces of the past, the present, and the future. Further, Pinter's political plays are various discourses between the dialogues of oppressor and oppressed. The third addressee underneath the political plays reveals itself as the State power that governs and determines the meaning of these discourses. However, a study of these plays aims to show how identity depends upon the space that is assigned to the entity.

POWER AND SPACE FROM THEORETICAL FRAMEWORKS

Issacharoff (1981, p. 211) in his article *Space and Reference in Drama,* said, "Dramatic tension is often contingent on the antinomy between visible space represented and invisible space described". Thus, this is the main trait of modern drama that results in providing thought provoking space, especially off the stage. To classify the types of dramatic space and their mode of operation, Issacharoff first drew our attention to the script, as it was the language itself that created space. Space is, then, mediated by language as Issacharoff (1981) observed that language took two forms: auditory (discourse) and non-auditory (meta-discourse). Both modes of discourse refer to dramatic space. The function of meta-discourse is related only to what is visible. The function of discourse, on the other hand, is related to what is visible and what is not. However, in modern theatre, dramatic tension stems from the interplay between mimetic and diegetic space. Further, he added that in the theatre, mimetic space was related to what was visible to an audience and a stage, and diegetic space, on the other hand, was described by the characters. "Mimetic space is transmitted directly, while diegetic space is mediated through the discourse of the characters, and thus, communicated verbally and not visually" (Issacharoff, 1981, p. 215).

In the centre of Pinter's dramatic plays, language or the space of speech serves as a tool to reveal the hidden spaces that are present on the stage and almost constructed in the diegetic field. Hanna Scolcinov discussed theatrical space and made a distinction between the visible acting area and the unseen theatrical space. She suggested "Every performance defines its own boundaries in relation to its own space-time structure" (Scolcinov, 1994, p. 11). The space in a play can be delimited through the characters' language, movements, and gestures, with the aid of props, scenery, lighting, and acoustics. For Scolcinov, unseen space expands beyond the limits of the visible acting area where the differences between the visible and the unseen is the differences between perceived space and conceived space (Scolcinov, 1994).

Further, Scolcinov (1994) explained how Pinter delimited the visual and theatrical space into a room. She believed that Pinter regarded a room as a basic unit of space within which structural situations could be developed. In actuality, a particular physical space is first needed for the construction of ideology to create opportunity for the creation of hidden spaces outside that physical space. This space serves as a room where characters exert power over one another for different social purposes, which thereby leads to new spaces.

An example that illustrates the political relationships within Pinter's dramatic rhetoric can be drawn from Tzvetan Todorov's *Mikhail Bakhtin: The Dialogical Principle*. Todorov performs an analysis of Bakhtin's reflections in articulating the dialogic moment of creation, where the object cannot do anything without the 'other'. Thus, the object turns into its essence by revealing itself to another. However,

identity is missing between both the object and the subject if the 'other' remains absent. An example would be in Beckett's *Waiting for Godot* where the expectations of Vlademir and Estragon to meet a certain figure remain unfulfilled. It is obvious that there is no other choice for the characters, but to accept this implied role. This is understood as 'third' by Bakhtin, where he explains this position by imagining a higher instance of responsive understanding that can recede in various directions. He says, "Every dialogue takes place, then, in a way, against the responsive understanding of a present but invisible third entity" (as cited in Todorov, 1984, p. 96-111). The invisible 'third entity' is understood as the State power that determines and controls the meaning of the dialogues. Therefore, the 'third' is related to a State power that governs the meaning of discourse between the subject and object. The existence of this third presence is felt throughout the canvas of Pinter's stage. For example, the unseen element of menace that is found in Pinter's theatre can be understood as a 'third' presence. For example, we never see Monty in *The Birthday Party*, but we acknowledge the omnipresent figure signified.

Pinter's dramatic oeuvre was always focused on language and the spaces of his stage. The rhetoric of his work can be essentially comprehended by the meaning and dynamics of the spaces that the characters inhabit. Una Chaudhuri articulates the effect that the rhetorical moment has as an interaction within the spaces of the contemporary drama, which

have consequently engaged with the crisis of identity and location. She argues that such spaces of modern dramas are turned into a site for struggle. Chaudhuri coined this as 'geopathology', where such rhetorical moments in theatre become "an incessant dialogue between belonging and exile, home and homelessness" (Chaudhuri, 1995, p. 15). Her preoccupation, which seems appropriate and apt, is with the dialogue between identity and space, as she proves her analysis is applied to Pinter's theatre. She sees such spaces in harmony with Pinter's thematic concerns, as they are enclosed by visible stage boundaries. To quote her, "The structure of the room as a boundaried space, capable of keeping out as well as keeping in, allows it to function as a referent for such thematic as danger versus safety, infantile sexuality versus Oedipal threat, political passivity versus active resistance" (Chaudhuri, 1995, p. 91). Although the settings of Pinter's drama have primarily been harmless, Chaudhari referred to their signifying role, to the extent that the room maintained a form of theatrical agency, "The rooms surrounding Pinter's character are as equivocal as the characters themselves. The mode of their contribution to the plays' meanings is not symbolic but performative, as Bert States said, 'that rooms like all theatre images must eventually justify their presence; they must inhabit the people who inhabit them'" (Chaudhuri, 1995, p. 94).

Although Pinter's political plays do not enter into Chaudhuri's analysis of home and homeless, his latter body of work maintains

the same discourse of identity and space. The Pinteresque room in his political plays performs a level of agency through the impact that these spaces have on the characters. Harmless rooms are transformed into brutal spaces of interrogation and torture chambers by the rhetoric of the State. The theatrical homelessness that Chaudhari outlined is articulated in Pinter's spaces to fragment and destroy the bonds of family. For instance, in *One for the Road* and *Mountain Language* the definition of a family and language of mountain people respectively are subsumed by the State. The audiences never see the brutal actions performed, but the narration by the interrogator and the sergeant transform the chambers into the location where these atrocities are figuratively performed.

However, space as a motif in Pinter's plays, the focus of this study, has always been marked by the interaction between power and identity. Space in Pinter's play serves always as a site for discourse. The image of a room or home as a place to redefine the self becomes a pervading motif in Pinter's plays and he seeks to portray the meaning of such space as an element of maintaining of identity. An enclosed space serves as a level of agency through the impact made upon the characters and the level of meaning and power of these spaces is made through the elements of power games and rhetoric. Space is a complex phenomenon and its analysis decodes several unseen areas in the play as well as in the intention of a dramatist. Space in drama is multidimensional, thus it

is in close association with what a dramatist has in mind to encode and convey, and in contrast what the audience perceives in decoding the message. Pinter considers a room as a basic unit of space within which the structures can be constructed, developed and deconstructed. In actuality, a particular physical space is first needed for the construction of ideology which gives the opportunity for hidden spaces to emerge outside that physical space. The space of the room in which characters exert power over one another for different social purposes leads to the emergence of new spaces.

PINTER'S *THE BIRTHDAY PARTY* AS DRAMA OF INTRUSION AND INVASION

Pinter, in *The Birthday Party* (1957), used the idea of space socially, culturally, and psychologically to examine how space could turn into a site of struggle for power and identity (Pinter, 1990). All characters in the play entered these spaces to impose their power over one another. Michael Billington described the play as a political play about the imperative need for resistance (Billington, 2007).

For Stanley, it is unclear whether a jealous rival in a fixed conspiracy betrayed him, or if it was an order of authority in power that pursued him. However, his identity is taken away and his space is violated. Thus, in lieu of such space and position, he validates his new position in the domestic space of a boarding house, where its inhabitants are a mother-mistress figure, Meg, and her husband, Petey. The

boarding house is like a metaphoric womb, which is positive to Stanley as he develops his space and protects himself from the menace outside. But, as the plot continues, his space is occupied and his identity fades away. Meg transmuted the lodge into a safe womb-like place for Stanley to nurture and protect him. This metaphorical space serves as an arbitrary state of mind that brings ease and peace to Stanley and shields him from the threatening outside world. By the presence of the intruders, Goldberg and McCann, this sanctuary turns into a more brutal space of power exertion due to the ideological support the intruders get from the unseen character; Monty. They perform the role of the interrogators torturing Stanley to deconstruct and reconstruct his identity, according to unknown Monty's desire. Pinter deploys the positioning of absent authority in a diegetic or unseen space. Such authoritative figures, like 'Monty' and 'Wilson' in Pinter's plays, are never physically presented; instead, they refer to an invisible figure off the scene.

Goldberg and McCann, with the power of authority, determine the space for the impoverished Stanley. In a struggle for power and battle of rapid verbal language, they are victorious over him and mold him according to their desire. They shape him to a fixed and defined space and they imposed the desired identity assigned by the institution upon the victim. Stanley had his own desired identity as a pianist earlier, but due to external forces, he retreated from society. Ultimately, the intruders forced him to accept the identity they wished to give him. Goldberg said to Stanley that, "you are dead. You can't live, you can't think, you can't love. You are dead. You're a plague gone bad. There's no juice in you" (Pinter, 1990, p. 62).

In Dukore's words (1970), they (Goldberg and McCann) 'convey an ambience of conformity' (as cited in Scott, 1986, p. 87) as the representatives of the System who have authority to adjust people in the society. In fact, they are the makers of space and builders of identity. Clearly, in the process where they interrogate and brainwash Stanley, they are able to give him a new identity. Goldberg and McCann accuse him of killing his wife, while they also immediately call him celibate. They accuse him of being a traitor to the country. This leads Stanley to the state of being inarticulate, which is accompanied by a mental breakdown. The sessions of interrogation serve to clarify the nature of the power struggle between the three men. Mark Taylor-Batty puts it as, "the oppressive forces of conformism" (Taylor-Batty, 2014, p. 94). They want to bring Stanley out of himself and re-assimilate him into the desired system from which he has escaped.

> **Goldberg:** We'll make a man of you.
>
> **McCann:** And a woman.
>
> **Goldberg:** You'll be re-oriented.
>
> **McCann:** You'll be rich.
>
> **Goldberg:** You'll be adjusted.
>
> **McCann:** You'll be our pride and joy.

Goldberg: You'll be a mensch.

McCann: You'll be a success.

Goldberg: You'll be integrated.

McCann: You'll give order.

Goldberg: You'll make decisions.

McCann: You'll be a magnate.

Goldberg: A statesman.

(Pinter, 1990, p. 93-94)

The incessant language of the intruders serves as a tool for power exertion in which they demolish Stanley's previous identity and reform it as a re-oriented man of authority. The intruders exert power through a linguistic overload and do not permit Stanley to speak a single word. Thus, they reduce and confuse him to an infantile babbling fool and he has no space within which to assert a different identity as Francis Gillen states that "What Goldberg and McCann have accomplished is to have taken away both Stanley's present and his past and left him nowhere to go except a future that they or the society they represent control" (Gillen, 1986, p. 42).

Pinter delineates room as a space that is violated by the vital external forces. Pinter's rooms are important, as they depict a kind of space or a state of mind where the characters perform their roles. The discourse of power and the ways that individuals are involved in the struggle for power is clearly exhibited in *The Birthday Party* where the two accomplices are sent by the system to abduct Stanley and reorient him, according to the system. Although Stanley is considered a victim, the hired killers also

seem uncertain and victimized by their unsure ideology. This is brought forth when Goldberg's desire has to transmute into the desire of the 'Other'. In *The Birthday Party,* the characters attempt to construct and reconstruct the self through images of the past and memories. The creation of the self through the lens of 'Other' provides various spaces in which the characters bolster their power for domination and exploitation.

At the center of *The Birthday Party,* the role of language is the most crucial ones. Language, as a weapon, is used in a series of human encounters to make spaces fruitful for power and identity. Pinter takes advantage of the inadequacies of words in order to shape the hidden desires of characters when they are involved in a play of power struggle. He dramatizes this play to show how Stanley's identity takes form and is deformed and then reformed through a series of processes and the power imposed by external forces. However, Stanley's identity is defined by the other's actions, which is reflected in his existence. Stanley's triumphant narration regarding his concert forms his identity as a subject, but it leads into an account of subjection when he refers to his father and the loss of his address.

> **Stanley** *(to himself):* I had a unique touch. They came up to me..and said they were grateful. Champagne we had that night..My father nearly came down to hear me. Well, I dropped him a card..but I don't think he could make it. No, I—I lost the address, that was it. *(Pause).* Yes Lower Edmonton. Then after

that, you know what they did? They carved me up. It was all arranged, it was all worked out. My next concert. Somewhere else it was. In winter. I went down there to play. Then, when I got there, the hall was closed, the place was shuttered up.. they'd locked it up.

(Pinter, 1990, p. 32-33).

Thus, Stanley's reformation is totally defined through others. Goldberg says, "You are dead. You can't live, you can't think, you can't love. You are dead" (Pinter, 1990, p. 62). His identity is shaped by the power and treatment of the others, and ultimately, in the image of Goldberg and McCann. According to Wilden (1972), the other is nothing but a principle.

In the eighties, Pinter became more vocal and assertive about his political views, and entered the political arena as a political activist. He attacked the policies of oppressive regimes practicing violence and torture. Pinter's main preoccupation was with the oppressive policies of the superpowers and dominant regimes, which had an adverse effect upon freedom of speech, social welfare, and justice.

Pinter's political drama is a cry of awareness for the public's conscience (Taylor-Batty, 2010). He observes how the dictatorial regimes operate under the support of the superpowers and how public blindness and ignorance trigger such policies. In the sixties, in the works, such as *The Hothouse, The Birthday Party* and *The Dumb Waiter*, Pinter dramatizes the themes of menace and intrusion in connection to the domestic

space. But, from the eighties onwards, and in the works, such as *One for a Road, Mountain Language* and *Party Time,* his theme extended in the form of violence related to the larger social space of political brutality sponsored by State powers.

POLITICS OF BRUTALITY: SPACES IN PINTER'S *ONE FOR THE ROAD* AND *MOUNTAIN LANGUAGE*

Pinter's primary concerns were the oppressive policies of the superpowers and dominant regimes which had an adverse effect upon social welfare, freedom of speech and justice. According to Billington, one incident that motivated Pinter to engage seriously with politics was the disappearance of an Argentinean theatre colleague which was orchestrated by oppressive regimes to suppress the voice of protest (Billington, 2007). Pinter's political drama is, hence, a cry of awareness for the public's conscience. He subtly observes how the dictatorial regimes operate under the support of the superpowers coupled with public blindness and ignorance towards the same. In the 1960s and in particular the apolitical works such as *The Room, The Birthday Party* and *The Dumb Waiter*, Pinter dramatizes the theme of menace in connection with the domestic space. However, from the eighties onwards, this theme extends to the form of violence related to the larger social space.

One for the Road (1984) deals with incarceration, torture and rape (Pinter, 2006). This play also uses the institutional space of prison to highlight and examine the narratives of authoritative control. The

setting of the play is an empty room in a house with an interrogator, Nicholas, and a bruised and tortured prisoner named Victor, who is attacked and arrested along with his wife Gila and his son, Nicky. The dominant torturer, Nicholas, reveals his method of interrogation from the beginning through intimidation and verbal psychological torture. This reflects Pinter's unique mastery in exploitation of language and illustration of violence and torture on and off the stage. These brutal actions are quietly played out in the invisible space of the reader's imagination. *One for the Road* follows such models of interrogations for exerting power to penetrate the subject's mind to transform the identity into a desired one. Victor thus has no authority to engage in a conversation with the interrogator, so Nicholas knows the answers to his questions and he is continuously establishing himself as the one in authority and as the torturer who has control over speech. The ways in which the victim responds to interrogators are also significant in Pinter's dialogue. Much like Stanley, Victor is seated in silence and occasionally stares at Nicholas and in a fragmented voice asks about his son towards the end of the play. The destructive effect of physical and psychological torture makes him unable to defend himself and puts him in absolute silence against the authoritative questions. However, space of prison becomes a site of power struggle in which language of violence and torture serves as a weapon to collapse the prisoners in order to deform and then reform them to a new desired subject.

Nicholas's identity is defined by the presence of the prisoners and his power, which is given to him by the authority. However, it is the authority who speaks through him, and his identity is associated with the higher power and the victims. Nicholas, therefore, is a prisoner of the ideology, and he is obsessed with power and identity. He also seeks to confirm his position and power by the State. Nicholas desires to make an identity within the political system. Nicholas first establishes his identity through his role as an interrogator. Secondly, he refers to the higher voice of authority, which reinforces his power. As Bakhtin describes, "I cannot become myself without the other; I must find myself in the other…I receive my name from the other" (as cited in Todorov, 1984). Thus, Nicholas's identity is defined by the presence of the prisoners and the power given to him by the authority. However, it is the authority who speaks through him and his identity is in association with the higher power and the victims. Nicholas tries to identify and to equate himself and his identity with the authority and the State. He considers himself as the absolute power, as "God speaks through him" (Pinter, 2006, p. 324), and hence, he has the right to do anything.

In the last moment of the play, Victor is dressed tidily, similar to Stanley in *The Birthday Party*. Nicholas reminds him of his survival and his impending release. He humiliates him when he learns that Victor's tongue is cut as he says, "Drink up. It'll put lead in your pencil" (Pinter, 2006, p. 336). Nicholas use of euphemism enables

him to render the intensity of torture as quotidian events in the experience of political prisoners. The ideology of torture that such a government follows is evident with Nicholas:

> "We can do that, you know. We have a first-class brothel upstairs, on the sixth floor…they 'll suck you in and blow you out in little bubbles. All volunteers. Their daddies are in our business. Which is, I remind you, to keep the world clean for God."
>
> (Pinter, 2006, p. 336)

This fragment clearly reveals the ideology of dictatorship governments concerning political prisoners and the violation of human rights. The word "Their daddies" stands in for the interrogators who rape the political prisoners for the stability and security of the regime. It is their duty to clear the road for their masters. As Robert Gordon writes, *One for the Road* exposes the dishonesty endemic in any intelligence agency that justifies the use of torture in the service of state security (Gordon, 2013).

Throughout the play these rhetorical fragments reveal the political spaces in which the torturers exert power and authority for the sake of the system. Pinter draws attention to such political spaces in the world to emphasize that the world is on the verge of a disaster. Those interrogators and State's agents like Nicholas, Goldberg and McCann are themselves prisoners of their blind ideology. They serve their governments unquestioningly, unsure of the reasoning behind their purpose and their

ideological sense of self. The despair comes when they don't know whether their role will be acknowledged and their actions will be justified under the system they perform. Nicholas twice repeats, "I am not alone" (Pinter, 2006, p. 328), which reveals his insecurity as he wants to make a bond and to identify with the leader of the country to rationalize his actions.

These moments of despair can be defined clearly within Bakhtin's subject of fears of the "absence of answer" from the "higher super receiver". The dialogue comes forth between Nicholas as the authoritarian figure of the State, the prisoners as objects, and the State apparatus as super-receiver. Same pattern follows in *Mountain Language*, a play which was written four years after *One for a Road* focusing on the space of prison to shed light over the dialogue of the authoritarian state.

Like *One for the Road*, *Mountain Language* (1988) uses the theatrical space of prison to highlight the discourse of authoritarian control (Chittaranian, 2011). The play opens with a line of women, waiting in the cold, outside a detention building, to see their families. The play dramatizes two stories of an elderly woman trying to visit her son, and a young woman trying to visit her husband. The short four scenes of this play indicate the brutality that these women are subjected. In addition, the women are not allowed to speak their language, but are forced to use the language of the Capital.

In this play, Pinter dramatizes the rhetoric of state-sponsored oppression, where such totalitarian forces govern

both physical spaces of incarceration and those spaces outside the physical walls of the prison. *Mountain Language* confronts the audience with the mechanism of oppression, which is employed to highlight the individual's conformity to state authority (Gordon, 2013). The State controls their language and deprives them of their right to speak it, which leads to undermining their integrity and humanity.

Language is used as a site of manipulation and corruption to discipline and control the mountain people. In the opening scene, an elderly woman is wounded by a Doberman belonging to one the soldiers, and the Sergeant bullies and insults the other women who have come to visit their detained men. As a tool of the State, the officer manipulates the power through language in order to deprive people of their right, saying "Your husband, your sons, your fathers, these men you have been waiting to see, are shit-holes. They are enemies of the State…Your language is dead. It is forbidden. It is not permitted to speak your mountain language in this place" (Pinter, 2006, p. 343). The corruption of the authority reaches its peak when the only woman, Sara, asserts that she does not speak the mountain language, but she lays herself open to sexual abuse by the Sergeant and officers, who treat her as a sexual object, leading to dehumanization. Much like Gila in *One for the Road*, Sara becomes a victim to be objectified and sexualised as a female 'Other' by the hands of the patriarchal authority.

The officer's choice of words is significant, as he mandates the policies of the Capital-state. The officer continues to legislate identity by declaring to the women, "You are mountain people. You hear me?" (Pinter, 2006, p. 343). By making an effort to designate them as 'Mountain people,' the officer legislates the polarity between the State and anyone considered to be against its collective identity. The women designated as 'Other' to the singular authority of the Capital-state. To coin Bakhtin's principle, the transaction of authoritative control in *Mountain Language* depends upon a dialogue between the subject, object, and the higher super-receiver. This transaction stems from the dialogue between the figures of authority, the victims, and the state apparatus itself.

In the last scene, the Guard tells the prisoner that his mother can speak in her native language, but it is too late, as the mother is already suppressed by her inability to protect her son. Her silence comes as, perhaps, the only act she can do to prevent further abuse. When the imprisoned son is faced with his mother's silence, he falls from his chair, trembling violently. Keith Peacock describes this scene as, "like Stanley after his interrogation by Goldberg and McCann, he is deprived of speech. Both literally and metaphorically, the deprivation of language represents the abandonment of individual resistance and conformity to the will of the state" (Peacock, 1997, p. 143).

These interrogators, technocrats, and officers seek approval through linguistic expressions to justify their roles and performances under the aegis of a higher cause. This is most apparent with the Sergeants, Nicholas and Goldberg, who

use language to reflect oppression; but, on the contrary, they consider their words as a self-justifying action. For instance, in *One for the Road,* Nicholas transmutes the words and the ideology of the regime as "the soul shines through them" (Pinter, 2006, p. 323) and he asserts that he keeps "the world clean for God" (Pinter, 2006, p. 334), while in *Mountain Language*, the frustrated Sergeant says upon mother's silence and her convulsing son, "You go out of your way to give them a helping hand and they fuck it up" (Pinter, 2006, p. 350). It is also clear in the words of Goldberg where he is hesitant and tries to placate McCann, recalls his father's advice, "I lost my life in the service of others, he said, I'm not ashamed. Do your duty and keep your observations", and he continues, "Follow the line, the line, McCann, and you can't go wrong" (Pinter, 1990, p. 87-88). However, Pinter's characters take use of space and the situation they are located in to exert power and reinforce their position. Language of authority becomes tools to reconstruct, deconstruct and reorient the divided identities.

CONCLUSION

Pinter's early political dramas, such as *The Birthday Party, Dumb Waiter and The Hothouse,* along with later political plays, such as *One for a Road, Mountain Language,* and *Party Time,* represent his political canon, which depicts the vulnerability and the gradual collapse of an individual and a system in the brutal spaces of state control, oppression, and

implementation of hypocritical policies of oppressive regimes through their agents.

Pinter's political plays emphasize the power of vocal authorities and the technocrats, leading to brutal spaces of violence, torture, and oppression, and thereby affecting individual and national identity of the subject. Political plays of the eighties extended Pinter's poetic perceptions in the larger context of the vast, incomprehensible world. The spaces of Pinter's drama are the most crushing, punishing and brutal territories. He explored the machinery of the State and depicted characters in these spaces who struggle to maintain their own sense of power and identity. These spaces do not only deal with the character's authority, but such spaces embody the struggle of the characters that occupy the rooms. Thus, there is a discourse within these rooms and those spaces are the center of the struggle over ideologies and identities.

The spaces of Pinter's political drama constitute political dialogue for approval and control. These are theatrical spaces of violence, menace, dreams, exploitation, subjugation, and victimization, which are made pregnant and brutal and exist both on and off the stage. These spaces are produced not only from the spoken language between the oppressor and its oppressed, but also from the shared dialogue with the third addressee; the State. This third addressee, as a neutral space was the unseen menace off the stage. This was reflected in Pinter's early works and in the later political plays, manifested as the State apparatus that

governs and determines the meaning of the rooms. However, these plays involve a radical change in the nature of space. Spaces that were once impregnable become a brutal arena of political discourse. Menace shifts from private relationships and domestic spaces to expressively political issues and brutal rooms of torture. However, space is symbolic of power, and identity and space can be read and decoded as a site of struggle for authority and approval in Pinter's theatre of power.

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Disintermediation Threat: Do Small Medium Traditional Travel Agencies in Malaysia embrace ICT adequately?

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ABSTRACT

As early as 1999, Werthner and Klein have acknowledged the disintermediation threat of Traditional Travel Agencies (TTA) due to the emergence of Virtual Travel Agencies (e.g. Travelocity, Expedia) and infomediaries (e.g. Travelbids, Priceline). Almost 18 years later, (as of 2017), it is interesting to investigate how TTAs cope with the disintermediation challenges by integrating ICT into their business models. Older and more established institutions (more than 20 years in business) like TTAs were said to bemore resistant to change (Institutional Theory). Will it be the case for industries going through disintermediation threat? Qualitative multiple case studies method was used to ensure the issues were explored through multiple lenses. Semi-structured interviews, website content analysis and direct observation are used to collect data from fifteen case firms in Malaysia. The findings suggests a three level ICT adoption model for SME TTA in Malaysia: six were 'low ICT adopters', five were 'intermediate ICT adopter' and four were 'advance ICT adopter'. Low ICT adopter merely use static website and email, while intermediate and advance adopter acquired ICT capabilities almost equivalent to those of Virtual Travel Agencies with interactive website or advanced e-business. This indicated that majority of SME TTAs in Malaysia were embracing ICT adequately. The study also concluded that non-stage models explained adoption levels more appropriately since some TTAs were found regressing to lower level after advancing to higher level.

Keywords: Disintermediation, case studies, ICT Adoption, SME traditional travel agencies, Malaysia

INTRODUCTION

Information Communication Technology (ICT) has had a profound impact on travel and tourism sector globally. The accelerating development of ICT and internet based technologies has created a condition for the emergence of virtual travel agencies (VTA) to become major forces in the industry. It has resulted in new business models in which these VTAs provide suppliers to sell directly via internet by allowing travel buyers to directly access their reservation systems, web-based travel agents and internet portals (Egger & Buhalis, 2008; Werthner & Klein, 1999). As a result, traditional travel agencies (TTA) which are retail businesses selling travel products and services to consumers (Kayani et al., 2015) were the most impacted and thus disintermediation seemed inevitable.

In fact, as early as 1999, Werthner and Klein (1999) had acknowledged the disintermediation threat of TTAs due to the emergence of VTA. Almost 18 years later, it is interesting to find out how TTAs cope with the disintermediation challenges by improving their ICT capability. On one hand, TTAs enjoy upper hands in terms of established customer base. On the other hand, being older and more established, TTAs are more resistant to changes, as proposed by Institutional Theory. This paper investigates ICT adoption among Small Medium TTAs in Malaysia to understand if they embraced ICT adequately to circumvent disintermediation. In the context of this study, the definition of ICT by Manueli et al. (2007) is adopted, covering various forms of technologies such as computers, internet, websites, fixed-line telephones, mobile telephones, wireless communication devices, networks, broadband and other specialised devices.

Malaysian traditional travel agencies are not an exception and the trend towards disintermediation is apparent. In early 2000 there were 4,691 registered travel agencies (Fuza et al., 2015) but the current statistics revealed only 3,594travel agencies are still registered and are actively operating (Malaysian Association of Tour and Travel Agents [MATTA], 2019). Though the reason for the sharp decline is unclear, conversation with MATTA president, Datuk Hj Hamzah Rahmat (personal communication, January 22, 2017) indicated the business uncertainties caused by disintermediation could be the cause.

It is apparent the advancement in technology has provided the means for suppliers and consumers to bypass the TTA and communicate directly leaving the TTA in a vulnerable state. This suggests that the TTA cannot sit back and expect their businesses will be secured. Therefore to remain relevant in the industry, the TTAs have to reposition their traditional role, change their business model and become less dependent on their travel suppliers by recognizing the potential benefits of embracing ICT capabilities similar to VTAs and provide valued services directly to tourists.

Despite the emergence of several ICT growth model little is known which model best describe the ICT adoption for TTAs that

are highly susceptible to disintermediation. Due to nature of the travel business which is prone to the technology advancement (Buhalis & Law, 2008), its adoption pattern may be different from other industry. The understanding of the ICT adoption pattern will be of value to policy makers and travel associations in understanding the different needs of TTAs operating at different stages of ICT adoption in terms of funding, training and human resources. Furthermore, understanding the ICT adoption model is expected to add value to the body of knowledge in tourism research and may assist in identifying the industry and country specific ICT adoption pattern.

With the aim to examine the extent of ICT adoption and the ICT adoption model that best reflect the SME TTAs in Malaysia, the following research questions were developed: (1) To what extent SME TTAs have adopted ICT?; (2) Which ICT adoption model best reflect the SME TTAs in Malaysia?

Stages of ICT Adoption

The development of internet and e-commerce had led to several e-commerce growth models. The studies have divided the e-commerce adoption and implementation into several stages within their models to describe the sequential involvement in progressing towards sophisticated use of ICT in the emerging e-commerce environment (Prananto et al., 2003). This study reviewed 13 models published between the years 1999 to 2015, the models were summarized in Table 1.

The review of literatures in Table 1 revealed some similarities and differences in the number of stages and features used to understand ICT adoption. The diversity in the number of stages is primarily due to the period when the research was conducted and the contextual differences in the country and industry being investigated. The literature divulged four widely used stages (1) use of e-mail and static website, (2) interactive web presence, (3) e-commerce and (4) Electronic integration.

In the early period of internet inception the models proposed by Allcock et al. (1999) and McKay et al. (2000) showed stage one as 'threshold stage' with no internet presence. However, the subsequent models developed included e-mail interaction and static website to provide information about the organization and services as stage one adoption. The 'threshold stage' with no internet presence is no longer applicable at the later period of the study due to somewhat high internet penetration and the essentiality of internet for doing business globally.

Scrutiny of these literatures exposed 'interactive web presence' as stage two adoption. The interactive website supports interaction with customers, order placing and responding to enquiries (Abou-Shouk & Lim, 2010; Al-Somali et al., 2015). Further inquiry into these literature revealed at stage three the firms adopt interactive website to provide added features for online order receiving and processing, online booking and online payment to facilitate 'e-commerce' related activities (Chen & McQueen, 2008; NCC, 2009 as

Table 1

Review of ICT adoption stage and non-stage models

Authors	ICT Adoption Stages Model Description
Earl (2000)	The first stage is static website for "external communication" on organization information. The second stage "Internal communication" the organization prepares for the use internet technologies by deploying various information technologies. Third stage "E-commerce" includes online selling and buying. The "E-Business" stage involves development of new business model to support the "E-enterprise" at the fifth stage. Continuous "transformation" is carried out in the sixth stage
McKay et al. (2000)	At stage one no presence of internet. Static website presence is developed at stage two mainly for one-way communication. At stage three interactive website is developed for two- way communication. At stage four the organization integrates e-commerce features for online selling and buying. In stage five the back and front office activities are integrated for better coordination and efficiency. The last stage is external integration is to achieve collaboration between stakeholder to achieve "extended enterprise concept"
DTI (2001)	The first two stages of this model are 'e-mail and website'. At this stage organization acquire basic ICT skills and technology to operate e-mail and simple brochure web sites for online marketing. The third stage which is 'e-commerce' involves online interaction between B2B and B2C, for placement of an order and online payment processing. The fourth stage, 'e-business' stage allows integration of supply chain. The fifth and sixth stage represents, 'transformed organization' that enables knowledge sharing between customers, suppliers and business partners.
Rayport and Jaworski (2002)	Stage one "Broadcast" is a static webpage to provide some basic information pertaining to the organization and its products/services offered. In second stage internet technologies to interact with business stakeholders. Third stage integrates internet technologies for e-commerce activities and at fourth stage the internet technologies are used for collaboration and networking with business stakeholder.
Chan and Swatman (2004)	In the first stage the organization embarks on e-commerce adoption and implementation. At the second stage "centralized e-commerce" the e-commerce activity is implement to the whole organization, it involves strategic planning and implementation. Then the organization search for more sophisticated e-commerce technology in third stage "looking Inwards for Benefits". In the fourth stage "global e-commerce" the organization approaches new e-commerce technology with broader approach by embracing new technology while retaining the old.
Al-Qirim (2007)	Stage one "starters" use internet and e-mail whereas "adopters" in the second stage adopt any of the e-commerce technologies such as intranet/extranet, internet-based Electronic Data Interchange (EDI) and website. The "extended adopters" in third stage adopt intranet and extranet for high collaboration with suppliers and business partners.

Table 1 *(Continue)*

Authors	ICT Adoption Stages Model Description
Chen and McQueen (2008)	Stage one "E-mail" is used to communicate with customers and suppliers. Static website are adopted for online marketing at the second stage" online marketing". Third stage involves "online ordering with manual payment". In the fourth stage the firm adopts online transaction.
NCC (2009) (as cited in Abou-Shouk & Lim, 2010)	At the first stage the organization doesn't use e-mail neither there is internet access. In stage two the organization adopts a static website for one way communication and online marketing. Stage three is an e-commerce stage, internet technologies are widely used to interact with customers. Fourth stage includes use of internet technologies to extend integration with business partners. In stage five online exchange, e-marketplace are available for business stakeholder.
Abou-Shouk and Lim (2010)	In stage one "static web presence" the organization use internet to search customers and suppliers. In stage two two-interaction is included via company portal "interactive online presence" is spotted. Stage three "Electronic transaction" includes e-commerce features to support online order and payment. In the final stage "electronic integration" the organization adopts advance technology for high level of collaboration.
Al-Somali et al. (2015)	Stage one is "non-interactive adoption" wherein organization only use internet with e-mail for communication without any interactivity. Second stage includes "interactive adoption" that is with and without e-commerce facilities. Final stage "stabilization includes transactional web presence and integrated web status.

Authors	ICT Adoption Non-Stages Model Description
Allcock et al. (1999) (as cited in Mpofu et al., 2013)	The first level is "Threshold" where organizations use computers, but not the internet. This is followed by the second level "Beginner" where organizations use connected computers, but not a website. The third level is "Intermediate" where organizations use e-mail and static websites, but the usage is not aligned with any strategy. The last level is "Advance" which uses interactive web-sites and web-based networks to support business development.
Rao et al. (2003)	In level one the organization establishes its online presence for one-way interaction mainly for online marketing purpose. Two-way communication, place and manage orders via e-mail are conducted in level two. E-commerce features are integrated in level three. In the final level "organization integration" involves web technologies are perfectly integrated at the level of its internal and external processes.

Table 1 *(Continue)*

Authors	ICT Adoption Stages Model Description
Levy and Powell (2003)	Proposed a "Contingent or transported model" basing on ICT value recognition factor and planned business growth factor, resulted in four adoption approaches: 1. Brochureware (firms that do not plan business growth and see the value of internet as low), 2. Support (firms that are using internet for business support but see little future for their businesses from the internet), 3. Opportunity (Firms that see internet offering high business value but are not planning business growth) and 4. Development (firms that see opportunity in internet as key to their future business development, ready to adopt advance ICT).

Source: Current study

cited in Abou-Shouk & Lim, 2010); Rao et al., 2003; Rayport & Jaworski, 2002). 'Electronic integration' was prevalent at stage four in most of the models. At this stage the firm uses ICT-mediated service delivery, intranet and extranet for inter-organizational interaction and high level of collaboration with industry members and after sales services (Allcock et al., 1999; Al-Qirim, 2007; Chan & Swatman, 2004; Chen & McQueen, 2008). On the other hand some models have expanded to fifth and sixth stages to achieve the concept of 'transformed organization' (DTI, 2001; Earl, 2000; Mckay et al., 2000; NCC, 2009 as cited in Abou-Shouk & Lim, 2010). From the above it is evidenced that there is little agreement on the number of ICT adoption stages. In the context of Malaysia, some stages like "no presence of internet" (e.g. Allcock et al., 1999; Mckay et al., 2000; NCC, 2009 as cited in Abou-Shouk & Lim, 2010) may not be relevant now that internet penetration rate is as high as 72.2% (The Sun Daily, 2015). Thus, it is reasonable to revisit stages or levels of ICT adoption using more recent data.

Almost three-quarter of the 13 models reviewed suggested "stages" models. Only three proposed non-stage models. Allcock et al. (1999), Levy and Powell (2003), and Rao et al. (2003) in their models identified organizations need not progressively accomplish each stage successfully. The organization could begin with any stage and jump over levels or may regress to a less mature stage. SMEs were not seen progressing from low to high adoption stages since many were found to stay in a particular ICT level (email and static website) for very long time and did not move beyond that level. Thus, it is relevant to investigate if tourism related SMEs are also trapped in the same low adoption level despite the disintermediation threat.

Despite the widely accepted "stages" based ICT adoption model, Levy and Powell (2003) argued that "stages" of ICT adoption was not manifested in their research on 12 SME case firms from various industry as most firms did not move beyond the first stage of email and static website since they were operating in business nature which was less ICT relevance (e.g. Ceramic suppliers

to industry customers) and they did not see internet as being change agent in the industry they are in. In other words, SMEs were not seen progressing from low to high adoption stages. That is, majority of SMEs stop at email and static website level while a few SMEs who see the ICT as key to their future development jump straight into advance ICT (e-business capability) early in their business cycle (Levy and Powell, 2003). Allcock et al. (1999) and Rao et al. (2003) observed the same non-stage models in their studies. Thus, there is a gap to evaluate if ICT adoption of SME TTAs in Malaysia best described by stages or non-stages model.

Furthermore, despite substantial and diverse empirical studies in the field of Information technology little is known about the ICT adoption stages and features offered in the travel agency's website which serves as a critical factor for business success (Jeong et al., 2003). Therefore, to evaluate the ICT uptake and readiness of travel agency's website for online transaction it is crucial to identify the ICT adoption stages and the website features (Abou-Shouk & Lim, 2010). Moreover, travel sector being one of the most impacted by the development of ICTs and disintermediation seemed inevitable (Poon, 2001), its adoption pattern may be different from other industry.

Finally, more comprehensive definition of ICT that includes telecommunication technologies, information technologies and networking technologies proposed by Manueli et al. (2007) were not often used in explaining adoption levels. Majority of the models focused on networking technologies and ignored the telecommunication technologies and information technologies differences across levels. Thus there is a gap in defining ICT adoption model using all three ICT components; telecommunication technologies, information technologies and networking technologies.

METHODS

The use of multiple case studies is highly relevant as it can capture 'reality' in substantial details and useful when the research focus is on contemporary events (Mehrtens et al., 2001). Therefore multiple case studies, using non-probability purposive sampling method were seen appropriate for this study. This allows for an in-depth understanding of the complex and dynamic research phenomenon, namely the ICT adoption patterns among the SME TTAs in Malaysia where existing theories may not be appropriate to explain.

In-depth one to two hours case interview were carried out with the chief executive officers (CEOs) from fifteen SME TTAs based in Malaysia. Based on past literatures an interview protocol was prepared to guide the interviews. A significant part of the interview protocol included questions on ICT adoption approaches and features offered in the travel agency's websites, questions on the CEOs-owners personal background and their organization's background.

Though interview is a robust data collection method and widely practiced in qualitative research it is suggested by Yin (2014) that the unique research phenomenon

should be explored through multiple lenses. Consequently an exploratory website content analysis was carried out on the fifteen cases. A checklist of 36 features of e-commerce adoption was adopted from Abou-Shouk and Lim (2010) to identify the ICT adoption stages. The features represent technology adoption and business development driven by ICT uptake. Finally direct observation was carried out to identify the telecommunication and information technologies used in the firms. A simple checklist on the ICT tools commonly used in organizations was developed to gather information pertaining to the types of telecommunication and information technologies.

The cases were SME TTAs in Malaysia which are registered with MATTA; from which fifteen cases were constructed based on in-depth interviews with the CEO-owner who are the key decision makers in the organization. Levy and Powell (2002) asserted that the CEO-owner was undoubtedly the principal force behind the initiation and implementation of ICT adoption decision in SMEs. They can be seen as the single representation of the firm in relation to decision making process within their respective firm and have implications for firm strategy (Glavas & Mathews, 2014).

The cases were carefully selected to provide literal replication (predicts similar results) and theoretical replication (predicts contrasting results but for an anticipated reasons) (Yin, 2014). This approach allows for generating similarities and differences in the research findings. For literal replication,

within the selection criteria all fifteen firms are travel agencies which have been in operation for more than 20 years. For theoretical replication, the sample consisted of SME TTAs at different levels of ICTs adoption, customer orientation (Business-to-Customers (B2C) versus Business-to-Business (B2B) and size of operation (number of employees).

The data analysis in qualitative approach is to develop an understanding or interpretation of the research issues (Kaplan & Maxwell, 2005) and there is no one correct way of organizing, analyzing and interpreting qualitative data. Analytic techniques were adopted to establish internal and external validity; this includes within-case and cross-case analysis, using pattern matching and explanation building techniques. In this study pattern matching was carried out through trawling the evidences seeking corroboration. This is followed by explanation building through iterative search process for causal links in the empirical data which are then presented in narrative form. Within case analysis was performed to understand unique characteristics of each case, where each firm was treated as a separate study.

Cross case analysis was then carried out to identify similarities and differences across cases. In this technique aggregated findings were presented. The unique strength of case study methodology is the data triangulation from the multiple sources that provides a complete and holistic understanding of the research phenomenon and builds validity to the case study (Hesse-Biber & Leavy,

2011; Yin, 2014). In this study interview transcripts, firms' website content analysis and direct observation were utilized to triangulate the results. This allows the researcher to investigate the research issue in-depth and provide a synergistic view of the research phenomenon.

Within Case Analysis

The demographic information relevant to the cases presented in Table 2 shows the firms' age, year of establishment, number of employees, customer orientation, descriptive type and types of ICT used. In this study the name of the cases and its entrepreneurs are not revealed due to confidentiality purpose and hence they are collectively referred to as cases A-O. The sample indicates the year of establishment of each case firm ranged from the earliest, 1976 (case G, case K and case O) to the most recent inception in

1997 (case E), relatively matured sample with 30.5 being the average age of the firm. Based on the classification for SMEs in the context of Malaysia, firms with number of employees between 5 and 30 is classified as small size organization whereas firms with number of employees between 30 and 75 is classified as medium size organization (SME Corp, Malaysia). A scrutiny on the size of employees in Table 2, revealed eight firms fell in the category of small size establishment (case A, case C, case E, case F, case H, case I, case J and case K) whereas the other seven firms fell in the category of medium size establishments (case B, case D, case G, case L, case M, case N and case O). The findings also showed cases A-O depicts variations in their operations in terms of inbound and/or outbound tours, being or not being ticketing agents, and their business focus on both B2B and/or B2C activities.

Table 2

Demographic information of cases

Participant Case number	Job Role of the Respondent	Age of the Firm	Firms year of establishment	Firms number of employees	Firms customer orientation	Firms descriptive type	Types of ICT used
CASE A	Owner and CEO	31	1986	10	B2C	Inbound/ Outbound and ticketing	e-mail, static website & social media networking
CASE B	Owner and CEO	29	1989	50	B2C	Inbound/ Outbound and ticketing	e-mail, static website & social media networking
CASE C	Owner and CEO	29	1989	10	B2C	Inbound/ Outbound and ticketing	e-mail, static website & social media networking

Table 2 *(Continue)*

Participant Case number	Job Role of the Respondent	Age of the Firm	Firms year of establishment	Firms number of employees	Firms customer orientation	Firms descriptive type	Types of ICT used
CASE D	Owner and CEO	22	1995	55	B2C	Inbound/ Outbound and ticketing	e-mail, static website & social media networking
CASE E	Owner and CEO	21	1997	5	B2C	Outbound	e-mail, &social media networking
CASE F	Owner and CEO	22	1995	5	B2C	Inbound and transport	e-mail & static website
CASE G	Owner and CEO	28	1988	30	B2C	Inbound/ Outbound and ticketing	e-mail, Integrative website (no online booking and payment)& social media networking
CASE H	Owner and CEO	27	1990	30	B2C	Inbound and ticketing	e-mail, Integrative website (no online booking and payment)& social media networking
CASE I	Owner and CEO	41	1976	26	B2C	Outbound and ticketing	e-mail, Integrative website (no online booking and payment)& social media networking
CASE J	Owner and CEO	41	1976	33	B2C &B2B	Inbound/ Outbound and ticketing	e-mail, Integrative website (include online booking and payment)& social media networking

Table 2 *(Continue)*

Participant Case number	Job Role of the Respondent	Age of the Firm	Firms year of establishment	Firms number of employees	Firms customer orientation	Firms descriptive type	Types of ICT used
CASE K	Owner and CEO	32	1985	10	B2C & B2B	Outbound and ticketing	e-mail, Integrative website (include online booking and payment)& social media networking
CASE L	Owner and CEO	21	1996	60	B2C & B2B	Inbound/ Outbound and ticketing	e-mail, fully Integrated website & social media networking
CASE M	Owner and CEO	30	1987	52	B2C & B2B	Inbound/ Outbound and ticketing	e-mail, fully Integrated website & social media networking
CASE N	Owner and CEO	28	1988	70	B2C & B2B	Inbound/ Outbound and ticketing	e-mail, fully Integrated website & social media networking
CASE O	Owner and CEO	41	1976	50	B2C & B2B	Inbound and ticketing	e-mail, fully Integrated website & social media networking

Source: Interview and website content analysis

Table 2 showed cases A-O have adopted ICTs but the types of ICT adopted differed between cases. Cases A-F have adopted e-mail and static website as the primary mode of communication. Though cases (A-F) has been established for more than twenty years and two cases (case B and case D) operating with more than 30 employees the uptake of ICT is rather low. Cases G-K have adopted e-mail and an interactive website.

The finding showed case J and case K have included a more sophisticated features such as online booking and payment features on their website compared to case G, case H and case I which have utilized the interactive website primarily for communication purposes. Four cases (cases L-O) have transformed to somewhat VTA capable to serve globally and efficiently using fully integrated e-business website. Finally, social media networks were also used extensively by all the case firms to share information with existing and potential customers regardless of the stages of ICT adoption.

Cross Case Analysis

The outcomes from website content analysis, interview and observation are summarized in Table 3. The analysis reviewed the telecommunication technology, information technology and networking technologies adopted by cases in Malaysia to improve the efficiency and competency of the business. Based on findings in Table 3, fixed line telephone, smart phones, fax machine, desktop computers, laptops and peripherals, e-mail and website are concurrently adopted in all fifteen cases. However the degree of adoption for information technology and network technologies varied across different levels ICT adoption. Low and intermediate adopters used information technologies of desktop computer, laptops and peripherals while advance ICT adopters also used audio visual conference equipment.

In terms of network technologies, three levels of ICT adoption in Malaysian SME TTAs were evidenced. At low adoption level, the case firms have adopted e-mail and static website to provide information pertaining to the organization and services/product offered. At "Intermediate ICT adopters", the case firms have adopted interactive website and e-commerce activities. Finally, the 'Advance ICT adopters' demonstrated more integrated applications of internet based activities.

'Low ICT adopters' use static website merely for communication and online marketing. For example the CEO of case 'A' stated '*my website is very basic, only contain company information, and information on my tour packages just the basic stuff*', if the customers are interested they will call us and we take it from there'. The broad category of computers adopted for basic innovation adoption such as static website and e-mail for front office and back office function was used to describe 'Low ICT adoption' level at which the firms acquire basic ICT skills and technology to operate e-mail and static website for online marketing (Xu et al., 2008). The firms use simple brochure like website to publicize information on the company, products and services offered, the website tend to be static and non-strategic in nature. The finding was found to be consistent with (Abou-Shouk & Lim, 2010; Al-Qirim, 2007; Daniel et al., 2002; DTI, 2001; Xu et al., 2008). They categorize firms that use e-mail and static website as low ICT adopters.

Table 3

Actual ICT adoption stages and ICT systems for SME traditional travel agencies in Malaysia

ICT Adoption Stages	Description	Cases	Website features	Category of ICT Systems			
				Telecommunication Technologies	Information Technologies	Networking technologies	Others
Low ICT Adopters	Using a simple website to disseminate company information and product/services brochure to customers and supplier. Hence the website tend to be static and non-strategic in nature. The firm uses company e-mail and social media networks for efficient internal and external communication	CASE A-F	Company contact information, package info, prices, sightseeing areas, photo gallery, enquiry form, links to another site, transportation, currency convertor & transportation.	-Fixed line -telephone -Smart phone -Fax machine	Desktop computer, laptops and peripherals	Static website, E-mail and social media networks used for internal and external communication extensively	None
Phase 1 Intermediate ICT Adopters	Using website to provide customers and suppliers with company information and product information (as stage 1) plus virtual brochure, trip planner, online finder; online reservation request form, interactive content and personalized content to place and manage orders. The firm uses company e-mail and social media network for efficient internal and external communication	CASE G-I	Low adopter's features plus e-brochure, FAQs ,trip planner, online enquiry form, online reservation form, online finder for hotel, flights and places to visit and database search facility.	-Fixed line -telephone -Smart phone -Fax machine	Desktop computer, laptops and peripherals	Interactive website, e-mail and social media networks used for internal and external communication extensively	None

Table 3 *(Continue)*

ICT Adoption Stages	Description	Cases	Website features	Category of ICT Systems			
				Telecommunication Technologies	Information Technologies	Networking technologies	Others
Phase 2 Intermediate ICT Adopters	Using interactive website to provide added features for online order receiving and processing, online booking and online payment facility. Besides includes more sophisticated version of features found in stage 1 and 2, e.g. more comprehensive information and search engines. Websites provide two way interaction.	CASE J-K	Features include online booking, online payment, Cards accepted. Online account for buyer and order tracking.	-Fixed line -telephone -Smart phone -Fax machine	Desktop computer, laptops and peripherals	Sophisticate Interactive website to facilitate e-commerce, e-mail and social media networks used for two way communication	Credit and debit card system
Advance ICT Adopters	Presence of intranet/extranet for inter-organizational interaction and high level of collaboration with industry members. At this level internet based activities are dominant transforming the overall business model of the firm.	CASEL-O	Features include e-brochure, online booking, enquires, reservation, blogs, extranet/intranet and collaboration with business partners.	-Fixed line -telephone -Smart phone -Fax machine	Desktop computer, laptops and peripherals, audio visual conference equipment (screen projector, TV and training room)	Fully Integrated website application, e-mail and social media networks used for two way communication and to facilitate high level of collaboration,	Credit and debit card system

Source: Website content analysis, interview and observation

'Intermediate ICT adopters' (G-K) used an interactive website with more sophisticated features for two-way interaction for placing and managing order with suppliers. These firms have incorporated more sophisticated features such e-brochure, online finder, trip planner, online booking, enquires, online payment, FAQs for efficient business transaction. This is apparent when the CEO of case 'K' stated "*to us it is a strategy because with this system customers can book 24 hours*".

At this stage ICT strategy becomes interlinked with the firm's business strategy to build strong cross functional links between business partners. It can be stated the integration begins to pull together the business process and business model (Sadeghein et al., 2012). The features emerged are consistent with the components of level two and three of the studies conducted by earlier researchers (Abou-Shouk & Lim, 2010; Daniel et al., 2002; Levy & Powell, 2002; Rayport & Jaworski, 2002; Sadeghein et al., 2012). Due to the similarity in the website features cases G-K can be classified as "Intermediate ICT adopters" at two different phases. Case G-I are classified as phase one intermediate adopters without e-commerce elements and case J-K as phase two intermediate adopters with e-commerce elements.

Phase 1 intermediate adopters represent firms in which the website is used for two way interaction. At this level the converged findings revealed cases G-I have adopted an interactive website that supports negotiation with stakeholders, place and manage orders.

The features includes e-brochure, FAQs, trip planner, online enquiry form, online reservation form, online finder for hotel, flights and places to visit and database search facility. The findings concur with earlier studies (Abou-Shouk & Lim, 2010; Levy & Powell, 2002; McKay et al., 2000). However, the CEO-owner of these three case firms felt the website was still somewhat static as it did not incorporate e-commerce features such as online reservation and payment gateway.

Phase two intermediate adopters also called e-commerce adopters. The cases in this category represent firms with sophisticated interactive website integrated with electronic transaction for online order receiving and processing, booking and payment. Cases J-K was found to be in this category which used sophisticated interactive website for two way interaction and for actual bookings and payment. The features included are online booking, online payment, cards accepted, and online account for buyer and order tracking. The findings was found to be in accordance to level three of earlier studies (Abou-Shouk & Lim, 2010; Daniel et al., 2002; Rayport & Jaworski, 2002) wherein websites assist online orders, sales and payment integration.

The 'Advance ICT adopters' demonstrated more integrated applications of internet based activities. The case firms have included more advance features such as intranet/extranet for inter-organizational interaction and high level of collaboration with industry members and electronic integration to transform the overall business

model. At this level internet based activities are dominant transforming the overall business model of the firm, indicating the TTA's transformation to VTA's ICT capability. For example the CEO of case 'M' said "*we have developed our own system, my company runs using this platform hundred percent. Currently we have started to market this platform at the respective market in Malaysia as well as in overseas*". Cases L-O were found to be at this level where technology based operations have shaped the organization's business strategies. The features found in cases L-O are consistent with some earlier studies (Abou-Shouk & Lim, 2010; Al-Qirim, 2007; Chen & McQueen, 2008; Levy & Powell, 2002; Rayport & Jaworski, 2002).

The outcome of this study divulged the features found in low ICT adopter's travel agency are basic mainly comprising static information about the organization. The features found in intermediate adopter's travel agency seem to be more sophisticated and interactive preparing the organization for e-commerce activity. At advance adopter's level, the features found to include electronic integration for networking and collaboration with customers and business partners.

The use of social media network is also prominent in all cases this could be due to its capacity to reach the global audience with limited resources. The CEO of case 'D' indicated '*we have website, but we still use facebook, instant messenger, weibo, wechat web to get the information across to the customers, it works for me*'. This is consistent with Tuten (2008) who asserted social media stimulates conversation and engage in way that traditional marketing would by developing loyalty, increasing awareness and interest.

DISCUSSION

Analysis of SME TTAs in Malaysia has led to an assessment that despite having high resistant to changes as proposed by institutional theory (Walsham, 2017), the TTAs had responded positively to the changes and had overcome disintermediation by using ICT to some extent to serve customers directly. The findings showed that all the case firms investigated in this study have adopted ICT for sustainability and growth. This concurs with the findings by Buhalis (2000) and Viljoen et al. (2015) that it is crucial for travel agencies to incorporate ICT along with their traditional business model to reposition their traditional retail role. The results also revealed some TTAs have adopted advance ICT and demonstrated ICT capability similar to those of VTA, indicating TTA's transformation to become VTA as a result of embracing change (internal factor) and industry dynamic (external factor). The differences in ICT adoption levels can be attributed to the various internal (e.g. ability to embrace change, customer orientation; B2B or B2C) and external factors (customers and business partners' expectations and tourism Industry's disintermediation pressure). This concurs with the findings by Baker (2012) and Xu et al. (2008) that internal and external factors seem to have influenced the

way an organization identifies the need for, searches for and adopts new technology.

The fact that all firms in the study have adopted telephone, smart phone, computers and internet exposed that the SME TTAs in Malaysia are familiar with various ICT tools and internet technologies. Consistent with the previous studies, the firms make use of them to improve their marketing activities (Buhalis & Law, 2008; Kozak, 2007), reduce transaction cost (Standing & Vasudavan, 2000) and to increase competitiveness and performance (Yoon et al., 2006).

The three ICT adoption levels found in the context on Malaysian SME traditional travel agencies show that Malaysian SMEs are in par with SMEs in some of the developed countries. This can be attributed to the various initiatives taken by the government and travel associations such as MATTA to create awareness and knowledge on ICT platform and uptake to remain competitive and relevant in the industry. This is evident with one of the respondent's feedback *"to me ICT is the future. If you don't have it you will be left behind, now is the era of technology if you want to survive you must have at least a basic website"*.

Interestingly no cases were found to be only using e-mail. This can be attributed to two main reasons (1) the case firms selected were MATTA members: MATTA's initiatives to educate the members to move forward with ICT, MATTA has carried out a series of initiates such as tech talk for members to understand and get closer to the valuable digital truth. (2) The tourism industry's disintermediation threat:

emergence of VTAs created the urgency for TTA to embrace ICT (Werthner & Klein, 1999). Recently MATTA's initiative was to develop the travel platform (MATTA. travel) to persuade members to get into digital economy without committing to huge investment had played a crucial role in ICT adoption among its members. MATTA president Datuk Hj Hamzah Rahmat, stated:

"The small traditional travel agents on their own cannot embrace technology to the fullest to be competitive so we from MATTA are providing a platform (MATTA.travel) and work around with them to embrace technology. The member to some extent will be able to benefit at a low cost".

Interestingly, the study also showed ICT adoption need not necessarily be stage by stage adoption process. This was evident from case 'H' and case 'I' wherein the firms had adopted an advanced technology i.e. online reservation and payment gateways for two and five years respectively and had chosen to withdraw such features for various reasons. This clearly indicate the firms can progress to a higher level of ICT adoption and yet at the same time regress to a lower level depending on the capability of the CEO-owner to learn, manage and introduce the changes. This finding concurs with the British library staircase model that suggest organizations may jump over levels or may regress to a less mature stage as a result of some crucial internal or external factors (Mpofu et al, 2013, Rao et al., 2003; Allcock et al., 1999). In short, Contingent Model (non-stage model) of Levy and Powell (2003) seems most closely

resembled the adoption pattern of SME TTA in Malaysia. Evidences that support Contingent Model were: 1) Age of firms did not dictate adoption level: indicating no natural progression from low to high ICT adoption when the TTA matures through years of establishments. 2) Customer orientation (B2C versus B2B) seems to determine adoption level: those serving B2C stays at low adoption level while those serving both B2C and B2B adopted higher ICT level. This indicates that the "Planned Business" and Perceived ICT value factors (Levy & Powell, 2003) whether the TTA plans to venture into B2B and whether they perceive ICT provides values for them in B2B orientation, are key contingent factors in the ICT adoption decision.

CONCLUSION

This research has investigated the ICT adoption level to discover to what extent ICT has been adopted in SMEs TTAs in Malaysia using multiple case study approach. ICT adoption model that integrates telecommunication technologies, information technologies and networking technologies has been proposed. ICT adoption model reviewed did not include such integration, despite the fact such integration is crucial to understand ICT adoption holistically. The proposed model depicts how three adoption levels differ in terms of telecommunication, information and networking technologies. It also indicated that some SME TTAs transformed to VTA's ICT capabilities while some stayed at low adoption level.

Two research questions were answered. First, in terms of ICT adoption extent among SME TTA in Malaysia, all case firms have found to adopt some extent of ICT ranging from low adoption (email and static website) to advanced adoption (fully integrated ICT solution similar to VTA capability). Advanced adopter firms are more competitive because they have an added advantage from combining the ICT strategies with traditional method such as personal interaction, collaboration and long term relationship with customers and supplier. In general, the study indicates that ICT adoption among SME TTA is satisfactory, as they took some initiatives to keep up with the ICT expectation from customers.

Second, in relation to ICT adoption model that best reflects SME TTA adoption approaches, Contingent Model of Levy and Powell (2003) seems most closely resembled the adoption pattern of SME TTA. In other words, non-stage model is manifested by case firms. Indeed, in the case of SME TTAs, ICT adoption did not follow stage-by-stage progression; many older establishments (e.g. 31 years in business) still remain in low adoption. Also, some young establishments (e.g. 21 years in business) have opted for advance ICT adoption since they recognize the value of ICT and look for future growth. Indeed, adoption decision is contingent upon two key factors: ICT value recognition and planned business growth as proposed by Levy and Powell (2003).

This study adds value to ICT, marketing and tourism literatures in three ways. First,

it uncovers ICT adoption levels among established TTAs, whom existed in the tourism business for more than 20 years. The resultant findings provide holistic picture specific to tourism context. Earlier SME ICT studies focus on multiple industries including construction, education, textile and manufacturing (e.g. Al-Qirim, 2007) in which industry specific pattern may not be apparent. Second, this study focuses on case firms in a developing country context. Earlier studies focused on developed country data, of the 13 models reviewed, only two conducted in developing country context. Third, the study provides empirical evidences on the validity of contingent model (non-stage model) proposed by Levy and Powell (2003). Indeed, "Non-stage" model where adoption level did not progress from low to high was evident in this study. Majority of earlier model (10 out of 13 models reviewed) proposed "stages" model.

Several implications for practice can be derived from the outcome of the study. For example CEOs and managers of SME TTAs to consider the features required to elevate them to the advanced practices of electronic transaction and electronic integration to remain competitive and relevant in the market in the current VTA era. Secondly, the advanced adopters should carry out R&D on the VTAs website features and applications to keep them in line with their own development. Thirdly, it may help CEOs and managers of the travel agencies to understand the systematic approach to ICT adoption levels and determine which levels meet their business strategy needs. Finally,

this research may help the policy makers and travel associations such as MATTA in terms of policy and strategy reviews to support ICT adoption and development in SME TTAs in Malaysia.

Just like any other studies, this study has its own limitations. Firstly, this study only investigated TTAs which are registered with MATTA. These travel agencies are exposed to the importance of ICT uptake and digital platform through various initiatives carried out by MATTA to help its members. Therefore these findings could be valid to travel agencies which are members of a travel association and not for independent travel agencies operating on an individual basis. Secondly, is the ICTs are dynamic wherein the travel agency may upgrade or downgrade the ICT uptake overtime therefore this findings could be valid for short term only. Understanding the drivers and inhibitors at each adoption stage would provide a deeper understanding on the internal and external factors leading to the ICT uptake among travel agencies in Malaysia. Future studies should focus on investigating the driver and inhibitors at each level of ICT adoption.

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Review Article

Halal Tourism: Literature Synthesis and Direction for Future Research

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ABSTRACT

Halal tourism, which arises from the growth in the number of Muslim travellers world-wide and the rapid development of halal industry, is defined as the engagement of any object or action by Muslim travellers that conforms to the Islamic teachings and facilitates the practice of the religion. As such, the application of halal concept in tourism, including in its development and marketing, must be guided by the Islamic principles. With the purpose to understand the current state of knowledge and practice, we reviewed the literature on halal tourism that has been published in high-tier academic journals. Based on the review, we identified the emergent themes and the knowledge gaps for future research. Among others, we found that the industry is booming with increased participations from Muslim-minority countries. However, there seems to be variations in the practice, perhaps due to the complexity of the market needs. The implementation of halal tourism by Muslim-minority countries is the most pressing issue due to the need to ensure that the process and the service offered strictly comply with the requirements of Islamic teachings, while at the same time, to ensure that the countries are able to develop their halal sectors into competitive industries. Understanding the implementation of halal tourism is an important agenda for future research to ensure that the service provided addresses the fundamental issue of Muslims' obligations to adhere to the Islamic teachings in all aspects of their lives including while travelling.

Keywords: Halal, halal implementation, halal tourism, Islam, Muslim, tourism, tourist, traveller

INTRODUCTION

Halal tourism is one of the latest trends that arises from the growth in the number of Muslim travellers world-wide and the rapid development of halal industry. Halal tourism is dubbed as 'the new billion dollar travel trend'. Its market worldwide is recorded to increase at the annual rate of 5%, which is more than the normal tourism industry growth of 4% (Context Consulting, 2016). In a report on the state of the global Islamic Economy of 2014/2015, which was produced by Thomson Reuters and Dinar Standard, it had been indicated that Muslim tourists worldwide spent 140 billion US dollars in 2013, and this figure excluded the spending on the same year on Hajj and Umrah, which were valued at 16 billion US dollars. Moreover, the amounts spent by the Muslims constitute 11.5 per cent of global expenditure. Halal tourism segment is expected to be valued at 239 billion US dollars by 2019, which represent 13 per cent of global spending. These impressive figures influence more hotels and other service providers to announce new plans and strategies to draw interest of the Muslim tourists to their Sharia-compliant hotels, restaurants, spas and travel packages. In term of travel destinations for halal tourism, Turkey tops the list in the latest Global Muslim Travel Index, with Malaysia and the UAE in second and third places, respectively (Pillai, 2015).

As halal themes begin to influence tourism industry, both Muslim-majority and Muslim-minority countries are seeking to capture the Muslim tourist market by providing halal foods, halal accommodation and relevant logistics to cater to the requirements of Muslim travellers. Lately, several Muslim-minority economies, such as Japan and New Zealand, have started to promote their own brand of halal tourism (Henderson, 2016b; Razzaq et al., 2016).

Halal tourism, in this study, is defined as the use or engagement of any object or action by Muslim travellers that conforms to the Islamic teachings and facilitate the practice of the religion (based on Battour & Ismail, 2016; Davids, 2014). Halbase (2017) described halal tourism as the providing of services in term of tour packages and travel destinations that met Muslims' requirements and preferences. These can include a) halal food served in hotels or in-flight while traveling, b) halal accommodation in regard to food and drinks served during the stay at the hotels, c) halal logistics, which means foods that are properly prepared, stored and delivered, d) halal spa, especially, in regard to having separated rooms or facilities for male and female clients and being served by the same gender, as well as e) Islamic finance, in which traveling is funded by halal or Sharia-compliant means.

Therefore, the development and marketing of halal tourism services must be guided by the Islamic teachings and principles, covering all aspects of tourism activities. This study addresses the fundamental issue of Muslims' obligations to follow the Islamic teachings in all aspects of their lives including while they are travelling. The concept of halal tourism has also attracts the interest of scholars,

particularly from mid-2000s onward. In the last 10 years the field continued to develop more rapidly. However, to date, there is still a lack of comprehensive evaluation on the literature in the field. This study intends to fulfil this gap.

The objective of this study is to analyse the current state of knowledge and practice of halal tourism. In achieving this objective, we reviewed the extant literature on halal tourism that has been published in high-tier academic publications. We conducted the literature search on the SCOPUS database using keyword "halal tourism". The database generated 44 articles on the topic. Specifically, we analysed these articles based on the dimensions of *type of article*, *contexts and subjects of study*, *field of discipline*, and *major findings and themes*. This information serves as the basis of assessing the main focus of the studies and their overall position and contribution to the field of knowledge in halal tourism. Based on this analysis, the emergent themes on halal concept as they relate to tourism are discussed and the knowledge gap for future research is identified.

ANALYSIS OF PUBLISHED ARTICLES ON HALAL TOURISM

Our search on the SCOPUS database yielded a total return of 44 articles. We excluded 15 articles from the original list that are not relevant to our topic of interest, as well as those that are works-in-progress and publications of proceedings. From the list of 29 articles included in our analysis, 16 are conceptual or review papers while the

remaining 13 are empirical. Table 1 shows the summary of all the articles included in this review.

The number of empirical articles that utilised qualitative methodology is eight, exceeding that of five articles that used quantitative approach. Seven of the empirical articles in our analysis dealt with consumer issues (of which the unit of analysis is the tourist), including those in the USA, Malaysia, Turkey, India and Indonesia. These studies are consumer behaviour studies, which can be categorised under the field of marketing. Six articles that examined the issues of halal tourism from the providers or related agencies perspective were conducted in Morocco, Tunisia, New Zealand, Italy and Thailand. Four of these articles utilised marketing management as the framework, while two articles on Thailand and New Zealand utilised geography and tourism as the framework, respectively. As a whole, the topic of halal tourism is mostly studied from the marketing perspective.

Halal Tourism over the Years

The rise in the number of published articles on halal tourism can be seen toward the late 2000s. The main focus of discussion at that time was the Shariah perspective on tourism (e.g. Battour et al., 2010; Bon & Hussain, 2010). Battour et al. (2010) defined halal tourism and emphasized the importance of awareness and observance of Shariah rules in halal tourism implementation, while Bon and Hussain (2010) highlighted that availability of halal food determined

the choice of destination for Muslim tourists. These two studies are followed by qualitative inquiries by Battour et al. (2011) who studied Muslim foreign tourists in Malaysia, Kurokawa (2013) who studied the branding of Chiang Mai for serving Muslim tourists, and Halkias et al. (2014) who studied family firms that provided halal food in Italy. While Battour et al. (2010) was concerned with Muslim providers serving Muslim tourists, Kurokawa's (2013) and Halkias et al.'s (2014) studies focused on non-Muslims providers serving Muslim tourists in Muslim-minority countries. Specifically Battour et al. (2010) generated a number of 'halal' attributes of destination that were valued by Muslim tourists, which included halal food and permissible entertainment, prayer areas and related facilities, and gender segregation.

In 2014, Stephenson suggested the need to consider non-Muslims' perception and experiences in halal services, including halal tourism, due to the reason that halal services were not being developed exclusively for or being consumed only by Muslim customers. This understanding is also important in order to address the prejudice or sentiments that are still existing among some non-Muslims against Islam. In similar vein, Haq and Medhekar (2014) proposed Pakistan (a Muslim-majority country) and India (a Muslim-minority country) to collaborate in order to leverage on the opportunities provided by halal tourism, due to their geographical and cultural proximities. Davids (2014) further discussed the potential for Islamic tourism to flourish in South

Africa, which is a Muslim-minority country. Backed by the long history of the presence of Islam and the Muslim community in South Africa, the author concluded that the Islamic culture in South Africa has evolved and shaped by the country's internal and external circumstances and regarded as a valuable national culture and heritage. In the same year, Medhekar and Haq (2014) reported their findings of a case study conducted on Muslim patients seeking for Shariah-compliant treatment in India. The study found that the choice of halal-certified medical care by Muslim patients, including foreign patients who travelled from abroad to seek health treatment (termed as medical tourists), was based on their rational and emotional attitudes as well as affective and cognitive feelings.

In 2015, Shakona et al. studied the travelling behaviour of Muslims in the US and made a suggestion to providers to consider the influence of religion on Muslim tourists. Henderson (2016a, 2016b) highlighted the complexity of serving different segments of tourisms, the Muslims and non-Muslims. In Russia for example, Gabdrakhmanov et al. (2016b) concluded that the implementation of halal tourism had high potential to grow and sustain, while in another study, Gabdrakhmanov et al. (2016a) highlighted the need for proper infrastructure that would help to enable or facilitate the delivery of halal services as a requisite to promoting the growth of halal tourism in Russia, a Muslim-minority country. While at the beginning of their study, Razzaq et al. (2016) assumed that

halal tourism would take up in New Zealand because of their readied supply of halal meat, their study eventually suggested that provision of halal tourism was much more complex because of the need to understand Muslim consumer behaviour, as well as the comprehensive Shariah requirements related to preparing halal food.

Izberk-Bilgin and Nakata (2016) established a number of fundamentals or principles of halal marketing implementation that should be embraced by businesses providing halal services, including halal tourism. The principles included understanding and embracing the true meaning and requirements of halal as well as the regulatory rules and practices. Ryan (2016) in his editorial, acknowledged the increased attention on the topic of halal tourism in the academia and in practice. He further highlighted the need for advancing the knowledge of halal tourism through conducting more empirical research. In their review of literature, Battour and Ismail (2016) highlighted the increased number of Muslim tourists to both Muslim-majority and Muslim-minority countries and that there were many factors influencing this trend, including political conditions of the tourists' countries of origin as well as the destination countries, and the level of tourism promotions and programs. Whereas in a study on homestay host families in Morocco, Carboni and Janati (2016) found that these local hosts did not consider halal certification as a necessity to serve Muslim tourists, as being Muslims, the hosts believed that their services conformed to

Islamic requirements. While they did not object to being halal certified, the local hosts also believed that it was important to ensure such certification would not hinder their offerings to be appealing to those of other faiths.

According to Mohsin et al. (2016), the current and potential financial lucrativeness of the market is the main reason for many countries including Australia, India, Indonesia, Malaysia, Singapore, Taiwan, Thailand and Turkey are interested to tap into the high-growth halal tourism market. They defined Muslim-friendly hotel ambience, food and hospitality as fundamentals in serving this segment. Henderson (2016a), in comparing between Malaysia, a Muslim-majority country, and Singapore, a Muslim-minority country, suggested that both countries had their own advantage in marketing in halal tourism as long as they had proper control and certification mechanisms in place. In particular, both of the countries are considered as congenial destinations for inbound Muslim tourists due to their positive socio-political and religious conditions.

By 2016, the lack of studies and understanding on religious versus general travel requirements were still prevalent, as noted by El-Gohary (2016). El-Gohary (2016) established halal tourism as a form of religious tourism. Oktadiana et al. (2016) questioned the lack of studies of halal tourism in Indonesia, despite the country being the largest Muslim country in the world. They attributed various reasons for this research gap. Based on their review,

Table 1
Summary of SCOPUS article review

No.	Author (Year)	Title	Source title	Article Type (Methodology, if relevant)	Context/ Subject of Study	Field of Study / Discipline	Summary of Major Findings/Themes
1	Shafaei (2017)	The relationship between involvement with travelling to Islamic destinations and Islamic brand equity: a case of Muslim tourists in Malaysia	Asia Pacific Journal of Tourism Research	Empirical (Quantitative)	Middle Eastern tourists travelling to Malaysia	Marketing (brand equity)	This study of Muslim tourists' perception of Malaysia's Islamic brand equity examined six variables, namely awareness, quality, image, value, loyalty and they relate to tourists' involvement with travelling to Islamic destinations. The study found that the strongest predictor of the involvement of travellers travelling to Islamic destinations is awareness.
2	Elaziz & Kurt (2017)	Religiosity, consumerism and halal tourism: A study of seaside tourism organizations in Turkey	Tourism	Empirical (Qualitative)	Muslim tourist perception on halal tourism in Turkey	Marketing	The study suggests that religious vacationers perceive holiday as one of the basic needs. This choice of lifestyle might be influenced by the capitalist consumer/ tourism culture, thus possibly indicates that religious tourists are no different from ordinary tourists.
3	Carboni et al. (2017)	Developing tourism products in line with Islamic beliefs: some insights from Nabeul–Hammamet	Journal of North African Studies	Empirical (Qualitative)	Service providers in Tunisia	Management and Marketing	More service providers are becoming familiar with global products designed for Muslim consumers. These service providers consider tourism as a differentiation tool for their businesses.
4	Oktadiana et al. (2016)	Muslim travellers' needs: What don't we know?	Tourism Management Perspectives	Conceptual	-	Management	In this conceptual study, the authors reviewed a number of published articles and other online sources on the key cultural facets of interaction and communication of halal tourism. The process is based on the themes derived from Coordinated Management of Meaning (CMM) theory. Their review highlights that extant literature tends to offer a one-sided emphasis on the need for halal service providers to understand and become sensitive to their prospective customers' needs. On the contrary, the authors suggest that the inbound tourists, too, must be sensitive to the local sensitivity and cultures of the destinations of travel.
5	Samsi et al. (2016)	Information quality, usefulness and information satisfaction in Islamic e-Tourism websites	Journal of Theoretical and Applied Information Technology	Empirical (Quantitative)	Muslim tourists' expectation of travel websites that cater for their needs.	Marketing	In this study, relevancy, Islamic design, security and privacy are among significant features of Muslim-friendly travel websites that Muslim tourists find useful. Overall, this study illustrates how technology can influence the behaviour and choices made by Muslim tourists.

Table 1 (*continue*)

No.	Author (Year)	Title	Source title	Article Type (Methodology, if relevant)	Context/ Subject of Study	Field of Study / Discipline	Summary of Major Findings/Themes
6	Samori et al. (2016)	Current trends on Halal tourism: Cases on selected Asian countries	Tourism Management Perspectives	Conceptual	-	Management	Development of halal tourism is reviewed by the authors and illustrated by two case examples: Malaysia as a predominantly Muslim country, and Japan as a Muslim-minority country. The scene of halal tourism in both the cases is promising due to increase in the worldwide tourism trend. In Malaysia, most of the facilities and services needed by Muslim tourists are in place, however, improvements to the quality are still needed in order to ensure sustained visits. Whereas for Japan, although receptive to the needs of Muslims tourists, the availability of halal services are still lacking especially in small cities, due to lack of exposure on Islam as well as the language barrier.
7	El-Gohary (2016)	Halal tourism, is it really Halal?	Tourism Management Perspectives	Conceptual	-	Marketing (tourism)	Halal tourism is considered a subcategory of religious tourism that is rooted within the rules Shariah (Islamic law), which must be observed by all Muslims. According to the author, religious tourism, particularly that focus on the actual linkage between religion and tourism, is still under researched.
8	Henderson (2016a)	Halal food, certification and halal tourism: Insights from Malaysia and Singapore	Tourism Management Perspectives	Conceptual (include anecdotal case study based on published sources)	Focus on Malaysia and Singapore which have majority and minority Muslim populations respectively.	Marketing (hospitality)	Destinations with either majority, or sizeable minority Muslim communities, have competitive advantages in regard to offering services to Muslim tourists, particularly related to halal food. This is due to the reason that halal food is a necessity and thus readily available for and offered by the local Muslims. Specifically, the agreeable social, cultural and religious conditions in Malaysia and Singapore render the countries as friendly to inbound Muslim tourists.
9	Mohsin et al. (2016)	Halal tourism: Emerging opportunities	Tourism Management Perspectives	Conceptual	-	Marketing	Countries such as Australia, India, Indonesia, Malaysia, Singapore, Taiwan, Thailand and Turkey are interested in attracting the growing number of Muslim tourists due to lucrative business opportunities. Muslim-friendly hotel ambience, food and hospitality are among the fundamental needs of this segment.

Table 1 (*continue*)

No.	Author (Year)	Title	Source title	Article Type (Methodology, if relevant)	Context/ Subject of Study	Field of Study / Discipline	Summary of Major Findings/Themes
10	Carboni and Janati (2016)	Halal tourism de facto: A case from Fez	Tourism Management Perspectives	Empirical (Qualitative)	Perception of local host in Fez Morocco to market halal/spiritual tourism as cultural exchange.	Marketing	Local hosts, who are Muslims, consider their services as already halal and as such believe that the adoption of a halal label as redundant or does not make them 'more respectful of Islam'. However, they do not object to such certification, provided that non-Islamic tourists are not discriminated with or excluded by it. In other words, it is important to ensure that the services can be enjoyed by both Muslims and non-Muslims and not to the exclusion of others due to halal labelling.
11	Battour and Ismail (2016)	Halal tourism: Concepts, practises, challenges and future	Tourism Management Perspectives	Review	-	Marketing	Ten years after the concept of halal tourism was first coined, this article attempts to review the concept of halal tourism, its challenges and the future outlook. Their review highlights increased number of Muslim tourists to both Muslim and non-Muslim countries due to political situation (for instance, political instability in some Middle East countries had caused the increase of outbound tourists from those countries), and the level of tourism promotions and programs (for instance, how the information about a destination are being spread). The authors note the lack of engagement of social network and proper geographical marketing that would have the prospect to disseminate information about Muslim-friendly destinations.
12	Ryan (2016)	Halal tourism	Tourism Management Perspectives	Editorial / Review	-	Marketing (tourism) / Management	Compared to other forms of tourism, halal tourism is considered in its embryonic state as a subject for research. It is now, however, getting increased attention from the academia as well as the commercial world, evidenced with many related conventions and conferences being sponsored by the industry.
13	Izberk-Bilgin and Nakata (2016)	A new look at faith-based marketing: The global halal market	Business Horizons	Conceptual	Malaysia	Marketing	This article gives insight on the opportunities of global halal market and suggests five key-points towards successful halal marketing strategies to be used in order to tap into the Muslim segment, namely: the needs for businesses to subscribe to a holistic definition of halal, to fully understand about the rules and regulations of halal, to have a good rapport with the policy makers, to address the concerns of the consumers effectively and to have strategic and integrated view of halal.

Table 1 *(continue)*

No.	Author (Year)	Title	Source title	Article Type (Methodology, if relevant)	Context/ Subject of Study	Field of Study / Discipline	Summary of Major Findings/Themes
14	Razzaq et al. (2016)	The capacity of New Zealand to accommodate the halal tourism market - Or not	Tourism Management Perspectives	Empirical (Quantitative)	Study of accommodation provider websites in New Zealand	Marketing / management	While New Zealand has vast experience as global supplier of halal meat, provision of halal tourism, and hospitality is a much more complicated process that requires a finer understanding of their Muslim clients.
15	Gabdrakhmanov et al. (2016a)	Problems of development of halal tourism in Russia	Journal of Organizational Culture, Communications and Conflict	Conceptual	Minority Muslim region in Russia (e.g., Tatarstan and Kazan).	Marketing	Good infrastructure, particularly that facilitates Muslim or halal-friendly services, are crucial to promote the development of halal tourism in Russia.
16	Gabdrakhmanov et al. (2016b)	Features of Islamic tourism	Academy of Marketing Studies Journal	Conceptual	-	Marketing	Halal food industry is expanding in the Russian Federation as halal exhibitions have been held regularly in Russia. The recent development indicates that the halal tourism has a potential to grow in Russia in the near future.
17	Henderson (2016b)	Muslim travellers, tourism industry responses and the case of Japan	Tourism Recreation Research	Conceptual	Japan	Marketing	Japan, a Muslim minority country is seen to have some success in attracting Muslim visitors, although not without challenges. Among others, service providers find the concept difficult to understand. In particular, local service providers are looking to avoid possible conflicts between the locals, and foreign Muslim tourists.
18	Shakona et al. (2015)	Understanding the traveling behavior of Muslims in the United States	International Journal of Culture, Tourism, and Hospitality Research	Empirical (Qualitative)	Interview of 12 Muslims of different nationalities in the USA	Consumer Behaviour / Marketing	Tourism marketers need to pay more attention to the influence of religion on the leisure and travel behaviours of Muslim travellers.
19	Medhekar and Haq (2014)	Halal branding for medical tourism: Case of Indian hospitals	Emerging Research on Islamic Marketing and Tourism in the Global Economy	Empirical (Qualitative)	Case study of the first halal certified hospital in Chennai, India	Marketing (Halal branding for medical tourism)	The study found that Muslim patients, including foreign patients who travelled from abroad to seek health treatment at the hospital (medical tourists), showed attitudes of rational, emotional as well as elements of affective and cognitive feelings when it comes to the reason why they chose a halal-certified medical care.

Table 1 (*continue*)

No.	Author (Year)	Title	Source title	Article Type (Methodology, if relevant)	Context/ Subject of Study	Field of Study / Discipline	Summary of Major Findings/Themes
20	Davids (2014)	Islamic tourism in South Africa: An emerging market approach	Emerging Research on Islamic Marketing and Tourism in the Global Economy	Conceptual	-	Marketing	In this book chapter, the author describes how halal tourism in South Africa begins to become a significant part of tourism in the country. The Islamic culture in South Africa is a fusion of religious and cultural nuances and has high potential for the tourism sector as it is prized as a national heritage.
21	Haq and Medhekar (2014)	Islamic tourism in India and Pakistan: Opportunities and challenges	Emerging Research on Islamic Marketing and Tourism in the Global Economy	Conceptual	India and Pakistan	Marketing (halal branding)	Based on a review of the literature, this book chapter provides a discussion of the history of Islamic tourism in India and Pakistan particularly that is related to its branding. Due to the two countries' close connections, culturally and geographically, the study suggests the two countries should work collaboratively in growing their halal tourism market.
22	Stephenson (2014)	Deciphering 'Islamic hospitality': Developments, challenges and opportunities	Tourism Management	Conceptual	-	Management and Marketing	The authors suggest that it is imperative to deliberate on the involvement of non-Muslims in halal tourism, due to halal services are also being consumed by non-Muslims. In addition, there are still significant amount of 'fears' or prejudice about Islam among non-Muslims that made them reluctant to engage with or even reject Muslim-friendly services. Understanding this segment, particularly those who are receptive to or interested in the cultures of others would be beneficial to the development of halal services including halal tourism.
23	Halkias et al. (2014)	Halal products and services in the Italian tourism and hospitality industry: Brief case studies of entrepreneurship and innovation	Journal of Developmental Entrepreneurship	Empirical (Qualitative)	Case study of two family businesses in Italy that cater to Muslim tourists.	Marketing	Overall, there is a lack of demand, and similarly, lack of offerings of halal products and services in Europe. Nevertheless, the situation is progressively changing due to the growing halal market on the global scene.
24	Kurokawa (2013)	Case studies of the innovative local cottage industries and tourism in north and northeast district in Thailand: Implications from the local branding strategy of Thailand	Studies in Regional Science	Empirical (Qualitative)	Branding of Chiang Mai region of Thailand	Geography and tourism	In this study, the government of Thailand has implemented a decentralized approach to tourism management. Specifically, the study examines implementation of branding strategy of local government of Chiang Mai to cater to Muslim tourists. The study suggests regional or local branding strategy has the potential to increase tourism.

Table 1 *(continue)*

No.	Author (Year)	Title	Source title	Article Type (Methodology, if relevant)	Context/ Subject of Study	Field of Study / Discipline	Summary of Major Findings/Themes
25	Battour et al. (2011)	The impact of destination attributes on Muslim tourist's choice	International Journal of Tourism Research	Empirical (Qualitative)	Muslim foreign tourists in Malaysia	Marketing (Consumer behaviour)	There are a number of 'halal' attributes of destination (i.e., categorized as tangible and intangible) that are valued by Muslim tourists, which are halal food, prayer areas and related facilities, gender segregation and choice of entertainment that are suitable for Muslims.
26	Bon and Hussain (2010)	Halal food and tourism: Prospects and challenges	Bridging Tourism Theory and Practice	Conceptual	-	Shariah, tourism management and policy	Food plays a major role in halal tourism and thus has significant implication on the policy and practice of halal tourism. Particularly for Muslim tourists, availability of halal food determines their choice of travel destination, either to Muslim or non-Muslim countries.
27	Battour et al. (2010)	Toward a halal tourism market	Tourism Analysis	Conceptual	-	Shariah, Tourism management	This article attempts to define halal tourism and emphasizes the importance of the awareness and observance of Shariah rules in halal tourism implementation.
28	Wan-Hassan and Awang (2009)	Halal food in New Zealand restaurants: An exploratory study	International Journal of Economics and Management	Empirical (Quantitative)	Quantitative survey of restaurants serving halal food in New Zealand	Tourism and hospitality	Many restaurant operators in New Zealand are not familiar with halal concept and they do not consider Muslim tourist market as significant to their business.
29	Mohsin and Ryan (1997)	Business visitors to the northern territory expo	Tourism Recreation Research	Empirical (Quantitative)	Malaysian and Indonesian business travellers to Northern Territory Expo.	Consumer behaviour	The findings suggest availability of halal foods and accessibility to Islamic services as important considerations for Muslim business travellers.

Source: Authors' review of literature

they concluded that there was a need of the inbound tourists to understand the local sensitivity and cultures. This was in addition to the existing imbalanced focus of the literature which mainly emphasised on the need for providers to understand the nuances of the inbound tourists. Further, Samori et al. (2016) discussed on Islamic religious requirements for travelling. They also illustrated different cases of halal tourism implementation by comparing the experiences of Malaysia (a Muslim-majority country) and Japan (a Muslim-minority country), as both strived to become competitive in the burgeoning halal tourism market. The study also highlighted some areas of improvement in their halal tourism offerings: For Malaysia, there was a need to improve the quality of the services, while in Japan, there was a notable lack of availability of halal services particularly in rural and small cities. In the same year, Samsi et al. (2016) examined the role of technology and information in influencing Muslim tourists' behaviour. They highlighted content, timeliness, reliability and accessibility as among the useful website features for Muslim tourists.

By 2017, there has been a significant increase in the awareness and understanding of halal tourism concept by service providers (Carboni et al., 2017). In the same year, however, Elaziz and Kurt (2017) suggested that religious tourists and regular tourists had similar intentions of capitalist nature on what made them travel. Shafaei's (2017) findings emphasized the role of awareness about halal Malaysia brand in inducing travel amongst Middle-Easterns, citing awareness as the key reason for their decision to travel.

LITERATURE SYNTHESIS

Based on our analysis, we are able to identify six key themes that emerge from the review of the extant literature on halal tourism. The first two themes are directly related to the industry trends (indicated by the circles with dark arrow), while the other four themes centre-stage the predicament and challenges faced by the providers when operating within the halal tourism market, although the dimensions of halal tourism have begun to crystallize. Finally, the last theme concerns the inseparability of discussing the aspects of religion and values of Islam when dealing with halal tourism issues. Figure 1 summarises the major themes that emerged from our literature review.

The Halal Tourism Industry is Booming

Islam is the fastest growing religion in the world, with the number of Muslim population expanding across 200 countries through emigration and migration. About 23% of Muslims around the world travel for leisure as domestic and outbound tourists, and their number is gradually increasing over time. Looking at the potential of this market-driven segment, halal tourism has gained considerable attention from tourism operators in Muslim-majority countries as well as Muslim-minority countries. They plan to reap the economic benefits and business opportunities arising from the industry.
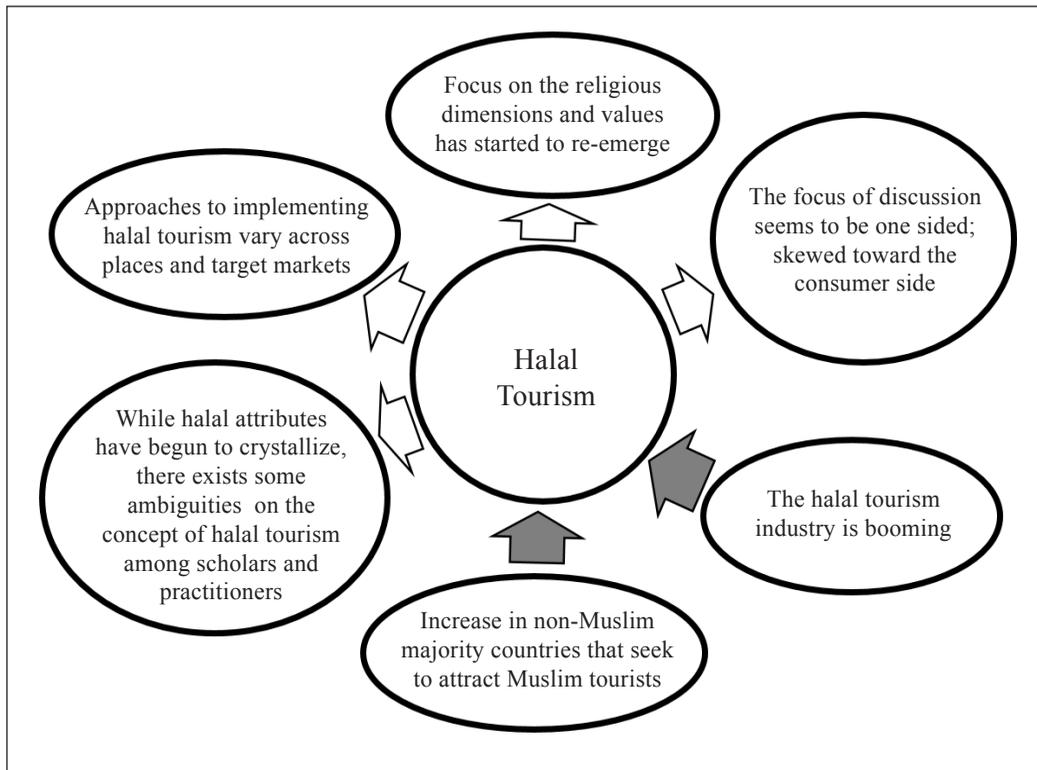
Figure 1. Key themes in the literature on halal tourism
Source: Authors' review of literature

An Increase of Interest of Non-Muslim Majority Countries to Seek For and Attract Muslim Tourists

The provision of halal tourism in non-Muslim majority or Muslim-minority countries raises the issue of whether their service meets the requirements of halal, as stipulated by the Islamic teachings as well as the level of readiness of providers in these countries to serve Muslim tourists. This is because the service providers need to thoroughly understand the correct concept of halal to be able to apply it accordingly. Since halal concept is embraced as a way for life for Muslims, and it is deeply rooted within the Shariah, it is perceived that service providers in Muslim-majority countries would face less issue with proper implementation of halal services. However, for Muslim-minority countries where halal concept is not part of their culture and might be considered as foreign, implementing halal services is challenging, and thus service providers need proper education, awareness, as well as guidance and proper governance by relevant agencies. Particularly, assurance of services that meets the Islamic requirements would ensure acceptance of the services by Muslim travellers and win their loyalty in the future.

Ambiguity on the Concept of Halal Tourism Exists Among Scholars and Practitioners

The emergence of halal attributes in tourism services signifies to the service providers on the dimensions of serving the Muslim tourists. However, while dimensions of halal attributes in tourism services have begun to crystallize, there seems to be some ambiguities in relation to the interpretation of the halal tourism concept, which influences the differences in the approaches of its implementation. To overcome this problem, the conceptualization of halal tourism needs to be strengthened based on authentic sources in combination with expert opinions in future research.

Approaches to Implementing the Concept of Halal Tourism Vary Across Places and Target Markets

The complexities faced by service providers in serving different markets and different groups of tourists are highlighted in past studies. In fact, in certain Muslim-minority countries, the providers struggle with the implementation of halal services due to the lack of understanding of the halal concept.

The Focus of Discussion on Halal Tourism Seems To Be One Sided, Which Is Skewed Toward the Consumer Side

While some studies examine issues related to service providers, the studies' implications are still focus on the service recipient, i.e., the tourists or traveller groups. This situation reflects a lack of stakeholder view in discussing halal tourism. Future research can explore the use of systems perspective in examining halal tourism, as it will provide a comprehensive view on the players as well as all the direct and indirect stakeholders within the halal tourism services industry. Having a comprehensive view is needed as the halal concept covers the entire value chain and processes involved in the provision of the halal tourism service.

The Focus on the Religious Dimensions and Values has Started to Re-Emerge

At the initial stage of the development of the field, the issues of Shariah have been center-staged. Later, however, most articles focus on marketing and consumer behaviour issues, while the dimension of religion and values seems to be side tracked. Most recently, scholars began to recognise the importance and the influence of religion and values on services and this can be expected to enrich the discussion of halal tourism in the future, which will further strengthen halal tourism as a body of knowledge.

DIRECTION FOR FUTURE RESEARCH

On the whole, the identification of the themes enables us to recognise the issues and areas of concern within the literature. Specifically, the knowledge gap on halal tourism implementation in Muslim-minority countries is highlighted. This, in fact, can be considered as the most pressing issue because the providers are generally non-Muslims and Islamic values are not embedded within their society's cultures. Within the context of business, there is a pressing need to ensure that the process and product

complies with the requirements as stipulated by the Islamic teachings. Understanding the implementation of halal tourism in this context is an important agenda for future research. This is because of the need to ensure that the halal tourism services that are provided in those countries address the fundamental issue of Muslims' obligations in adhering to the Islamic teachings in all aspects of their lives including while travelling. This understanding, at the same time, is also vital as it can assist the service providers in developing and marketing halal tourism in their countries. On the other hand, the Muslim tourists must also be sensitive to the local cultures and values, without sacrificing their religious values.

Addressing the above and other related issues also supports the development of the field of halal tourism, from the current infancy stage to a maturing field and eventually to be recognized as a legitimate body of knowledge. Such legitimacy is needed particularly given the importance of travelling and the need to serve customers to meet their religious needs and to facilitate their practice of religion. This pursuit for knowledge development is indeed fundamental because searching for halal is obligatory upon Muslims. As such, Muslim researchers play a significant role in educating the non-Muslim majority societies to embrace the proper halal concept. Similarly, on the part of service providers, the development of a comprehensive knowledge about halal tourism supports the development and sustainability of their organizations. This knowledge also serves

as the basis for decision making for the service providers as well as the governing bodies which will provide assurance for the customers, as well as for their future improvements.

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