About the Journal

Pertanika is an international peer-reviewed journal devoted to the publication of original papers, and it serves as a forum for practical approaches to improving quality in issues pertaining to tropical agriculture and its related fields. Pertanika began publication in 1978 as the Journal of Tropical Agricultural Science. In 1992, a decision was made to streamline Pertanika into three journals to meet the need for specialised journals in areas of study aligned with the interdisciplinary strengths of the university.

The revamped Journal of Social Sciences & Humanities (JSSH) 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, particularly in the Asia Pacific region. Other Pertanika series include Pertanika Journal of Tropical Agricultural Science (JTAS); and Pertanika Journal of Science and Technology (JST).

JSSH is published in **English** and it is open to authors around the world regardless of the nationality. It is currently published four times a year i.e. in **March**, **June**, **September** and **December**.

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 12 weeks. The elapsed time from submission to publication for the articles averages 5-6 months.

Indexing of *Pertanika*

Pertanika is now over 33 years old; this accumulated knowledge has resulted Pertanika JSSH being indexed in SCOPUS (Elsevier), EBSCO, Thomson (ISI) Web of Knowledge [CAB Abstracts], DOAJ, Google Scholar, ISC, Citefactor, Rubriq and MyAIS.

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.

We also have views on the future of our journals. The emergence of the online medium as the predominant vehicle for the 'consumption' and distribution of much academic research will be the ultimate instrument in the dissemination of research news to our scientists and readers.

Aims and Scope

Pertanika Journal of Social Sciences & Humanities aims to provide a forum for high quality research related to social sciences and humanities research. Areas relevant to the scope of the journal include: *Accounting, Agricultural & resource economics, Anthropology, Communication, Community and peace studies, Design and architecture, Disaster and crisis management, Economics, Education, Extension education, Finance, Gerontology, Hospitality and tourism, Human ecology, Human resource development, Language studies (education, applied linguistics, acquisition, pedagogy), Language literature (literary & cultural studies), Management, Marketing, Psychology, Safety and environment, Social and behavioural sciences, Sociology, Sustainable development*, and *Ethnic relations*.

Editorial Statement

Pertanika is the official journal of Universiti Putra Malaysia. The abbreviation for Pertanika Journal of Social Sciences & Humanities is *Pertanika J. Soc. Sci. Hum.*

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Contents

Foreword

Welcome to the **Second Issue 2014** of the Journal of Social Sciences and Humanities (JSSH)!

JSSH is an open-access journal for the Social Sciences and Humanities that is 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 social science community.

This issue contains **22 articles**. The authors of these articles come from different countries, namely, **Malaysia**, **Iran**, **India**, **Oman**, **Australia**, **the United Kingdom** and **Bangladesh**.

The regular articles cover a wide range of topics, from a case study to examine urban expansion and its impact on local communities in Penang, Malaysia *(Narimah Samat, Yasin Abdalla Eltayeb El Hadary, Rosmiyati Hasni* and *Suriati Ghazali),* to the use of orality, or the deliberate suspension of it, as a tool to resist oppression and objectification in *Incidents in the Life of a Slave Girl* and *Dessa Rose (Shahila Zafar* and *Shahbistan Sandhu)* to a study on Julia Kristeva's melancholic subject that is applied to Alice Walker's *The Color Purple (Rosli Talif* and *Kamelia Talebian Sedehi).*

The research studies, on topics related to education, linguistics, management studies, sociology and psychology, include a study of the ESL teachers' computer self-efficacy, attitudes towards computer and classroom computer use *(Hong, K.S., Chai, M.L., Tan, K.W., Hasbee Hj Usop,* and *Ting, L.N.)*; a study of paternal support as a driver for educational success among Arab-Canadian Muslim women *(Amani Hamdan)*; a study on the relationship between the use of language learning strategy and English proficiency of below-average Indian ESL students *(Madhumathi. P, Ramani. N* and *Prema. M)*; the research culture of private universities in Malaysia *(Thuraisingam, T., Hukam Parvinder, K., David, M.K.* and *Nair, V.)*; a study on the effectiveness of Form Four English language textbooks in preparing students for tertiary reading in English *(Harison Mohd Sidek)*; PhD. supervision as an emotional process – critical situations and emotional boundary work *(Thomas Johansson, Ola Strandler, Silwa Claesson, Elisabeth Saalman* and *Gina Wisker)*; the concept of "Excellence" as used to describe the performance of Malaysian Universities *(Steele, G.S.* and *Khalid Ali, K.)*; a study on English communication skills and employability in the Arabian Gulf focusing on Oman *(Al-Mahrooqi, R. I.)*; the discursive representation of companies in Malaysian business magazines *(Kumaran Rajandran)*; a study on how teaching practices affect autonomous learning behaviour in vocabulary development *(Naginder Kaur)*; the study of the grammatical presentation of phrasal verbs in ESL textbooks *(Zarifi, A.* and *Mukundan, J.)*; the motivating factors in the implementation of ISO 14001 in the packaging industry in the northern region of Peninsular Malaysian *(Chai Tew Ang* and *Norhashimah Morad)*; a review of the challenges and possible drivers

of LCA implementation in Small and Medium Enterprises (SMEs) in Malaysia *(Chai Tew Ang, Norhashimah Morad* and *Norli Ismail)*; the conceptualisation of transactional and transformational leadership in the Sri Lankan context *(K.A.S. Dhammika, Fais Bin Ahmad,* and *Thi Lip Sam)*; a study on the gender differences in mental health status among children aged three to six years *(Shin-Ling Wu, Rohani Abdullah* and *Sakineh Mofrad)*; the conceptual framework of leadership-based organisational effectiveness model *(Saritha Alfrida Rodrigues* and *Jyoti S. Madgaonkar)*; the discipline strategies of Vietnamese and Australian mothers in regulating children's behaviour *(Winskel, H., Walsh, L.,* and *Ha, T.)*; a study on the topological socio-cultural evolution as a predictor of ethnic conflicts in multi-ethnic societies *(Paramasivam Muthusamy, Wickramasinghe, C.N.* and *Thilagavathi Shanmuganathan)* and the critical evaluation of microfinance in women's political affairs i.e. how microfinance has contributed to any measurable changes in women being more involved at Local Government level *(Faraha Nawaz)*.

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

I would also like to express my gratitude to all the contributors who have made this issue possible as well as to the authors, reviewers and editors for their professional contribution. Last but not least, the editorial assistance of the journal division staff is also fully appreciated.

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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Predatory Scholarly Publishing:
A Question of Trust or Fraud

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ABSTRACT

Around the world, Institutions of Higher Learning receive funding based on decisions made through government Research Assessment Exercises. Experts assess the quality of universities by assessing each department in every Institution of Higher Learning. Each article published or book written is reviewed by a group of experts, and will receive quality rating from the highest standard of excellence to a national standard of excellence. The highest world-class standard is given to research published in high-end journals. The quality of articles is decided through the journals in which they are published. This is considered fair practice if the articles have undergone blind reviews. The ISI Web of Science database uses 'impact factors' to judge the standard of journals. This paper attempts to share with young academicians the real situation in the world of academic publishing concerning the standard of journals and the articles they contain.

Keywords: Scholarly publishing, Fraud, Predatory, Academic journals, Article-processing charges, Impact factor

Publishing in a Journal

Before a researcher starts thinking about publishing, it is crucial to ensure that the process of publishing is clearly understood. This process begins with the submission of an article to a publisher, after which the article goes through the process detailed in the diagram below:

SUBMISSION OF A MANUSCRIPT

If at first you don't succeed…

If your manuscript is rejected, don't give up – everybody has articles rejected. Learn from the editor's and reviewer's comments and try again. Use the reviewer's report to understand why the article wasn't accepted.

Between 40% and 90% of all manuscripts submitted are rejected before or after external peer review. In some cases, the journal you've chosen is simply not the right one. Still, there's no reason to despair.

Revision

The revision process is an important step towards publication.

Your manuscript may be in need of minor or major revisions. This is an excellent opportunity for you to improve your work through dialogue with some of the leading scientists in your field. Read the reviewer's comments carefully, and discuss them with your collaborators. Prepare a well-written response to the reviewer's report: address each comment scientifically and objectively.

Acceptance

Congratulations! Your manuscript is accepted for publication!

Re-submission

You can win half the battle by choosing the right journal: Your manuscript may be just fine but not quite within the scope of the journal. Increasingly, Elsevier journals offer authors the option to have their manuscript automatically submitted to another journal.

Source: www.elsevier.com/authors, p. 15

Diagram 1: Submission process of paper for publication in journal

When the editor of an academic journal receives a paper for publication, he must decide whether the manuscript has the quality to be reviewed by the editorial board or selected external reviewers. Once reviewed, the manuscript will be sent back to the author with a rejection letter or a request for revisions. The author should then make the necessary changes to the manuscript and resubmit it to the editor, who, if necessary, sends the amended manuscript back to external reviewers. After this, the paper, in its final copy, is sent back to the author for editing or proofing before publication. The author, when he is finished, sends the paper back to the publisher, and the paper is finally ready for publication in the journal.

Figure 1 below shows the process of publishing an article. Peer-reviewed journal articles undergo independent review before publication by professionals in the particular area of research. The independent review focuses on ensuring that the research methodology used is valid and that the data is accurate. However, the independent reviewers or the experts in the field may agree with the conclusion of the author(s).

Article Submission
Submit an article for publication

Initial Editorial Check
Review the submission to ensure that it meets the submission guidelines

Peer Review
Anonymous peer review process

Contract Negotiation
Conditions under which article will be published

Final Article Submission
Submit the final version of the article if the Publishing Agreement is acceptable

Typesetting
Publishing Department will typeset proof

Article Publication
Full issues of the journal in both print and electronic formats

Figure 1: Article publication process

Conventional Journals to Open Access (OA)

Journal content is accessed either through print or online with the traditional model of scholarly publishing. The consumers of the research, generally libraries and individual subscribers, pay for the content in the traditional model, whereas the authors pay nothing. However, new models of scholarly publishing have emerged in the past decade (Crawford, 2011). Some publishers such as Springer's Open Choice or Nature's Scientific Reports have adopted a business model through which authors pay for immediate publication on the Internet but the publishers keep the commercial reuse rights. These publishers offer an open-access option that charges for Internet publication without giving readers full reuse rights. The Open Access (OA) publishing does not take any fee from customers of the research or the university for the right to use, download, distribute or make copies of the article.

So as to ascertain Open Access journals, various sources are used by Thomson Scientific such as: J-Stage [http:// www.jstage.jst.go.jo/browse], the Scientific Electronic Library Online (SciELO) [www.scielo.br],[wwwscielo.isciii.es] and the Directory of Open Access Journals (DOAJ) at Lund University [www.doaj.org]. These sources list more than 2000 journals. Currently there are over 260 OA journals that meet the Thomson Scientific selection criteria and are covered in the Web of Science. This number of OA journals is growing speedily. There have been many new journals that have started adopting the OA model, and active journals are switching their business model to OA. This shift towards OA in all likelihood will become entrenched and eventually, it is believed that OA will become more widespread.

Why Open Access Journals?

The main aim of using the OA journals is to narrow down the gap between breakthroughs in the sciences and their distribution. The OA model is deliberated to take advantage of the speed and impact of scientific communication that is now possible with the existence of Internet technology. Advancements in technology have increased the extensive and speedy dissemination of publications. Another aim

of using OA journals is to promote quality research. These two aims can be achieved through the OA model.

OA journals also overcome the issue of high pricing of access to articles in the traditional, subscription-based publishing model (The Open Citation Project, 2004). OA gives readers copyright consent to republish or reuse content, provided the author and publisher be given appropriate acknowledgment.

Publish or Perish

Research publications have been made part of the criteria for promotion and the earning of tenure. The high chase of the Key Performance Index (KPI) of universities has produced over-worked academics who need to get research published to earn tenure and promotion. This has also paved the way for the emergence of thousands of spurious journals that publish papers speedily, perhaps even the day after receipt of a manuscript, for a fee without any peer review or copyediting. Recent developments suggest that the

Tell-tale signs of predatory publishing

good intention of providing free access to scholarly research for everyone through OA may have paved a road to hell for some authors. Listed below are some cases to show that open-access journals have created a shadowy publishing landscape.

In 2008 Jeffrey Beall, an academic librarian and researcher at the University of Colorado in Denver, started noticing very frequent spam e-mails appearing in his inbox. These spam emails were specifically from new scholarly journals, soliciting him to join their editorial boards or to submit articles. Beall became fascinated because most of the e-mails contained several grammatical errors; that got him browsing through the journals' websites, and he soon realised that many of the journals and their publishers were not quite what they claimed to be although the names sounded 'big' with words like "global" and "international" frequently being used in them. These websites looked as if they were created by non-professionals and they also gave hardly any information about

the organisations behind the scene. This prompted Beall to record and analyse on his blog any probable voracious scholarly open-access publishers. Beall claimed that the goal of predatory open-access publishers is to exploit this model by charging fees without giving the standard publishing services of peer review, editing and website maintenance. Beall also described this as a plan to deceive authors and readers as well. Beall's conclusion was that these publishers lacked trans-parency in their operation and process of running their Open Access Journals. Beall (2012) found that there were journals that accepted almost every article, as long as the authors paid the fees. The individual authors were simply eager to publish their papers and were seen as customers; they were not libraries that needed to maintain quality, professionalism and credibility. Therefore, in OA publishing, a strong incentive to maintain quality is removed.

Fake publishers and journals often use very stylish titles that make them seem prestigious. This form of abuse records the highest occurrence in India, where new, rapacious publishers and journals emerge each week (Beall, 2012). This is due to there being thousands of scientists in India and its neighbouring regions, all seeking to get published to earn tenure and promotion. As a result, many scientists are taking unethical shortcuts that include publishing plagiarised work. This is also causing the traditional screening process for quality research to slowly vanish.

Problems that Arise

Caught in this unethical dilemma, it is the honest scientists who tend to lose out the most as unethical scientists who do not abide by the rules are earning tenure and promotion at the expense of legitimate ones.

The rivalry for author fees among greedy publishers is a serious threat to the future of science communication. To compete in a crowded market, genuine open-access publishers are pressured to offer shorter submission-to-publication times. This weakens the peer-review process, a time-consuming task if conducted well.

John Bohannon, in his article entitled "Who's Afraid of Peer Review?" (2013), describes how a biologist received news that a paper submitted two months earlier

had been accepted to the Journal of Natural Pharmaceuticals, when in fact, the article should have been promptly rejected as it contained inconsistencies and faults. Johannon states in his article, "Any reviewer with more than high school knowledge of chemistry and the ability to understand a basic data plot should have spotted the paper's shortcomings immediately." The 'author' of the faulty paper, who was Johannon himself, writing under the false name, Ocorrafoo Cobange, had submitted 304 versions of the paper over 10 months to open-access journals. More than half of the journals had accepted the paper without realising it had serious flaws. The paper was even accepted by industry titans Sage and Elsevier as well as the prestigious Kobe University in Japan.

This proves that open-access scientific journals have mushroomed into a global industry, driven by author publication fees. Many journals now available claim to be peer reviewed journals aiming to communicate high quality research articles with editors and advisory board members who are professors and experts in the field from universities around the world.

However, the study also showed that some open-access journals that have been criticised for poor quality control actually provided the most rigorous peer review in this case. The flagship journal of the Public Library of Science, *PLOS ONE*, was the only journal that rejected and highlighted the paper's ethical problems.

In another case, it was highlighted how an author who had been trying to publish her study submitted her paper to an open-access journal that she believed was free as the website did not mention any fees. However, upon acceptance, she was asked to pay a publication fee.

According to Beall, there were 59 predatory open-access publishers in March 2012, but three months later the figure had doubled, and the rate has continued to far outperform DOAJ'S growth. Beall's finding showed that one in five of Beall's "predatory" publishers had managed to get at least one of their journals into the DOAJ.

In another study referred to in "Who's Afraid of Peer Review?", Bohannon looked at papers submitted at a rate of about 10 per week between January and August 2013 to

journals that matched the paper's subject. Publishers that required a fee upfront were struck off the target list, leaving only the standard open-access 'gold model', through which authors pay a fee if the paper is published. Some journals rejected the papers. There were journals which only asked for changes in format, which were complied with, and then resubmission was done. In the case of serious scientific problems addressed by a review, a superficially "revised" version was sent without changing any of the critical issues addressed. Any accepted papers were withdrawn through a standard email sent to the editor. Table 1 provides the statistics.

Of a total of 255 papers (accepted and rejected), 60% of the decisions showed no sign of peer review. In the case of the rejected papers, the journals in question are probably of high quality as the papers were rejected by the editor who examined it instead of sending it for reviewing. As for the accepted papers, it is clear that no one actually read the material.

A total of 106 journals performed a review; of this number, 70% accepted the papers. The focus of the majority of the reviewers was basically on the formatting and language as well as the layout. Only 36 of the 304 submissions had review comments that were about the paper's scientific problems, and 16 of those papers were accepted by the editors despite the derogatory reviews. Eighty-two per cent of the publishers who completed the review

A FLAWED SYSTEM FOR JUDGING RESEARCH LEADING TO ACADEMIC FRAUD.

Table 1: *Papers Submitted to Journals (Jan – Aug, 2013)*

Accepted papers	:	157 Journals
Rejected Papers	:	98 Journals
Abandoned websites	:	29
Response to say under Review	:	20
Time taken for acceptance of a mss	:	40 days *(average)*
Time taken for rejection of a mss	:	24 days

process accepted the paper. However, 45% of the DOAJ publishers that completed the review process accepted the bogus paper.

The number of predatory publishers and predatory journals has continued to escalate at a rapid pace (Beall, 2013). Frequent publication is one of few methods at scholars' disposal to demonstrate academic talent. Successful publications bring attention to scholars and their sponsoring institutions, which can facilitate continued funding and an

individual's progress through their field. When the issue of predatory journals and producing publications for young academics was discussed with Nayan Deep S. Kanwal, the Chief Executive Editor of a journal based in the developing world, he was of the view that academics are under continual pressure to publish in order to demonstrate academic talent. Academics who publish in journals are compensated with financial benefits attached to promotion. This pressure to publish is a
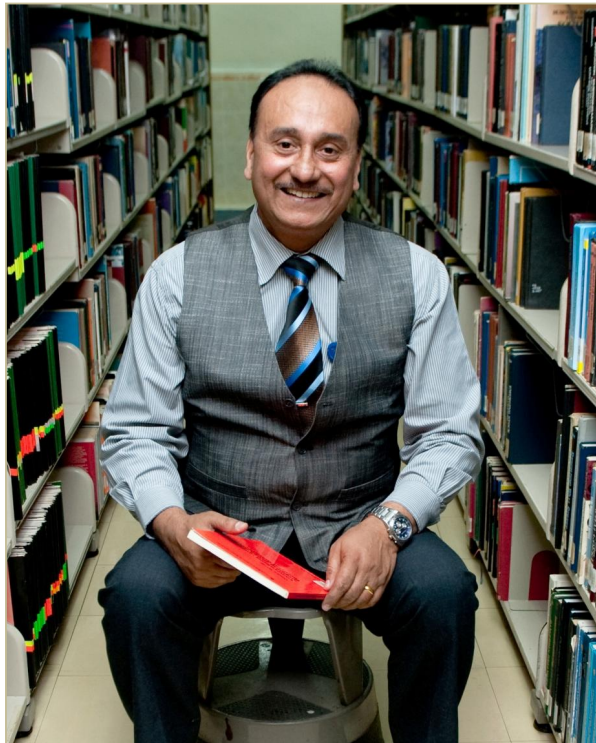
Nayan Kanwal: Authors are "under continual pressure to increase output, potentially at the expense of quality."

cause of low-quality work being submitted to academic journals. "In today's world that is driven by the Internet, a researcher must know how to distinguish between good and bad publishers. They must know what is constituted as acceptable practice," said Nayan Kanwal.

Nayan Kanwal further commented that the culture of publishing must not be developed at the expense of quality publications. Increasing the number of publications to secure promotion should not be the practice. Articles should be written with the intention of sharing knowledge with other academics. This means that researchers and scholars should only submit an article which is correct factually and ethically. If this is the practice, then even if the publishers are fake, at least the facts reported are reliable and not totally out of context!"

Conclusion

The core issue is one of oversight and the impact this may have on the dissemination of accurate information to the scientific community. It is the job of the editor to read every paper with scrutiny. The number of people influenced by incorrect or inaccurate data that are overlooked can be huge. Hence, there has to be a central publishing ethics board or council to conduct an investigation into these journals. Journals that charge submission fees should also be included in this investigation. The source of the problem with the gold open-access model is the article-processing charges (Beall, 2013). Indeed, it is becoming less important where good ideas that work are published, and it is getting easier to construe what is important to one's research needs.

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The author, Dr Termit Kaur, Senior Lecturer and Lead Trainer at Universiti Sains Malaysia, shares her views with Pertanika.

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SOCIAL SCIENCES & HUMANITIES

Review Article

Challenges and Possible Drivers of LCA Implementation in Small and Medium Enterprises (SMEs) in Malaysia: A Review

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ABSTRACT

Small and Medium Enterprises (SMEs) play a vital role in Malaysian economy. They are considered to be the backbone of industrial development in the country. However, the developments, challenges and prospects of SMEs in accepting the life cycle thinking perspectives have not been investigated thoroughly. This paper discusses the Life Cycle Assessment (LCA) related to developments in Malaysia and identifies the SMEs challenges during implementation of LCA based on publications and self-experience in conducting the LCA studies. There are a total of five main challenges of LCA implementation in SMEs; lack of awareness and participation, lack of government assistance and directive, short life-span of SMEs and the constraints on Malaysian SMEs. In addition, a possible driver of LCA implementation is the development of national life cycle inventory database which may reduce the cost and time of LCA data collection, and promote the implementation of LCA in Malaysian SMEs in a comprehensive and systematic manner.

Keywords: Small and Medium Enterprises (SMEs), Life cycle thinking, Life Cycle Assessment (LCA)

INTRODUCTION

Life Cycle Thinking (LCT) is described as a concept in which we become mindful of how our activities and our use of products affect the environment, and our evaluation of the impact to the environment is holistic in nature, where we consider the impact from the raw material extraction, material processing, transportation, distribution,

consumption, re-use/recycling, and disposal (Wikipedia, 2013). Life cycle approach helps to avoid shifting the problems from one life cycle stage to another, from one geographical area to another and from one environmental medium such as (air, water and soil) to another (UNEP, 2004). In this new era, life cycle thinking is becoming increasingly fundamental in the development of key environmental policies around the world, It is used to form an array of decision making processes in business (EC-JRC, 2010). Environmental standards and regulations in industrialized countries can have significant impacts on the market access of developing countries. The fear in many developing countries has the fear that stricter product standards in the markets of developed countries will act as trade barriers to their exports. In business sustainability perspective, an eco-friendly with lifecycle thinking designed product or process will help businesses increase their profits and competitiveness while reducing their impacts on the environment.

Life Cycle Assessment (LCA) is a decision support tool in line with the concept of life cycle thinking. It is an analytical tool to systematicallyevaluate the potential environmental aspects of a product or service system through all stages of its life cycle (UNEP, 2004). LCA can also be defined as a method of inventoring, assessing and interpreting environmental interventions caused by products and product systems through their life cycle (Petterson & Hertwich, 2008). The International Organization

for Standardization (ISO) defines LCA as "Compilation and evaluation of the inputs, outputs and the potential environmental impacts of a product system throughout its life cycle." (ISO14040: 1997).

LCA was developed from a merely energy analysis to a comprehensive environmental burden analysis in the 1970s. Full-fledged life cycle impact assessment and life cycle costing models were introduced in the 1980s and 1990s. Social-LCA and particularly consequential LCA has gained ground in the first decade of the 21st century. Many of the more recent developments have been initiated to broaden traditional environmental LCA to a more comprehensive Life Cycle Sustainability Analysis (LCSA) (Guinee *et al*. 2011).

In research and development, the drastic increase in the number of LCA related studies is not only observed in Europe and the US, but also in Asian countries like Japan and Thailand (Curran, 2011). Among reasons for the increase are the importance placed on the key drivers of environmental management concepts such as the ecolabelling scheme and other product standards requirements which are modeled from LCA framework and concept (Chen, 2011). Malaysian industries, especially the SMEs, are now facing a great challenge in LCA implementation. As the backbone of industrial development, SMEs has contributed 99.2% of the entire business formations in Malaysia in 2010 (SME Annual Report, 2011/2012). In order for SMEs to be equipped for globalization, it is important for the SMES to understand

the concept of LCT, so that they will be well ahead in understanding the shift towards green products amongst consumers. Although LCA is not a requirement in doing business, SMEs should be encouraged to be receptive towards LCA implementation. Therefore, it is important to conduct a research study focusing on SMEs' challenges in implementing LCA.

This paper, discusses the current development associated to LCA in Malaysia and further investigates SMEs challenges and issues in implementation of LCA. It also identifies a few possible drivers towards the success of LCA implementation in Malaysia. The analysis in this paper is based on the informal interview, authors' own experience in conducting LCA studies in Malaysis, and reviews of relevant publications.

Life Cycle Assessment (LCA)

LCA has been receiving considerable attention from individuals in the environmental field since 1990 (Curran, 1996). LCA is a tool that is used to assess the environmental impact and resources used throughout the life cycle of a product, for example from raw material acquisition, via production and use phases, to waste management. Each stage of the life cycle of any product or event is linked to other secondary stages, each of them may further be linked to other stages, and so on. Covering the entire associated steps, the boundary may go on expanding to become too complex to be analyzed. Therefore, selection of cradle to grave should be done appropriately depending on

the objective of the assessment as well as the availability of data (Divya *et al*. 2010). For instance, the review done by Finnveden *et al.* distinguishes between the two types of methods for LCA that ie. attributional LCA and consequential LCA. Attributional LCA is defined by its focus on describing the environmentally relevant physical flows to and from a life cycle and its subsystems. While, Consequential LCA is defined by its aim to describe how environmentally relevant flows will change in response to possible decisions (Curran *et al.* 2005).

Malaysian Small and Medium Enterprises (SMEs)

Generally, SMEs are defined into three broad categories based on the National Small and Medium Enterprises Development Council (2005) definitions of SMEs:

1. Primary agriculture;

2. Manufacturing(including Agro-base) and manufacturing-related services; and

3. Services sectors(including Information & Communication Technology)

SMEs in Malaysia can also be grouped into three categories according to sizes: Micro, Small or Medium. These groupings are decided either based on the number of people employed or the business total sales as well as revenue generated in a year (SME, 2008). In general, this paper covers all SMEs categories in the manufacturing sector. As reported in the SMEs Annual Report 2010/2011, SMEs account for 99.2% of total business establishments and 96.5% (39,436 companies) of all enterprises in

the manufacturing sector. The majority is engaged in the food and beverages sub-sector (32.5%); then followed by chemicals and chemical products (15.6%), rubber and plastic products (10.3%) and fabricated metal products (6.6%). These industries accounted for 79.0% of total SMEs output (SMI Business Directory, 2009). In summary, SMEs make a significant contribution to the Malaysian domestic economy.

OVERVIEW OF LCA DEVELOPMENT IN MALAYSIA

The industrial application of LCA vary, as each SMEs has its own unique culture driven by business strategy, competitive landscape, organization structure, and many other internal and external factors (ACLCA, 2013). Ultimately, LCA applications give impact towards a company's products and operations.

For instance, LCA has emerged as a valuable decision-support tool for both policy-makers and industry in assessing the cradle-to-grave impacts of a product or process. Three forces are driving this evolution (GDRC, 2013). First, government regulations are moving in the direction of "life-cycle accountability", the notion that a manufacturer is responsible not only for direct production impacts, but also for impacts associated with product inputs, use, transport, and disposal. For example, Malaysia has adopted the European Union Restriction of Hazardous Substances Directive (RoHS Directive). The Department of Environment, Malaysia has drafted the proposed legislation (Pemudah,

2013). Second, business is participating in voluntary initiatives which contain LCA and product stewardship components. It include, ISO 14000 and the Eco-labelling-Scheme, both seek to foster continuous improvement through better environmental management systems (SIRIM, 2008). Third, environmental "preferability" has emerged as a criterion in both consumer markets and government procurement guidelines (GIPC, 2011). These developments collectively have placed LCA in a central role as a tool for identifying cradle-to-grave impacts of both products and the materials used for manufacturing.

In addition, LCA is also important in setting and supporting related strategies to help reduce wastes, emissions and the consumption of resources that are attributable to the provision and consumption of goods and services. It is important for all countries to promote sustainable consumption and production patterns, with the developed countries taking the lead (SIRIM, 2008). The following section outlines some of the LCA related activities, especially in SMEs, within our nation.

Driving a Greener Industry

The government in Malaysia has given the mandate to Standards and Industrial Research Institute of Malaysia (SIRIM) to spearhead the National Life Cycle Database and champion various activities related to LCA. SIRIM's The Environment & Bioprocess Technology Centre of SIRIM in partnership with Thailand Environment Institute and renowned European organizations, IZM

Fraunhofer of Germany and CiTQ of Spain has implemented a project on sustainable production and consumption. Under the project funded by the European Union (EU), four Malaysian SMEs and three SMEs from Thailand have been identified to establish best practices in sustainable production and consumption. electrical and electronics sector, the most common sector for the mass production of consumer goods, have been selected (SIRIM, 2008).

In addition, the Seberang Jaya Municipal Town Council (MPSP) of the Penang State Government has introduced the green industry activity. The town council organized a Penang Green Industry Practices Conference for the first time in July 2011. the MPSP Penang Green Industry Practices Working Group conducted the conference with the involvement of all major SMEs, factories and NGOs in Penang. The key goal was to organize a series of workshops and pave the way for the standardization of green practices for industries managed by the Government. For instance, MPSP Penang Green Industry Practices Working Group in partnership with Universiti Sains Malaysia (USM), offers the Penang Green Award, the most prestigious environmental award in Penang. It aims to encourage businesses, factories and organizations to adopt green management (GIPC, 2011).

Development of National Life Cycle Inventory (LCI) database

In general, LCA studies require extensive time and incur high cost due to data collection. Therefore, most LCAs are developed using a combination of data sources, namely a primary source and a secondary source. The development of an LCI database helps to accelerate data collection during the LCA study.

We have soft-launched our first National LCI database in Malaysia on 15 Dec 2010 (SIRIM, 2010). Nine working groups have been appointed to take the lead in conducting gate-to-gate LCI database development (The National LCA Project, 2011). To enhance the National database development, Global Information System (GIS) shall be incorporated for capturing, stocking, checking, integrating, manipulating, analyzing and displaying data which are spatially referenced to the earth. In the simplest terms, GIS is the merging of map production and database technology (Liu, 2011). With the availability of National LCI database, it may help SMEs to overcome financing and time constraints in terms of data collection activities.

Green Procurement

The Prime Minister of Malaysia has launched The National Green Technology Policy on 24 July 2009. This policy is concerned with the development and application of products, equipment and systems used to conserve the natural environment and resources. Aligned with the sustainable approaches in LCA, this policy is built on four pillars: Energy, Environment, Economy and Social. there is collaboration among the Ministry of Finance, the Ministry of Energy, Green Technology and Water (KeTTHA), Malaysian Green Technology Corporation

and SIRIM under the green procurement activities. Among the proposed activities that are related to the manufacturing sector is the development of the National Eco-Lablling Prograe for Products and Services. Implementation of LCA study, development of an information framework and the National LCI database are the key drivers to the success of our National Ecolabeling Program (Ahmad, 2010). GreenTech Malaysia also launched The GreenTAG endorsement label at International Greentech and Eco products exhibition and conference Malaysia (IGEM) 2012 to encourage and support manufacturers' intention to scale-up to green certification. GreenTAG, falls under the MyHijau labeling umbrella, is a temporary endorsement programme that assists SMEs or producers of green products to achieve the MyHijau certification for their goods and services. SMEs receive certification incentives such as free training and consultancy. Products with GreenTAG is listed in the MyHijau Directory and given the opportunities to participate in Malaysia's Green Procurement Program (Green Prospect Asia, 2012)

Carbon Trading

The significant role of LCA application is visible in carbon trading activities. Considering the very first step of carbon trading is to identify the total carbon burden and emissions of certain processes or products before the carbon is used to trade in carbon trading activities. Despite carbon trading being relatively new in Malaysia, a biomass project in Sabah, a state in East Malaysia, is actually the first in the world to be awarded a Certified Emission Reductions (CERs) by the United Nation Executive Board of Clean Development Mechanism (CDM) (Oh & Chua, 2010). As of March 2009, based on data released by the United Nations Environment Programme (UNEP) resource center, there were a total of 4660 future CDM projects registered worldwide, with Malaysia having 156 projects or 4% of the listed projects in the pipeline (Climate Avenue, 2011). Biomass Sustainable Production Initiative set in motion with the EU-Malaysia Biomass Entrepreneurs Nurturing Programe in 201 (EUM-BENP). Under this initiative, 45 Malaysian biomass SMEs have been selected to participate with the aim of improving environmental and business performance via coaching and training services (Biomass-SP, 2012).

Green Partnership Project

Considering Malaysia is a developing country, assistance from a developed country in sharing their expertise and experiences in LCA guidance would be helpful in steering this country towards a greater awareness in LCA. In 2008, the Japan External Trade Organization (JETRO) provided valuable technical advice to SIRIM in the establishment of the Malaysian Life Cycle Assessment system (JETRO, 2008). sIn addition, JETRO has also provided technical support and instruction to Malaysia through workshops. Recently, K-one was awarded 2004 Enterprise 50 Award by SMIDEC. The award honors the top 50 SMEs in Malaysia. K-one is also certified as Sony Green Partner

by Sony Corporation, Japan, in recognition of its environmentally-friendly design and manufacturing processes in year 2005 (K-one, 2013).

SMES CHALLENGES IN IMPLEMENTATION OG LCA

The following are SMEs challenges in implementation of LCA.

Lack of Awareness and Participation

The development of the National LCI database needs the cooperation of the industrial community. However, the industrial community still lack in their willingness and participation in providing data needed for an audit or a survey. It might be due to insufficient knowledge, or the inability to answer the question, or pure lack of interest in the whole process of data collection. SMEs and start-ups are often discouraged from focusing on anything other than time-to-market, time-to-cash, and core competencies (Ahmad, 2010). The involvement of the manufacturing sector in LCA implementation is still at its infancy stage due to the lack of assistance or guidance from those with LCA expertise. Specifically, the complexity of LCA methodology, difficulties with assessments and interpretation might be tha factor in this lack of enthusiasm to participate.

Challenges in Data Collection

Inadequate data and information has been identified as the primary obstacle for LCA (Keoleian, 1993). The inventory phase usually takes a great deal of time and effort and mistakes are easily made. Besides, the data is often inconsistent and not directly applicable due to different goals and its varied scope. In some cases, results are generalized improperly. As one collects, models, calculates and estimates inventory data, many decision points are encountered and many technical assumptions about the data must be made. To get to a level of consistent practice, these decision points need to be clearly identified, and possibly categorized so that more uniform rules can be applied (Curran, 2003).

The development of the National LCI database is an important step to partially solve the obstacles along the path of data collection activity. For instance, the LCA activities in Japan, Korea, China, Chinese Taipei and Australia have been very active. Their LCA activities include the standardization of methodology, database development, applied LCA research, software development and LCA information-sharing and networking (Zakaria et al. 1999).

Both cost and time constraints also limit the practice of LCA (Sullivan & Ehrenfeld, 1993; White & Shapiro, 1993). Small companies are unlikely to be able to afford to specialize in LCA or sponsor studies externally. The majority of SMEs in Malaysia face problems in applying eco-design tools, yet these form an integral element in LCA. This is attributed to the lack of information and data from the upstream and downstream of the supply chains. The inadequacy of LCA data and information in Malaysian SMEs might result in the inability of the industry to

compete well in the globalized world should accessibility to LCA data of its product be made a requirement to do business.

Lack of Government Assistance and Directives

The support and commitment, particularly financial resources, from the government is crucial for local LCA development. One of the characteristics of the successful LCA activities in Japan, Korea, China, Chinese Taipei and Australia is that the governments play an active role in the promotion and implementation of LCA activities and projects. The situation in the aforementioned countries is in contrast with those in Kazakhstan and Uganda in which LCA activities are non-existent, even though there is recognition of the potential use of LCA and its benefits. It is postulated that the mere existence of groups' interest in LCA development is insufficient for the advancement of LCA. The capacity to successfully implement LCA does exist in these two countries. Due to the lack of support from respective governments and the absence of institutions capable of practicing and promoting LCA, the concept has not been developed in those countries (Curran, 2003).

There is actually no government enforcement for the implementation of LCA although there are numerous LCA-related activities in Malaysia such as seminars and collaboration projects run by developed countries and funded by the Malaysian government to encourage the implementation of LCA in the manufacturing sector.

Short Life-Span of SMEs

Another main reason of the ineffectiveness in implementation of LCA in SMEs especially in the manufacturing sector is the short life-span of SMEs. Based on studies done, it is observed that the average life-span of an SME is only five years. Jones (2011) and Moya (2009) have pointed out that: "The Small Business Administration (SBA) keeps the statistics on business failures and claims that more than half of the new businesses will disappear in the first five years". Therefore, the collected LCA sample data from these SMEs may no longer be relevant after a few years. This is another reason why LCA involvement is less popular in the manufacturing sector.

Constraints on Malaysian SMEs

SMEs in many countries face a myriad of challenges. Apart from their contribution to exports, employment and economic growth, there is a wide recognition in the literature about the challenges and barriers faced by Malaysian SME (Saleh & Ndubisi, 2006). These obstacles prevent them from growing further and set them in a critical position when facing new challenges arising from globalization, liberalization as well as the extensive changes in technology and infrastructure. It has been documented that the barriers faced by SMEs in Malaysia do in fact undermine their performance (Stuti, 2005; Wang, 2003; SMIDEC, 2002; Moha, 1999). In addition, the report highlights many challenges faced by SMEs in a globalised environment, for example lack of financing, low productivity, lack of

managerial capabilities, inaccessibility to management and technology, heavy regulatory burdens, and many others (Matthews & Fink, 1994).

POSSIBLE DRIVERS TOWARDS THE IMPLEMENTATION OF LCA IN MALAYSIAN SMES

The greening of the economy is not a new task; it is a challenge that a lot of tasks still have to be done (Frankl & Rubik, 2000). Awareness is the most important aspect that has to be considered to ensure that policies are implemented in the manufacturing sector. We have to ensure that life cycle thinking ideology is cultured among all SMEs so that they begin to function with "green" in mind. LCA is yet to be used as a routine tool in assessing the environmental aspects of product innovation. At present, it is employed retrospectively instead of prospectively.

The cost of the implementation of LCA is another main concern. In general, the most important barrier for environmentally-friendly innovations seems to be the investment costs, for example the high risk involved in committing capital to unproven technology (Katajajuuri *et al.* 2010). Therefore, providing a comprehensive assistance package comprising financial assistance and advisory services to the local manufacturing sector, especially SMEs, would be a welcome incentive for them to incorporate and implement LCA.

If the LCA concepts are too complicated to be understood by stakeholders in SMEs, then systematic environmental management based on simplified LCA approaches must be applied. If stakeholders in SMEs find it too complicated to comprehend LCA concepts, systematic environmental management based on simplified LCA approaches must be applied. In this way win-win solutions, both environmental improvements and economic can reap the benefits (Rebitzer *et al.* 2004).

LCA is a very data intensive tool; therefore, developing our National LCI database is an important step towards successful LCA implementation among the SMEs in the manufacturing sector in Malaysia. The initiatives from the various industrial sectors are vital in the development of their own industrial product database (Rebitzer *et al.* 2004). The Association of Plastics Manufacturers in Europe (APME) is a worthy example of making data available to the public (Saleh & Ndubusi, 2006). SimaPro and Gabi are the most popular software used for LCA. The easy accessibility of these softwares by the governing SMEs associations would help to accelerate the evaluation processes of LCA study in SMEs.

The short life-span of SMEs might be another obstacle for SMEs to implement LCA since the result of assessment is only applicable in very short duration. However, with the availability of our own National LCI database, the data collection period for any LCA study will be considerably shortened. Ultimately, the National LCI database will create a better communication platform for those in the manufacturing sector especially in SMEs. The government

may step in to provide support schemes or incentives for SMEs participating in sharing their data for the development of the National LCI database even though it is just a short life-span inventory data.

Legislation has been the traditional way to control industrial activities. The aim of environmental law is to foresee and control harmful environmental impacts. There are a number of global environmental regulations that prohibit the use of certain substancesor set emission limits and control of safe recycling at a products end-of-life, for example RoHS Directive, Waste Electrical and Electronic Equipment (WEEE) Directive and Energy-using Products (EuP) Directive (Matthews, 2007). The RoHS Directive in Malaysia is no longer a strange directive to most of the multinational companies in the manufacturing sector (SIRIM, 2007). Their products need to comply with this directive prior to exportation to developed countries. Therefore, the implementation of LCA would be a success if such legislations were implemented effectively.

Other drivers, like corporate social responsibility, stakeholder pressure, non-governmental organizations and pressure from the general public, will also affect the final decision. Such pressures have increasingly led SMEs to accept the challenge in meeting the environmental standards.

The survey conducted by Ang at Malaysian Packaging Industries in 2005 indicates that *concern of the top management for the environment* is the main motivating factor of the ISO 14001

standards implementation (Ang, 2005). Similar results are also shown in the study performed by Goh (2010); the decision from the top management of Malaysian SMEs is the most influential motivating factor towards the certification of ISO14001. In addition, key advisors are a critical factor for SMEs. The sustained presence of directors or board members, with adeqate awareness level, ability to develop and implement environmental policies and life cycle applications for start-ups will play a significant role in this aspect (Rebitzer *et al.* 2004). Ideally, the main driver for implementation of LCAs should further improve a company's own products and processes building a strong interaction with design or development and manufacturing, where necessary.

CONCLUSION

SMEs in Malaysia remain as important contributors to the economic growth of the country. The life cycle thinking ideology should be cultured in all SMEs in order to promote the implementation of LCA in Malaysia. In this review, five main challenges of LCA implementation in SMEs are identified, namely lack of awareness and participation, lack of governmental assistance and directive, short life-span of SMEs and the constraints on Malaysian SMEs. In addition, a possible driver of LCA implementation is the development of national life cycle inventory database which may reduce the cost and time of LCA data collection and help to promote the implementation of LCA in Malaysian

SMEs in a comprehensive and systematic manner. The technical support from the developed countries and financial assistance and legislation enforcement from Malaysian authorities will help driving SMEs towards achieving the LCA implementation, even though the LCA implementation in Malaysian SMEs is still at a very early stage.

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SOCIAL SCIENCES & HUMANITIES

Urban Expansion and its Impact on Local Communities: A Case Study of Seberang Perai, Penang, Malaysia

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ABSTRACT

Urbanization is a major planning and policy concerning all spatial scales. This is due to more than half of the world's current population live in urban areas and overwhelming majority emerges in developing countries. The adoption of industrialization policy has led to rapid growth of urban population in the Asian countries including Malaysia. For an example, in Penang State, urban population growth causes cities to be spreading into the countryside, transforms non built-up areas into built-up areas and creates remarkable changes on the physical landscape as well as on the socio-economic condition of the local community. Thus, it is timely to investigate the impact of urban expansion at the peri-urban areas of Penang State on the local communities. This study gathers data using both quantitative and qualitative methods with 192 respondents, 12 in-depth interviews with senior citizens and village leaders living within areas experiencing intense urban development. The study finds that the local communities have more employment opportunities in both formal and informal sectors and also experience better livelihood generated from urban development. However, the expansion of built-up areas has put pressure on land and caused significant loss of agriculture land affecting the likelihood of the farming communities at the peri-urban area. Agriculture land size diminishes and becomes unprofitable. Consequently, farmers are willing to sell their land in the hope for quick return. The findings from this study show that appropriate planning policy needs to be devised in order to protect agriculture land at the peri-urban areas and ensure that the local communities benefit from the urban development.

Keywords: Peri-Urbanization,Socio-economic impact, Malaysia, urban expansion

INTRODUCTION

Currently, more than half of the world's population resides in urban areas and the majority is in the developing countries. The number of urban population has increased

dramatically from 200 million in 1900 to about 2.9 billion in 2000. It is estimated to reach 5 billion by 2030 (Ademola and Takashi, 2007). According to the United Nations (2008), urbanization of the Asian and Pacific region will continue and a majority of the region's population will live in urban areas by the year 2025. Furthermore, in the Pacific sub-region, over 70 % of the population already lives in urban areas, while in the East and South-East Asia, urban population is expected to reach the 50 % level before the year 2015 (UN, 2008; McGee, 2011). Urbanization brings economic development with substantial improvement in the provision of social services to various communities in many countries. Apart from the urban expansion or physical increase of built environment, urbanization also brings ecological and socio-economic effects. Conversion of farmland and vegetation land cover into urban built-up areas reduces the amount of lands available for food and crop production (Raddad *et al.*, 2010). For example, the total area of cropland, pastureland and rangeland in the United States has decreased by 76 million acres in the lower 48 states between 1982 and 2003; while the total area of developed land has increased by 36 million acres or 48% (Wu, 2008). Similarly, China also experiences a drastic decrease of farmland due to urban expansion. For example, between 1996 and 2002, cultivated land has been reduced from 130.03 million hectares to 125.93 million hectares (Qi *et al.*, 2005). Urban expansion has created high pressure on the agricultural land.

Subsequently, it brings negative impacts on socio-economic conditions to the communities and environment.

In many developing countries, including Malaysia, urban expansion resulting from industrialization policy adopted since 1970s has attracted large group of young people to move to urban centres in the hope for greener pastures (Ghazali, 1999; Abdul Samad Hadi *et al.*, 2010). This massive migration has put high pressure on the existing social services and become a challenge for the state to meet the demand of continuous growing urban population (McGee, 1989; Ghazali, 2011). The demand for housing and related services from growing population has pushed built-up areas towards the peri-urban areas and encroached into the hinterland (McGee, 2009; van Ginkel, 2010). Many studies have been conducted investigating the impact of urbanization and land used changes on the environment, forest and agricultural land (Petterson *et al.*, 1999; Sathiamurthy, 2008; Gossop, 2011). However, little attention is paid to its impact on the socio-economic and livelihood of the local communities living within the areas experiencing intense urban development pressure except those undertaken by Ghazali (1999); Ghazali (2011). This study aims to fill such gap by focusing on the evaluation of urban development and its socio-economic impacts on the local communities living at peri-urban areas of Seberang Perai, Penang, Malaysia. The study evaluates the economic opportunities that the local communities experienced, both in formal and informal sectors, as to investigate the positive impact

of urbanization. Furthermore, this study also examines the negative impact of urban expansion on agriculture activities and landownership among the local communities living within the areas dealing with intense urban development.

BACKGROUND OF THE STUDY

Urbanization, the consequence of migration from rural to urban, and natural population growth cause the spread of built-up areas towards the fringes or peri-urban areas (McGee, 1989; McGee, 2011). This process is often termed as 'peri-urbanization'. It connotes the confluence of urban and rural spaces, in particular the stretches of land connecting two city centres (UNFPA, 2007). Peri-urban area refers to a transition or interaction zone where urban and rural activities are juxtaposed, and landscape features are subjected to rapid modification, induced by human activities (McGee, 1989; Simon *et al.*, 2004). This area might include areas of sensitive landscape, valuable agriculture areas, or important wetlands which provide important component of urban eco-systems. Furthermore, this area also contributes to a number of environmental and geo-political changes such as changes in land-use, sub-urban development and diversification in livelihoods (Tacoli, 2003; UNFPA, 2007; Ghazali, 2011). Since peri-urban area is very important in providing linkages between urban and rural areas, there is an urgent need to strategically plan and manage the spread of urban spatial growth (Simon *et al.*, 2004; McGee, 2009). Likewise, uncontrolled

economic growth and urbanization can cause adverse environmental impacts and pressurize the likelihood of the local communities (Mandere *et al.*, 2010; Gossop, 2011). Therefore, proper planning control and management should be in place in order to ensure the local communities are also benefitting from urban development (Van Ginkel, 2010)

However, lack of rigorous policy on managing and planning of urban expansion aggravates the negative impact of urbanization in many developing countries. During the last three decades, many cities in the developing nations have shifted from a mainly agriculture-based economy to one of industrialization in order to foster economic growth (McGee, 1989; Choguill, 1994; Samat, 2002). This shift induces large group of the rural people, who lose their major source of livelihood, land, to flee to the urban centres (Elhadary and Samat, 2012). Rural-urban migration is considered as one of the major driving forces behind the rapid urban growth. This massive migration has placed high pressure on the existing social services, pollution increase, social problems: it has become a challenge for the state to meet the demand of continuous growing urban population (German and Pyne, 2010). According to the World Bank (2007) around 300,000 to 400,000 new migrants, mostly the poor, arrive in Dhaka, Bangladesh annually. Its current population is approximately 12 million and projected to reach 20 million in 2020; making it the fastest growing mega-city in the world (German and Pyne, 2010).

More than half of its total population lives in deprivation (Moral, 2010). The migrants' high demand for low price housing causes more farmlands at the peri-urban areas to be converted to housing and related facilities (Samat *et al*., 2011). To exemplify further, Liu *et al*., (2010) confirms that urban sprawl in China encroaches into farmland costing farmers the most important resource which they have depended and lived on for generations. Furthermore, urban expansions cause more than 40 million farmers to lose their farmland at the rate of 2 million acres per year. Similarly, due to the rapid increase in the residential and commercial developments in the capital-Hanoi, Vietnam, the rural communities lose their main source of livelihood of fresh food such as fish, pork and vegetables for the city's residents (Tacoli, 2003).

Likewise, urban expansion in the African nations affects the agricultural production and land use in the areas surrounding urban centres (Simon *et al*., 2004). For example, Mandere *et al*., (2010) finds that there was a sharp decline in farming activities at the peri urban area of the capital, Nairobi, Kenya, where the number of full time farming households declined from 90% in the 1960s to 49% in 2010. It is an indication of the declining economic significance of agriculture. The declining of household agricultural activities is mainly due the sale of land for residential or business premises and also the bequest of land to the next generation. The rapid conversion of agriculture land to non-farming purposes jeopardizes the farming

activities that have been considered as a major source of livelihood for people living in the peri urban areas. As a result, peri-urban areas become exposed to all sources of vulnerability leading to negative impacts on the livelihoods of the local communities (Simon *et al*., 2004; Elhadary and Samat; 2011).

Similarly, Malaysia also experiences rapid urbanization primarily as a result of the adoption of industrialization policy in the 1970s. The industrialization in our country has managed to increase the economic growth turning Malaysia to be a country difficult to surpass in terms of economic growth. The Gross Domestic Product (GDP) of the country has increased from 45,392 million in 1970 to 100,375 million in 1980 and 356,401 million in 2000 and continue to increase to 519,218 million in 2009 (Malaysia Economy, 2010). The manufacturing sector becomes an engine of development and plays the vital role in solving problems like poverty, low income, unemployment and lack of services. As a result, Malaysia managed to reduce the percentage of poor population in both urban and rural area from 49% in 1970 to only 6% in 2000 (Salfarina *et al*., 2007). However, economic opportunities obtained from the industrial sector attract influx of people from within and outside of Malaysia to migrate and reside in urban centres. The average annual growth rate of urban population in the country was more than 4.9% between 1970 and 2000 as compared to only about 2.3% for the country's population as a whole. In 2000,

more than 60% of Malaysia's population lived in urban areas with population above 10,000 (Rostam *et al.*, 2010). While urbanization creates various opportunities for people living within the peri-urban area, a few negative consequences accompany the development. Urbanization leads to significant reduction of agricultural land and green space and becomes potential threat of resource depletion due to rivers contamination from industrial discharge (Peterson, 1997; Sathiamurthy, 2008).

The Second National Physical Plan (NPP-2), approved in August 13, 2010, guides the urban development at the national level in Malaysia. It is aimed to achieve efficient, equitable and sustainable national spatial framework to guide the overall development of the country towards achieving developed and high-income nation status by 2020 (JPBD, 2010). The development strategies in the NPP-2 also emphasizes on the inclusive development through the physical relationship between urban and rural areas with the intentions that Malaysians can enjoy a development that is sustainable, whole, fair and balanced. It is timely that such a plan being adopted and used as guidelines to manage and plan the expansion of built environment since uncontrolled growth can cause environmental problems and jeopardize people (Simon *et al.*, 2004; Gossop, 2011).

Penang is one of the Malaysian states that has experienced rapid expansion of urban areas mainly due to industrialization since 1970s. Six industrial estates and two free trade zones have been developed over 2464 hectares of land (Ghazali, 1999; Samat, 2002). Such development leads to increase of incoming migration to the area. Unsurprisingly, it places more pressure on public services and creates housing problems. In order to meet the need of the fast growing number of urban population, large productive rice growing areas have been turned into industrial and housing estates (Abdullah and Nakagoshi, 2006; Rostam *et al.*, 2010; Ghazali, 2011; Samat *et al.*, 2011). Consequently, land at the peri-urban areas become scarce and large group of people who depend on agriculture for their livelihood need to search for employment outside of agriculture. Corresponding to the people migration, the rice production declines tremendously (Ghazali, 1999).

METHODOLOGY AND DATA

This study aims to evaluate the impact of land use changes on the socio-economic conditions in the local communities. According to Pearsall (1999), a *community* is defined as a group of people living together in one place or in a common environment, while the term *local* adds spatial element that narrows down the definition to include small geographical space. This paper defines local community as a group of people living together in a common environment with affects from urban development pressure surrounding their houses in Seberang Perai. A field survey is conducted in order to get representative data on the positive and negative impacts of urbanization on the local communities. Two major peri-urban areas in the central part of Seberang

Perai, namely Bukit Mertajam and Juru are selected (refer to Fig.1). Based on the study by Samat (2002) and Samat *et al.* (2010), that monitors land use transformation from non built-up to built-up areas and calculates the urban expansion intensity index within 1km x 1km cell grid from 1990 to 2007, shows that Bukit Mertajam and Juru areas experience intense land use transformation. Therefore, the local people living within these areas are chosen as respondents for both quantitative and qualitative surveys. A total of 196 respondents have been selected using convenience sampling and interviewed using questionnaires designed to investigate economic opportunities and challenges experienced in the local community. Convenience sampling is used due to homogeneousness of the area and the unknown number of population living within the area experiencing intense urban development (Troachim, 2006). Out of the 196 respondents, 113 or 58% are from Bukit Mertajam and 83 or 42% are from Juru area. To further support the study and to supplement the findings obtained from the questionnaires and get clear picture about the development and its implication on the local communities, 12 in-depth interviews are conducted involving village leaders, government officers, villagers and senior citizens, (Ghazali, 1999). Quantitative data is analyzed using statistical package for social science (SPSS) version 17.0 and qualitative data is analyzed using content analysis.

Study Area

Bukit Mertajam and Juru area, located in the Seberang Perai Tengah district are chosen as study areas. Seberang Perai, the mainland part of Penang, is located in the northwest coast of Peninsular Malaysia between 5° 05' N and 5° 35' N latitude and 100° 20'E and 100° 40'E longitude. The area is approximately 738.4 square kilometers (Fig.1). Seberang Perai has experienced significant urban development since the early 1970. It is planned to be a regional growth centre of the Northern Region of Peninsular Malaysia where rapid urban development primarily resulted from industrialization (Goh, 1991; Samat, 2002; Sathiamurthy, 2008). Various infrastructures such as North Butterworth Container Terminal, North-South Expressway and Butterworth-Kulim Expressway have been developed to support industrial sectors and promote economic growth of the state (JPBD, 2007; Sathiamurthy 2008). Furthermore, this area is located within the Northern Corridor Economic Region (NCER) which is planned to be one of the growth centers and achieve a world-class economic region status by the year 2025 (Kharas *et al.*, 2010). Hence, this area stands out as a potential local centre for population growth and economic development for the northern region (JPBD, 2007).

In 2010, Seberang Perai population has reached 838,999. The population rate has been estimated to reach 990,000 and 1.1 million people in 2015 and 2020; respectively (DOS, 2010; JPBD, 2007; Kharas *et al.*, 2010). The increase in

population will have substantial impact on resources, particularly land, in order to satisfy the demand for housing and other related facilities. For example, it is also projected that between 2011 and 2015 another 32,930 units of houses are required to meet the demand from the growing population (JPBD, 2007). Table 1 below shows the increase of urban built-up area between 1990 and 2007. It shows that built-up areas has increased nearly 20 % between 1990 and 2001. In fact, it has further increased by 12% between 2001 and 2007 (Samat *et al.*, 2010).

The increase of urban built-up area is at the expense of agriculture land in the study area. Evidently, Table 2 illustrates five types of main agriculture activities that are affected by urbanization. The size of paddy field has been severely affected where its size has been reduced from 27,580.0 acres to 12,293 acres between 2000 and 2003, equivalent to a reduction of 124.4%. After year 2001, stricter zoning plan has been implemented where paddy field is zoned under Irrigated Agricultural Development Project (SPMC, 1998; Samat, 2002). The zoning plan compels the conversion of paddy fields to other classifications of land more difficult if not impossible. Ironically, there are cases where farmers independently convert their land into single unit of a family house or use their land for swiftlet[1] farming (Respondent 1, Male, Government Officer, 45 years old, In-depth interview, 2011).

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[1]Edible bird nest farming, which is popular in the Southeast Asian Countries
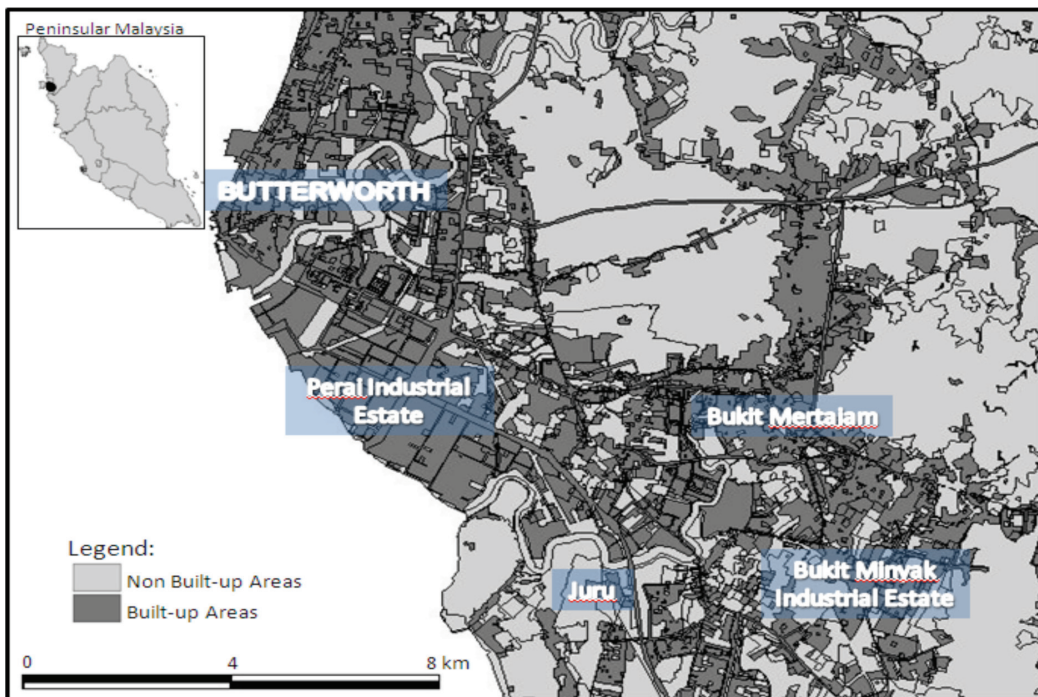
Fig.1: The study area

TABLE 1
Land transformation in the Seberang Perai region between 1990 and 2007

Year	Built-up areas (Hectares)	Non Built-up areas (Hectares)	% increase of Built-up areas	Agricultural Land (Hectares)
1990	15590.464	58126.633	-	51880.427
2001	18701.675	55015.422	19.95	42738.489
2007	21020.959	52696.138	12.40	42038.228

Source: Samat *et al.* (2011)

TABLE 2
Size (in Acre) and Percentage Transformation of Land Used for Five Major Agriculture Activities in Seberang Perai.

Year	Paddy (acres)	Change (%)
2000	27582	
2003	12293	-124.37
2005	12472	1.44
2008	12472	0.00

(a) Paddy fields

Year	Palm Oil (acres)	Change (%)
2000	12750	
2003	12720	-0.24
2005	12992.6	2.10
2008	13195.9	1.54

(b) Palm oil

Year	Rubber (acres)	Change (%)
2000	10391	
2003	10141	-2.47
2005	9137.6	-10.98
2008	9511.6	3.93

(c) Rubber

Year	Coco (acres)	Change (%)
2000	1931	
2003	2088	7.52
2005	1591.7	-31.18
2008	384.8	-313.64

TABLE 2 (*continue*)
(d) Coconut

Year	Coconut (acres)	Change (%)
2000	3481.2	
2003	3968.9	12.29
2005	3359.2	-18.15
2008	3282.1	-2.35

(e) Coconut

Year	Total (acres)	Change (%)
2000	56135.2	
2003	41210.9	-36.21
2005	39553.1	-4.19
2008	38846.4	-1.82

(f) Total agriculture land size

Source: State Department of Agriculture (2009).

Significant increase of its population will lead to physical transformation of many areas especially at the fringe of existing built-up areas. It is appropriate to investigate the socio-economic benefits that the people experienced and the threats resulted from urban development in view of the direct impact of urban transformation on the people living in the surrounding areas. Such information is useful for planners and decision makers to gain understanding and assist in formulating appropriate policies on land use planning and management of urban and peri-urban areas.

Demographic and Socio-Economic Profile of the Respondents

Socio-economic survey is conducted at the fringe of Bukit Mertajam and Juru where 113 respondents, equivalent to 57.7 %; and 83 respondents, equivalent to 42.3 %; are interviewed respectively (Refer to Table 3). The respondents comprised of 83 heads of households or 42.3%, 90 wives or 45.9 % and 23 family members or 11.8%. The age of respondents ranges from 17 to 86 years old, with mean age of 48 years old. The respondents are matured and able to understand the questions given. They have seen the physical and land use transformation surrounding their areas. The distribution of gender among the respondents is with 71 of respondents or 36.2% are male and 125 of respondents or 63.8% are female. In the aspect of income level among the respondents, a majority of 162 respondents or 82.7% are from the middle income family, 18 respondents or 9.2% are from low income family and 9 respondents or 4.6 % are from high income family. Based on socio-economic conditions of the respondents, the study investigates the awareness of the respondents on urban development and its impact on the communities. Majority of the respondents or 171 respondents, representing 87.2% ,are aware of urban encroachment into their surrounding areas. However, 25 respondents or 12.8% are unaware of the situation. The type of built-up activities in Bukit Mertajam and Juru areas are housing, commercial, industrial and infrastructure.

TABLE 3
Demographic and Socio-Economic Profile of the Respondents

Areas Surveyed	Frequency (n = 196)	Percentage (100%)
Bukit Mertajam	113	57.7
Juru	83	42.3
Respondent's Status	Frequency (n = 196)	Percentage (100%)
Head of Household	83	42.3
Wife	90	45.9
Other Family Member	23	11.8
Sex	Frequency (n = 196)	Percentage (100%)
Male	71	36.2
Female	125	63.8
Socio-Economic Status	Frequency (n = 196)	Percentage (100%)
High Income Family	9	4.6
Middle Income Family	162	82.7
Low Income Family	18	9.2

Urban Expansion and Socio-Economic Opportunities Experienced by the Local Communities

Urban development brings socio-economic opportunity to the local communities. As an example, the development creates job opportunities in formal sector, generates informal job sectors and opens bigger market for local produce. The development of various infrastructures in the peri-urban areas gives better accessibility for these areas to the urban centres. The distance to the largest town, Butterworth, is less than 15 km, and to Bukit Mertajam and

Juru is 23km. Evidently, it provides more opportunities and convenience for the people to get access to their jobs. Table 4 illustrates the accessibility of the respondents to workplace. Most of the respondents that comprise of 67 respondents or 76.1% can reach their workplace in less than 10 minutes, while 15 respondents or 17.1% can access to their workplace between 10 and 25 minutes. Only 6 respondents or 6.8% have to travel between 25 and 50 minutes to get to their workplace.

TABLE 3
Accessibility of the respondents to workplace

Time Travel (Minutes)	Frequency	Percentage
0 – 10	67	76.1
10 – 25	15	17.1
25 - 50	6	6.8
Total	88	100.0

Most of the respondents that comprise of 139 people or 70.9% feel that urban development bring economic benefits to the communities, while only 57 respondents or 29.1% disagree to that. As depicted from an in-depth interview:

"Young people prefer to work in factories. They can easily get employed. Furthermore, they earn steady monthly salary, receive various benefits and access to the workplace easily since the factories provide transportation to their workers"(Respondent 2, Male, Pensioner, 65 years old, in-depth interview, 2011).

The young generation prefers to work in the industrial sector since they can easily get employed and earn enough money to have a good living. Advertisement of job vacancies offering high monthly salary and various benefits including Employee Provident Fund, medical benefit, yearly bonus and free transportation to the factories in Perai Industrial Estate and Kulim High Tech Park can be seen in the study area. Based on the survey conducted, 30 respondents or 34.1% are involved in manufacturing related such as operators, transporters, and labours; 10 respondents or 11.4% are in professional, technical and similar job categories; 6 respondents or 6.8% are in administrative and management (refer to Table 4 below). Table 4 also shows the respondents' earning income from their main job. This table shows that 16 respondents or 18.2%, mostly from professional, technical and related category, earn between RM2500.00 to RM5,000.00 monthly from their main job. While 26 respondents or 29.5% earn between RM1,500.00 to RM2,499.00 per month. However, 19 respondents or 21.6% earn less than RM720.00, below poverty income line (Salfarina *et al.*, 2007). Ironically, even though urban development brings employment opportunities for the community, there are still people whose monthly salary is slightly lower than national poverty income line.

In addition to main employment, the local communities also have the opportunity to participate in secondary income generating activities. For example, majority of the respondents have secondary

TABLE 4
Cross tabulation of Income and Occupational Category of the Respondents.

Job Category	Income from Main Job (RM)				Total/ Percentage
	0-720.00	721.00-1,499.00	1,500.00-2,499.00	2,500.00-5,000.00	
Professional, technical and related	0	1	2	7	10 11.4%
Administration and management	0	2	2	2	6 6.8%
Clerical and related	0	5	4	1	10 11.4%
Sales	2	3	7	2	14 15.9%
Services	3	1	1	1	6 6.8%
Agriculture, rearing, forestry, fisheries and hunting	3	5	0	1	9 10.2%
Manufacturing and related, operator, transportation and labour	8	10	10	2	30 34.1%
Others	3	0	0	0	3 3.4%
Total/Percentage	19 21.6%	27 30.7%	26 29.5%	16 18.2%	88 100.0%

Source: Field survey (2011)

job. A total of 86 respondents or 97.7 % earn up to RM500.00 per month. In fact, one respondent earn between RM500.00 to RM1500.00, and another from RM1500.00 to RM3500.00 from secondary job. For example, the location of industrial estate at the peri-urban areas (refer to Fig.1) provides opportunities for the communities to work in non-agriculture sectors and simultaneously involve in agriculture activities. Based on an in-depth interview in 2011, Respondent 3, a male rubber tapper aged 48 years old, expresses the following:

"I work as a security guard at the factory near my village and earn RM1300.00 monthly and also make RM150.00 every two days through selling rubber tapped in the land rented from the local people. "

Similarly, an in-depth interview is conducted with Respondent 4, a male, Government Officer aged 55 years old, in 2011). As a part time work, he grows paddy in 5 acre rented paddy field from an owner who lives in Selangor. In view of good quality of road network provides easy access to urban centres, he can work in the paddy field after coming back from his office.

He says "The work in the paddy fields is a good exercise; I can get healthy as well as earn an extra income. I earn about RM6000.00 net after deducting all expenses on every harvesting season. Furthermore, I hire people from the village to spray pesticides and fertilizers, plough the land and harvest the paddy"

The local community living at the peri-urban areas has the opportunities to participate in agriculture sector, at the same time, earn stable monthly income from working in formal job sectors. The study by Madsen *et al*. (2010) in Denmark also finds that urbanization at the rural and peri-urban areas allows farmer to participate in service or manufacturing sector while continue being farmers. Other types of secondary jobs include working as technicians, mechanics and security guards at the factory near the study area (Ghazali, 1999).

In addition to generating opportunities for the local communities to participate in formal job sector, urban development at the peri-urban areas also opens the market for an informal job sector. The expansion of good network infrastructure coupled with the increase of population with its purchasing power trigger many people, particularly in area close to the cities, to set up small stalls selling food and restaurants along both sides of paved road. This study discovers that women also participate in this informal sector. Respondent 5, a female housewife

aged 43 years old, shares in an in-depth interview in 2011 as below:

"I quit my job as an operator at a factory in Penang Island to open a small stall selling banana fritters and curry puffs. I earn about RM200.00 daily. My time is quite flexible that I still have time to look after my children. I start my business from 2:00pm to 6:00pm only. This is better than working at the factory, where I had to travel to Penang Island as early as 6:00am. I also provide opportunities for my friends to leave their homemade cakes or local chips to be sold in my store. I only charge small commission rate where they pay me RM0.30 for every RM1.00 items sold".

Besides, opening food store near their homes, women also participate in providing childcare services. Based on an in-depth interview in 2011, Respondent 6, a female housewife aged 40 years old reveals the following:

"I look after three of my neighbours' children whose parents work as teachers. The age of the children ranges between one to five years old. They pay me monthly fees of RM200 for each child. While looking after the children, I can also do other housework. It helps to contribute to my family income".

As more middle income and high income families move to the peri-urban areas, the market for food and services such as childcare and sewing clothes increase. Therefore, villages located close to urban and along the main roads are benefiting from the development compared to those who lack such facilities (Mandere *et al*., 2010; Ghazali, 2011).

As well as creating more job opportunities in informal sectors, development at the peri-urban areas also generate bigger market for rural produce. Below depiction from an in-depth interview with Respondent 7, a male dairy farmer aged 57 years old, in 2011, supports the concept that good network infrastructure and high purchasing power of urban people is an advantage for farmers living at the peri-urban areas

"My land is 45 minutes' drive from Georgetown and 15 minutes' drive from Butterworth. It is easily accessed through good road network. I used to distribute the milk to urban dwellers with motorbike. Now, I have expanded my business and use a car to get to my clients. Due to increasing demand for fresh milk, my business has become lucrative. My customers are mostly foreigners living in the urban centers".

Similarly, Respondent 8, a female housewife aged 55 years old, grows eggplants, lemongrass, and chillies near her house at the fringe of Butterworth. She sells the produce to vegetable sellers at the local wet markets. Below is depicted from an in-depth-interview with her in 2011:

"Considering my land is very small, I only get an average income of RM25.00 per day. However, this is quite good money where I can contribute to my family".

The demand for local produce is very high that she manages to make a good living through selling vegetables.

Similarly, Respondent 9, a male pensioner aged 60 years old, rears goat for local market and opens a restaurant in his farm serving mutton as the main dish. The following is depicted from an in-depth interview in 2011:

"In the early days, I had problems with marketing goat milk. I used to take goat milk in my car and sold it at the local market. However, due to the fact that the product is perishable, I start to think of ways to sell it fast. Then, I open the restaurant in my farm, specializing in dishes made from mutton and goat milk. Now, I need at least 600 – 700 goats monthly to cater for the demand from the restaurant. People come here not only for food but also to get away from urban life. This place offers them a relaxing environment for meals and their children will have the opportunity to see goats, ostrich and rabbit or feed the fish in our fish ponds. Most of the customers are from urban

areas with higher purchasing power than the locals".

The findings from this study reveal that the with developments of good infrastructures bring more opportunities to the local communities to be involved with formal job sector, provide services and market local produce to urban dwellers. Similarly, Mandere *et al*. (2010) states that commercial activities along the road in the periphery of the urban core in Kenya provide farmers with outlets to sell products or to purchase what is needed for farming. It also gives peri-urban dwellers access to food supplies and other basic necessities without travelling to the urban core. Although urban development at the peri-urban areas benefit the local communities, most of the opportunities are limited to the financially constraint informal sectors. Therefore, it is unable to provide sufficient high income opportunities to lift the majority of the population from hardship (Simon *et al*., 2004; Mandere *et al*., 2010). .

The Negative Impacts of Urban Expansion at the Peri-Urban Areas

The discussion above concentrated on the economic benefits that the local communities at the peri-urban areas experienced. However, urban development also brings negative consequences. Although industrialization opens more job opportunities in non-agriculture sector, most of the local communities are involved in low job category. For example, only 88 respondents that is equivalent to 44.9% work and earn monthly salary. However, most of the respondents involved in low income job categories. As shown in Table 4 above, most respondents are factory workers, operators, transporters, and labours. These occupational categories are translated into income earned by the respondents. Based on Table 4, about 19 respondents equivalent to 21.6% earn monthly income of RM720 and below. They are classified as poor, based on Malaysia's poverty income. Furthermore, only 16 respondents equivalent to 18.2% earn more than RM2500.00 per month. Similarly, the study by Mandere *et al* (2010) in Kenya and Ghazali (1999; 2011) and Salfarina *et al*., (2007) in Penang, Malaysia find that urban development brings more economic opportunities to the areas experiencing land use transformations. However, the local communities are involved in low skills and low paying job such as working as housekeepers, garbage collectors, cleaners, babysitters, hawkers, landlords and food stall operators and food traders.

Furthermore, the conversion of rural land into settlement or built-up areas reduces the amount of land available for agricultural activities and housing. For example, large productive agriculture areas in Penang have been transformed for industrial development and its related activities (Ghazali, 1999; Samat, 2002). Thus, land becomes scarce on the island and many people move to Seberang Perai. Rapid urban expansion consumes approximately 14.2 sq. km / year of farm land which has been converted to other use on Penang Island and Seberang Perai between 1989 and 1995 (SPMC,

1998; Sathiamurthy 2008). The study conducted also reveals that considerable productive land at the peri-urban area has been converted to either built-up areas or service related activities (Samat *et al.*, 2011). Table 5 shows the size of land owned by the respondents in the study area. Only 29 out of 196 respondents interviewed have land. However, the size of land owned is slightly small. The average size of land is approximately 4.414 relong or 2.94 acres. For example, more than 80% of the respondents own less than 4 acres of land, 10% of them own between 6 to 7 acres of land, and only 6 % of them or 2 respondents own the land with the size of more than 10 acres.

The finding shown in Table 5 clearly reflects that most of the respondents in the study area do not have land or only own small piece of land. It might be true to say that the low returns from the agriculture compared to the high income from built-up areas compels many people to sell their land or in some cases convert it to commercial activities. Based from an in-depth interview with Respondent 10, a male pensioner aged 59 years old, reveals that he is willing to sell his paddy fields if he receives appropriate compensation. Below is depicted from the interview in 2011:

> "I could use the money to start a business or buy property elsewhere. Moreover, the size of my land is very small; only one acre. Thus, the yield from this land is very small whereby planting paddy is sufficient to have

> a decent living. It needs at least 20 relong or 13 acres to make a good living from planting paddy".

On the whole, the respondents who disagree selling their land are afraid of losing source of livelihood or not receiving appropriate compensation in view of the increasing value of land.

TABLE 5
Land Size Owned by The Respondents In The Study Area

Land size (Relong)	Land size (Acres)	Frequency	Percentage
1	0.67	9	31.03
2	1.33	4	13.79
3	2.00	4	13.79
4	2.67	5	17.24
6	4.00	2	6.90
10	6.67	2	6.90
11	7.33	1	3.45
16	10.67	1	3.45
20	13.33	1	3.45
Total		29	100.00

Note: 1 relong is equivalent to 0.28 hectares.
Average land size is 4.414 relong or 2.944 acres.
Source: Field survey (2011)

This nationwide phenomenon threatens the existence of agriculture that provides stable food mainly rice to large communities in both rural and urban areas. According to Wu (2008) more than half the value of total farm production in the United States is derived from counties facing urbanization pressure. As urbanization intensifies, agricultural and non-agricultural land use conflicts become more severe (Mandere

et al., 2010). Consequently large group of farmers and related farming employment have to seek other source of income digress from farming production.

Furthermore, the finding also shows that farming or subsistence economy, the major source of livelihood of the Malays up to the early 1970's, has been profoundly transformed (Ghazali, 1999; Thompson, 2004). Although it has not been completely eliminated, it seems that most of these lands shall be most likely be converted to other use. It may be argued that farming and related activities might disappear in the near future if planners and policy makers do not take serious measures. Thompson (2004) states that by 1987, rural households in Peninsular Malaysia would derive only a quarter or 25.7% of their annual income from agricultural activities. Non agricultural income is derived from social services equivalent to 24.2%, manufacturing equivalent to 13.7%, trading equivalent to 13.2% and a variety of other sources equivalent to 23.2%. Based on such finding, only 0.7% of the households derive their main income from farming. If this trend continues, farming activity will be eliminated completely from Penang by year 2025 (Sathiamurthy, 2008).

The rate of land conversion occurred in a relative manner depends on the distance to the urban centre, development schemes as well as in areas that are highly affected by the spread of urban culture (Samat *et al*, 2010; Ghazali, 2011). Therefore, it is sufficient to conclude that once the human landscapes surround or border the natural landscape,

the probability that it will be converted to human landscape is high (Thompson, 2004; Abdullah and Nakagoshi, 2006). Declining in agricultural activities not only threaten the situation of food security but also place a great deal of pressure on the ecological condition at the micro and macro level. In this regard, Wu (2008) and Raddad *et al*., (2010) place the blame on planners for unable to foresee the hidden advantage of farming in ensuring food security and protecting the environment. In most cases, agricultural land has been strategized as reserved land for future urban growth.

CONCLUSION

Rapid urban expansion causes built environment to spread into the peri-urban areas, resulting in sharp decrease of agriculture land. Although urban expansion brings improvement in the infrastructure and generates economic opportunity both in formal and informal sectors, it also causes reduction of land size that the local communities owned. Subsequently, it threatens the livelihood of farming communities. There is an imperative need for rigorous policies at a local level to control or direct the urban development into specific region in order to reduce the negative impact of urban development on the society and the environment. As a whole, the rigorous policies shall promote equitable and sustainable urban development.

ACKNOWLEDGEMENTS

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ESL Teachers' Computer Self-Efficacy, Attitudes Toward Computer and Classroom Computer Use

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ABSTRACT

Although computers play a vital role in the field of education, teachers remain as one of the key determinants of the success of any technology innovation and initiative in education. Specifically, teachers' computer self-efficacy and attitudes towards computers are posited as having an influence on computer use for classroom teaching. A survey method is used in this study to determine ESL or English as a Second Language teachers' level of computer self-efficacy, attitudes towards computers and classroom computer use, in addition to investigating gender differences and relationships between the three variables. A questionnaire is administered to 102 ESL teachers in ten urban secondary schools in Kuching, Sarawak, Malaysia. The findings of this study show that the ESL teachers have moderate level of computer self-efficacy, attitudes towards computer use and computer use in the English classroom. Male teachers have a significantly higher computer self-efficacy than the female. In terms of teachers' attitudes towards computers and computer use, there is no significant difference among teachers of different genders. There is a significant low positive relationship between teachers' self-efficacy and teachers' attitudes towards classroom computers. It indicates that if the teachers' computer self-efficacy increases, their attitudes towards classroom computers will also increase. The results indicate that there is a low but positive significant relationship between teachers' computer self-efficacy and their computer use in Malaysian classrooms. Thus, if the teachers' computer self-efficacy increases, their use of classroom computers will also increase. However, there is no relationship between teachers' attitudes towards computers and actual classroom computer use. The findings of the study

indicate that computer self-efficacy of ESL teachers is an important factor to consider in enhancing their attitudes towards computers and computer use in the classroom.

Keywords: Teachers' Computer Self-Efficacy, attitudes towards computers, computer use

INTRODUCTION

Development and innovation of computer technologies have transformed the way education is structured, organized and delivered. Furthermore, the integration of computers in the curriculum is a continuous process (Kiridis, Drossos, & Tsakiridou, 2006). Topkaya (2010) states that there is a strong interest to integrate computers in the teaching and learning of languages especially in the teaching of ESL. Several studies have shown that the use of computers have a positive effect on the achievement of language learners (Lai & Kritsonis, 2006) and in promoting students' learning motivation (Lee, 2000). Its use also enhances the four language skills of speaking (Becta, 2003), writing (Tozcu & Coady, 2004), reading (Al-Jarf, 2004) and vocabulary (Tozcu & Coady, 2004). In general, the use of computers enables teachers and ESL teachers, in particular, to address different learning styles and enhance teachers' abilities to effectively handle instructional activities, facilitate the transformation of teacher-centred to student-centred instruction (Hennessy, Ruthven, & Brindley, 2003; Groff & Mouza, 2008). The utilization of computers can also minimize students' fears and pressures, increase their motivation to learn and enhance their social development (Topkaya, 2010). Furthermore, ESL educators in Malaysia are actively exploring the potential of computers to enhance the teaching and learning processes in the ESL classrooms (Melor Md Yunus, 2007).

However, Bitner and Bitner (2002) states that the successful integration of computers in the classroom depends on a number of factors such as availability of funds, dynamic lesson plans and decisions on hardware and software. They further remarked that these factors nonetheless are not the key determinants as success or failure of computer use in the classroom usually lies with the teachers. It is the teachers' skills, beliefs, attitudes, perceptions, opinion, personalities, and knowledge, among others that influence the choices they make about what, when, where, and how to teach using computers (Bitner & Bitner, 2002). Likewise, Kumar, Raduan Che Rose and Lawrence (2008) recognize that there are factors other than technical knowledge and skills which contribute to teachers' success at technology integration in their teaching. Supporting Bitner and Bitner's and Kumar *et al*.'s views, Groff and Mouza (2008) reiterate that teachers' attitudes and beliefs are dominant factors in determining actions and professional practices in the classroom in the implementation of new technologies. Studies such as Seferoğlu (2007) and Teo (2008) also empirically support the conclusions that teachers' computer self-efficacy and their attitudes may possibly make an impact on their

computer use in the classroom. Thus, it is apt to conclude that factors such as attitudes, values, and self-judgments can exert a profound effect on behaviours for teachers to be effective computer users. It is essential that teachers possess positive attitudes and high self-efficacy perceptions in using the technological tools (Milbrath & Kinzie, 2000). Indeed, a teacher is one of the important reasons contributing to the failure or success of integrating ICT in teaching and learning (Lim & Khine, 2006).

Research on teachers' computer use in the classroom indicates that gender differences remain an issue that has yet been conclusively studied. Some studies show that female teachers tend to exhibit lower computer self-efficacy, more negative attitudes towards computer usage and lower levels of computer use for teaching and learning (e.g. Enoch & Soker, 2006; Koohang, 2004; Von Braak, 2001; Whitley, 1997). Nonetheless, there are studies such as Davis and Davis (2007) and Teo (2008) that report no gender difference in technology use among teachers. Thus, gender remains an important independent variable in studies related to computer use in ESL classroom.

PURPOSES OF THE STUDY

The studies and reports discussed in the previous section highlight the need to address the attitudes and self-efficacy of the teachers in enhancing computers integration in the teaching and learning of English Language. Specifically this study investigates the following research questions:

- What are the ESL teachers' levels of computer self-efficacy, attitudes towards computers and computer use?

- Are there gender differences among ESL teachers' level of computer self-efficacy, attitudes towards computers as well as their computer use?

- Are there relationships between the ESL teachers' computer self-efficacy, attitudes towards computer and computer use?

REVIEW OF RELEVANT LITERATURE

The following sections discuss some literature relevant to the study.

Computer Self-Efficacy, Attitudes Towards Computers and Computers Use in Classroom

Self-efficacy is an individual's conviction in his capability to organize and complete a course of actions in order to accomplish a specific task (Eggen & Kauchak, 2007). It is not related to one's skills; more accurately a self-perception of one's ability to perform (Bandura, 1982). Individuals' ideas, be it positive or negative, about behaviour affects their course of action (Albion, 2001). Thus, self-efficacy influences their goals, amount of effort and time willingly spent on persevering and rising above hurdles and difficulties (Khorrami-Arani, 2001). Teachers' self-efficacy has been reported as contributing to students' academic performances in schools (Pajares, 1992). Tschannen-Moran, Woolfolk and Hoy (1998). It is also considered as one of

the factors that may positively influence teaching behaviour, classroom management and students' outcomes.

Specifically, computer self-efficacy is defined as a judgment of one's ability to use a computer (Compeau & Higgins, 1995). It is generally believed that individuals with high computer self-efficacy will be more willing to learn and do new things using computers (Kinzie, Delcourt, & Powers, 1994). Teachers who are confident in their capabilities of using computers will be more likely to utilize the tools more often in performing classroom tasks (Potosky, 2002; Ozcelik & Kurt, 2007). Thus, teachers' computer self-efficacy is a strong determinant in studying teachers' behaviour with respect to teaching with computers (Cassidy & Eachus, 2002; Seferoğlu, 2007; Topkaya, 2010).

Past studies have reported that ESL teachers tend to have moderate level (Topkaya, 2010) or low level (Saadiyah Darus & Ho, 2008) of computer self-efficacy. Several factors may possibly influence a teacher's computer self-efficacy. Their knowledge of ICT and relevant skills, reluctance to abandon their existing pedagogy, attitudes, perception, accessibility to ICT, age, area of specialization and ICT training may possibly also play a role in determining teachers' conviction of his or her capability of using computers (Groff & Mouza, 2008; Lim & Khine, 2006).

On the other hand, according to Fishbein and Ajzen (1975), attitude is a mental and neural state of readiness, organized through experience, exerting a directive or dynamic influence upon the individual's response to all objects and situations with which it is related. In the classroom, teachers' attitudes towards the use of computers play a major role in the acceptance of computers as it may possibly influence students' initial acceptance of computers and their future behaviour regarding computers. In general, teachers and ESL teachers, in particular, are deemed as role models to the students; their attitudes play a major role in affecting the society's attitudes towards the role of computers (Robinson & Zaitun Abu Bakar, 2006; Rosnaini Mahmud & Mohd Arif Ismail, 2008; Teo, 2008).

There have been different studies on attitudes in the educational arena in relation to the integration of classroom computers involving teachers and ESL teachers (Abang Ahmad Ridzuan, Hong, & Aliza Ahmad, 2001; Abbitt & Klett, 2007; Groff & Mouza, 2008; Hong & Koh, 2002; Lim & Khine, 2006; Rosnani binti Mahmud & Mohd Arif Hj Ismail, 2008), students (Bebetsos, Kouli, & Antoniou, 2007), trainee teachers (Arishi, 2012; Deniz, 2007; Teo, 2008) and school administrators (Ahmad Rafee Che Kassim & Hatim Mohamad Tahir, 2000). A number of studies have reported that teachers have positive attitudes towards computers (Hong & Koh, 2002, Juanna Risah Sa'ari, Wong & Samsilah Roslah, 2005; Nurul Atikah *et al*., 2006; Seferoğlu, 2007; Teo, 2008). On the other hand, there are also studies that indicate teachers having feelings of uncertainty, anxiety, lack of confidence and negative attitudes that may possibly hinder the successful integration of computers in

the classroom (Finley & Hartman, 2004; Fullan, 2001; Groves & Zemel, 2000; Saadiyah Darus & Ho, 2008).

In the aspect of computer use, Blankenship (1998), Fakeye (2010) and Latio (2009), report that generally only few teachers are actively integrating computers in their classroom teaching. Similarly, Saadiyah Darus and Ho (2008) find that ESL teachers in Malaysia indicate low level of integrating computers in their instructional activities.

Gender Differences in Computer Self-Efficacy, Attitudes Towards Computer and Classroom Computer Use

While the integration of computers in classroom creates opportunity for learning enhancement, not all teachers take advantage of the affordance provided by the technology. Some may feel more comfortable using computers than others. Many factors may possibly contribute towards teachers' computer self-efficacy, attitudes towards computers and decisions to use technology such as gender, age, teaching styles, and personalities. Von Braak (2001) suggests that gender is significantly related to attitudes towards computer and computer use in his study among secondary school teachers. Von Braak (2001) reports that female teachers have more negative attitudes towards computers and lower computer use. Whitley (1997) also reports that male teachers have higher computer self-efficacy, more positive attitudes towards computers and more likely to use computers. Other studies such as Enoch and Soker

(2006), Koohang (2004) and Whitley (1997) suggest that females have lower comfort level with computers and attributes the difference to males usually spending more time with computers. Nonetheless, there are studies that observe no significant gender difference in computer use among teachers (Davis & Davis, 2007; Teo, 2008).

Relationships Between Teachers' Computer Self-Efficacy, Attitudes Towards Computers and Classroom Computer Use

Studies by Albion (2001) and Wang, Ertmer, and Newby (2004) suggest that computer self-efficacy is a determining factor in predicting the effectiveness of an ESL teacher in utilizing computers for teaching and learning. Likewise, teachers' attitudes towards computers can also affect the computer use in classroom (Ajzen, 1991). Hong and Koh (2002). Both studies discover that there is a significant relationship between computer anxiety and attitudes towards computer. Zoraini Wati Abas (1995) also notes that teachers with positive attitudes and confidence can use computers effectively. Moreover, Jegede (2007) and Topkaya (2010) report that there is a positive relationship between computer self-efficacy and attitudes towards computers.

On the other hand, Cassidy and Eachus (2002) suggests that computer self-efficacy plays a major role in determining the regularity and success of computer use. It is suggested that the manner of computer experiences, be it positive experience or otherwise, may possibly affect one's computer self-efficacy. It is not the duration

of one's experience with the computers; it is the quality of the experience that later affects his or her computer self-efficacy. It concurs with Kiridis *et al*. (2006) who suggests that teachers' needed to be confident in their computer use in order to be successful in their teachings. Likewise, Seferoğlu (2007) believes that computer self-efficacy enables teachers to approach difficult tasks as challenges to be mastered rather than as threats to be avoided. Therefore, computer self-efficacy offers teachers the predisposed confidence in tackling complicated tasks, seeking ways to learn and mastering techniques to overcome the difficulty rather than shunning it. Topkaya (2010) suggests that high computer self-efficacy can lead to more computer use in classrooms. Consequently, it also affects the students positively. Seeing the teachers' capabilities in overcoming challenges in relation to classroom computer use shall motivate them to behave likewise.

According to Baylor and Ritchie (2002), teachers' attitudes towards computer can affect the degree and significance of classroom computer use. Past studies such as Kluever *et al*. (1994), Haney and Lumpe (1995), and Yuen, Law and Chen (1999) also support the finding. These studies identify teachers' attitudes towards computer as a key factor in the successful instructional use of computers. In the local scenario, Abang Ahmad Ridzuan *et al*. (2001) believes that teachers' attitudes toward computer can influence the level of computer utilization. Similar findings in another study by Nurul Atikah *et al*. (2006)

reports that English language teachers with positive attitudes towards computer tend to use computers effectively for teaching and learning purposes. It is noted that positive attitudes towards computers correlate with higher rate of usage. Likewise, Saadiyah Darus and Ho (2008) in a study among Malaysian ESL teachers, discover that teachers rarely use computers for teaching and learning of English due to their negative attitudes towards the use of computers and low computer self-efficacy. On the other hand, Faseyitan and Hirschbuhl (1992), Fulton (1998) Geoff and Mouza (2008), Hong and Koh (2002) and Mumtaz (2000) feel that there may possibly be other important determinants of computer use in the classroom such as school support, technical support, teaching experiences and past experiences with computers.

Therefore, the literature review above suggests that computer self-efficacy and attitudes towards computers can be related to teachers, specifically ESL teachers' use of computers for teaching and learning purposes. In addition, gender remains an important demographic characteristic in determining teachers' level of computer self-efficacy and attitudes towards computers and use of computers in the classrooms.

METHODOLOGY

Research Design and Setting

This study uses survey method.. The target population of the study consists of ESL teachers in government-aided urban secondary schools in Kuching Division, Sarawak, Malaysia. Ten of the

24 government-aided, urban secondary schools in Kuching are randomly selected to participate in the study. The ESL teachers in these schools are provided with computer notebooks under the Government's policy to integrate computers in classroom teaching in order to keep abreast with the information era besides enriching teaching and learning activities. The participants of this study consist of 102 ESL teachers from the ten secondary schools, with 79 (77.5%) female and 23 (22.5%) male ESL teachers.

Instrumentation

1. The research instrument used in this study is a questionnaire which consists of four sections: Part A (Teachers' *Demographic Information*);

2. Part B (Teachers' *Computer Self-Efficacy*);

3. Part C (Teachers' *Attitudes toward Computers*); and

4. Part D (Teachers' *Classroom Computer Use*).

Part A of the questionnaire collects information on gender, age and qualifications.

Items in Part B that focus on teachers' computer self-efficacy are adapted from Compeau and Higgins (1995) and Cassidy and Eachus (2002). These items are found to be valid and reliable measures of computer self-efficacy. Further information regarding the validity and reliability of these items can be found in Compeu, Higgins and Huff (1999), Johnson and Marakas (2000) and Cassidy and Eachus (2002). Items

in Part C that specify on the teachers' attitudes towards computers are based on the Teachers Attitudes towards Computers questionnaire developed by Knezek and Christensen (1997). The reliability and validity of the questionnaire is reported in Knezek, Christensen, Miyashita and Ropp (2000). Items in Part D that concerntrate on the teachers' classroom computer use are adapted from the instrument used in the study by Latio (2009). Latio (2009) also reports that the validity and reliability of the items for research purposes.

A 5-point Likert scale is used to measure the teachers' responses on their use of classroom computers for teaching purposes, computer self-efficacy and attitudes towards classroom computers. In addition, a pilot test are conducted to 37 ESL teachers from two urban secondary schools, located in Kuching, Sarawak, Malaysia, not involved in the actual study, in order to establish the reliability of the questionnaire. The pilot study data indicates that the questionnaire is reliable and appropriate for the intended study with Cronbach Alpha coefficients exceeding 0.8 as shown in Table 1.

TABLE 1
Reliability of the Questionnaire Based on Pilot Test

Scale	Cronbach Alpha Values
Teachers' *Computer Self-Efficacy*	0.834
Teachers' *Attitudes Toward Classroom Computers*	0.854

Note: >0.9 = Excellent, >0.8 = Good, 0.7-0.6 =Acceptable, < 0.5 = Unacceptable (George & Mallory, 2003).

Data Collection Procedures

Approvals for data collection is obtained from the relevant authorities including the Education Planning and Research Division (EPRD) of the Ministry of Education, state education department, school principals and participants. The questionnaires are distributed to the ten schools based on the number of participants available for the survey, as provided by the schools' authority. The senior assistant or the principal of the school is enlisted to ensure that all of the questionnaires are distributed and returned promptly. Participation from the ESL teachers in the ten schools is voluntary.

Data Analysis

The data collected is analysed using the Statistical Package for Social Science (SPSS) software. The statistical analyses involve descriptive and inferential statistics. Descriptive statistics such as the means and standard deviations are used to describe the participants and variables. The classification of scores for computer self-efficacy, attitudes towards computers and computer use are low (1.0-2.3), moderate (2.3-3.6) and high (3.6-5) levels. Pearson Product Moment Correlations are used to determine the significance of the relationships between the variables. The strengths of the Pearson Product Moment Correlations are determined based on Table 2. Independent t-tests are used to determine differences in computer self-efficacy, attitudes towards computers and computer use between male and female teachers.

TABLE 2
Interpretation of The Correlation Coefficient

Coefficient Value	Interpretation
0.00 to 0.30 (0.00 to -0.30)	Little if any correlation
0.30 to 0.50 (-.30 to -.50)	Low positive (negative) correlation
.50 to .70 (-.50 to -.70)	Moderate positive (negative) correlation
.70 to .90 (-.70 to -.90)	High positive (negative) correlation
.90 to 1.00 (-.90 to −1.00)	Very high positive (negative) correlation

Note: Based on Hinkle, Wiersma, and Jurs (2003)

RESULTS

The results of the reliability analysis for the questionnaire in the actual study are shown in Table 3. The results of the reliability analysis indicate that the research instrument is at an acceptable level of reliability with Cronbach Alpha coefficients exceeding 0.8.

TABLE 3
Reliability of the Questionnaire In Actual Study

Scale	Cronbach Alpha Values
	Actual Study
Teachers' *Computer Self-Efficacy*	0.872
Teachers' *Attitudes Toward Classroom Computers*	0.851

Note: >0.9 = Excellent, >0.8 = Good, 0.7-0.6 =Acceptable, < 0.5 = Unacceptable (George & Mallory, 2003).

ESL Teachers' Computer Self-Efficacy, Attitudes Towards Computers and Classroom Computer Use.

Table 4 shows the summary of the means and standard deviations for teachers' computer self-efficacy, attitudes towards computers and use of classroom computers.

TABLE 4
Level of Teachers' Computer Self-Efficacy, Attitudes Towards Computers and Classroom Computer Use.

Items	Mean	Std Dev
Part B: Computer self-efficacy	*3.37*	0.923
Item 1 – Difficulties encountered are usually dealt with	3.20	0.975
Item 2 – Confident of abilities to use computers	3.54	0.875
Item 3 – Easy to learn to use new courseware	3.40	0.847
Item 4 – Computers help to save time	3.45	0.908
Item 5 – Considered self a skilled computer use	3.28	1.009
Part C: Attitudes toward computer	*2.63*	*1.057*
Item 1 – Tired of using computers to teach English	2.49	0.992
Item 2 – Takes a long time to finish teaching with computers	2.90	1.010
Item 3 – Working with computers makes me nervous	2.53	1.123
Item 4 – Teaching with computers is very frustrating	2.58	1.103
Part D: Classroom computer use	*2.97*	1.237
Item 1 – I use computers to teach English	2.33	1.189
Item 2 - I use computers and projectors to play films	2.32	1.145
Item 3 - I have used computer software to demonstrate lesson contents	2.86	1.275
Item 4 - I download English Language Teaching and Learning resources to enhance students' learning	3.03	1.316
Item 5 - I use instructional software provided by the Education Department to teach English	2.60	1.180
Item 6 - I use computer - based technology to integrate English learning skills	2.80	1.267
Item 7 - I use the computers to assist students in their individual learning	2.52	1.288

Note: The 5-point Likert scale in Part B and C range from 1=Strongly disagree to 5=Strongly agree and in Part D, range from 1=Very infrequent to 5=Very frequent.

Generally, the teachers have moderate levels of computer self-efficacy. The teachers are able to deal with difficulties encountered when teaching English with computers (*M* = 3.20; *SD* = 0.975). They are confident of their abilities to use computers in teaching English in the classrooms (*M* = 3.54; *SD* = 0.875) and find it easy to learn a new courseware (*M* = 3.40; *SD* = 0.847). They find that computers save time when teaching English in the classrooms (*M* = 3.45; *SD* = 0.908) and consider themselves as skilled computer users when using the technology in teaching (*M* = 3.28; *SD* = 1.009).

Likewise, the teachers' attitudes towards computers are at the moderate level. They are not tired of using a computers to teach (*M* = 2.49; *SD* = 0.992) and are not nervous when using computers (*M* = 2.53; *SD* = 1.123). They do not feel frustrated teaching English with computers (*M* = 2.58; *SD* = 1.103). However, they do find using computers to teach consumes more time (*M* = 2.90; *SD* = 1.010)

The teachers moderately use computers in their classroom. Most teachers seldom use computers to teach English (*M* = 2.33; *SD* = 1.189) or use computers and

projectors to play films (M = 2.32; SD = 1.145). Similarly, they rarely use computer software to demonstrate lesson contents (M = 2.86; SD = 1.275). However, they moderately use computers to download English language teaching and learning resources to enhance students' learning (M = 3.03; SD = 1.316). The teachers, occasionally, use instructional software provided by the Education Department to teach English (M = 2.60; SD = 1.180), use computer-based technology to integrate English learning skills (M = 2.80; SD = 1.267) and use computers to assist students in their individual learning (M = 2.52; SD = 1.288).

Differences in ESL Teachers' Computer Self-Efficacy, Attitudes Towards Computers and Classroom Computers Use Based on Gender

Independent samples t-tests are carried out to examine the differences in the ESL teachers' computer self-efficacy based on gender. The findings are summarized in Table 5.

The results indicate that there is a significant difference in the ESL teachers' computer self-efficacy based on gender [$t(100)$ = 1.990, p = 0.049]. The 95% CI is [-0.119, 2.699] with effect size, d = 0.457. The male teachers have higher computer self-efficacy (Mean = 15.24, SD = 2.976) than the female teachers (M = 13.95, SD = 2.662).

However, there is no significant difference in the ESL teachers' attitudes towards computers based on gender [$t(100)$ = 0.274, p = 0.785]. The mean score for the male teachers (M = 8.71, SD = 3.076) does not vary much from the mean score of the female teachers (M = 8.53, SD = 2.705). Likewise, there is no significant difference in their use of computers for teaching based on gender [$t(100)$ = 0.062, p = 0.951]. The mean score for the male teachers (M = 16.38, SD = 5.681) does not vary much from the mean score of the female teachers (M = 16.29, SD = 6.112).

TABLE 5
Differences in ESL Teachers' Computer Self-Efficacy, Attitudes Towards Computers and Computer Use Based On Gender

Demographic factors		N	Mean (M)	Std Dev (SD)	t	df	p
Computer self-efficacy	Male	23	15.24	2.976	1.990	100	0.049
	Female	79	13.95	2.662			
Attitudes towards computer use	Male	23	8.71	3.076	0.274	100	0.785
	Female	79	8.53	2.705			
Use of classroom computers	Male	23	16.38	5.681	0.062	100	0.951
	Female	79	16.29	6.112			

Note: The equal variances assumed independent t-tests were used in the analyses as the assumptions of equality of variances were satisfied.

Relationships between Computer Self-Efficacy, Attitudes Towards Computers and Classroom Computers Use.

The relationships between ESL teachers' self-efficacy, attitudes towards computers and classroom computer use are determined using Pearson's Product Moment Correlations. The preliminary analyses find that the assumptions of normality based on Skewness and Kurtosis values < 1, and linearity based on scatter plots, are not violated. Prior to the correlation analyses, the scores for the items related to attitudes towards computers (Part C) are re-coded. Thus, higher scores for these items indicate positive attitudes towards computers. There is a significant low, positive relationship between teachers' self-efficacy and teachers' attitudes towards computers (r = 0.479, p < 0.0005). It indicates that if the teachers' computer self-efficacy increases, their attitudes towards computers increases too. The results indicate that there is a significant low, positive relationship (r = 0.399, p < 0.0005) between computer self-efficacy and computer use. Thus, if the teachers' computer self-efficacy increases, their use of classroom computers increases too. However, there is no relationship between English language teachers' attitudes towards computers and actual classroom computers use (r = 0.101, p = 0.311).

DISCUSSION

The findings indicate that the ESL teachers have moderate level of computer self-efficacy and attitudes towards computer use. In addition, they moderately use computers in the English class instructions. Generally, these findings are similar to past studies that report moderate to low levels of computer self-efficacy (e.g., Saadiyah Darus & Ho, 2008; Topkaya, 2010), moderate attitudes to computers (e.g., Finley & Hartman, 2004; Saadiyah Darus & Ho, 2008), and lack of computers integration in the classroom instruction (e.g., Fakeye, 2010; Latio, 2009; Saadiyah Darus & Ho, 2008).

The results also indicate that male teachers have higher computer self-efficacy than the female teachers. This finding concurs with past studies such as Enoch and Soker (2006), Koohang (2004) and Whitley (1997). However, there is no difference in the teachers' attitudes towards computers and computer use based on gender. The finding of no gender differences supports the similar results reported by Davis and Davis (2007) and Teo (2008). Such finding may be due to less gender biasness in computer use in recent times in which both females and males having equal opportunities to spend time using computers (Davis & Davis, 2007).

The present study shows that there is a significant but low and positive relationship between teachers' self-efficacy and teachers' attitudes towards computers. In short, a teacher who has high level of computer self-efficacy may have positive attitudes towards computers. The result supports the findings of past studies. For example, Jegede (2007) and Topkaya (2010) find that there is a significant positive correlation between teachers' self-efficacy and teachers' attitudes towards computers. Nonetheless, Topkaya

(2010) cautions that the relationships may not be always positive as teachers need to adapt to their changing roles in the classrooms. It should be noted that other factors such as previous experiences with technology (Fulton, 1998), computer effectiveness (Faseyitan & Hirschbuhl, 1992) and school support (Hong & Koh, 2002) may possibly affect teachers' attitudes immensely. For instance, a teacher who is confident of his or her ability in using computers can have negative attitudes towards computers after experiencing negative experiences due to ineffective technology and unsupportive school administration.

Results from this study reveals that there is low, positive significant relationship between the teachers' computer self-efficacy and their computer use in the classrooms. This finding concurs with past studies which suggest that high computer self-efficacy can lead to more computer use (Cassidy & Eachus, 2002; Seferoğlu, 2007; Topkaya, 2010). Consequently, it is believed that a high level of computer use as a result of high level of computer self-efficacy will enable teachers to approach difficult tasks rather than avoid them (Potosky, 2002; Ozcelic & Hurt, 2007).

It is also discovered that there is no significant relationship between teachers' attitudes towards computers and their computer use in the classrooms. This finding concurs with the findings from past studies. Groff and Mouza (2008) lists legislative factors, district / school-level factors, students and technology, apart from the teacher factor, as important influences

on actual computer use in the classrooms. Similarly, Mumtaz (2000) identifies a list of inhibitors that prevent the effective utilization of computers in the classroom. Among them are teaching experiences with computers, leadership supporting teachers using computers (Mumtaz, 2000), inadequate technical and administrative support (Lim & Khine, 2006). This finding does not support the assumption that teachers' attitudes towards computers are pivotal factors in the implementation of new technologies as argued by Haney and Lumpe (1995) and Yuen *et al*. (1999).

IMPLICATIONS FOR PRACTICE AND FUTURE RESEARCH

With the aim of achieving Vision 2020, the ability to successfully integrate computers in the classroom environment play a crucial role in the development of a group of technologically literate workforce that is competent in the borderless knowledge-based world (Melor Md Yunus, 2007). Hence, teachers in the Malaysian education system play a vital role in enhancing the usage of computers so that it shall bring forth a fresh look on instruction and learning. Teachers' active integration of computers in classroom instruction will not only enhance the learning environment but will also assist students to be familiar with using technology in other aspects of their lives.

The result of this study has implications on teacher educators. Teachers' computer self-efficacy, attitudes towards computers and computer use need to be taken into

consideration in implementation of computer integration in schools. Teachers need to have high level of computer self-efficacy to ensure positive attitudes towards the use of computers in the classrooms for teaching and learning purposes. The education policy makers as well as the school authorities need to look into these factors when designing computer courses or programmes to promote positive learning experiences and enhance the teachers' confidence. The teachers need pedagogical training on how to effectively use computers both during the lesson and also in the preparation of lessons with confidence rather than just training in the computer skills.

Future research should replicate this study to other types of secondary schools such as rural secondary schools, boarding schools and science colleges considering the present study is limited to urban secondary schools. Furthermore, in view of present study only utilizes the survey method, future studies may possibly consider using a mixed approach of combining quantitative data from questionnaires and qualitative data such as observations and interviews to enhance the understanding of issues and problems related to using computers for teaching and learning. In addition to computer self-efficacy and attitudes towards computers, other factors that can be looked into include the physical aspects of the school, teachers' additional responsibilities, educational changes and organizational behaviour.

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Gender Differences in Mental Health Status among Children Aged Three to Six Years

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ABSTRACT

This study was designed to examine the gender differences in children's mental health. A total of 427 children (205 male and 222 female) aged between 3 to 6 years old were recruited from 29 pre-schools in Malaysia using cluster sampling technique. Children's mental health status was measured by using Achenbach & Rescorla's *Child Behavior Checklist 1.5–5*(CBCL/1.5–5),which comprised of eight subscales. The CBCL is administered to the parents to answer regarding their child over a week's period. The findings revealed no significant gender differences on the overall mental health score and all its subscale scores, except for aggressive behavior. Boys had a higher mean score on aggressive behavior, compared to girls.This means that boys tended to be more aggressive than girls.Early detection of mental health and identification of the risk factors of mental health is crucial to understand the behavior of children.

Keywords: Mental health, children, gender

INTRODUCTION

According to the World Health Organization (2003a), mental health is a state of well-being where individuals are able to realize their abilities and to cope with normal daily stresses of life, competence, work productively, and contribute to the community. Those who suffer from mental disorder also suffer from human rights violations, society discrimination, stigma, and isolation.In fact, mental health should not only be a concern for those who suffer from mental disorders and their families. It should be a concern for everyone as mental health problems seriously affect the society as a whole, rather than a small portion of the society (World Health Organization, 2003b).

In addition, the psychological testing and intervention programs for mental health are still not well developed in Malaysia. Although attentions are given to the mental health field, psychology is still a new field in Malaysia. There are insufficient psychologists in our nation especially in the child psychology field. Also, psychologists who are trained to use psychological measurements are very few (Woo & Teoh, 2007). Therefore, it is crucial to train more psychologists in order to assess mental health problems in our nation.

Based on the World Health Organization (WHO) Report (2005), the prevalence rate of the worldwide mental health problems in children and adolescents is approximately 20 percent. Young children and adolescents are the vulnerable group of mental health problems. They should be given adequate attention and care as mental health problems started in the early years and prolonged till adulthood (Gelfand& Drew, 2003; Kessler *et al*., 2007).

Mental health field is gaining more attention especially from the educators and parents as more people are facing mental health problems due to the rapid development of the nation (Woo & Teoh, 2007). Nowadays, parents put more emphasis on their children in terms of academic achievement and other various skills as they bring glory to the family. Children are also being taught and trained rigorously in order for them to be competence when they enter the challenging society.Due to the stresses and burden, children suffer from emotional and behavioral problems(Teoh & Rose,

2001). However, children development is very complex causing mental health problems to be difficult to be detected in children especially in young children (Gelfand & Drew, 2003).

Past studies had also shown prevalence rates of mental health are much higher in males compare to females.This is because compared to girls, boys are more disruptive when adjusting where they tend to be more aggressive and hyperactive. They also use more life-threatening method such as threatening, physical violence and suicidal (Crick & Zahn-Waxler, 2003). In contrast, a study by Teoh (2010) in Malaysia revealed that female involved more in aggressive problems, withdrawn and attention problems compared to male.There is no single answer whether boys or girls are more troublesome, and who involved more in mental health problems. (Andreas & Watson, 2009; Gelfand& Drew, 2003).Thus, to answer this question, our study examined the gender differences in mental health among children in Malaysia.

METHODOLOGY

Sample and procedures

A total of 427 children aged 3 to 6 years were randomly chosen to participate in this study.The parents of the selected children were invited to answer the questionnaire regarding their child's mental health. The cluster sampling technique is used for sampling selection. The participants were randomly selected from 29 pre-schools which are located in four states which are Selangor, Kuala Lumpur, Negeri Sembilan

and Malacca, Malaysia. Prior collecting data from the parents, the researchers contacted the selected pre-schools to obtain permission and discuss with the teachers regarding the suitable time to conduct the research. The researchers also explained to the teachers regarding the proper procedure of collecting data.

On the scheduled date of the data collection, the teachers explained and distributed the questionnaires to the parents who have agreed to participate in the research. The parents are encouraged to answer the questionnaire honestly by assuring them that their information will be kept confidentially. The parents are given one week duration to complete the questionnaire. The researchers are available to both the teachers and parents by phone and e-mail where they will responds to any question regarding the questionnaire. The researchers visited the pre-schools after all the questionnaires are collected back by the teachers.

Measures

Children's mental health was measured using the *Child Behavior Checklist 1.5–5*(CBCL/1.5–5) (Achenbach & Rescorla, 2000). It is a parent-reported questionnaire used to measure behavioral and emotional problems of children which consists of 100-items. CBCLis a three-point scale where 0 is for not true, 1 is for somewhat or sometimes true and 2 is for very true or often true. This scale consists of eight subscales, which are emotionally reactive, anxious/depressed, somatic complaints,

withdrawn, sleep problems, attention problems, aggressive behavior, and other problems. Higher scores indicate greater intensity of behavioral and emotional problems. The CBCL is translated into Malay language as it is the national language of our country. The Malay version of CBCL is translated using the back-to-back translation. Content validity of the Malay version of CBCL is assessed by two bilingual experts with professional expertise in the child development field. The present study showed good reliability where the overall Cronbach's alpha for the Malay version of CBCL scale is0.951.

RESULTS

Data was analyzed using the Statistical Package for the Social Science (SPSS version 16). The independent sample t-test was used to examine the differences of children's mental health among male and female. In the present study, there were 427 children who consisted of 205 boys and 222 girls. Their aged ranged from 3 to 6 years old with a mean age of 4.5 years.

The borderline and clinical cut-off points for the Child Behavior Checklist are the 93rd and 97th percentile of the normal sample(Achenbach & Rescorla, 2000). From the data obtained, all the respondents were within the normal range of the Child Behavior Checklist. The mean and standard deviation for the CBCL total score were M= 79.07 and SD=34.23. The mean and standard deviation for CBCL total score and subscales are presented in Table 1.

TABLE 1
Mean and standard deviation for CBCL total score and subscales

Scales	Mean	Standard Deviation
CBCL total score	79.07	34.23
Emotionally reactive	8.06	4.28
Anxious/depressed	7.25	3.64
Somatic complaints	6.73	4.66
Withdrawn	5.62	3.86
Sleep problems	4.33	4.87
Attention problems	4.87	2.03
Aggressive behavior	19.22	8.78
Other problems	22.99	10.68

The gender differences in the mean scores were determined by using independent sample t-test. Based on table 2, there was no significant difference between gender and children's mental health total score. However, there a significant gender difference between aggressive subscale (t= 3.091, p ≤ .05), where the mean for boys and girls are 20.56 and 17.98 respectively. Thus, boys were more aggressive than girls in this study. The effect size for the differences between gender and aggressive subscale is 0.021, which is small (Cohen,

TABLE 2
Mean differences between gender, CBCL total score and subscales

Scales	Mean	Standard deviation	t	p
CBCL total score			1.543	.124
Boys	81.70	33.09		
Girls	76.64	35.16		
Emotionally reactive			.696	.487
Boys	8.21	4.14		
Girls	7.92	4.40		
Anxious/depressed			-.260	.795
Boys	7.20	3.55		
Girls	7.29	3.73		
Somatic complaints			-.057	.954
Boys	6.72	4.36		
Girls	6.74	4.93		
Withdrawn			-.031	.975
Boys	5.61	3.89		
Girls	5.62	3.83		
Sleep problems			1.218	.224
Male	4.52	3.32		
Female	4.15	3.19		
Attention problems			.846	.398
Boys	4.96	1.99		
Girls	4.79	2.07		
Aggressive behavior			3.091*	.002
Boys	20.56	8.38		
Girls	17.98	8.96		
Other problems			1.741	.082
Boys	23.91	10.45		
Girls	22.13	10.85		

* Correlation is significant at the 0.05 level (2-tailed)

1988).The small effect size means that only 2.1% of the variance in aggressive behavior is explained by sex.

DISCUSSION

The CBCL scores of the boys and girls in the present study were within the normal range. Thus, none of the children had mental health problems. The t-test results also indicated there were no significant differences on the scores of the boys and girls on most subscales, except for aggressive behavior. The gender difference was only found significant in the children's aggressive behavior. The boys scored higher on aggressive behavior, compared to the girls. Aggressive is behaving in a threatening way, forceful and attacking (Hornby *et al*., 2010). Children with aggressive behaviors tend to argue with others, be mean to others, attack people and destroy others' things.

Our results supported previous findings that suggested aggressive behavior varies among gender where boys tended to be more aggressive than girls (Xing *et al*., 2011). Boys were more likely to be involved in fights and bullies, hit others, destroy property, use of weapon, and behave in ways that hurt people (Gelfand & Drew, 2003). Past studies indicated that boys were more often diagnosed with conduct disorder, hyperactive, and pervasive developmental disorders compare to girls(D'Oosterlinck, Broekaert, Wilde, Bockaert, &Goethals, 2005). In contrast, more girls were diagnosed with oppositional defiant disorderswhere they displayed an age-inappropriate recurrent pattern of stubborn, arguing, throwing tantrums and defiant behavior.Another local study supported that there are gender differences in physical aggression where boys are more aggressive physically than girls (Kong, Maria, & Samsilah, 2012).

In this study, significant gender difference was only found in aggressive behavior. At this age stage, children have limited ability to express their thoughts and feeling verbally. They may snatch anything they want from others without asking politely due to the limited verbal abilities. They do not realize when they had offended someone by saying something inappropriate or hurt someone as their vocabulary in expressing themselves are limited.However, language abilities in girls develop earlier compare to boys. Girls acquire language and develop verbal skills at an earlier age than boys. Thus, girls are able to converse more fluently and express their opinions, feelings, wants, and needs in a better way (Shaffer & Kipp, 2010). In contrast, due to the limited language skills in boys, they may tend to express themselves through physical aggression. This may eventually lead to aggressive behavior in boys where they involve in fights, hurt others, throw temper, and easily get frustrated when things do not run according to their way.

Also, gender roles may contribute to the higher aggressive behavior in boys as boys are viewed as tough, dominant, aggressive, and unsentimental, while girls should be nurturing, polite, sociable, and emotionally expressive (Wenar & Kerig, 2006).This influence parents to play rougher with boys

than girls. Parents also react negatively if girls involve in aggressive behavior and boys are sissy. In addition, parents encourage children to play with gender appropriate toys where boys play with toys which symbolize destructive such as guns, tanks, missile, and soldiers, while girls play with toys which symbolize calmness such as dolls, cooking utensils, and clothes. These eventually promote the aggressive behavior in boys where they seem to gain approval from their parents to act aggressively (Tieger, 1980).

However, our study did not revealed a significant result for emotional problems, anxious, depressed, somatic complaints, withdrawn, sleep problems, and attention problems with gender. This finding is in contrast with past studies where they showed children's mental health varies according to gender (Crick & Zahn-Waxler, 2003; Syed, Hussein, & Mahmud, 2007; Teoh, 2010; Zahn-Waxler *et al*., 2008). Past studies showed that female scored higher than male in emotionally problems, depression, and anxiety,while male involved more in attention and disruptive problems (Davis, Sawyer, Lo, Priest, & Wake, 2010; Zahn-Waxler *et al*., 2008).This contrast may due to other confounding variables such as culture, race, family, age, and socioeconomic that may affect the other subscales of children's mental health (Gelfand & Drew, 2003).

In another research by Teoh (2010), the prevalence level of mental health in primary school children ranged from 5% (delinquency) to 27.6% (somatic complaints) while the prevalence level of mental health in secondary school children ranged from 5.8% (anxiety) to 27.7& (somatic complaints). This shows that mental health in children should not be taken lightly. The children in our study are mentally healthy maybe due to their young age. However, there is a possibility that they will suffer from mental health due to the heavier stresses imposed on them as they grow older.Thus, it is crucial to monitor the children's behavior and understand them if they behave differently.

CONCLUSION, IMPLICATION AND LIMITATION

The present study had discussed about the gender differences in mental health among children. Although the present study provided additional information to the mental health field, it still has limitations. One of the limitations of this study is where the aggressive behavior is measure as a whole.In other study, aggressive behavior is further divided into direct aggression and indirect aggression where boys involved more in direct aggression while girls used more indirect aggression (Kerestes&Milanovic, 2006). Also, girls use more verbal aggression compared to boys (Mash & Wolfe, 2010; Zahn-Waxler *et al*., 2008).However, there is a study revealed that boys involved more in both verbal and physical aggression (Hudley *et al*., 2001). Therefore, for future studies, it is recommended to examine a broader concept of aggressive behavior.

Another limitation is the respondents' bias when answering the questionnaire. The researcher is unable to control the

respondents' bias including the social desirability bias when answering the questionnaire. Future studies are recommended to conduct experimental research or obtain data from different sources such as teachers or other major care-giversto minimize the bias.

The findings of this study revealed that mental health subscales have no significant differences with gender except for aggressive behavior. It is a relief to know that the mental health problem is not serious in young children aged 3 to 6 years old. However, past studies showed that adolescents and children in primary schools started to suffer from mental health problems (Kong, Maria, & Samsilah, 2012; Teoh, 2010; Uba, SitiNor, Rumaya, & Mansor, 2012). Thus, longitudinal studies are recommended for future studies to identify the risk factors of mental health as the developmental factors such as maturation and parents' expectation are unable to study in this cross-sectional study.

Mental health problem has been found to be increasing especially in older children (Teoh, 2010; WHO, 2005). Thus, children should also be monitored and observed strictly to ensure they are mentally healthy throughout their development. Intervention programs such as parents' training programs are recommended to aid parents in maintaining a healthy lifestyle for their children.

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Motivating Factors in the Implementation of ISO 14001 in the Packaging Industries in Northern Region of Peninsular Malaysia

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ABSTRACT

This research is conducted to identify a number of factors that motivates an organization to adopt the ISO 14001 standards. This study is conducted amongst the packaging industries within Northern Region of Peninsular Malaysia. The local industries support the adoption of the ISO 14001 Standard as the Malaysian Standard in 1998 and its revision in 2004. However, the awareness on the importance of the ISO 14000 series standards intended for the industries is still limited. The results from the questionnaire survey show that there are 81% of the companies aware of the ISO 14001 standards but only 23% of them are ISO 14001 certified. The mean value calculated indicates that *concern of top management to the environment* is the main motivating factor to implement the ISO 14001 standards. It is followed by *meeting clients' needs* factor, *enhancement of corporate image and credibility* factor, *improving competitive edge* factor, *overcoming trade barriers* factor, *conforming to head office environmental practices* factor, *potential cost savings and benefits* factor, *improvement of employee welfare in the area of environmental health* factor and finally *meeting Malaysia's environmental regulations* factor. Among the motivating factors, only *meeting clients' needs* factor and *conforming to head office environmental practices* factor show the significant impact to the ISO 14001 standard certification. It is due to the small sample size of data used in the statistical analysis. Finally, the motivating factors are ranked according to their strengths obtained in the statistical analysis.

Keywords: motivating factors, ISO 14001 standards, packaging industries

INTRODUCTION

The environmental problems that we confront have expanded from local and regional to global. Resource consumption and environmental emissions originating

from industrial activities pose serious threats to human health and the stability of the ecosystems. Therefore, adopting environmental management is the most effective way for organization to deal with global environmental regulations. By April 2005, more than 88000 facilities worldwide have certified their Environmental Management Systems (EMS) to ISO 14001, the global EMS standard (Peglau, 2005) and thousands more have adopted uncertified EMSs. EMSs are strategic management approaches that define how an organization addresses its impacts on the natural environment (Darnall et. al, 2008). Environmental management is considered as a vital tool for the survival of the organization in the 21st century. In this study, a survey based on questionnaire has been conducted to identify factors that influence the decisions of a company, located in Malaysia, in implementing the ISO 14001 standards. The survey is concentrated on the packaging industries within Peninsular Malaysia. The aim of this study is to identify factors that motivate an organization to adopt the ISO 14001 standards. The subsequent seven sections of this paper are structured as follows:

1. research hypotheses;

2. literature review;

3. material and method results;

4. finding;

5. discussion; and

6. conclusion.

RESEARCH HYPOTHESES

The objective of this study is to investigate whether the factors i.e., *Overcoming trade barriers (V1), Concern of top management to the environment (V2), Potential cost savings and benefits (V3), Enhancement of corporate image and credibility (V4), Improvement of employee welfare in the area of environmental health (V5), Meeting clients' needs (V6), Improving competitive edge (V7), Conforming to head office environmental practices (V8)* and *Adopting ISO 14001 standards as part of Malaysia's environmental regulations (V9)* Motivating the company to adopt ISO 14001. There are a total of 9 predictor variables (V1 to V9) in this study. Thus, the null hypotheses and alternative hypotheses are developed as the following:

$H_0 : \beta_1=\beta_2=\beta_3=\beta_4=\beta_5=\beta_6=\beta_7=\beta_8=\beta_9=0$
$H_1 :$ At least one β is not zero

The null hypothesis claims that there is no significant correlation at all. It means that all of the coefficients (β_1 to β_9) are zero and none of the variables (V1 to V9) belongs in the predicted model which is the intention of ISO 14001 standard certification. The alternative hypothesis is not that every variable (V1 to V9) belongs in the model but that at least one of the variables belongs in the predicted model which is the intention of ISO 14001 standard certification.

LITERATURE REVIEW

This study attempts to identify factors that motivate companies to pursue ISO 14001 certifications. The considered factors are

overcoming trade barriers, *concern of top management to the environment*, *potential cost savings and benefits*, *enhancement of corporate image and credibility*, *meeting clients' needs*, *improving competitive edge*, *conforming to head office practices* and *meeting Malaysia's environmental regulation*.

V1: Overcoming Trade Barriers

Malaysia is a developing country that has been exporting the packaging products to most of the developed countries like the US, Europe, Japan and etc. According to Cascio *et al*. (1996), if the ISO 14001 standards are applied strictly, these requirements have the potential to bar most manufacturers from developing countries from exporting their products. It is believed that the ISO 14000 series may become a barrier to international trade. From a survey based on the 1997 United Nations Industrial Development Organisations (UNID) on 351 organisations, it is found that 53% of the organisations agree or strongly agree that foreign environmental standards already hinder export opportunities (Harrington & Knight 1999). Thus, it is interesting to discover whether this is one of the motivating factors in implementing the ISO 14001 standards in Malaysia.

V2: Concern of Top Management To The Environment

According to a survey conducted by Berry and Rondinelli (1998), top management leadership has been identified as one of the six critical elements that is required to create an effective proactive environmental management. A study by Gupta (1995) reports that 92% of the 400 CEOs and top executives surveyed agree that the environmental challenge is one of the central issues of the 21st century. Thus, this study enables us to determine whether the concern of top management to the environment is one of the crucial factors in adopting the ISO 14001 standards.

V3: Potential Cost Savings And Benefits

Hughes (1996) argues that a good EMS can pinpoint opportunities for cost savings in the area of raw materials, waste minimization or elimination of pollution, and energy efficiency. However, a study of five ISO 14001 companies in Singapore indicates that the benefits of EMS implementation far exceed the costs in the long run (Quazi at el. 1999). Our study continues to examine how far is this perception to the companies in Malaysia that intend to implement the ISO 14001 standards.

V4: Enhancement of Corporate Image And Credibility

Johannson (1995/1996) argues that ISO 14000 series standard shall promote better business, maintain good public or community relations and enhance image and market share. According to Haklik (1997), a 1990 Gallup poll discovers that 52% of those surveyed discontinue buying products from companies with poor environmental image. The auditing and monitoring process in the certified company ensures that the quality of environmental management

system is maintained leading to increase of its credibility in the global view. Therefore, enhancement of corporate image and credibility has been identified as a possible motivating factor of the ISO 14001 standard certification in the packaging companies in Malaysia.

V5: Improvement of The Employee Welfare In The Area Of Environmental Health

A study by the Asia Environmental Office of Sony International shows that the introduction of EMS has a positive effect on employee recruitment where it helps attracting capable employees (Chan 1997). Piasecki *et al*. (1999) states that no matter how compelling a corporate vision, no matter how effective a quality blueprint and no matter how clear a policy integrates technology and environment, there are of no value unless teams of individuals are personally committed to making a difference in performance. The extent of AT&T's success is due to its employees around the world taking their environment and safety responsibilities personally.

V6: Meeting Clients' Needs.

Businesses are becoming increasingly conscious about environmental management. They now prefer engaging suppliers with good environmental records. Clients who are concern of their reputation and environmental compliance requirement often choose to use suppliers or sub-contractors who are able to demonstrate satisfactory environmental performance (Kazemiekzyk 1996). Back in 1989, a study

reports that ISO certification is positively related to customer satisfaction (Saraph et. al 1989). The survey by Ofori *et al*. (2001), reports that the companies seek for ISO 14001 standard certification if clients demand it and end-purchasers insist on environmentally friendly products.

V7: Improving Competitive Edge.

According to Graff (1997), market is the primary factor that drives companies to institute an EMS. Evidently, it has been shown in a survey of 99 businesses in the US on the reasons behind their intention to seek certification which reveals that 50% of the respondents cite customer demand and improved competitive position as the two primary factors that drive them towards gaining an ISO 14001 certification. Besides this, market pressure is also one of the strongest reasons for competitive advantage over non-certified companies. It creates pressure for the non-certified companies to become certified. Parallel to the ISO 9000 experience, ISO 14000 series of standard certification may be needed to fulfil contractual requirements or a condition of placing a purchase order. Some companies may only engage certified subcontractors (Ritchie & Hayes 1997).

V8: Conforming To Head Office Environmental Practices.

Basically, the pressure to introduce Total Quality Management (TQM) in an organization comes from two basic origins. The first origin of pressure is the corporate headquarters and the second origin is from

the leading customers who have already introduced TQM programs. Such customers increasingly demand the same from their suppliers (Hunter & Beaumont 1993). Similar situations may follow in the case of ISO 14000 series standards. For example, motor industry giants like Ford and General Motors wield their enormous power on their component part suppliers to conform to ISO 14001 EMS as a precondition to do business and expect all its subsidiaries to abide as well (Moretz, 2000; Schaarsmith, 2000).

V9: Meeting Malaysia's Environmental Regulations.

Since Malaysia has shifted from an agricultural to a manufacturing based industry, toxic cleansers and hazardous materials are becoming a concern on environmental and health problems. Without proper disposal facilities, the only solution is to either stockpile the wastes in barrels on factory grounds or resort to illegal dumping. The Environmental Quality (Schedule Wastes) Regulations 1989 lists 107 different categories of toxic substances and attempts to ensure that hazardous waste generators are responsible in disposing their wastes at the Bukit Nanas Waste Management Centre in Negeri Sembilan for proper treatment, burial or incineration (SAM 2001). Under these regulations, a licensing and approval system is implemented to control firms that are involved in such activities. The Department of Environment (DOE) monitors the emissions and discharge of pollutants by industries through a self-monitoring system imposed on industries, conducting spot checks and sampling.

MATERIALS AND METHOD

A total of 210 questionnaires are distributed to all the listed packaging companies in the "FMM Directories", "PDC Directories", "Perbadanan Kemajuan Negeri Kedah companies address booklet" and "Perbadanan Kemajuan Negeri Perak companies address booklet, i.e. all the certified and non-certified packaging companies in the Northern region of Peninsular Malaysia.

The questionnaire comprises of two parts: Part 1 focuses on the demographics, while Part 2 focuses on the research questions of interest. In Part 2 of the questionnaire is designed based on 40 questions which are related to nine possible motivating factors. The respondents are asked to rate these statements based on a five-point Likert scale in which 5 = strongly agree and 1 = strongly disagree. In addition to the statements addressing the issues related to the factors, the respondents are also asked to provide information related to ISO 14001 standard certification status and the plans to get certified. Background information on their respective organizations is also requested.

To minimize response biasness, the statements are randomly jumbled for example the statements belonging to a particular factor are not grouped together. However, the data analysis statements belonging to each of the nine possible motivating factors are grouped together and analysed accordingly (Table 1). The Statistical Package for Social Science software is used to analyse the reliability and validity of the results. Multiple regression analysis is also performed to identify the

most significant factor contributing towards ISO 14001 standard certification. Finally, the intended motivating factors will be ranked according to the calculated mean values.

TABLE 1
Grouping of The Statements Under Various Motivating Factors

Motivating factors	Statement no.
V1 = Overcoming trade barriers	6, 8, 23, 24, 27
V2 = Concern of top management to the environment	2, 4, 5, 10, 15
V3 = Potential cost savings and benefits	1, 7, 9, 26, 28
V4 = Enhancement of corporate image and credibility	33, 38, 39
V5 = Improvement of employee welfare in the area of environmental health	11, 12, 14, 35
V6 = Meeting clients' needs	17, 19, 21, 22, 30
V7 = Improving competitive edge	13, 32, 34, 36
V8 = Conforming to head office environmental practices	20, 25, 29, 31, 37
V9 = Adopting ISO 14000 series standard as part of Malaysia's environmental regulations	3, 16, 18, 40

RESULTS AND FINDINGS

Descriptive Analysis

Out of the 50 participating companies, only 43 respond with complete answers. Unanswered questions are treated as "missing data" and excluded from the analysis. The results obtained from the 43 copies of survey forms show that 58% of the respondents are purely packaging companies, 33% packaging and manufacturing companies and 9% of printing and packaging companies. 29% of the companies responded are from multinational corporations, and 71% are small-medium enterprises with a net asset of less than RM2.5 million. 71% are ISO 9001 certified. 81% (35) are aware of ISO 14001 standards although only 23 % (10) are certified. The results are illustrated in Fig.1. However, 54% (23) indicate their intention to adopt ISO 14001 standards and 38% (16) of the respondents are practicing EMS.

(a)

(b)

Fig.1: (a) Classification of companies
(b) Awareness of ISO 14000 series standard

Reliability Analysis

According to Sekaran (2000) a reliability coefficient (Cronbach's alpha value) of 0.6 or above is considered as adequate to reflect the validity of measures of the variables used in the questionnaire. The Cronbachs' alpha values range from 0.5280 to 0.7901 as shown in Table 2. To enhance the internal consistency, one item each from V1 and V7 are deleted. Therefore, we can accept that the above variables are reliable indicators of ISO 14001 standard motivating factors as all of them have a reliability coefficient of above 0.6.

TABLE 2
Results of Reliability Analysis

Variables	Cronbach's Alpha	No of items removed	Cronbach's Alpha [after the removal of one item]
V1	0.5990	1	0.6251
V2	0.7017	-	0.7017
V3	0.7145	-	0.7145
V4	0.7078	-	0.7078
V5	0.7901	-	0.7901
V6	0.6455	-	0.6455
V7	0.5280	1	0.6369
V8	0.7108	-	0.7108
V9	0.7004	-	0.7004

The results show that Null Hypothesis is rejected; there are differences between all the 9 motivating factors in seeking for ISO 14001 standard certification. Table 3 presents the results of the multiple regression analysis. The results of the multiple regression analysis show that two of the motivating factors, *meeting clients' need (V6)* and *conforming to head office environmental practices (V8)* are significant at 5% level. It indicates that V6 and V8 are factors that drive a company to seek ISO14001 standard certification. The results of multiple regression analysis can be concluded in the predicted model in Equation 1. Y is a dependent variable which indicates the degree of motivation for a company to seek ISO14001 certification. In this study, we attempt to predict the degree of motivation by relating to the identified motivating factors (V1 to V9):where, Y-intercept or constant is (-0.472); β_6 is the unstandardized coefficient on the predictor variable V8 is (+0.231); and β_8 is the unstandardized coefficient on the predictor variable V8 is (-0.260).

$$Y = -0.472 + 0.231\ V6 - 0.260\ V8$$
(Equation 1)

Equation 1 indicates that V6 *meeting clients' need* is the factor that shows positive impact towards the response of getting the ISO 14001 standard certification in packaging industries within the area of study. However, V8 *conforming to head office environmental practices* is the factor that brings a negative impact on the ISO 14001 standard certification in its implementation. It may be due to the fact that most of the packaging industries are locally established as small-medium enterprises (SMEs) and that they either do not have any headquarters or they do not need to comply with their head office environmental practices. Thus, the factors that lead them to the ISO 14001 standard certification are based on their own environmental awareness. In addition, some

other motivating factors related to meeting clients' needs and conforming next to head office environmental practices should be identified and explored in depth in the next study. Besides, the same motivating factors may also be tested in different industries in the future research.

TABLE 3
Results of Multiple Regression Analysis

Independent variables	Unstandardized Coefficients β	Significant (P value)
V6=Meeting clients' needs	0.231	0.045
V8=Conforming to Head Office environmental practices	-0.260	0.023
R squared = 0.337 Significant (P value)= 0.093		

The R-squared for all the motivating factors taken together are considered to be fairly low (33.7%) as shown through the results of the multiple regression analysis. In some fields, it is entirely expected that the R-squared values to be low. For example, any fields related to predicting human behavior, typically have R-squared values lower than 50% (Blog Minitab, 2013). Despite of having low R-squared value (33.7%), we can still provide an indicative result on how changes in the predictor values are associated with changes in the response value, as we find 2 significant coefficients for V6 & V8 in this study. Independent of the R-squared value, the significant coefficients still represent the mean change in the response for the change in the predictor while holding other predictors in the model constant. Obviously, this type of

information can still be valuable. In other words, the motivating factors taken together can explain 33.7% of the variation of ISO 14001 standard of certification in packaging industries within Peninsular Malaysia with the probability value significant at 10% level. Therefore, the motivating factors can be predicted by using equation 1.

Finally, these motivating factors are ranked according to the mean values based on the respondents' opinion on the important motivating factors in getting the ISO 14001 standard certification. The results are shown in Table 4.

TABLE 4
Summary Results of Mean Value

Factors	Mean value
V2 = Concern of top management to the environment	4.0651
V6 = Meeting clients' needs	4.0512
V4 = Enhancement of corporate image and credibility	3.9302
V7 = Improving competitive edge	3.7752
V1 = Overcoming trade barriers	3.7500
V8 = Conforming to Head Office environmental practices	3.7070
V3 = Potential cost savings and benefits	3.5023
V5 = Improvement of employee welfare in the area of environmental health	3.4709
V9 = Meeting Malaysia's environmental regulations	3.2907

The results of this study indicate that *concern of top management to the environment* is the main motivating factor of ISO 14001 standard implementation. Besides, *meeting clients' needs* factor, *enhancement of corporate image and credibility* factor, *improving competitive*

edge factor, *overcoming trade barriers* factor and *conforming to head office environmental practices* factor are respectively ranked from important to least important factors in the ISO 14001 standard implementation. Whereas, *potential cost savings* factor, *improvement of employee welfare in the area of environmental health* factor *and meeting Malaysia's environmental regulations* factor are the least motivating factors towards the standard implementation. Fig.2 shows the mean values of the motivating factors indicating the intention to get the ISO 14001 standard certified.

DISCUSSION

The factors that are be able to predict the motivation in adopting the ISO 14001 standard of packaging industries have been investigated and identified. Although 210 questionnaires are posted, only 43 responses with full answers are obtained. The responses obtained are sufficient for the model prediction according to Roscoe (1975) proposes that the sample sizes greater than 30 are appropriate for most research. The mean values obtained from the Likert scale indicate that the identified motivating factors are agreeable by the packaging industries within the area of study. Based on the descriptive analysis, although the mean values, that is from 3.2907 to 4.0651, show slight difference between these motivating factors, it can still be ranked according to its popularity. The correlation coefficient test and multiple regression analysis show that there are significant differences among those motivating factors.

Based on the descriptive analysis, the highest mean value of 4.0651 indicates that most of the respondents agreed with the *concern of top management to the environment* as the most important factor that motivates them to adopt the ISO 14001 standard certification. A survey conducted by Nanyang Technology University in Singapore (Quazi *et al.* 2001) and Shanghai Jiaotong University (Zeng *et al.* 2005)
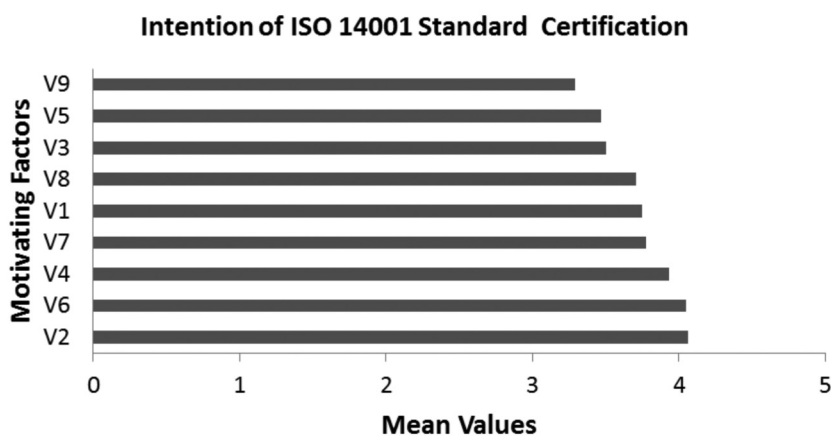
Fig.2: Mean Values of The Motivating Factors Indicating The Intention To Get The ISO 14001 Standard Certification

supports this result; the *concern of top management* is the most important factor for their predictive model development of ISO 14001 standard certification. The second ranked motivating factor is *meeting the client's needs*. Other researches seem to support this result. For example, a study conducted by Perez-Sanchez *et al.* (2003) on Small and Medium Enterprises (SMEs) in United Kingdom and Lee (2009) on the Korean SMEs, both conclude that increase of customer pressure or demand is the main drivers for green management. Meanwhile, e*nhancement of corporate image and credibility* is ranked third followed by *improving competitive edge*. A survey conducted by Maliah & Nik Nazli (2002) shows that enhancement of the corporate image is the main factor for companies seeking the ISO 14001 standard certification in Malaysia in the year 2002. Although *overcoming trade barriers* is the reason for most of the companies to be considered before the ISO 14001 standard implementation, it seems not to be a major driver in this study due to its fifth rank. Meanwhile, motivating factors like *conforming to head office environmental practices*, *potential cost saving and benefits*, *improvement of employee welfare in the area of environmental health* and *meeting Malaysia's environmental regulation* are ranked from the important to least important based on the survey results. Surprisingly, *meeting Malaysia's environmental regulation* is ranked last. This may be due to the lack of motivation from the government in enforcing the ISO 14001 standard as

part of the governmental regulation. The adoption of the ISO 14001 standard is still very much a voluntary exercise by industries in Malaysia. , An accredited certification body such as Standards and Industrial Research Institute of Malaysia (SIRIM) may play a significant role in disseminating information on ISO 14000 to the industries in order to improve the number of certified ISO 14000 companies in Malaysia. This information can motivate the industries to understand the benefits that come with this certification and subsequently pursue the ISO 14000 certification (Razuan & Suhaiza, 2013).

As mentioned earlier, correlation coefficient test and multiple regression analysis used in this study is to ensure the reliability and validity of the results. In continuation of such consideration, we find that *meeting clients' needs*, *enhancement of corporate image and credibility* and *improving competitive edge* are among the motivating factors that have a significant positive correlation with ISO 14001 standard certification. However, based on the multiple regression performed on all the factors, only two motivating factors have been identified as significant. The factors are *meeting clients' needs* and *conforming to head office environmental practices*. Only *meeting clients' need has* a significant positive impact on the companies seeking for ISO 14001 standard certification. Meanwhile, the motivating factor of *conforming to head office environmental practices* has a significant negative impact on the ISO 14001 standard of implementation. In this

case, it may indicate that it is not necessary for ISO 14001 standard certified companies to follow their head office environmental practices as they are more interested in meeting their clients' requirements.

The number of respondents is poor in this study. No doubt, larger respondents shall reflect more accurate results. However, indicative results obtained in this study seem to align with other studies (Tan, 2005), (Maliah *et al.*, 2002) and (Razuan & Suhaiza, 2013).

CONCLUSION

This research is conducted to identify factors that are considered as important motivating factors for packaging companies in Peninsular Malaysia in adopting the ISO 14001 standard. Various statistical analyses are conducted on the sample collected. The mean value of the nine factors obtained indicate that that *concern of top management to the environment* is the main motivating factor, followed by *meeting clients' needs* factor. The lowest ranked factor is *meeting Malaysia's environmental regulations*. On the other hand, based on the multiple regression performed on all the factors, only two motivating factors have been identified as significant. The factors are V6 *meeting clients' needs* with the positive significant impact and V8 *conforming to head office environmental practices* with the significant negative impact.

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Conceptual Framework of Leadership based Organizational Effectiveness Model

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ABSTRACT

Organizational Effectiveness (OE) is perhaps the most critical dependent variable in all organizational analysis and almost all organizational theories include the notion of effectiveness. Despite its significance, the construct has eluded a clear definition and/or description. Instead, it has emerged as one of the most complex and controversial issues in management. Various models and theoretical approaches have been developed to assess it but nearly none of them are universally applicable. The extant literature drawn on OE indicates leadership as the pivotal force or distinguishing factor behind the organizational effectiveness or success; and emotional intelligence being the key for effective leadership. This article in its effort to identify the constituents of OE, presents obvious theoretical and empirical evidences of its direct relatedness with leadership, emotional intelligence and motivation, and introduces a new 'leadership based organizational effectiveness model'. It includes the conceptual framework of the ongoing pilot study designed to appraise the validity and applicability of the proposed model in improving OE. The sample of the pilot study consisted of leaders (N=500) and their direct reports (N=1500) belonging to various Indian based IT and Manufacturing organizations.

Keywords: Emotional intelligence, leadership, motivation, organizational effectiveness, ESCI, Self-Motivation, motivating others, OE model

INTRODUCTION

Organizational effectiveness is a term that is complicated, controversial, and difficult to conceptualize (Chelladurai, 1987); various models and theoretical approaches have been developed to assess it. Different models with their relating criteria reflect

different values and preferences of schools of thought concerning effectiveness (Walton & Dawson, 2001). In spite of the extensive academic interest in the topic, there still remains confusion and controversy about what constitutes organizational effectiveness and how it should be measured (Forbes, 1998; Shilbury & Moore, 2006). Discovering distinguishing features between effective and ineffective organizations is the major challenge for organizational evaluation and the issue is as old as organizational research itself (Cameron, 1980; Kalliath, Bluedorn, & Gillespie, 1999; Shilbury & Moore, 2006). Hence, further research in this area is imperative.

RATIONALE BEHIND THE STUDY

Over the few years, the impact of leadership on company success continues to grow in importance. One of the primary areas of research in the area of leadership involves examining the leaders of successful companies to determine what sets them apart from their peers, as leadership effectiveness is believed to have a direct relationship to business performance (Collins, 2001; George, 2003; Bossidy & Chara, 2002). However, the theories of what constitutes leadership effectiveness are varied, and sometimes conflicting (Kroeck *et. al*., 2004). Goleman (2001) believes that emotional intelligence may be the long-sought missing link that will unite the ability and motivational or dispositional determinants of job performance.

As companies endeavor to do more with less, seeming soft skills, based on emotions, are associated with leadership effectiveness and organizational success (Brooks *et al*., 2003). Research during the last twenty five years has consistently pointed to a set of competencies - some purely cognitive but on some emotional aspects such as self confidence, initiative and teamwork as making a significant difference in the performance of individuals. These competencies represent what is called emotional intelligence and are believed to be predictive of superior performance in work roles (Goleman, 2001). Increasing attention has been given to the role of leader emotional intelligence in organizational effectiveness (Goleman, 2001).

Goleman (1998b) considered emotional intelligence to be imperative for effective leadership: IQ and technical skills do matter, but mainly as threshold capabilities. Recent research showed that emotional intelligence was the sin qua non of leadership (Goleman, 1998b). Without it, a person could have had the best training in the world, an incisive, analytical mind, and an endless supply of smart ideas, but still would not make a good leader (Goleman, 1998a; 1992).

A person with high emotional intelligence has the ability to understand themselves and others and adapt behaviors to a given context. Individuals with high emotional intelligence and thus demonstrable personal and social competence may be oriented towards a transformational leadership style with emphasis on motivating and influencing others (Barling, Slater & Kelloway, 2000; Gardner & Stough, 2002). Research shows that an organization that was characterized

by emotional intelligence had increased cooperation, motivation, and productivity and increased profits, an association also reflected in transformational leadership literature (Bass, 1990).

George and Brief (1992) assert: "Leaders who feel excited, enthusiastic, and energetic themselves are likely to similarly energize their followers, as are leaders who feel distressed and hostile likely to negatively activate their followers". This idea features prominently in the transformational leadership literature. Transformational leaders apply emotion in motivating employees in respect of the organizational vision (Conger & Kanungo, 1998; Kanungo & Mendonca, 1996).

The link between emotions and motivation has been explicitly stated in a broad range of research by Frijda (1994); Zurbriggen & Sturman (2002). Mayer and Salovey (1997) assert that motivation co-varies but is not a part of the emotional intelligence construct. On the other hand, if Goleman's (2001) conceptualization of emotional intelligence is supported, one would expect to find that motivation forms a sub-component of emotional intelligence.

Lussier and Achua (2010) assert that, motivation is anything that affects behavior in pursuing a certain outcome. If organizational objectives have to be achieved, leader does have to motivate one-self and others. Thus, the ability to motivate oneself and others is critical to the success of a leader. Effective leaders influence followers to think not only of their own interests but the interest of the organization. Leadership occurs when followers are influenced to do what is ethical and beneficial for the organization and themselves.

Emotional intelligence and motivation have been shown to have a strong link with Transformational Leadership. However, according to Palmer, Walls, Burgess and Stough (2001), the amount which emotional intelligence contributes to effective leadership is unknown, despite much interest in this relationship.

CONCEPTUAL FRAMEWORK

To sum up, leadership may be regarded as the single most important factor in organizational success or failure (Bass, 1990) and from much research that has been devoted to identify the determinants of effective leadership (Yukl, 1998), it is very evident that emotional intelligence and motivation are strongly connected to leader's success and effectiveness. And, subsumption of motivation in emotional intelligence construct can play a crucial role in enhancing leadership effectiveness for achieving overall organizational effectiveness and success.

In order to endorse the conceptual framework outlined above, a novel theoretical model was developed and a corresponding pilot study to validate the efficacy of the model was designed. Fig.1 presents 'leadership based organizational effectiveness model'..

The pilot study aims at examining the inter-relationship between leadership emotional Intelligence, self-motivation and
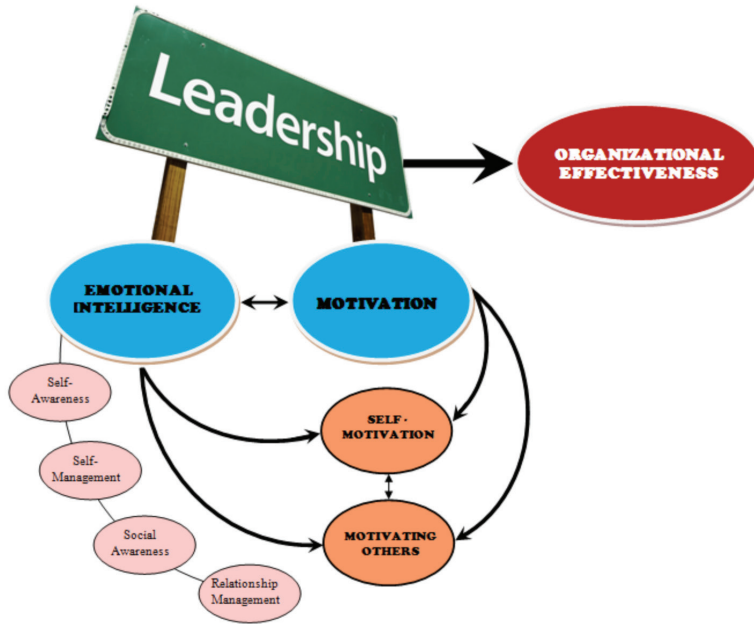
Fig.1: 'Leadership Based Organization Effectiveness Model'

the leader's ability to motivate his followers by making use of Goleman's (1995; 1998), mixed model construct of emotional intelligence which encompasses social and emotional competencies that include aspects of social skills and personality. Further, this study investigates the direct and joint influence of EI & motivation on organizational effectiveness. In addition, this novel model will be tested on the leaders of two huge organization sectors namely IT and manufacturing in Indian context.

METHODOLOGY

Research design

The extant theoretical and empirical evidences made way for designing pilot study which tests the relation and effects of three popular constructs namely emotional intelligence, motivation and organizational effectiveness. The study is designed in three parts. Firstly, to investigate the inter-relationship between leadership emotional intelligence and motivation (Self and others); secondly, to test the one-one and joint influence of emotional intelligence and motivation on organizational effectiveness; thirdly, it tests the moderation effects of demographic variables on all the three variables.

Population and Sample

The population for this study includes leaders who have direct reports working in various IT and manufacturing companies. The organizations chosen for the study are public companies who are the market leaders in India's private business sector having

nationwide network and global presence. These organizations are employing over 10,000 to 40,000 people. The sample of around 500 leaders and their 1500 direct reports are chosen from the branch offices of these organizations located in the vicinity of Bangalore and Mysore, the southern part of India.

- **Inclusion criteria***:* The population of 'leader' in this study includes all those who are handling various leadership or managerial roles at all levels of the organization namely top management, middle management and entry level or lower management.

- **Exclusion criteria***:* The sample doesn't include leaders who have less than three direct reports.

Variables and Measures

Operational Definition: The variables chosen for the study have been operationally defined as follows.

1. Emotional intelligence: "A capacity for recognizing our own feelings and those of others, for motivating ourselves" and others, "and for managing emotions both within ourselves and in our relationships" (a modified version of Goleman's definition (1998). Emotional competence: "a learned capability based on emotional intelligence that, results in outstanding performance at work" (Goleman, 1998b).

2. Motivation: Motivation is "an internal state or condition (sometimes described as a need, desire, or want) that serves to activate or energize behavior and give it direction" (Kleinginna & Kleinginna, 1981a).

   - Leader's self-motivation: Self-motivation is "the ability of the leader(s) to satisfy his desire(s) or expectation(s), to keep his actions goal-directed without being influenced by external stimuli; being able to delay gratification and working in a careful and consistent manner without giving up".

   - Motivating others: Motivating others is conceptualized in this study as "the ability of the leader(s) to understand and influence the behavior of the subordinates and to create environment of intrinsic motivation. It is also the ability to release and channelize the untapped potential energy of the team (self-directed) towards accomplishing the personal and organizational goals".

3. Organizational effectiveness: Organizational effectiveness has been conceptualized as "the ability of an organization to deal with organizational difficulties or concerns (identified in this study as Capabilities and Ownership, Operational Effectiveness, Strategy and Leadership, Trust and Motivation) and achieve the outcomes that it intends to.

Measures: To empirically investigate the proposed conceptual relation and impact of the Independent variables, Mediator

variables on Dependent variables, the following standardized psychometric measures have been identified.

To examine the self & others perceptions in emotional intelligence, the most recent model of EI namely the Emotional and Social Competence Inventory 3.0 (ESCI 3.0) developed by Daniel Goleman, Richard Boyatzis and Hay Group (Boyatzis, 2007) as a re-conceptualization of emotional competency inventory (hereafter referred as ECI 2.0) has been identified. This tool was developed with the help of the findings from a pilot study to achieve a higher psychometric standard with the ECI. The ESCI (3.0) model contains 12 competencies organized into four clusters: self-awareness, self-management, social awareness, and relationship management.

To assess leader's self-motivation and their ability to motivate their direct reports the researcher identifies two separate tools from the set of 'Leadership Motivation Assessment Tools (LMAT)' designed by Mind Tools Ltd., in 2008 for the purpose of coaching and mentoring the leaders to improve their motivating potential in order to build high performance teams.

- How motivated are you to lead? (LMAT1): This self-assessment tool was designed to assess the leaders' motivation or desire to lead, which consists of 14 self-report questions.

- How good are your motivating skills?(LMAT2): This tool consists of 15 questions framed around 4 major areas of motivation namely, providing productive and challenging work,

setting effective goals, understanding individual differences in motivation and providing rewards and recognition multi-rater feedback.

The main purpose of this study is to find an alternate measure to evaluate organizational effectiveness based on leadership. Hence the prerequisites of the measure to be identified for this study demanded to measure leadership factors in it. The only suitable measure available for the researcher was the Organizational Effectiveness Self-Diagnostic Tool (OESDT), developed by the Metrus Group Inc. in 2002. Metrus Group is an industry leader in strategic performance and organizational assessment established in 1982. The powerful organizational diagnostic tools grounded in People Equity principles have helped over 40 leading industries across the globe to improve strategy execution and business results – yielding a distinct high performance culture.

This scale was specifically designed to measure the organizational effectiveness levels within groups and to identify the areas of concern/improvement. The scale consists of 16 questions which are grouped into 4 areas of organizational difficulties namely, capabilities and ownership, operational effectiveness, strategy and leadership and trust and motivation.

Data collection Plan

The primary data for the study will be gathered from the psychometric tools pretested for reliability and validity. The secondary data will be gathered through

direct sources such as face-to-face interviews and group discussions with the respondents, overall performance report of the leaders and the organization; Indirect sources will include industrial survey data based on previous field work, online organizational reviews, online employee feedback to mention a few. 'Purposive sampling method' and 'simple convenience random sampling method' will be applied to choose the leaders and direct reports respectively.

Respondent leaders identified for the study will be administered self version of ESCI 3.0, LMAT1 and OESDT; similarly the direct reports will be administered ESCI 360^0 version of ESCI 3.0, LMAT2 and OESDT with clear instructions to indicate their level of agreement to the items of the questionnaire honestly on a likert scale.

Statistical analysis

The data collected will be edited and scored and analyzed using SPSS (Statistical Package of Social Sciences) version 17. Various techniques such as Descriptive statistics, Correlation Analysis, t-Test, Factor Analysis, Reliability test, Regression Analysis (Simple Regression, Multiple Regression and Hierarchical Regression), ANOVA etc. will be used selectively for analyzing the datasets.

RESEARCH QUESTION AND HYPOTHESIS

The research question and hypotheses are based on the following research model as depicted in Fig.2.
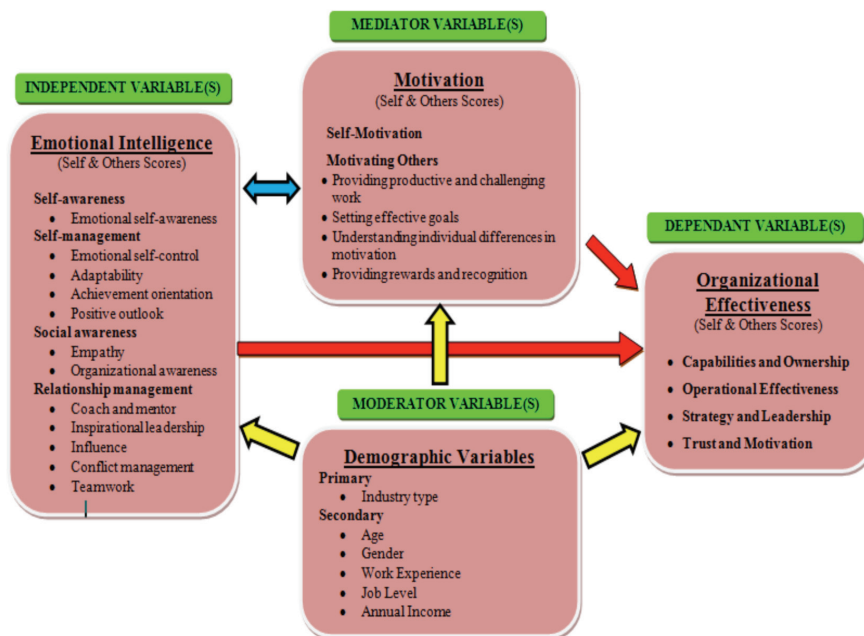
Fig.2: Theoretical Framework of the Research model

Research questions

1. Is there any relation between leadership emotional intelligence and motivation?

2. Do emotional intelligence and motivation have any impact on organizational effectiveness?

3. Are demographic variables having any moderation effects on emotional intelligence, motivation and organizational effectiveness?

4. Do IT organizations differ with manufacturing organizations in leadership emotional intelligence, motivation and organizational effectiveness?

Hypotheses of the study

In order to thoroughly investigate the research questions formulated for this study with the backing of solid literature evidences, the following hypotheses will be tested.

1. Significant relationship exists between emotional intelligence competencies of leaders and leader's motivation (self & others).

2. Emotional intelligence competencies of leaders significantly influence organizational effectiveness.

3. Leader's motivation (self and others) has significant influence on organizational effectiveness.

4. Leader's emotional intelligence and motivation jointly influence organizational effectiveness significantly.

5. Significant differences exist between emotional intelligence competencies of leaders in relation to their age, gender, experience level, designation and industry type.

6. Significant differences exist between leader's motivation in relation to their age, gender, marital status, experience, designation, industry type and compensation.

7. Significant differences exist between the effectiveness of IT organizations and manufacturing organizations.

CONCLUSION

The study offers a theoretical model based on the extant literature and develops a leadership based organizational effectiveness model towards empirically investigating the positive or negative impact of the strong or weak leadership on organizational effectiveness by way of comparing two industry sectors in India. Although EI has been measured in two-way relationships with motivation & organizational effectiveness earlier, there is no research that has attempted to examine organizational effectiveness by way of proposed conceptual framework thereby opening new avenues of evaluating organizational effectiveness on a leadership context.

Also, the contemporary measure used in the study to measure EI signifies the novelty and importance of this study. In order to obtain the recent updated version of Goleman's EI measure (see Boyatzis, 2007) i.e. ESCI (3.0), the researcher had to submit a research proposal to an international

research committee for review prior to the granting of permission to use the measure for research purpose. A feather in cap, the significance of the study was endorsed when the proposal was accepted and permission was granted.

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SOCIAL SCIENCES & HUMANITIES

Resistance through Orality (and Silence) in *Incidents in the Life of a Slave Girl,* and *Dessa Rose*

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ABSTRACT

For centuries, African-Americans have used the oral tradition not merely as a means to communicate, but also as a weapon to resist suppression and discrimination. The paper presents an analysis of the use of orality, or the deliberate suspension of it, as a tool to resist oppression and objectification in *Incidents in the Life of a Slave Girl,* and *Dessa Rose.* It further discusses how black women used orality and silence as a tool for fortification against the aggressions of slavery and for the assertion of their personal, socio- cultural and political identities. The paper concludes with a discussion of how, in the end, orality and literacy work in harmony to effectively represent the particularities of black slave women's experiences and keep the memories of their struggles alive.

Keywords: African- American literature, literacy, orality, resistance, slave- narratives, self-representation

INTRODUCTION

Orality, "the exercise of human verbal communication" (Warner-Lewis, 2004, p.117), has been a "predominant trait" (John, 2004, p.2) of African American society. A great part of this cultural tradition that came to the Americas transported through the slave ships, survives in the forms of narrative proverbs, song-tales, myths, folktales, fairy tales, animal fables, anecdotes, ballads etc. both in the oral as well as in the literary form (Killens and Ward, 1992, p.7). These forms are still being used to fulfill the primary function of a way of making sense of this complex world. Even though this function of the oral tradition is common to most of the cultures of the world, specifically in Africa, orality has been a major channel of communicating knowledge from one generation to another. The ancient West African tradition of the griots is a living example of this. The griots

have been the guardian of their tribes' oral history and genealogy. This griot- like quality is also found in the oral traditions that the slaves traded to America brought with them (Hall, 1994, p. 92). Even though the brutal and oppressive life of slavery deprived them of a lot of cultural and religious traditions they brought along, many of those traditions survived, especially orality (Atkinson, 2000, p.13). In the absence of any access to literacy, the blacks had only one of the most ancient tools of communication to fall back upon, their tongue. The tongue was their pen, paper and notebook. The spoken word was their carrier of messages and histories of struggle against the hegemonic white culture. However, for the majority of blacks especially, the black women, orality was their major weapon against the triple oppression of sex, race and class. In *Speaking Power,* Do Veanna S. Fulton (2006) defines orality as, "a speech act that resists or subverts oppression, and controls representations, thereby substantiating subjectivity" (p.13). Here, orality is not just a medium to convey the black traditions; rather it is a means to assert their humanity. Unlike oral discourse, Fulton (2006) says, orality is political in nature (p.13). Fulton (2006) emphasizes that the Black feminist orality "is the foundation of a literary tradition of African American women's writing that is the progeny of a cultural tradition of verbally articulating the self and experience" (p.2). The black women writers' representations of black femininity in their texts too are fraught with these oral characteristics. It is this politics of

orality that has been used as a tool by black writers. Black women novelists have been writing the experiences of black women; articulating through different voices the condition of their being during and after slavery. *Incidents in the Life of a Slave Girl* by Harriet Jacobs, *Dessa Rose* by Sherley Ann Williams are two texts where we can see how orality was used by black women as a fortification against the aggressions of slavery. Though, both the texts have a gap of around 125 years between them, they deal with the theme of self-representation and self-definition of black women during slavery. Like all classical slave narratives, both the texts trace their protagonists' journey from property to personhood, a journey complicated by their pregnancy and maternity. Both the texts are life stories of women who narrate their stories of terror, trauma, and resistance in a language steeped in the black American tongue.

The paper presents an analysis of the use of orality, or the deliberate suspension of it, as a tool to resist oppression and objectification in *Incidents in the Life of a Slave Girl,* and *Dessa Rose.* It further discusses how black women used orality and silence as a tool for fortification against the aggressions of slavery and for the assertion of their personal, socio- cultural and political identities. The paper concludes with a discussion of how, in the end, orality and literacy work in harmony to effectively represent the particularities of black slave women's experiences and keep the memories of their struggles alive.

ORALITY / SILENCE AND RESISTANCE

The first and foremost efforts of resistance by black women are visible in the way they try to make sense of their history. During slavery, devoid of any 'literate' means of doing so, they transferred history through orality. A desire for genuine self-representation, as against 'official' representations in history books written predominantly by the white male historians, made even the literate amongst the black take recourse to the oral history of their people. These texts, especially by women writers, were mostly autobiographical in nature. In proposing the notion that the autobiographical self is an "attempt to recreate or represent a historical self in language," Henry Louis Gates (1987) argues that we must "insist upon the recognition and identification of the black autobiographical tradition as the positing of fictive black selves in language" (p.123). In answering the question as to whether the use of existing genres was found too restrictive by these writers, Johnnie M. Stover (2003) states that this usage developed out of emotional need and not out of deliberate forethought since these autobiographies reflect the fragmented self of each writer (p. 6).

In *Incidents in the Life of a Slave Girl*, the writer, Harriet Jacobs, assumes the pseudonym of Linda Brent. Jacobs traces her life experiences as "Linda Brent" from her early days of childhood innocence when she did not realize what it was to be a slave, through her sexual harassment at the hands of Dr. Flint and other brutalities

of slavery, to the purchase of her freedom by Mrs. Bruce. *Incidents* focuses on two specific evils of slavery: how it degraded the black female slave and how it separated the members of black families.

Incidents narrates the various acts of resistance used by Linda and other slaves to nullify the oppressions of enslavement; Jacobs (Linda) depends on orality to narrate her grandmother and great grandmother's history:

> *She [Linda's grandmother] was the daughter of a planter in South Carolina, who at his death, left her mother and his three children free, with money to go St. Augustine, where they had relatives. It was during the revolutionary war; and they were captured on their passage, carried back and sold to different purchasers. Such was the story my grandmother used to tell me.* (p.5)

Therefore, Jacob's written narrative gives credit to the stories told by her grandmother. The history of a people needed to be passed on and in Jacobs's story the grandmother through her orality and Jacobs through her literacy is able to do that.

Trying to avoid the repetition of what her great-grandmother went through, Linda can be seen engaged in an effort to keep her family together. Using orality, she asserts her rights as a mother even at the risk of being caught doing so. Fulton (2006) says that the power of orality is central

to the empowerment of Linda Brent and her children's freedom (p.37). Realizing that Mr. Sands was not going to fulfill the promise of freeing their children, Linda comes out of hiding and asserts her rights as a mother, declaring "Stop one moment, and let me speak for my children." Fulton (2006) argues that the act is "exceptionally consequential" (p.37). Since slavery had left the blacks with broken families and here Linda's act of raising her voice should be seen as an effort at making the father of her children ashamed of his incapacity at protecting them as well as her attempt at keeping the family intact.

Alternately, Linda's grandmother is a woman who uses silence to withstand the trauma of broken family caused by slavery. Stover (2003) considers silence be a "mother tongue resistive technique" (p. 106). Such structures, Stover (2003)) further argues, "force readers to pause and consider possible subversive or masked authorial intents embodied in such usage" (p.106) The history that Linda's grandmother narrates to Linda is full of unspoken facts, like the paternity of her five children. Here, silence is used to construct an image of a woman who has no control over her life choices. Thus, she should not be judged by the white standards of Victorian Cult of True Womanhood that "required women to be pure, chaste, angelic and pious upholders of moral values" (Zafar & Khan, 2010, p.2). Jacobs (1987) semphasizes on this clearly when she says, "I feel that the slave woman should not be judged by the same standards as others" (p.56). It is another attempt of resistance that

we witness in this text, which is against the prevalent stereotype of the black woman as sexually promiscuous. In opposition to this kind of predominant white attitude, Jacobs projects an ideal woman, her Grandmother, who can be fitted in the aforementioned Cult of True Womanhood. Yet, the image of the grandmother as depicted in *Incidents* is an expression of the conflict that Jacobs goes though as a black woman who has to justify her decision to have children out of wedlock to her mainly white female readers of the North. Jacobs cautions her "gentle readers" not to judge Linda too harshly when she confesses to the sexual affair, "But, O, ye happy women, whose purity has been sheltered from childhood, who have been free to choose the objects of your affection, whose homes are protected by law, do not judge the poor desolate slave girl too severely!" (p.54). Stover (2003) argues that even in her plea, she does not maintain a passive stance, but makes the subject of sexual abuse against slave women a public and political issue (p.124). Incidentally, Brent's mother is a figure whose history is narrated to her through her grandmother. The long- gone mother, as portrayed in *Incidents* is one of the most virtuous women. She lived the life of a black man's wife. Linda hears people speak kindly of her dead mother who was a slave "merely in name, but in nature was noble and womanly" (p.5). Through the knowledge of her mother's character conveyed by her grandmother's stories, Jacobs can confidently juxtapose her mother's image with her own image and can confront her image as a 'fallen woman' in

the eyes of her readers, thereby, leading to an act of self-definition. Jean Fagan Yellin (1989, p. 92) writes that with women's issues as its impetus, *Incidents* is "an attempt to move women to political action". She further states in her introduction to *Incidents* that "Jacobs moves her book out of the world of conventional nineteenth-century polite discourse" (p. xiv) that expected women to be silent. The use of rhetorical questions in the text, as exemplified by her abovementioned plea to her white readers, "becomes an outlet for members of a society whose voices were denied; the technique allows them to make their opinion heard without appearing to be making a declaratory statement" (Stover, 2003, p.125).

This striving for self-representation and self-definition by blacks is a characteristic of *Dessa Rose* too. Sherley Anne William's novel, written in the genre of the neo-slave narrative, a genre comprising contemporary narratives that reimagine slavery, such as Toni Morrison's *Beloved*, begins with the question of who has the right to tell a slave's story. Williams introduces a white character, Adam Nehemiah, the author of "The Master's Complete Guide to Dealing with Slaves and Other Dependents," who interviews Dessa in prison for a book he is writing on slave uprisings. In the first section of the novel, when Dessa tells her story to Nehemiah, it becomes evident that the white writer is unable to grasp the full human import of Dessa's life and experience. Blinded by his own aspirations to become an important southern author servicing the interests of the slaveholding class, he cannot see Dessa as more than a "darky" who might provide important clues leading toward the capture of the escaped slaves and the prevention of future slave rebellions. Dessa, however, increasingly realizes the power of her narrative to influence Nehemiah, and by dropping appropriate clues she sends him on a hunt for a maroon settlement, during which time she manages to escape from prison.

Dessa's lapse into a reverie about the history of her family and their fate as chattel slaves which she heard from her "mammy's' mouth (p.126)" and her frequent inclusion of fellow- slaves, Harker, Nathan, Clara, and Miz Lady in her own account indicate towards her efforts to carve out a new family when her family of origin has been frequently ripped apart. In one of the most striking episodes of the novel, we see Dessa recoiling against the casualness with which Rufel refers to her 'Mammy'. According to David Pilgrim (2012), "Mammy is the most well known and enduring racial caricature of African American women. From slavery through the Jim Crow era, the mammy image served the political, social, and economic interests of mainstream white America. During slavery, the mammy caricature was posited as proof that blacks -- in this case, black women -- were contented, even happy, as slaves. Her wide grin, hearty laugher, and loyal servitude were offered as evidence of the supposed humanity of the institution of slavery." To Rufel 'Mammy' is a woman with no history or identity except the one she gets to know during her own life. Dessa bursts into anger." "Mammy

ain't nobody name, not they real one." She challenges Rufel to give her 'Mammy's' name which Rufel in turn is unable to do. Dessa speaks out against the objectification of the black mother figure as just a nursing maid, "See! See! You don't even not know 'mammy's' name. Mammy have a name, have children" (p.125). She calls Rufel on it and brings to light the fact that Mammy not only had a name but she may also have children: an identity separate from what she was to Rufel as a servant. Here, Dessa's challenge highlights how naming functions in the reconstruction of black identities to construct, "an oral resistance to the physical destruction of familial relationship caused by slavery" (Fulton, 2006, p.5). Dessa resists by inserting in her story the personal memories, names, and stories that have been excluded or misnamed by the dominant power.

The act of naming especially requires a consideration here because it is through naming that an important part of an individual's identity is constructed. It tells us about the legitimacy and mastery of some individuals' voices and words over others'. It is also what Fulton (2006) says "a powerful method to claim parental identity and challenge the prohibition of naming their masters as the fathers of their children" (p.33) as the legitimate father of the child would disown her/ him, and the child would be left with an incomplete self-identity. Thus, *Incidents* by Harriet Jacobs can be seen as a narrative of resistance involving what Harryette Mullen (1992) calls "resistant orality" (p.246). Even with

a pseudonym Jacobs makes her true voice heard through the narrative. By disguising herself as Linda Brent, she reconstructs a free self. In an effort to construct independent selves for her children, she takes Mr. Sands as her lover. This decision is directed towards the goal of having children that she can claim for herself and to prevent the inevitability of having children through her master, for she knows that "as soon as a new fancy took him, his victims were sold off to get rid of them"(p.56). The father of her children Mr. Sands is not unwilling that her children "should bear his name" (p.63) but Linda thinks that her children should have Christian names that will legitimize them, as Mr. Sand's name would not be accepted at the baptism. Thus, her first child is named after Linda's rebellious uncle Benjamin, "the slave who dared to feel like a man (p.15)", thereby making sure that the coming generations can know which lineage they come from. In fact, here naming is an act of self –definition for Linda and her children. Unlike the forceful renaming done by each new master that asserts the "master's ownership to the wider world" (Emmelhainz, 2012, p.171), here, Linda's naming her children is independent of the master/ slave relations and a declaration of self- representation by the oppressed.

In the case of Dessa, her various names throughout the novel *Dessa Rose* are symbolic of the various 'eyes' through which an oppressed black woman is seen. Rufel on her part sexually denigrates Dessa as a "Wench". It is in continuation of Nemi's racial nomenclature of Dessa as a "Darky".

The two names, denigrating a black woman on sexual and racial basis are the outsiders' representation of a woman who is mostly silent in the first two sections the book with the names "The Darky" and "The Wench". However, in the third section titled "The Negress", we hear a different voice, the voice of the Negress herself. This voice Fulton (2006) observes to be "simply a narrative of a Black woman, defined by race and gender without pejorative designations to her sexuality, race or class" (p.112). Interestingly, not only Dessa but Rufel is also called by various names like Ruth, Elizabeth, Mrs. Ruint, Mz. Lady, etc. This indicates towards the elements of liquidity and flexibility involved in the whole process of naming, a process that takes its shape according to the perspective of the people that participate in it. For her 'Mammy' Elizabeth Ruth was "'Fel, Rufel'" (p.132). This pet name changes to 'Mrs. Ruint' for the blacks around her perhaps because of the ruined condition she is living in. She, in turn, pet names Dessa's son as "Button". However, Dessa wants to name her son after her rescuers who were responsible for his free birth and not after her husband so that she "would not rake it up each time she called her son's name" (p.159). So, Rufel suggests "Desmond", a name that represents Dessa as well as her rescuers' initials. Here, paradoxically, Rufel, a white woman, becomes instrumental in the process of naming a black child. But the child is not named after a master. In fact, his name carries not only his father's name "Cain" as his surname, but also a whole history

of his mother's freedom from slavery. The pleasure that Rufel gets from naming Button makes her identify herself with her Mammy, put herself into her position and feel the secret pleasure that Mammy might have felt when she gave her master's child a pet name Rufel (p.160). By the end of the text, this kind of identification of herself with the black community lets Rufel be more or less at peace with Dessa. However, Nemi remains the same man. He starts with an ambition to get an "objective" account of the slave rebellion but Dessa frustrates his efforts, sometimes with her silence and sometimes answering in "a random manner, a loquacious, roundabout fashion – if indeed she can be brought to answer them at all" (p.16). In the first part, we witness a struggle between the writer Nehemiah and Dessa's alternate use orality and silence against victimization. Andree-Anne Kekeh (1994, p.222) says that a perpetual clash between Dessa's tale, grounded in things recalled, and the 'scientific facts dear to Nemiah, is conveyed throughout the novel. *Dessa Rose* is an explication of how African Americans "survived by word of mouth" as Williams (1987) says in her *Author's Note*, "and made of that process a high art" since literature and writing have often " betrayed" them (pp. ix- x). Dessa's orality highlights the limitations of literacy, when it comes to the expression of and understanding of complex states of the human psychology. For example, Dessa's outbursts when she vehemently articulates her reasons for rebelling and trying to kill white men, "I kill white mens …I kill the white mens the

same reason Masa kill Kaine. Cause I can", are beyond the comprehension of Nehemiah. He finds it "an entrancing recital" (p.13). At the same time, he is totally incompetent at empathizing with Dessa because he considers her a "darky", hence something subhuman. Later Dessa uses her orality for her freedom by communicating with her rescuers through singing in a call-and-response pattern from her cell, asking the question,

Tell me, sister; tell me, brother,

How long will it be

That a poor sinner got to suffer, suffer here?

She is joined by a chorus, and answered by a rough baritone, singing at a faster tempo against the original pace,

Oh, it won't be long.

Say it won't be long, sister,

Poor sinner got to suffer, suffer here. (pp. 64-65)

This act of communal bonding is achieved through a common coded language in the garb of spiritual that Nemi's literate mind is incapable of comprehending. In keeping with what Fulton (2006) calls, "the tradition of trickster tales in African American folklore (p.111)", we see Dessa misleading Nemi into a false search for fugitive slaves, which eventually leads to her freedom. However, Nemi in his inability to have a deeper vision of human

psyche could only regret that, "she was so deep as to give never an indication that they were then lurking about" (p.71). Nemi reconstructs Dessa's history according to his prejudices and claims, "I got her down here in my books" (p.254). But, in fact, Dessa has nothing but her memories of Kaine to give, something that Nemi never tries to understand. In the case of Linda, even though she is literate, she uses her orality against her sexual oppression. She denies her literacy to Dr. Flint when he secretly tries to pass over to her his notes detailing his sexually exploitive intentions by saying, "I can't read them, sir" (p.31). By doing so, Linda is able to escape being a participant in her victimization, says Fulton (p.38). This brings us to the limitations of literacy as a tool for empowerment for black women during slavery.

What is interesting then is how literary critics have always emphasized on the importance of literacy and the act of writing one's self into freedom through authorship of slave narratives. Henry Louis Gates (1988) argues that literacy is the sign of reason, which is the sign of one's humanity. However, texts like *Incidents* and *Dessa Rose* contest this stand. Fulton (2006) writes, " William's text suggests recorded history of American slavery- written largely by white males- both objectifies black women and ignores them as historical actors with agency and humanity. The novel demands revised histories, including those recorded by black women" (p.112). Through Dessa' story Williams is doing exactly that. By the end of the novel we see Dessa sitting among

her descendents, telling and retelling her story, because " Child learn a lot of things setting between some grown person's legs" (p.257). However, she is not so suspicious of literacy now, even though she says, "I will never forget Nemi trying to read me. Knowing I had put myself in his hands" (p.260). Her resistance to being "read" is successful at last. On the other hand, Jacobs, despite being literate, uses orality as the basis of her narrative. Fulton argues that Jacobs's literacy does not discount the power of orality rather juxtaposes the tradition of oral history of her grandmother with the conventions of the sentimental novels to construct characters that represent the particularities of black slave women's experiences (p.15).

CONCLUSION

Both the texts raise the issue of historical interpretation and exemplify the ways in which historical constructions are deeply embedded in dominant ideologies and work as instruments of power leading to the oppression and dehumanization of 'the other'. However, the protagonists of both *Incidents in the Life of a Slave Girl* as well as *Dessa Rose* use their orality and silence to resist oppression and objectification. Yet, in the process, they do not undermine the significance of literacy either. Jacobs' literacy empowers her to tell her story to the world outside and Dessa as well acknowledges the importance of writing when she makes one of her grandchildren, "wr(i)te it down". Her request that "the child say it back to me"(p.260) suggests that

both orality and literacy work in harmony to fulfill one necessity that is to keep the memories of her struggles alive, for " we have paid for our children's place in the world again and again" (p.260).

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Paternal Support as a Driver for Educational Success among Arab Muslim Canadian Women

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ABSTRACT

The growing numbers of Arab Muslim women leaving the Middle East to study at Canadian universities may seem to contradict with the Westerners' perception of inflexible universal cultural norms and traditions. For example, Arab fathers mistreat and discourage daughters in pursuing academic achievement. In this study, a representative sample of Arab Muslim women testify that their families and their Islamic faith are some of the main factors that enable them to move to Canada to complete their education. This paper sheds light on the main factors that enable Arab Muslim women who were born and educated in the Middle East to move to Canada for post-secondary studies. The empirical research comprises interviews with nine Arab Muslim women who have left their respective countries of origin to study at a Canadian university. An analysis of the data reveals that paternal support is the indispensable element that determines whether an Arab Muslim woman born and educated in the Middle East is able to pursue post-secondary studies in Canada. This paper contributes to the literature because it contests a variety of widely held stereotypes regarding Arab Muslim society, Arab Muslim immigrants to Canada, Arab Muslim women– as well as others regarding Islaf. It challenges the stereotype of Muslim women as suppressed by their male guardians. As this study demonstrates, a segment of Muslim women receive significant paternal and other male support and encouragement to pursue their higher education and careers.

Keywords: Arab Muslim women, Arab Muslim women's upbringing, parental influence on education

INTRODUCTION

Study context

According to Statistics Canada (2005), the number of immigrants from Arab Muslim countries is steadily increasing.

The Canadian population in 1996 included 188,430 Arab Muslims: this number is on the rise. Since 1999, Islam has been among the top ten religious denominations in Canada.

The first wave of Muslims began immigrating to Canada in the early part of the 20th century. They continued to immigrate during World War II. These numbers were relatively small with majority came from Lebanon, Syria, Palestine, Jordan, and Turkey (B. Abu-Laban, 1980; S. Abu-Laban & McIrvin, 1991). The second wave of Muslim immigrants came as a result of political strife and upheaval in their native countries after World War II and continued until 1967. The influx were mostly from Lebanon, Syria, Palestine, Jordan, and Iraq, the remainders were from India and Pakistan (Haddad, 1978). Most of these early immigrants settled in Ontario which now has the largest Muslim population of all ten Canadian provinces.

The immigration policy was based on the quota system during the second wave of immigration which occured between 1950 and 1967; encouraged upper-middle class immigrants with professional backgrounds, such as lawyers, doctors, and skilled technicians (Awan, 1989; Azmi, 2001). The Canadian immigration policies were not solely based on the quota system, but also on how closely the prospective immigrants ranked in racial, cultural, and linguistic similarities to the British Protestant ideal (Haddad, 1978; Hamdani, 1991).

Two points warrant some emphasis. First, up until the second wave, most Muslim immigrants were predominantly Arabs from Lebanon, Syria, Palestine, and Jordan who could 'pass' due to their light skin color similar to members of other Mediterranean groups such as Italian and Greek. Second, it is the high socio-economic status of those early Arab immigrants. The third wave of Muslim immigrants arrived after 1967, following the replacement of the "quota system" with the "points system." With the point system, fewer points were necessary to be accepted as an immigrant (B. Abu-Laban, 1980).

Research indicates that in 1997, of all immigrants coming to Canada, 18% were from Africa and the Middle East (Agnew, 2002). Since 2001 there has been a 25% increase in the Muslim population, and according to Statistics Canada (2005), between 1990 and 2001 the number of immigrants from Muslim countries has increased by 128%. In addition, "two percent of Canada's 31 million are Muslims" (Nimer, 2002, p. 21) and two thirds of the entire Canadian Muslim population reside in Ontario. The Muslim population comprises South Asians (37%), Arabs (21%), and West Indians (14%), with the rest coming from Africa, China, and other countries. Also, in the past 20 years there has been a 400% increase in the number of Canadians who say that they are members of the Islamic faith. In fact, since the 1991 census, there has been a 122% increase in number of people with Islamic faith. The impact of such large numbers of a particular immigrant group on Canadian society cannot be underestimated. Furthermore, given the

way in which women are positioned in both societies, Arab Muslim and Canadian, it is important to conduct a study that examines the perceptions of Arab Muslim women about their role within this new context.

For the last three decades have, evidently, there has been a growing trend of Arab Muslim women leaving the Middle East to study at universities in the United States, the United Kingdom, Australia, and Canada, as well as other Western countries. They are independent enough to experience it without direct supervision from members of their family.

Given the cultural norms and traditions that continue to prevail across the Arab Muslim world, this phenomenon might seem counter-intuitive. Women in this part of the world are often relegated to positions of inferior status both within the household and elsewhere. The custom is for a woman to marry while still in high school or shortly thereafter. They are to forsake higher education, career, and individual achievement for her husband and his family honour.

The classic view is that only the roles of wife and mother provide a woman's true identity; all other aspects of her intellectual and social life are to be directed or subordinated to these dual roles. Ironically, despite these longstanding norms and traditions, a growing stream of women from countries like Saudi Arabia, Egypt, Syria, and Jordan are pursuing post-secondary studies in Canada and elsewhere in the West in order to improve their lives and expand their horizons. This pattern raises many important questions, some of which are the focus of this research project. This research supports other studies (Ahmed, 1992; Read and Bartkowski, 2000) that have discussed how Arab Muslim women are able to challenge the status quo. Haddad (2005) argues that "Muslim women in North America and the United Kingdom have been concerned about the prevailing diatribe and stereotypes about the religion of Islam and its teachings about the role of women" (p. 112). Haddad also points out that "during the same period, a handful of Muslim women from the Arab world begin to achieve public recognition as scholars and academicians. Generally, they are recent immigrants, educated overseas who acquire graduate degrees at American and European universities" (p. 113). For some time, Muslim women in the West have been challenging the existence of the stereotype propagated by the media and academic literature that Islam is inherently opposed to women's rights (Abu-Lughod, 1998; Alghamdi, 2002; Cayer, 1996; Cook, 2001; Hamdan 2009; Mehdid, 1993; Mani, 1992). For instance, according to the Canadian Council of Muslim women (2004), Canadian Muslim women can lay claim to the following educational attainments: nearly one in three Muslim women has a university degree compared with one in five among all women in Canada; twice as many Muslim women hold Master's (5%) and doctoral degrees (0.8%) in comparison with all women in Canada; nearly two-fifths (37%) of Canadian Muslim women specialize in a science or engineering discipline compared with 31%

of all Canadian women who are enrolled in university; and proportionately twice as many adult Muslim women compared to all adult Canadian women are enrolled in educational institutions for the purpose of improving and upgrading their skills and qualifications.

The primary objective of this study is to explore the most prominent factors that affect Arab Muslim women born and educated in the Middle East proceed to study at Canadian or other Western universities. The secondary purpose is to challenge and contest the prevailing Western stereotype that virtually all Arab Muslim women are passive, veiled creatures who grew up under the overbearing power of patriarchal fathers and extended families. While there is some truth to this caricature, the actual picture is much more complex and nuanced – as is suggested by much of the literature about Muslim women (Lughod, 1998; Alghamdi, 2002; Cayer, 1996; Cook, 2001; Hamdan 2009; Mehdid, 1993; Mani, 1992), for instance, according to the Canadian Council of Muslim Women (2004).

The tertiary purpose of this study is to shed light on a growing and greatly misunderstood segment of the Canadian population. Throughout the past few decades and since the beginning of significant ethnic-minority immigration to Canada, research on the educational attainment of minorities in Canada has largely overlooked Muslim families in general and Muslim women in particular. Given that this demographic group is rapidly expanding across Canada and, as of 2002, comprised 2% of the Canadian population, it follows that scholars need to focus greater attention on the distinctive characteristics of this group.

This paper submits that paternal support is the indispensable factor that determines whether an Arab Muslim woman born and educated in the Middle East pursues university studies in a Western country such as Canada. This conclusion is reached through an analysis of data gathered by interviews. What follows is an overview of the theoretical framework, description of the sample group, methodology and interview dynamics, results and discussion, and conclusion.

Theoretical Framework

The theoretical framework of this study is drawn from Sandra Harding's work on standpoint theory (1991; 2004; 1983; 2000). She describes it as "not just as an explanatory theory, but also prescriptively, as a method or theory of method (methodology) to guide future feminist research" (2004, p. 1). Standpoint theory is used because the research is performed from a woman's standpoint and thinking from the perspective of women's lives. It starts from the lives of Arab Muslim women.

The literature review that informs the research comprises three aspects: one encompasses literature on feminist and gender theories, shedding light on gender construction theories and Sandra Harding's aspect of standpoint theory in which inquiries start from women's lives. The second aspect is the Islamic perspective. The third is the Arabic feminist perspective

on issues pertinent to gender in Arab Muslim societies. Islamic foundational perspectives on women's issues in the *Quran* and *Sunna* are highlighted. Islamic teaching to women is greatly supportive of women's causes, and the history of the early Islamic era inspires Muslim women to obtain their optimum. Nowhere in the authentic religious texts does Islam appear "as fundamentally antagonistic to women's causes" (Mooney, 1998, p. 94). Nonetheless, the realities of many women in Arabic Muslim societies are depressing because of the focus on literal interpretations of the religious texts. The connection made between education and gender in this study is not only based on the sense of how one's gender affects one's schooling but more on how one's perception of oneself may change as a result of one's education.

The Sample Group

Nine Arab Muslim women have been interviewed in order to gain a better understanding of the factors that enable them to achieve educational and career success in Canada. In order to gain access to Arab Muslim women who have been educated in Arab Muslim nations and then moved to Canada to continue their post-secondary education, contact has been established with various councils, clubs and associations, including the Society of Graduate Students' Council, the Arab Students' Association, and the Muslim Students' Association that are affiliated with universities in South Western Ontario as well as the Arab Muslim local community. These associations have been contacted, and the researcher's email

address has been given to any interested participants. It is soon apparent that many young Arab Muslim women do not fit the research criteria because they have not studied in Arab Muslim countries and have immigrated with their families at young age. Almost all their acquaintances and friends are first, second, or third generation Canadians. One of these women takes it upon herself to solicit participants for the research after *Jomaa*.[1] Soaad,[2] helps securing almost all the participants. She becomes a valuable source and that reveals another aspect of community cohesiveness and communication.

The age range of the nine female participants is between 19 to 55. Most of them represent, to some extent, a deviation from the mainstream cultural norms and traditions discussed throughout this paper. All the participants are Arab Muslim immigrants living in Canada and they migrated to the country as young adults after acquiring certain part of their education in their countries of origin. These countries include Egypt, Libya, Lebanon, Palestine, Sudan, and Syria. The key personal and demographic characteristics of the nine women interviewed are as follows:

1. age;
2. parental background;
3. type of schooling, be it sex-segregated or co-educational;
4. type of environment prior to migration, urban or rural area;

[1] A prayer held every Friday afternoon.
[2] This is a pseudonym.

5.   marital status;

6.   number of children; and

7.   highest level of education.

Table 1 highlights some demographical information of the participants.

The women's experiences do not represent all women in Arab Muslim societies nor do they represent the experiences of all Arab Muslim women in Canada. They definitely do not constitute a statistical sample. Rather, they are exemplars of a minority trend in the Arab Muslim world that is steadily increasing in strength as a function of the growing numbers of women completing higher education in their country of origin as well as abroad. This is a trend that clearly deserves to be studied.

Interview and Methodology Analysis

The one-on-one interviews with these women involve asking open-ended questions that allow the participants' ideas and narratives to flow. First, the participants are given a demographic questionnaire that poses questions about place of birth, date of birth, education, profession, marital status, number of children and educational background. As to provide them with ample time to reflect, they are also given the research questions before the interview. The interviews are recorded and each session takes approximately three to four hours. Most of the interviews are conducted in English; however, three interviewees choose to speak in Arabic. The tapes are transcribed once the data are collected.

Following data collection and transcription, a content analysis is performed, taking into account the principle that "[t]he data are analyzed and interpreted in light of the research objectives" (Cohen & Manion, 1994, p.287). The interviews are treated as "a recorded interaction and then analyzed as a conversation analysis" (Czarniawska, 2004, p.50).

TABLE 1
Demographics of the participants

Name	Year of birth	Profession	Marital status	Year of arrival in Canada	Number of children (if any)	Highest level of education
Yasmine	1961	Family Physician	Married	1984	7	M.D.
Nora	1968	Sport Psychologist	Married	1999	2	M.Sc.
Morooj	1956	Photographer	Married	1999	5	B.A.
Sahra	1973	Computer- analyst Engineer	Married	1999	2	M.Sc.
Ruba	*	Computer- analyst Engineer	Single	1994	None	M.Sc.
Fadwa	1979	Teacher	Single	1995	None	M.A.
Eman	1971	Teacher	Married	1996	3	B.A.
Wafaa	*	Teacher	Single	1998	None	B.A.
Nahlaa	1985	Engineer	Single	2003	None	B.Sc.

The assessment of the data is carried out in accordance with the principles of content analysis. Silverman (2000) defines it as follows: "The researchers establish a set of categories and then count the number of instances that fall into each category" (p. 826). Each interview transcript is read and portions of the text that are related to the research questions are highlighted. The data are then divided into themes or categories to be analyzed. A temporary category is assigned to each highlighted section of the transcripts. This process produces a list of categories that can be used in subsequent portions of the text whenever they seem appropriate (Seidman, 1991; Stein & Paterno, 2001).

According to Silverman, it is crucial when conducting content analysis that the categories are sufficiently precise to enable different coders to arrive at substantially the same results when the same body of material is examined. In this analysis, attention is given recurring themes and contradictory and socially embedded gender discourses. The researcher's insider position as an Arab Muslim woman become beneficial in the analysis of narratives:

> *The role of the researcher's own experiences in reporting that of others; the capacity of narrative methods in the social sciences to report human experience; and the virtue of 'self'-consciously fictional story as a form which can bring and hold together the experiences of the researcher and of the subject* (Clough, 2002, p.62).

Wetherell *et al.* (2001) argues for the need for "self-description" as a requirement and an account of the researcher's accounts, influences, constraints, and relationships to the topics and the data which she or he is capable of providing as an insider. In the analysis of the current data, the framework of Miles and Huberman (1994) is employed. The steps they suggest for the analysis of data are data reduction, data display, conclusion drawing, and verification. Following familiarization with the data, an initial set of category labels is created, data is conceptualized, and then categorized through comparison and re-examination. Patterns and themes, among and between interviews are also determined (Miles & Huberman, 1994). Krueger (1988) posits a continuum of analysis ranging from raw data through descriptive summary statements to interpretation. Similar to all qualitative analysis, this research study also has an ongoing process of constant checking and cross-checking between raw data and interpretation (Cao, 1997).

Thematic and content analyses are used to analyze the women's narratives. In the thematic analysis, different streams of data are analyzed for recurring topics and themes with regard to the participants' social position, self-understanding and experiences (Smith, 1992; Winter & McClelland, 1978). According to this method, any text can be examined for thematic content that might reveal the ideological, motivational, and idiosyncratic, meanings of individuals, groups, relationships, symbols, and institutions.

Thematic analysis involves noticing recurring themes and patterns of association in content, that is themes that co-occur, and in a single text. Subsequently, different texts from other participants or sections of the texts are compared to detect particularized meanings by contrast. These two procedures, interpretive analyses of association and contrast sometimes yield a codified set of categories that enables the systematic content analysis of many texts (Stewart & Malley, 2004, p. 225). When thematic analysis, itself, is the goal, systematic coding of texts is always secondary to an initial thematic analysis in which patterns of association and contrast are uncovered (Stewart and Malley, 2004, p. 225; Winter, 1973).

This research project employs thematic analysis to explore how the participants narrate their gender perceptions which may have been influenced as a result of attending Canadian educational institutions.

Interview Dynamics: An Insider Researcher

An Arab Muslim woman interviewing Arab Muslim women and exploring the various factors that contribute to their educational attainments might constitute a dilemma for social-scientific research. The researcher is aware of the power dynamics and the potential for bias inherent in insider research. Yet, by applying a methodological approach to ensure that the voices of these women are heard through their own narratives, it is nevertheless possible for an insider researcher to make a proper assessment of the evidence.

The interviewed women incorporate their life experiences that have highlighted some of the most salient factors that have influenced their educational attainments. The author's interest in exploring the narratives of Arab Muslim women who were born and educated in the Middle East and then preceded to higher education in Canada stems from her own personal background. The author is a Muslim woman who have lived in Saudi Arabia during her undergraduate years and then migrated to Canada to pursue graduate studies.

Her parents' support and in particular her father's interest in her educational achievements is evident throughout her schooling in both countries Saudi Arabia and Canada. It challenges the stereotype of Muslim families being uninterested in their daughters' education.

Researchers such as Ahmad (2001) have argued that "Muslim parents have played an instrumental role in encouraging their daughters to succeed both academically and professionally" (Brah, 1993, p. 448 as cited in Ahmad, 2001, p.143). Other research findings of other scholars (such as Siann and Knox,(1992); Kitwood and Borrill (1980); Stopes-Roe and Cochrane, (1988); Ahmad, (2001), p. 143; Haque, (2000), p. 155 also reveal little evidence to suggest that parental restrictions hinder vast majority of Muslim girls from pursuing their career choice. All these researchers' findings are congruent with the author's research and resonate with the manner in which the women interviewed have been encouraged by their fathers. Patriarchy typically does play a significant role in the construction of gender in Arab

Muslim society. At the same time, the author's rich and multifaceted experiences in her native culture and in the Canadian context have enabled her to contest the dominant perceptions of gender discourses in her home society and in her stereotyped identity in Canada.

RESULTS AND DISCUSSION

Traditional Approach to Female Education

There is a close relationship between women's education and their gender identity of inferiority in Arab Muslim societies. The gender construction of Arab Muslim women is the product of deeply rooted cultural norms and traditions. It is emphatically not a manifestation or product of Islam in its true form.

One of the main reasons for the extraordinary influence of cultural norms and traditions in the Arab Muslim world is the collective orientation of the society. An important aspect of this collective orientation is the fact that both extended family members and neighbours are considered to be close. This emphasis on the group results in an individual possibly risking her or his self-reliance and personal autonomy. While "individualists retain their identity, their sense of 'me'" (Myers, 1996, p.214), a collectivist may feel obliged by cultural norms to sacrifice personal freedom.

A major disadvantage of collectivism is that it typically leads the individual to consistently seek the approval of others for her or his decisions. Based on the participants' narratives, it can be seen that they all share a strong sense of obligation towards their immediate and extended families. For Arab Muslim women, family and group approval for their decisions is almost always of great importance. The tradition of female social 'inferiority' is extensively visible, for example the widespread and overwhelming cultural bias towards having boys. The collective character of the society reinforces such biasness.

In Arab culture, a son is not only capable of earning a livelihood but, he is also seen as a help to his father, a protector of his family, a custodian of his family's values, heritage and name, and one of those on whom depends on the continuous existence of Arab Muslim society. However, the culture's perception towards daughters is quite in contrast. To most Arab Muslims, having a boy as the first born is the best gift that a woman can give to her family and society. Everyone celebrates when a woman delivers a boy for it is considered a blessing for the family to have more sons than daughters. In fact, in many families, it is considered a disgrace to have a daughter. As Morooj observed,

> In our Arab Muslim society, I hear that sometimes a couple divorces because of having girls and not having boys. When a woman has five or seven girls and no boy, she is abandoned by her spouse and family.... I had three daughters before my two sons and I cannot explain to you how excited I was excited whenever I had a healthy baby....

She added,

Having a boy to carry the family name is a necessity so that is why my parents, husband, and in-laws were happier when I got the boy.... It originated from the traditions that boys help their father in farms or businesses. It is not the same case for the girls. They are always home and in their families' minds.... Girls are always at home and raised to be this way, when they are older they marry and stay at home. Therefore, they are seen useless.... It is also in the tradition that the girl has to be always protected from a slip-up. Girls' misbehavior brings disgrace and shame. While the boy's misbehavior has different consequences. The family will not be concerned.

The academic literature documents the overwhelming biasness towards having male offspring:

Islamic societies tend to be very patriarchal in nature (Walther, 1993). In most cases, the birth of a girl causes less joy than that of a boy. When a midwife or relative assists childbirth, the mother immediately knows if the baby is a boy or a girl. If it is a girl, the midwife says nothing. If it is a boy, the midwife says "Praise Allah." The preference for boys is explained in that a boy shall contribute to the

family maintenance and protection. When a girl marries, she leaves her family of origin to live with her husbands' family and adds to the strength of that family as she bears children (Schvaneveldt *et al.,* 2005, p.81).

Nora's testimony also provides a vivid example of this type of biasness:

Once my mother had me in the hospital, they told my father that he had a girl.... He left without seeing me. He was unhappy that he got a girl. He did not come and see my mother or congratulate her.... His reaction was really strange.... He really wanted a boy. Today my father is still apologizing to my mother about it. My mother had a very difficult labor and I turned blue... 40 days passed. It affected my mother psychologically. My father was really not accepting me... not carrying me.... Soon after that, the situation turned... and my father started to feel that he could not be away from me.

The cultural obligation to give birth to boys is tightly intertwined with the cultural obligation for women to forsake career and individual achievement for the honor and welfare of the family. The close relationship between these two obligations is confirmed by the fact that when a woman marries, she is effectively deprived of status until she

has her first son. At his birth, she becomes mother of (*Umm*) the son's name.

The woman's civic identity is effectively enshrined in motherhood. To re-articulate, while a daughter is an element within the family, the common societal perception is that after she marries her identity becomes assimilated into that of her husband's and his lineage. Numerous writings of traditionalist Muslim scholars, both religious and secular, assert that only the roles of wife and mother provide a woman's true identity; all other aspects of a woman's intellectual and social life are to be directed toward these dual roles or are to be subordinated to them.

According to these views, "...women are inferior, less intelligent, incapable of coping with high mental tasks; thus, the only tasks fit for women are bearing children and maintaining homes" (Al-Manea, 1984, p.28). While mainstream cultural norms expect boys to go to college or university after graduating from high school, it is culturally expected that girls marry immediately after graduating or even while still attending high school. Most parents prefer that a girl secures a husband instead of an educational degree (Al Sari, 2003). Women in many families in Saudi Arabia and elsewhere in the Arab Muslim world have been convinced or forced to leave school early in order to start a family. The education system dictates that the purpose of women's education is to produce good mothers and wives.

There are strong pressures for Arab Muslim women to view higher education and marriage as mutually exclusive. In accordance with the cultural views of woman and man's respective roles, it is inappropriate or undesirable for a woman to have higher status than her spouse. For example, males in Arab Muslim societies do not consider a single woman with a university degree to be an ideal partner in marriage (Al-Sari, 2003).

Based on my personal observations in Saudi Arabia, many men, regardless of their age, prefer to marry women whose age between 18 to 22 years. Furthermore, a man raised in a patriarchal society where men possess superiority over women may feel particularly threatened by a woman with higher status than he does. Ahmad (2001) indicates a similar finding:

> *Some women express concerns that degree status might limit future marriage prospects because of increasing age. There are also concerns that women may become "too educated" to find husbands who are either of a similar stature, or who will welcome a wife with an equal, or higher, qualification level* (p. 147).

In Arab Muslim societies, disparities between the respective status of the woman and the man in favor of the woman can easily lead to conflict and divorce. Even situations where a woman has the same career prospects or educational level as her husband might lead to conflict. For an example, the experience that Morooj's daughter goes through with her ex-fiancée.

The conflict surfaces not due to the educational disparity within the couple but rather as a result of the ex-fiancée's belief that he should be the superior member of the household. This exemplifies some men's insecurity towards their hypothesized superior "nature" and "role."

Custom and Tradition versus the Islamic Essence

In Saudi Arabia, the patriarchal cultural traditions and societal norms are imposed, justified and carried on in the name of Islam and still prevail to this day, despite their contradictions with the *Quran*. Although many Muslims argue that Islamic teachings define gender roles and responsibilities (Vidyasagar and Rea, 2004), gender roles, in fact, seem to have been constructed more by patriarchal cultural practices and societal norms than by the *Quran* and *Hadith*.

In the centuries following the advent of Islam, many pre-Islamic customs and patriarchal norms have reappeared and regained a foothold (Jawad, 1998). Societal norms and customs that deny women equality, in general, and access to education, in particular, are now entrenched in Arab Muslim culture to the point that they are often accepted as unquestionable Islamic rules. Yet, many of the customs or rules adhered today cannot be found in the foundational Islamic texts like the *Quran* and *Hadith*. In fact, Islamic teaching as articulated in the *Quran* and the authentic *Hadith* greatly emphasizes the importance of education and encourages women's participation in all aspects of public life. Indeed,

> *In the Prophet Mohammed's time, women were free to go to the mosques to pray, to listen to preaching and to receive lectures. Narrated is the incident of a group of women complaining to the prophet that the Quran only mentions the wives of the prophet and not women in general: "Men are mentioned in everything and we are not; is there any goodness in us to be mentioned and commended?" Hence, verse 35: "Verily, Muslims, men and women, believers, men and women, dutiful men and women, truthful men and women, patient men and women, humble men and women, charitable men and women, fasting men and women, chaste men and women, those who mention and remember God – men and women – for all those God has prepared forgiveness and a great reward* (as cited in Abou-Bakr, 2001, pp.2 - 6).

All these narrations provide eloquent confirmation of women's status in the sacred texts and in the early days of Islam. Historical documents reveal that women in the first Islamic community, such as the ancient warrior Nusyabah, were ardent defenders of women's rights.

The prophet Mohammad (Peace Be Upon Him) said that the rights of women

are sacred and that women are the "twin halves of men". Early Islamic history has seen the emergence of Muslim women as scholars, politicians, businesswomen, jurists, and doctors. For example, Fatima al Firhi founded the first university in 859 in Fez, Morocco; Razia al Din ruled the Delhi Sultanate in India in 1236; and Umm Darda, a scholar from Syria, taught imams, jurists, and even had the fifth Umayyad caliph who ruled from Spain to India as her student (Inspired by Mohammed, 2012).

In that era, women stayed connected to the sources of education because, at that time, the mosques functioned not only as places to worship but also as sites for education (Al-Manea, 1984). Not only were women free to acquire knowledge, they were also free to disseminate knowledge to the community. Indeed, Muslim scholars have quoted the prophet as recommending that his followers seek knowledge about religious matters from his wife Aisha, who was a renowned scholar of her day. The Prophet said, "Half the knowledge of my revelation should be acquired from all of my companions and the other half from Aisha" (as cited in Syed, 2004, p.24).

This example provides tangible evidence of the fact that the prophet regarded women as both eligible students and trusted teachers (Al-Manea, 1984). Another important principle is evident in the following verse:

> *Believers, men and women, are protectors, one of another: they enjoin what is just, and forbid what is evil.*

This verse makes clear that women must acquire knowledge in order to be eligible for roles of leadership and influence. Thus, the essence of Islamic teaching in the Holy *Quran* and *Sunna* confirms that women and men are commanded by God to act in a socially responsible manner, to uphold morality and to combat vice.

All the women interviewed for this study acknowledge that their faith provide the strong encouragement. To varying degrees, these women and their immediate families follow an authentic approach in Islam, an approach that has at most only been minimally contaminated by pre-Islamic norms and traditions. The interviews confirm that all the women in the sample accept the proposition that Islam is pro-female. Their acknowledgement is in spite of many cultural traditions that perpetuate contrived and misogynist distinctions between male and female roles. Islam in its essential form does not prescribe fixed social roles for men and women. In each of their narratives, the women demonstrate that they draw extraordinary strength from their faith. For instance, Fadwa testifies that her religious background and deep understanding of her faith helps her keeping everything in perspective. Below is her explanation:

> *Religious beliefs …. [have] support my educational pursuits. Looking at the amount of strength and courage it took for Aisha, the beloved wife of the Prophet, to lead a battle, given that she was born in a generation*

of women who were buried alive as one of the misogynistic things that happened to the girls, she was the kind of character that she has as a woman. The strength of that character that illuminates throughout the ages.... So yes, they [religious beliefs] help. They totally support my educational pursuits.... From a personal perspective... living on my own for five and a half years, if I do not have my religious beliefs to ground me, I might easily... delve into different lifestyles that are valid for other people, but might distract me from my educational pursuits, be it drinking alcohol or other aspects that are not considered Muslim.

Ruba finds Islam to be indispensable for educational and career success because it enables her to traverse boundaries:

It is absolutely weird that Islam hinders women or holds them back because to me it's the absolute opposite. To me it's the key to my freedom. I think if you're a Muslim woman you're a free woman.... In terms of my ability to reach goals, educational and even intellectual and spiritual, I always find that religion opens the door for me without any limits. ...When I was growing up and we read the Holy Quran some of the verses encourage continuous thinking.

Ruba also underscores that "My faith is liberating and culture is not affecting me very much because we [my family] do not live by culture."

Family Social and Educational Background

Social class certainly influences the educational trajectory of the women interviewed (Mogahdam, 2004, p. 150). By class I refer to "a more sociological understanding of class which draws on Weber's concept of status: a set of persons who stand in similar positions with respect to some form of power, privilege, or prestige" (al-Mughni, 200, p.17). Social and educational background both have bearing on families' perception of cultural norms and traditions and more specifically, on their perception of the extent to which those norms and traditions should influence decisions regarding their daughters' education and career.

Furthermore, it can be argued that families that do not adhere to anti-female norms and traditions are more likely to follow an authentic approach to Islam. It is an approach that actually promotes female education, as discussed previously.

Most of the interviewees have been raised in financially secured and well-educated families. Majority of them were born into the middle class and were admitted into Canada through regulations that filter immigrants on the basis of economic and educational status. Eight of the nine participants come from well-educated families, and only one does not. Five of the

women come from families in which both parents are highly educated, three come from families in which the father is highly educated and the mother has a secondary-school education and only one comes from a family in which both parents have only informal education. In addition, only two of the participants come from rural backgrounds.

The responses of most members of the study's sample group demonstrate significant parental, especially paternal concern with their daughters' economic security. It appears that these parents want their daughters to continue to enjoy at least middle-class status. For instance, Fadwa's parents have been keen on her pursuing an education in order to be financially secured. She says, "My father needs to know what my profession is. He is very uncomfortable with me doing a double major.... He wants me to be able to [have] a specialized trade."

This type of testimony dovetails with Ahmad's study of Asian Muslim women in Britain. It indicates that the desire to ensure the economic security of their daughters largely motivate parents. According to Ahmad, education and qualifications are seen as a possible "back-up" that assures a certain degree of security against the worst-case scenarios. Parental fears of failing to procure "suitable" husbands for their daughters further compounds these concerns (Ahmad, 2001, p.144).

Ahmad (2001) explores other reasons, encouraging their daughters into higher education assure parents that their daughter's future economic potential as individuals is

secured, attain and maintain the social status and prestige within their social circles. Educated daughters signify certain levels of "liberalism" to the family concerned. A daughter's education confers a certain level of social "education" to the rest of the family. Thus, parents are able to describe themselves as "modern" and socially astute. They are able to distance themselves from the stereotype of the patriarchal and "non-educated" family. The "non-educated" family often believes to confuse "tradition" with religion by observing "strict" purdah [veiling or hair covering] and restricting the education and movement of women. In addition, educated daughters can be expected to attract suitors of a similar status or above should the "arranged marriage" route is preferred (p. 145).

The male side of Fadwa's family provides an excellent example of Arab Muslims with a zealous commitment to education, in general, and to female education in particular. Fadwa's father is a son of a well-known advocate of female education in their community, holds a doctorate from a British university. Many years ago, Fadwa's paternal grandfather raised the money to build the first women's school in the village, something that hitherto was unheard of in that region. As Fadwa observed:

> *...there were people who threatened him, basically cursed him. According to those people, my grandfather was spoiling the women in the village. And I grew up hearing those stories about my*

grandfather and realizing that my father took after my grandfather's attributes. That's why my father as opposed to a lot of other men in our family, appreciates me learning and studying....

Eman's background also provides a vivid illustration of the strength provided by a family tradition of transcending educational frontiers. It is noteworthy that Eman was raised in a family in the 1960s. Her aunts attended university. In addition, she was raised by a father "... who encouraged education and who was a professor in the 60s and had women students."

The testimonies from Fadwa, Eman, and many other women regarding their background and the overall attitude of their family are consistent with the findings of other researchers who have explored Muslim females' participation in higher education. Indeed, over the past three decades, many scholars who have conducted research on Muslim women have concluded that those who attend university do so largely as a result of "a family 'expectation' or a family 'ethos'" (Afshar, 1989, 1998; Basit, 1996a, 1996b; Brah, 1993, 1996; Brah and Shaw, 1992).

Although the women have identified several factors that influence their education, it seems that their fathers which I refer to as The Trend of Pleasing the Father had been one major reason for their educational achievement. Besides the role of fathers, other contributing factors to the Muslim

women educational success include faith as Muslim women seeking approval from others, respective class level, societal norms, feminist perspectives, Social Activism, status of Muslim in Canada, a Muslim hybrid identity, and Muslim women diverse perceptions of various issues.

Role of Fathers

Of the nine participants, one comes from a family with informal education, and two more from a rural background. The rest are from highly educated families. Therefore, it is interesting to learn what factors influence these three participants compared to the others. Are they influenced by their father? Did other individuals inspire them to pursue further studies in Canada? Almost all the participants are encouraged to excel in school. Fathers play the major role in that support. In almost all of the women's narratives, there is heavy emphasis on the father's role in supporting their educational pursuits. Ahmad (2001) also notes the importance of paternal encouragement: "*Fathers* are often far more determined to see their daughters achieve academically and this is especially apparent in families without sons" [emphasis in original] (p. 145). Ahmad's observation that paternal encouragement is most prevalent in families without sons is likely a manifestation of the "boy complex" that is deeply entrenched in Arab Muslim society.

It can be theorized that fathers' encouragement and support for their daughters' educational attainments, in particular where there is no son or where the

male offspring have not been academically successful, may reflect a type of over-compensation. Nora provides an interesting example of this phenomenon:

> *In my family... my father wishes that he had three girls after me instead of three sons because he was not satisfied with their educational achievements.*

Generally speaking, the literature reports that "a high percentage of professionally successful women and school age girls are pointed to the influence of their fathers as the key motivational element in their lives" (Deak, 2003, p.169). The strength of this influence can be attributed in part to the strong desire of many daughters to please their father through education and achievements. This is a pattern in which the author identifies. Indeed, as Deak (2003) discovers:

> *The truth is that a girl feels profoundly about the way her father perceives her, or the way she believes her father perceives her, whether their relationship appears close and loving or not... girls today feel immense pressure to measure up to fathers' expectations* (p. 164).

Deak (2003) continues:

> *While much of the rest of the world may be giving her limiting sexist messages her father can balance those messages with one*

> *that removes the limits, equalizes gender expectations and anticipates eventual success* (p. 171).

Looking beyond this variable to the major factors that alter the traditional role of fathers as guardians of patriarchal society, specifically to the reasons which some fathers decide to support their daughters' education is particularly relevant to the desire to compensate for not having a boy. In other words, some fathers encourage their daughters' education in order to overcome the culturally based feeling of shame caused by having only female offspring. Fadwa's testimony provides an outstanding example of paternal motivation. Ever since Fadwa was young, her father has been influencing her to view female higher education as a necessity:

> *Higher education in [country of origin] is much regarded. It has been told to us that be it girls or boys, should go to university and get an education because you do not want to live life without an education. It is just not an option. We all know that we will go to universities. The other thing is, my father tends to make the comparison between educated people and influential people. So he says to me as a kid at the age of maybe seven or eight years old, "Margaret Thatcher, Fadwa? I want you to be like her. She is a powerful, strong woman."*

Apart from Fadwa's account regarding the influence of her father, her interpretation of the prevailing attitude to female education in her country should be taken with a healthy dose of skepticism. Her interpretation of the actual state of affairs in this regard is almost certainly being filtered through her family tradition which represents a minority trend in the Arab Muslim world. Motivation often comes in the form of direct assistance. For instance, Fadwa's father is not only inspirational, but also helpful with school work. She explains how her father assists her with her math problems:

> *Even though I love math, word problems are a bit difficult for me. So we sit and discuss the problems and talk about them. He makes math very, very interesting.*

Eman's father was helpful at the beginning of her schooling, especially when the family moved to the United States. When she entered Grade 4, her biggest hurdle was the language: "It was a bit overwhelming, but I thank my father for standing beside me and helping me a lot with that. He had daily exercises, building my vocabulary...." Eman can never over-emphasize how helpful her father has been to her.

Similar to the Arab Muslim women who have been interviewed for this study, the researcher's parents, especially her father, have also encouraged her, to pursue higher education. At the same time, she is encouraged to seek education that does not violate the norms, with no traveling requirement and live alone. These are the issues discussed below. Unlike Fadwa, she is unable to cross or negotiate traditional boundaries and also maintain her self-interest.

Fathers exert significant pressure on many of the participants in this study to pursue a field of study and career that provide both economic security and social prestige. It is common in Arab Muslim societies for parents to impose specific subjects and professions on their children. Unfortunately, in the process they overlook how important it is for a son or daughter to fulfill his or her personal motivation. Nahlaa is among the participants who note this phenomenon. Below is her explanation:

> *I do not like math or physics.... Actually I am not that interested in engineering. However, my father is an engineer and he encourages me. I prefer medicine more, but I think it is much harder and engineering is good. I pursue engineering.*

This phenomenon is not universal. For instance, Sahra's father chooses not to press his daughter despite his keen interest in her future career: "My father is not pushing me, but he is very, very excited. He wants me to go into engineering and is very, very proud of me...."

It is interesting to note that in many cases, the father is more interested than the mother in their daughters' education and career. For example, Fadwa's parents, as the first socializing influences in her gender

construction, instilled some contradictory values in her. Her father encourages her independent and argumentative nature, while her mother socializes her into stereotypical female roles such as cooking and sewing. Fadwa acknowledges that she was a "tomboy" who was not interested in playing with dolls. As she stated repeatedly in her narrative, "I was a tomboy. I grew up as a tomboy, and my mom hated that." As she narrated:

> *My father always, always [with emphasis] says that there is no difference between a boy and a girl. Sometimes girls can be better than boys and he humbles me by using me as an example. He says to me, the fact that I am been here and I have maintained my faith, at the same time, done a good job of my education, is something he takes pride in. It proves to him that his assumption that women and men are essentially or inherently equal or capable of doing equal things is a correct assumption. On the other hand, my mom, even though she didn't grow up in the village like my dad did, is more aware of that cultural socialization, differentiation for genders in the local sense of it....*

> *Socialization is another thing. My mother makes sure that I know how to do my own laundry, cook, how to clean, and it is all about me knowing how to do girls' things by*

a certain age. And when I visit the village, my aunts, be it my father or mother's side, a lot of the times I get the lecture of, "You should be able to cook such and such, or clean such and such. You're 8 and 9, and girls who are 5 and 6 years old in the village can do this already...."

In many of the narratives, fathers take the lead in promoting their daughters' education, not just within the immediate family but also within the extended family and the broader community. Fadwa, for instance, endures a great deal of criticism from her grandmother and other family members because her father provides her with the best education . This is the other area of Fadwa's life where religion and cultural traditions are paradoxical. Below is her explanation:

> *Cultural traditions do not hinder me, but some of these things leave a bad taste in your mouth.... My dad did look into the Sisters' School, the Unity School and the public school. Eventually, my father decided to place me in the Catholic school because it has the traditional aspect. At the same time, it is also known for several decades that it provides girls with very high-level of education. I learn well. Probably, some of the best math education I received was from that school. We did logic, reasoning and proving at Grade 7 and Grade 8. That is very*

family.... A girl, what is a girl doing alone in North America? So, you see where the culture comes into play. Yes, mentally we might be equal [and] actions might be the same but the way society evaluates us is not the same... as the way (God) evaluates us. And that's what we have to deal with.... If someone lives in a context where her reputation and her honor are very important, she might have to adhere to society's norms just to make sure that society doesn't outcast her, or ostracize her.

Morooj, who moved from Libya to Canada to study, had a similar experience as Fadwa's. Despite being an open-minded person who has been raised with much fewer gender stereotypes than most girls in her country, the social pressure from her extended family on her parents is overwhelming. Morooj says that her uncles continuously questions the "unexplainable freedom" that her father gives to his daughters. She explains that the Canadian context gives her a degree of space and freedom of choice that is definitely unavailable in Libya or elsewhere in the Arab Muslim world. She adds that being free from social dictates and pressure is a great advantage to academic, professional and personal growth.

CONCLUSION

Over the course of this research project, some valuable insights emerge from the lives of Arab Muslim women who migrate to Canada with their families and complete their higher education and establishe their careers. From thorough qualitative analyses of emerging themes, it seems that paternal support is the most important factor that leads the nine study participants to enroll and excel in Canadian universities. No other factors is mentioned as often or as emphatically in the interviews. This study demonstrates that strong paternal support is indispensable for an Arab Muslim female to take the courageous step of pursuing post-secondary studies in a Western country like Canada.

The vital nature of the father's role can be attributed to a range of inter-related factors. Most of the women reveal that their fathers largely protect them from cultural norms and traditions that are antithetical to female education. These norms and traditions are deeply entrenched throughout the Arab Muslim world and they include, among many others, an obligation for a woman to forsake career and individual achievement for the honor and welfare of "the family" that is her husband's lineage into which her identity is allegedly supposed to be assimilated.

The interviews reveal several reasons that these fathers decide to provide this type of protection. One is their concern for their daughters' economic security. In this regard, it should be remembered that all but one of the study participants comes from well-educated, middle-class backgrounds. Based on the evidence, it is reasonable to conclude that their fathers aspire to ensure that their female offspring continue to enjoy the same

level of economic and social status. At the same time, it is clear from the testimonies that such desire is not simply a function of material concerns. Indeed, in many cases, there is a longstanding family ethos of promoting female education.

There is also an important spiritual dimension to these fathers' support for their daughters' education. Most of these fathers follow an authentic approach in Islam. It is an approach that gives proper weight to tenets and precedents from the *Quran* and *Hadith* which affirm the equality of the sexes and the associated need for women to receive a solid education. In line with this overall rejection of pre/non-Islamic norms and traditions, these fathers generally do not favor their sons over their daughters in terms of educational opportunities. Perhaps ironically, with regard to their daughters' education, some fathers actually demonstrate greater interest and engagement than their wives.

These fathers' interest and engagement are demonstrated in a range of forms. Many provide continuous encouragement as well as assistance with homework, as illustrated through Fadwa's experience. Many of these fathers also play an instrumental role in encouraging their daughters to attend university overseas. The prospect of a young woman moving to a Western country to study on her own usually attracts aggressive and sustained criticism from relatives and members of the community in general. As demonstrated by the narratives, most of these fathers shield their daughters from such critics.

The value of this research project is that it disrupts the typical and inaccurate monolithic representation of Muslim women. It challenges Western assumptions about these women as constituting a homogenously oppressed group. Much like Cayer (1996), I argue that the participants' testimonies bear eloquent witness to the heterogeneity of Muslim women. By shedding light on a small but growing trend in the Arab Muslim world, this study helps to develop an alternative to the dominant discourse regarding the agency of Arab Muslim women. The narratives gathered over the course of this study will help scholars better understand how these women perceive themselves, their education, and their role in society. These narratives will also provide scholars with additional insight into the key factors that drive the educational and career success of a gradually expanding class of women in the Arab Muslim world.

LIMITATIONS OF THE STUDY

No one study is entirely conclusive; there remain many perspectives that warrant further examination. While it could be argued that the small sample size of nine Arab Muslim women is a disadvantage to the research, I suggest that studying a sample of this size allows me to have greater depth. I also note that by the tenth interview that is not used here, I begin to notice many repetitions. Yet, I acknowledge that the sample size is not representative of the population and that some might perceive this as a weakness. I wish to highlight my awareness of the following:

The Arab Islamic world is a mixture of social classes, racial, and ethnic groups, religious affiliations within Islam, nationalities, and rural, urban, and linguistic communities; any discussion of gender must account for the tremendous diversity in the Middle East and North Africa. (Josef & Slyomovics, 2001, p.1)

RECOMMENDATION FOR FUTURE RESEARCH AND PRACTICE

Although conducting a research on Arab Muslim women immigrants is a rich and new area of research, little scholarly focus[3] has been committed to the intersections of issues pertaining to Arab Muslim women in Canada that encompass education, culture, historical origins, and the adjustments to Canadian values and belief systems. Feminist scholars of women and gender studies, policy makers, and educators have largely overlooked education and the gender construction of Arab Muslim women immigrants in Canada. Even fewer studies have explored the intersections between Muslim women and the wider Canadian society and its institutions.

While some scholarly literature has focused on Arab Muslim women in the Muslim world, few have studied Arab Muslim lives in Western nations. Fewer include the narratives from the lives and experiences of Muslim women. My research contributes to the growing but limited research on the lives of Arab Muslim women

in the West in general, and more specifically in Canada. It may add to existing discourses on women and gender, ethnicity, education, and identity.

Although this research explores the narratives of nine Arab Muslim women in relation to the factors influencing their education, a more in-depth research that takes a life-history approach is needed to reveal how individual Arab Muslim women understand their gender and how that might be affected as a result of living in two distinct cultures. These narratives may emerge in and through conflicting cultural narratives that reveal diversity and variability.

The experiences of Arab Muslim women's organizations in Canada, is another potential area of research. A question raised by other researchers is to "what extent gender is similar to or different from race and class as a structured social division" (Holland & Eisenhart, 1988, p. 268) is also applicable in my research. Thus, there may be unlimited possibilities of employing this research as a platform for future research concerning Arab Muslim women in Canada.

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[3] Haddad and Lummis (1987) is one of a limited number of studies about Muslim women and gender.

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SOCIAL SCIENCES & HUMANITIES

Language Learning Strategy Use and English Proficiency of below Average Indian ESL Students

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ABSTRACT

This study investigates the relationship between the use of language learning strategy and English proficiency of below average Indian ESL students who registered for a summer course in 2012 at a private university in South India. Strategy Inventory for Language Learning (SILL) and an institutional version of Test of English for Foreign Languages (TOEFL) were administered to under-achievers of an engineering course who registered for a summer course out of willingness to enhance their academic performance. Results from SILL showed that these below average students' total average use of strategies fell under medium level. Moreover, the study also concentrated on the difference in strategy use across gender and Board of Studies at school. The TOEFL scores revealed that this sample of under-achievers had low proficiency levels in English. The study found a linear relationship between the low proficiency students and their overall strategy use. This indicated that the most frequent users of language learning strategy among the under achievers scored comparatively higher scores in TOEFL. In addition, the study revealed that the least use of metacognitive and cognitive strategies was the reason for these students becoming unsuccessful learners. Thus, the study concluded that explicit training in language learning strategy use with due consideration to gender and Board of Studies, might increase the English proficiency and academic performance of these below average Indian students.

INTRODUCTION

Research across the world has monitored the factors that develop language proficiency of

second language learners. Amongst them Strategy Inventory for Language Learning (SILL), a tool designed by Oxford (1990) is recognized as comprehensive and is a widely used instrument to assess the strategy use of second language learners (Bremner, 1998; Green & Oxford, 1995). Research based on SILL reported positive correlation between language learning strategy (LLS) and language proficiency (Green & Oxford, 1995; Oxford & Nyikos, 1989; Wharton, 2000). In addition, the studies emphasised that successful language learners used language-learning strategies more frequently than less successful learners do. The consensus of this paper is that the less proficient language learners use fewer language learning strategies and are less successful academic learners. For the purposes of the study, the term 'low academic' is used to represent the students with poor academic performance. These 'low academic' students are also defined as low to moderate proficiency students because of their below average score in TOEFL. These students had a below average TOEFL score of 281to 361 as against an average Indian TOEFL score of 519, as mentioned in ETS (1997).

The overall findings of the study signified that the strategy preference and their level of strategy use decided the success of the language learners. Therefore, the study concluded that explicit training in language learning strategy use might increase the English proficiency and academic performance of these below average students.

REVIEW OF LITERATURE

Language learning strategies are defined as "the specific actions consciously employed by the learners for the purpose of learning language" (Griffiths, 2003, p.216). This definition evolved as a combination of Cohen's (1998) aspect of conscious selection, and Oxford's (1990) concept of language learning strategies as specific actions applied to learn a language. Rigney (1978) defines learning strategies as procedures that assisted language acquisition, retention, retrieval and performance. Oxford obtained Rigney's definition and further elaborated on language learning strategies as "specific actions taken by the learner to make learning easier, faster, more enjoyable, more self-directed, more effective, and more transferable to new situations" (Oxford, 1990, p.214). Anderson (2005) defines strategies as the conscious actions that readers take to improve their language learning. Oxford divided language learning strategies into six categories such as memory, cognitive, compensation, metacognitive, affective and social strategies. Cohen (1998) emphasized an additional dimension to language learning strategies such as consciousness. Cohen argued that learners who employed language learning strategies ought to have been aware of the conscious choice of strategy they applied during language learning. Hence, he defined "the element of consciousness is what that distinguishes *strategies* from those processes that are not strategic" (Cohen, 1998, p.4).The learners have to learn the techniques of applying the language learning strategies; therefore,

they can consciously choose appropriate strategies for language learning.

O'Malley and Chamot (1990) discussed that it was the teacher's responsibility to train the students in strategy use. Moreover, the cognitive view of learning explained that language learning strategies were teachable. Oxford and Nyikos (1989) stated that the concept of teachability of language learning strategies was universally accepted. Therefore, it is the teachers' responsibility to incorporate language learning strategies as an essential element of language teaching Curriculum.

Oxford and Burry-Stock (1995) stated that frequent use of strategy increased the second language performance of the students. Rubin (1987) aimed at improving the performance of less successful students by teaching them the strategies that were mostly used by successful learners. He argued that the implementation of these strategies also depended on other variables such as language proficiency, age, situation, cultural differences and learning style. Stern (1975) added to Rubin's ideas by stating that the good language learner used positive learning strategies. O'Malley (1985) identified that ESL students with various levels of proficiency responded using an extensive variety of language learning strategies while the higher level students responded using metacognitive strategies most frequently. This enabled the researcher to conclude that greater use of metacognitive strategy increased the academic success of the students. Ehrman and Oxford (1995) discovered cognitive strategy use also played a vital role in enhancing the success of the students. Green and Oxford (1995) explained that high-level students used all kinds of language learning strategies more frequently when compared to lower level students.

A few studies had concentrated on low proficiency students' use of language learning strategy (Griffiths, 2003). Observations on the unsuccessful language learner strategy use were required to understand the reasons behind the low performance of these students, and perhaps to identify what strategies they avoided. A study conducted by Vann and Abraham (1990) with two unsuccessful learners suggested that the students were active strategy users, but failed to use suitable strategies. Porte (1998) conducted a study for 15 under-achieving learners at a private language school in London. He discussed that the majority of the unsuccessful learners used strategies that were similar to the strategies they employed in the first language that they acquired at schools in their native countries. Issues related to the difference in strategy use by successful and unsuccessful language learners need to be addressed in a more unified manner (Griffiths, 2003). Thus, the existing literature on unsuccessful learners is not adequate, and further research is needed to understand the difficulties faced by the learners while learning. The current study assumes that the background variables such as gender, language proficiency and Board of Studies might influence the learning achievement of the students. Oxford and Nyikos (1989) discovered that gender

difference significantly influenced the use of language learning strategies among undergraduate students. They reported that females tend to use more conscious language learning strategies than males. After that finding, most of the research studies conducted on gender revealed that females use language learning strategies more frequently than male (Ehrman & Oxford, 1989; Oxford, 1993; Hong-Nam & Leavell, 2006). This research also argued that difference in strategy use by gender depended on the context and socio-cultural situations of the participants. Socio-cultural factors seemed to influence the use and preferences of language learning strategies (Bedell & Oxford, 1996; Grainger, 1997; Oxford & Burry-Stock, 1995; Reid, 1987; Wharton, 2000).

Sheorey (1999) conducted a study on the use of language learning strategies by Indian undergraduate students studying their first year in Bachelor of Arts, Bachelor of Science and Bachelor of Commerce. The study reported that Indian ESL students' use of language learning strategies ranged from high to moderate frequency on a five-point scale. In this study, the researcher had traced the impact of the factors such as gender, culture, and educational background on language learning strategies. In general, the results were consistent with other research conducted on similar environments. Female students used strategies more frequently than male students did. Students who studied in English medium schools used more language learning strategies than those from regional medium students did. The study

did not incorporate the concept of Board of Studies the students studied at school. Thus, the current study had incorporated Board of Studies at school as one of the significant elements that might influence the language learning strategy use. In India, the school education system consists of different Board of Studies such as State Board (SB) of studies and Central Board of Secondary Education (CBSE), These Board of Studies follow different curriculum, teaching pedagogy, evaluation and syllabus materials. The students studying at different Board of Studies have different learning experiences. Therefore, the study assumes that the difference in Board of Studies at school might influence the students learning achievements.

PURPOSE OF THE STUDY

This research focused on the improvement of English language proficiency of below average Indian ESL students studying engineering courses at university level. Numerous studies predicted that increasing LLS use in turn increases Language proficiency and academic performance (Cummins, 1979; O'Malley *et al*., 1985; Oxford, 1990; Politzer, 1983; Anderson, 2005). Unlike other foreign universities, Indian universities have less awareness regarding the conduct of the standardized English for Academic purposes (EAP) course for improving the proficiency levels of students entering higher education (Sheorey, 2006). Therefore, this study aimed to identify the level of language learning strategy use of Indian low proficiency ESL

students. It also focused on the relationship that existed between language learning strategy use and ESL proficiency. It further investigated the differences in strategy use by gender and Board of Studies.

PARTICIPANTS

The participants of this study were 60 ESL students who registered for a summer course at a private university in South India. The summer courses provided additional coaching for below average students who wanted to improve their academic performance. Highly motivated students generally registered for summer courses (out of their willingness) to improve their academic performance. Thus, the population of the study was highly motivated Bachelor of Technology (B.Tech) students who wanted to improve their English language proficiency. These students were on the verge of completing their first year and about to enter their second year of study. All of the participants learned English to enhance their academic performance at higher education level.

The practice version of the TOEFL test was conducted to assess the English Language proficiency of these students. The highest TOEFL score obtained was 380 and the lowest was 266. The obtained TOEFL score showed that the students had beginner level proficiency in English. Thus, to identify the variation of proficiency level within the sample, the class was divided into three proficiency groups (high, medium, low). Based on the TOEFL total mean score (m=324), the sample was divided into 15 high, 27 medium and 18 low proficiency level students. The age of the students ranged from 18 to 21. There were 33 females and 27 males. These students were from various states in India with different language backgrounds. The sample constituted of 19 Central Board of Secondary Education (CBSE) students, and 41 State Board students. CBSE is a board of education under the control of the Union Government of India. The State Board of Education is under the control of State Governments. All the participants had previously received English instruction for at least 10 years in their schools.

INSTRUMENTS

The Strategy Inventory Language Learning (SILL version 7.0), which has 50 items to evaluate the language learning strategy use of the ESL/EFL students, was administered. It was a self-reporting questionnaire that was used to evaluate the frequency of exercising language learning strategies (Oxford, 1990). Research using SILL as a key instrument for assessing the range of use of language learning strategies reported the reliability coefficient of SILL as .85 to .98 (Oxford & Burry-Stock, 1995; Park, 1997; Sheorey, 1999; Wharton, 2000; Anderson, N.J, 2005). This assured SILL as a reliable and valid instrument to measure the use of language learning strategy. A Cronbach's alpha (reliability test) run through SPSS for the current research displayed an acceptable reliability (.74). SILL consists of items that are categorized into six strategy groups. Oxford (1995) explains

these six categories as memory, cognitive, compensation, metacognitive, affective and social strategies. Memory strategies assist learners to remember information and retrieve it when required to communicate (e.g., using imagery, sounds or both to remember new words). Cognitive strategies engage construction and revision of internal mental models (e.g., reasoning, analyzing, and summarizing). Compensation strategy use helps the learner to overcome a lack of knowledge of the target language (using circumlocution). Metacognitive strategies aid learners to control their learning (e.g., monitoring errors). Affective strategies facilitate the learners to control emotions and attitudes related to language learning (e.g., reducing anxiety). Social strategies help the learners to communicate with others (e.g., cooperating with others, asking questions, and becoming culturally aware) (Wharton, 2000).

A practice version of the TOEFL was used to measure the proficiency level of the participants. TOEFL constitutes three sections of multiple-choice type questions. Section 1 tested the listening comprehension; Section 2 tested structure and written expression; Section 3 tested vocabulary and reading comprehension. The reliability and validity of the TOEFL scores are .95 (ETS, 1997)

A separate questionnaire was administered to obtain demographic information on the participants. The background details included gender, branch of study, year of study, age, native state, place of study (urban / rural), purpose for studying English language, and Board of Studies at school (STD XII).

DATA COLLECTION PROCEDURE

The researcher and the research supervisor administered a practice version of TOEFL and the SILL to the students. The tests were administered with respect to the standard guidelines associated with each of the instruments. The purpose of the study was explained both verbally and in writing to all the participants. The researcher stayed back with the respondents to explain any of the items in the questionnaire, if necessary. However not much of the help was sought by the respondents to understand the items in the questionnaire. The researcher explained to the participants the advantages of contributing to the research data. The participants were reminded that there was no right or wrong answers to SILL and the questionnaire. Finally, they were assured of the confidentiality of the responses.

DATA ANALYSIS

The analysis of the data was performed using the SPSS statistical programme. Descriptive statistical results were obtained for all six categories of language learning strategies, overall total language learning strategy, TOEFL scores, gender and Board of Studies. Paired sample t-tests were conducted to compare the significance differences between the six categories of language learning strategies. The one-way ANOVA was performed to identify the significant mean difference for all the variables. The Pearson-product Moment

correlation was performed to study the relationship among the six categories of language learning strategies, total language learning strategies and TOEFL scores.

RESULTS

Overall Strategy use

Results of the SILL administered to below average ESL students at the university level revealed a total average use of strategies at medium level (M = 2.81) (see Table 1). The participants mostly preferred to use two strategies: memory (M = 3.30) and affective strategies (M = 3.31). Next to these strategies the participants preferred social strategy (M = 2.83), compensation strategy (M = 2.63) and cognitive strategy (M = 2.55). The least preferred strategy by the below average ESL students was metacognitive strategy (M = 2.48). The paired t-test results exposed a statistically significant difference between strategies used by the participants. There was a statistically significant difference between

the use of memory strategy and cognitive strategy (t = 10.31) (p = 0.00). (see Table 1). In the SILL level of overall strategy use, memory, affective, social, compensation and cognitive fell under the medium strategy use (mean value between 2.5 to 3.4). Only metacognitive strategy fell within the low strategy use (mean value below 2.4).

The individual item mean scores for the entire sample was analyzed based on the responses of the participants on the 50 items of SILL in a descending order from the most to least used. The results indicated that out of the 50 items, the mean score of 7 items fell in high strategy use, 29 items fell in medium strategy use, and 14 items fell in low strategy use. Items related to memory strategy such as 'I use flashcards to remember new English words' was most frequently used by the participants (M = 4.41). Conversely, the least used item (M = 1.81) was 'I watch English TV shows spoken in English or go to movies spoken in English' which belongs to cognitive strategy use.

TABLE 1
Descriptive Statistics for the variables and Paired Sample t-Tests for mean difference between the six strategy Categories

Variables	Minimum	Maximum	Mean	Std. Deviation	Difference	T
Memory	1.222	4.556	3.30741	.633965	Mem. > Cog.	10.31**
Cognitive	1.286	3.571	2.55952	.520783	Cog . < Com.	.89
Compensation	1.167	4.000	2.63056	.668846	Com. > Met.	1.25
Metacognitive	1.000	4.000	2.48148	.719113	Met. < Aff.	6.68**
Affective	1.333	5.000	3.31389	.826293	Aff. > Soc.	4.30**
Social	1.000	5.000	2.83611	.836712	Soc < Mem	4.18**
Total	1.62	3.56	2.8123	.45431		
TOEFL	261.00	380.00	324.2500	32.68319		

**Correlation is significant at .01 level (2 – tailed)

TABLE 2
Correlations among the Six Categories of Language Learning Strategies, Total Language Learning Strategies, and the TOEFL Scores

	A	B	C	D	E	F	Tot.	TOEFL
Mem. (A)	1							
Cog. (B)	.542**	1						
Com. (C)	.281*	.484**	1					
Met. (D)	.297*	.535**	.129	1				
Aff. (E)	.345**	.189	.292*	.269*	1			
Soc. (F)	.321*	.326*	.362**	.232	.465**	1		
Tot.	.706**	.808**	.583**	.664**	.597**	.638**	1	
TOEFL	.423**	.401**	.120	.325*	.207	.093	.414**	1

*Correlation is significant at .05 level (2-tailed)
**Correlation is significant at .01 level (2 – tailed)

Strategy use by English Proficiency Level

The major purpose of the research was to identify the relationship that existed between language learning strategy use and ESL proficiency. All six strategy categories correlated significantly with the total language learning strategy use (see Table 2). Memory and cognitive strategy significantly correlated with TOEFL score ($p<0.01$), Metacognitive strategy significantly correlated with the TOEFL score ($p<0.05$).

The results of the TOEFL indicated that the participants had low proficiency in English with an average TOEFL score of 324. The TOEFL score for the Indian students as mentioned in ETS (1997) represented an average of 519. Thus, the results revealed that the Indian ESL students participated in this study had below average English Language proficiency. Therefore, based on the average score secured in the TOEFL, the participants within the group were divided into three sub-groups such as high, medium and low proficiency (see Table 3).

TABLE 3
Strategy and the TOEFL Mean Scores of the Three Strategy Sub-Groups

Variables	Strategy Groups		
	Low (n=18)	Medium (n = 27)	High (n=15)
Strategy Mean	2.57	2.78	3.11
TOEFL Mean	281	324	361

The total mean value of the low proficiency students was 2.57 and the average score secured by these students in TOEFL was 281. The total average value of the medium proficiency students was 2.78 and the mean scores earned by these students in TOEFL was 324. The total mean value of the high proficiency students was 3.11 and the average scores earned by these students in TOEFL were 361. It was identified that as the use of strategies increased, the TOEFL score of the individual increased. These results indicated that there was a linear relationship between the use of Language Learning Strategies (LLS) and English proficiency of the students.

Medium proficiency students within the group least preferred using metacognitive

(M = 2.49) and compensation strategies (M = 2.50) (see Table 4). However, the other two groups, low and high proficiency, used metacognitive (M = 2.20, M= 2.79) and cognitive the least (M = 2.28, M= 2.83) respectively. The low proficiency students mostly preferred using affective strategies (M = 3.16). The total strategy use (F= 7.56, p = .001) indicated that there was a significant difference in the use of strategies among the sub-groups of low, medium and high proficiency. Among these subgroups, the high proficiency students used strategies more frequently than the low and medium proficiency students did.

Strategy Use by Gender

The overall mean value difference of male (M = 2.75) and female (M = 2.86) indicated that the females engaged in strategy use more frequently than males. However, statistically there was no significant difference. A statistically significant difference in the use of metacognitive strategy was found between males and females (F = 3.77, p= 0.05), with females using metacognitive strategies more frequently than males. Females also preferred the use of social strategies (M= 2.92) than males (M = 2.72). Males most frequently used memory strategies (M = 3.29), and least preferred the use of metacognitive strategies (M = 2.30). Similarly, female participants responded using affective strategies (3.35) the most, and compensation strategies the least (M = 2.60). While comparing the TOEFL scores, female students scored (M= 326) higher than male students (M = 321).

Strategy use and Board of Studies

The sample constituted around 68% of students from the State Board and 32% of students from Central Board of Secondary Education (CBSE). Although the difference in the overall strategy use of State Board and CBSE was not statistically significant, there was a significant difference in the use of metacognitive strategies found between

TABLE 4
Descriptive statistics for the variables and F-Test for mean difference between sub-groups of English Proficiency

Variable	Low		Medium		High		F	Sig	Diff.
	Mean	SD	Mean	SD	Mean	SD			
Mem	2.93	.70	3.32	.54	3.71	.43	7.44	.001**	Low,
Cog	2.28	.62	2.58	.46	2.83	.29	5.36	.007**	Mid
Com	2.56	.72	2.50	.64	2.94	.57	2.35	.104	<
Met	2.20	.64	2.49	.77	2.79	.59	2.93	.061	High
Aff	3.16	.73	3.23	.92	3.63	.69	1.56	.219	
Soc	2.71	.93	2.73	.71	3.16	.88	1.59	.212	
Tot	2.57	.51	2.78	.38	3.13	.30	7.56	.001**	
TOEFL	281.1		324.2		361.6				

** p = 0.01

TABLE 5
Descriptive statistics for the variables and F-Test for mean difference between gender

Variable	Female		Male		F	Sig	Diff.
	Mean	SD	Mean	SD			
Mem	3.31	.56	3.29	.72	.02	.86	F > M
Cog	2.59	.42	2.52	.62	.26	.61	
Com	2.60	.74	2.66	.57	.14	.70	
Met	2.62	.56	2.30	.84	3.77	.05*	
Aff	3.35	.83	3.25	.83	.21	.64	
Soc	2.92	.83	2.72	.83	.91	.34	
Tot	2.86	.39	2.75	.51	0.89	0.34	
TOEFL	326.5		321.2				

*p = 0.05

CBSE and State Board (F= 4.07, p= 0.05), with CBSE students engaged in a high use of metacognitive strategy (See Table 6). The mean value indicated State Board students used social strategies (M = 2.91) more frequently than CBSE students (M = 2.67). Mean differences indicated that CBSE students (M = 2.84) employed strategy use more frequently than State Board student (M = 2.79).

DISCUSSION

Overall Strategy use

When the 60 Indian below average engineering students were considered as one group, these second language learners responded using memory and affective strategies more frequently than the other strategies during their academic learning. Politzer and MaGroarty (1985) identified strong use of memory strategies by ESL students in the context of rote-memorization. In addition, Indian school education follows a traditional language learning method,

which prioritizes memorization (Sheorey, 1999). Most of the studies on Asian students' language learning reported high use of memory strategies (Bremner, 1998; Politzer & McGroarty, 1985; Wharton,2000; Yang, 1999) This current study also proved the same fact of high usage of memory strategies by Indian below average ESL students. Indian students studying at schools believe that they can score pass marks in the examination, only if they reproduce the answers as exactly as written in the textbooks. Thus, the students' memoriese word-by word from the textbooks with or without understanding the meaning of the text. Therefore, to remember the text exactly, naturally these students practice various memory strategies from school level onwards, which they tend to continue even during higher education. As these students chosen for the study were poor academic achievers, they believed that their forgetfulness resulted in their low academic scores. Therefore, to score well in the exams these students also believed

TABLE 6
Descriptive statistics for the variables and F-Test for mean difference between Boards of Studies.

Variable	CBSE		State Board		F	Sig	Diff.
	Mean	SD	Mean	SD			
Mem	3.28	.59	3.31	.65	.03	.86	CBSE >
Cog	2.64	.39	2.52	.56	.70	.40	SB
Com	2.60	.58	2.64	.71	.03	.84	
Met	2.67	.79	2.29	.67	4.07	.05*	
Aff	3.27	.92	3.33	.78	.07	.79	
Soc	2.67	.77	2.91	.86	1.02	.31	
Tot	2.84	.46	2.79	.45	.10	.75	
TOEFL	335.1		319				

*$p = 0.05$

in memorizing word by word from the text through employing memory strategies while learning. This can be supported by observing the highly preferred item by the students: 'I use flashcards to remember new English words' with mean value 4.41. Next to this item, they preferred using rhymes to remember new English words (M=3.90). Thus, the most preferred memory strategies by the below average students indicated that most of the students had fear of forgetfulness.

The more frequent use of affective strategies by the students was quite natural. As these students have low proficiency in English, naturally they used affective strategies to deal with their apprehension in language learning. Oxford (1990) classified affective strategies as indirect strategies used for regulating emotions. Even though the students were under-achievers, they joined the summer course with a strong motivation to improve their academic performance. Therefore, to overcome their feelings against the language learning and

to perform well in higher education, the students practiced affective strategies more frequently.

The least preferred strategy by the students was cognitive and metacognitive strategies. Both cognitive and metacognitive strategies had significantly influenced the ESL students academic learning (Tang & Moore, 1992). Pintrich and Garcia (1994) explained that metacognitive knowledge and an increase in academic performance went hand in hand. As the students were under-achievers, they used metacognitive strategies the least. O'Malley *et al*. (1985) concluded that students who were more successful in studies were capable of applying greater metacognitive control over their learning. The disuse of metacognitive strategies by the respondents indicated that they had less knowledge in language learning (Wenden, 1999). It clearly indicated that the students were unsuccessful in managing their learning process.

Cognitive strategies involved learners' mental processes in understanding and

acquiring knowledge about language (Oxford, 1990). Tang and Moore (1992) on language learning concluded that cognitive strategies improved comprehension ability among the successful learners (Ehrman and Oxford, 1995). Thus, the below average ESL students' less use of cognitive strategies explained their inadequacy in comprehending the meaning of academic materials. Certainly, this inadequacy in cognitive strategies resulted in low English language proficiency of the participants. O'Malley and Chamot (1990) explained that cognitive skill is the most essential for developing language learning ability, which in turn would improve language learning strategies. Thus, improving the cognitive strategy use among low proficiency students might improve their overall strategy use of language learning.

Strategy use by English Proficiency Level

Most of the research examining relationships between language learning strategies and English proficiency reported a positive linear relationship between these two variables. The research showed that high proficiency students used language learning strategies more frequently than medium proficiency students. Similarly, medium proficiency students used language learning strategies more frequently than low proficiency students (Bermer, 1998; Oxford, 1995; Park, 1997; Sheorey, 1999; Wharton, 2000). The current study concentrated particularly on low proficiency ESL students, and reported a linear relationship between low language proficiency students and their language learning strategy use.

Further, the study was also interested in the detailed analysis of the low proficiency students' strategy use. Based on their TOEFL scores, the low proficiency group was categorized into three sub-groups such as high, medium, and low proficiency. Within the below average students group, the data revealed a linear relationship between the high proficiency group using strategies more frequently and receiving high TOEFL scores when compared with medium and low proficiency students. Medium proficiency students within the group preferred using metagonitive and compensation strategies the least. In contrast, the other two groups, low and high proficiency used metacognitive and cognitive the least.

Studies on language learning strategy use pointed out cognitive and metacognitive strategies as the predictor of second language (L2) proficiency (Oxford, 1990; OMalley and Chamot, 1990; Park, 1997; Tang and Moore, 1992). These findings stated that the importance of active mental engagement for manipulating and transforming learning materials employed cognitive strategies such as analysis, reasoning and elaborating on the text. Similarly, metacognitive strategies facilitated the learners to manage and monitor their learning processes. Thus, these two skills were essential for a learner to move from beginner to advanced levels of language learning. The findings of the study implied that the lack of cognitive and metacognitive strategy use among the students resulted in their low proficiency

scores. Thus, the students of the low proficiency groups must be trained in cognitive and metacognitive strategies.

The low proficiency sub-group students mostly preferred using affective strategy, which explained the emotional support that they required to face the reality of language learning. The results of sub-groups were again consistent with the existing research on participants with various proficiency levels. Overall, the results explained that the hierarchy of language learning strategies was applicable even within the sub-groups, which yielded statistically significant differences among them. Similar studies within particular levels of proficiency can be conducted to fine-tune the understanding regarding strategy use and language proficiency.

The correlation analysis through SPSS revealed that the total language learning strategy use significantly correlated with TOEFL scores (p = 0.01). Another finding of the study was that among the six categories of language learning strategies, memory, cognitive and metacognitive significantly correlated with TOEFL scores of the students. It indicated the strong relationship between memory, cognitive and metacognitive strategy use in enhancing TOEFL scores.

The significant relationship between language learning strategies and the TOEFL scores pointed out the importance of strategy use in L2 proficiency (Horwitz, 1987; Vann, 1987; Vann & Roberta, 1990). These results recommended that strategy training be executed in classrooms to facilitate students to become autonomous L2 learners outside the classroom where much of L2 learning occurs (Wenden, 1991). The effect of training students on strategy use within larger classrooms with different learner characteristics seemed to be less successful (O'Malley *et al*., 1990; Wenden, 1991). However, in the current study the students belong to a specific characteristic of the low proficiency group. Therefore, the possibility of teaching them as a class might be possible. Thus, we have to identify an effective method of training these students with language learning strategy use.

Strategy use by Gender

Many researches have shown that females tend to use more learning strategies than males (Ehrman & Oxford, 1989; Oxford, 1993; Hong-Nam & Leavell, 2006). The finding of the current study also reported the same. There was a significant difference in the use of metacognitive strategy by females. This indicated that females were monitoring their language learning progress more frequently than males. The result of the TOEFL scores also proved that females scored higher than males. In India, the number of females registering for higher education is comparatively lower than that of males. In the Indian culture, females are married at young age. After marriage, most females cannot continue their education. The Indian statistical report says that females graduation rates are less than the males' (Raman, 2006). Thus, the female students entering higher education seem to have a high responsibility to complete

their course successfully. Therefore, female students are conscious enough in monitoring their language learning progress. Thus, the motivation to finish the course successfully might have resulted in better strategy use and TOEFL scores of females.

Strategy use and Board of Studies

Several studies indicated socio cultural background as related to language strategy use (Bedell & Oxford, 1996; Grainger, 1997; Oxford & Burry-Stock, 1995; Reid, 1987; Wharton, 2000). Sheorey (1999) in his study on Indian ESL students did not focus on the influence of the Board of Studies on language learning strategies. The concept of studying in different Boards of Studies became popular after the study conducted by Sheorey (1999) on Indian ESL students. Thus, the present research focused on the aspects of students coming from schools with different Boards of Studies. The students in the study group belonged to CBSE and State Board. The results indicated that CBSE students used cognitive and metacognitive strategies more frequently than State Board students did. The results also reflected a higher use of social strategies by State Board students than CBSE students did. The syllabus, teaching process, and infrastructure for the CBSE are different from that of the State Board. There is a general opinion that CBSE syllabus is more challenging for students than the State Board syllabus (The Hindu, 2012). Thus, the students, in order to pass their exams, need to learn critical materials and exercise appropriate cognitive

and metacognitive strategies. Further, most of the students from State Board schools are from rural backgrounds. Shift (1988) explained that rural environments tend to have a peaceful, friendly and cooperative nature so that societal relationships in rural areas tended to be more personal and closely bonded than urban social relationships. This might be the reason for State Board students' use of social strategy more frequently than CBSE students.

SUGGESTIONS AND CONCLUSION

This study identified that below average ESL students registered for the summer course were not aware of language learning strategies and their importance in acquiring language proficiency. Therefore, the unawareness of their language learning strategy use has to be rectified through explicit training in these language learning strategies. The correlation analysis reported that the participants had a linear relationship between SILL and TOEFL scores. This explained that when these low proficiency students were categorized into three groups based on their TOEFL scores, their correlation reported a linear relationship. This finding indicated that the strategy use increased the TOEFL score of the low proficiency students. A similarity existed between the sub-groups correlation results and other studies conducted for ESL students with all the three levels (low, medium, high) of proficiency. The low to medium level strategy users least preferred the metacognitive and cognitive strategies during language learning, which

indicated their lack of control over direction, organization, monitoring and planning in language learning. The correlation analysis results revealed that memory, metacognitive and cognitive strategy use might improve the language proficiency of these low proficient ESL students. Therefore, it is wise to start training the students with emphasis on skills related to metacognitive and cognitive strategies rather than on the other strategies.

As these students are under achievers in learning, the researcher interviewed the students to identify what kind of learning instruction would interest these students for learning Language Learning Strategies (LLS). Students came up with responses such as learning through fun activities, learning through materials that were not directly related to engineering subjects, learning through games and learning through group works. By observation, the learning choice of these below average students indicated that these students did not prefer a traditional method of learning. They preferred to learn language learning strategies through practical exercises with less of an emphasis on engineering subjects.

During practical sessions, the students could be divided into groups. The groups could be divided in such a manner that each of the groups constituted both male and female students who studied in State Board as well as in CBSE. Hence, the students from State Board schools would encourage socialising, and they would co-ordinate well within the group, which would result in

positive communication within the group. Comparatively, female students applied monitoring skills more frequently than male students did. Therefore, when both male and female students are grouped together, female students would motivate the male students in understanding the responsibility of completing the assigned work within the specified time.

Most of the research on group learning reported that students working in groups provided motivation and facilitated students to reduce, apprehension and anxiety. It is emphasized that group work provides social and emotional support to the students, which results in active learning (Gerlach, 1994). Thus, the teachers in their practical sessions may give exercises in which the students can work in groups using language learning strategies. In addition, teachers can make use of language laboratories to train the students through games, which may help them with the skills related to language learning strategies. For example, to teach vocabulary items to students, the teacher can make use of the language laboratory to facilitate the students in working with puzzle games related to vocabulary acquisition. The above practice demands more mental process while learning the language, which might increase students' use of cognitive strategies.

Thus, the study concludes that unsuccessful learners need exclusive teaching and appropriate training in language learning strategies, which might enhance their learning achievements.

RECOMMONDATION FOR FURTHER RESEARCH

Similar to this study, further research can concentrate on populations with particular proficiency levels and their relationship with SILL. The intervening factors other than gender and Board of Studies can be included for analysis based on the need and socio cultural background of the selected population. In this study, we have used SILL to assess the language learning strategies of the ESL students; other studies can use other instruments to assess the language learning strategies. The researcher can choose particular skills among the communication skills such as reading, writing, and listening and find out the relationship particular skills have with language learning strategy use.

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English Communication Skills and Employability in the Arabian Gulf: The Case of Oman

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ABSTRACT

Globalization, the information explosion, and technological advancement have gone hand in hand with the spread of English and its use as a lingua franca worldwide, a phenomenon that necessitated the teaching of English as a foreign language in many countries around the world, with the Arab nations no exception. In Oman, English has been recognized as a necessary tool for advancement and the acquisition of knowledge and technology (Al-Issa, 2007; Al-Mahrooqi, 2012; Al-Mahrooqi & Tuzlukova, 2010). In addition, given the multilingual nature of the workforce, which includes around 500,000 foreign workers, English has become a necessary medium of communication in Omani workplaces, especially in the private sector.

Therefore, English has been taught in public schools since 1970 and in higher education since 1986. Unfortunately, higher education students continue to graduate with very weak oral and written communication skills, thus making them unfit for employment in many types of jobs. The aim of this paper is to address the issue of communicative competence among higher education students. It focuses specifically on how adequately linguistic, pragmatic and communicative skills are taught in higher education institutions' language programs. The sample of the study includes 451 students from a number of Omani higher education institutions who answered a 71-item questionnaire on the issue. Forty of the 451 students were also interviewed to investigate the issue further. The results indicate that students are only moderately prepared in terms of all the skills listed in the questionnaire. This calls for a re-examination and revamping of language programs with the intention of integrating more communication skills into their courses. The researchers recommend that these skills be integrated into content-based courses throughout the different majors' study plans.

INTRODUCTION

English is the modern world's international language. As is well known, it is the language of science, technology, information, communication, medicine, tourism and many other fields (Altbach, 2010; Graddol, 2006; Crystal, 1992; Phillipson, 1992; Bisong, 1995). Supported by globalization and the power of countries where it is spoken as a native language, English is likely to remain influential for the foreseeable future (Crystal, 2002, Graddol, 2006). Recognizing its importance for their economic and social welfare advancement, countries everywhere have integrated instruction in English into their educational systems, teaching it from early school grades through to higher education. In the Arab Gulf, for example, the tendency now is to teach the language from first grade in government schools. Private schools teach it from kindergarten. And due to the presence of a multi-national workforce (because Gulf country economies depend on foreigners for skilled and unskilled labor), English has become a necessary lingua franca for it. This is certainly true of Oman. English here is urgently required by the job market. As Al-Issa (2007) states, "Oman needs English – the only official foreign language in the country – as a fundamental tool for 'modernization', 'nationalization' and the acquisition of science and technology" (pp. 199-200). Hence, since the inception of modern formal education in 1970, the government has poured human and financial resources into supporting English instruction throughout the country. State schools initially taught English from grade four, but during the academic year 1998-1999 a new program called Basic Education was introduced in 17 schools which began teaching the language from grade one (Ministry of Education, 2006). In 1986, the first and only national university opened its doors and began teaching all science-based specializations and many other subjects in English, a pattern also followed in more recently-founded private colleges and universities and indeed throughout the Arab Gulf.

However, the huge investment has nowhere yielded the expected gains (Moody, 2009, 2012; Al-Mahrooqi & Asante, 2010; Al-Issa, 2011; Al-Mahrooqi, 2012). Higher education graduates emerge weak in English and thus with communication skills inadequate for the job market. Preliminary research findings suggest that communication skills receive insufficient focus in either school or higher education English programs, which, insists Moody (2012), fail to consider the sociolinguistic context of the Gulf countries and between whom English communication is expected to occur. And low English proficiency manifests itself not only in poor oral skills but also in all other skills. In Oman, this too characterizes the products of school English instruction, who suffer from very weak language skills, and especially writing (Al-Mahrooqi, 2012; Al-Mahrooqi &

Tuzlukova, 2012 a & b). They have reading difficulties too, due to a lack of a national reading culture, public libraries, bookshops, and books in general.

However, findings hitherto have been based on data gathered through one research instrument only and with few subjects, who were teachers and/or students of English as a foreign language. The present study, nation-wide in scope, employed several instruments, including questionnaires for language teachers and students, employers and employees, teacher and student focus groups, and in addition semi-structured interviews with both language teachers and students. Due to the extensive data collected, however, this article reports on findings from the student questionnaires and interviews only. The study was funded by Oman's Research Council.

Because context has a significant impact on education (Show, 1997; Syed, 2003), the following sections provide an overview of Oman's educational system at both the secondary and tertiary levels, examining the place of English in both. Then, comment is offered on English communication skills as a requirement for the local job market.

ENGLISH IN OMANI HIGHER EDUCATION INSTITUTIONS

Almost all higher education institutions in Oman, led by Sultan Qaboos University, use English as a medium of instruction, recognizing the language's international status and its vital role in modernizing the country. However, while policy makers believe in the importance of English, not all school graduates seem to appreciate this. Many, in fact, view English as an obstacle, because most of those entering tertiary education must successfully complete a foundation English program before beginning their specializations.

Fully funded by the government, Sultan Qaboos University is the country's only state-run university. It has a student body of around 16,000 enrolled in nine colleges: Medicine and Health Sciences, Nursing, Agricultural and Marine Sciences, Engineering, Science, Economics and Political Sciences, Arts and Social Sciences, Education, and Law. All science-based colleges teach their specializations in English. English is also the medium of instruction in the College of Economics and Political Sciences and of a host of other specializations in the humanities. While English is naturally obligatory for all English-medium specializations, it is taught as a university requirement in all Arabic-medium specializations too.

State-run tertiary education also includes seven Higher Colleges of Technology, five Colleges of Applied Sciences, 16 institutions of Health Sciences, and a College of Banking and Financial Studies. All employ English as a medium of instruction. Meanwhile there are seven private universities and 19 private colleges across Oman, all affiliated to British, Australian or American universities – a Ministry of Higher Education requirement as a measure for controlling course quality. Almost all teach their programs in English.

Using English as a medium of instruction arises from a belief by policy makers that it

is required for Oman's acquisition of new technology and integration into the modern world (Al-Mahrooqi & Tuzlukova, 2010). However, as already mentioned, students do not seem to appreciate this importance. Hence, a majority invest minimal effort in improving their English language skills and communicative ability. Then too the tertiary curriculum they face uses commercial and in-house textbooks which do not necessarily teach the skills most needed by the job market (Al-Mahrooqi & Tuzlukova, 2012a; 2012b). Hence, higher education graduates have been found to lack adequate preparation in English communication skills (Al-Shaqsi, 2012). The gap between policy makers' aims and student perceptions of English thus presents a major challenge that must be examined with some care. The following section will shed light on the challenges Omani higher education faces in terms of English and its future in the country.

ENGLISH-RELATED CHALLENGES FOR OMANI HIGHER EDUCATION

In a world rapidly globalizing, the challenges for higher education everywhere are many and major. This is particularly true for the Arab world, given the uprisings that have taken place since 2010. In the words of Mazawi (2010), "Debates and controversies continue to rage over the role of higher education institutions in effecting social, political, and economic transformation that would successfully leverage reform efforts undertaken in various parts of the Arab region" (p. 41). The role of Gulf

universities is being questioned in the light of growing student under-achievement and graduate unemployment. From their side, employers are claiming that, while they would like to nationalize their workforce, Gulf graduates do not possess adequate or appropriate skills. Most higher education institutions in the region are providing free quality education, but large numbers of their students graduate with either meager skills or those counter-productive to effective adjustment and integration into the job-market. Also the majority of teachers and professors are foreigners, which provides an unstable network of professionals for building a knowledge-base and expertise in the different majors on offer. In 2009, for example, there were more than 30 nationalities represented among English instructors in SQU's Language Center. While this brought much academic strength to the institution, a major challenge arose because the professionals involved had cultural and linguistic backgrounds different from the students' own, causing misunderstanding between them. Syed (2003) made this point when he said, "The linguistic and cultural distance between learners and teachers is a serious factor in the Gulf EFL classrooms" (p. 339).

Gulf higher education also faces another significant challenge - internationalization, which is "a feature of the general trend towards globalization in trade, commerce and communication" (Wilkins, 2001, p. 157). According to Ghasempoor, Liaghatdar, and Jafari (2011), "Universities today are key drivers of internationalization and

global communication." As a major trend in the global market, the internationalization of education "has a profound effect on today's political, economic and cultural life. This wide-ranging process also has a major impact on colleges and universities, which are highly sensitive to international developments. Their increasingly international character means they must cooperate to help shape the worldwide "knowledge-based society" (EUA, 2003, p.1) and promote scientific exchange." (p.35). While curricula at the most prestigious universities are thus becoming internationalized, students can avail themselves of knowledge over the Internet without the problem of travel. For Ghasempoor *et al*. (2011), "This virtual form of internationalization has made foreign language skills an essential part of the domestic research and learning process. Without a certain proficiency in English it is nearly impossible to search for information on the Internet, which has become the main driving force behind this virtual internationalization" (p. 36).

According to Renard (2010), for SQU to function "effectively in a globalized world as a research university" (p. 3), it must "continue to make significant investment in English to enable full involvement in global academic networks that function in English" (p.3). He adds that "English is not only the preeminent language of science and scholarship in the 21st century, but it is the language of engagement with the international academic community. Thus, SQU staff and students must be fluent in English. In most scientific fields, English is the primary language of knowledge dissemination, and the journals are in English. Even in the Middle East, where Arabic is widely spoken, English tends to be the key tool of academic discourse" (p. 7). Hence, SQU staff and students must be fluent in English.

However, Renard (2010) poses important questions which are now part of growing debate and research in the Arab region. Should English continue to be used as a medium of instruction in Omani higher education? Would students not benefit more and comprehend their majors more if their courses were taught in Arabic, their native language? While the answers might seem to be straightforward, they have profound implications for educational policy and planning. Equally important, they also have far-reaching implications for the Sultanate's economy, international relations and integration into the globalized world. This English-or-Arabic debate is now ongoing in many Arab countries (Rugh, 2002).

Speaking about SQU, Renard (2010) holds that it "has made and must continue to make a significant investment in English if only because it must be fully involved in global academic networks that function in English. How much more should be done to build an English-speaking environment is a complex issue" (p. 7).

Thus, considering the status of English in the world, and the possibility of its remaining influential in the coming decades at least (Graddol, 2006; Crystal, 2002), and, further, faced with the demands of

globalization, free trade and an open world market, Oman needs to continue investing in English language instruction at both the school and tertiary levels. However, for this investment not to be wasted, and to direct reform efforts productively, research must pave the way for progress. Hence, this study seeks to investigate the status of communication skills teaching in 11 tertiary education institutions. But first the connection between English communication skills and the Omani job-market should be addressed.

ENGLISH COMMUNICATION SKILLS IN THE OMANI JOB MARKET

Due to Oman's strong ties with Britain, English had a presence in its urban areas before 1970, though it was not taught in any of the three all-boy schools which were the only institutions for formal education at that time (Al-Busaidi, 1995). Following His Majesty Sultan Qaboos' ascent to the throne, English experienced a wider presence in the country. Not only is it now a school subject in state-funded schools, and the language of instruction in most higher education specializations, it is also the lingua franca of the country's multi-national workforce. The private sector uses English extensively in its operations (Al-Mahrooqi & Asante, 2010; Al-Mahrooqi, Abrar-ul-Hassan, 2012), and many government jobs nowadays also require English. Seeking to diversify its income sources, the Sultanate is currently turning towards tourism, a sector that uses English predominantly in its business

(Tuzlukova & Al-Mahrooqi, 2011). The oil and gas industry also requires English and only those proficient in the language secure employment with such large firms as PDO (Petroleum Development Oman). A command of English can thus give a school or college graduate a competitive advantage over others (Al-Mahrooqi, 2012). However, adequate English must manifest itself not only in linguistic terms (possession of a large vocabulary and a command of grammar), but also during use in real life situations, taking into account contexts, interlocutors and their status, topics, times, and a host of other factors, all of them culture related (Al-Mahrooqi & Tuzlukova, 2012 a & b). Scholars such as Hymes (1972), Canale and Swain (1980), Widdowson (1978), Hall (1999), Thomas (1983), Kasper and Schmidt (1996), Bachman (1990), and Rose and Kasper (2001) have addressed communicative competence's different components, all emphasizing the importance of socio-cultural and pragmatic elements for effective performance.

THE STUDY

Part of a larger strategic research study that aims to find out if Omani higher education institutions equip their students with communicative ability and skills required by the job market, this study focuses on student perceptions on whether or not their English courses provided such instruction. To examine this, two instruments were used: a detailed questionnaire and an interview. The questionnaire, containing a five-5 point Likert scale qualitative section

and a quantitative section, was developed by the researchers. It contained 71 items and concentrated on seven areas related to communicative competence. These were: linguistic skills, strategic competencies, professional communication skills, general interpersonal skills, team work, psychological aspects of communication, and pragmatic skills. Under each area there were a number of relevant statements. Students chose a response from five available: equipped me extremely well, equipped me well, somewhat equipped me, did not equip me well, did not equip me at all.

After several revision stages, the questionnaire was given to a panel of six professors of English and Applied Linguistics to validate. Each questionnaire statement was assessed for relevance to the topic, clarity and accuracy of structure. Also the professors examined the items in terms of repetition and their classifications into categories. This process led to the exclusion of many items and to the rephrasing of a few to improve their clarity. The questionnaire was then piloted on 40 students before being placed online and distributed as hard copy among students at several higher education institutions, including Sultan Qaboos University, Majan University College, Middle East College, Khaleej College, the Higher College of Technology, Ibri College of Technology, Ibra College of Technology, Shinas College of Technology, Ibri College of Applied Sciences, Sur University College, Musanna College of Applied Sciences, the Open Arab University, the Modern College

of Business and Science, and Sharqiya University. Both male and female English foundation and credit program students were involved in the study. For data analysis, the software "Statistical Package for the Social Sciences" (SPSS) computer program was used to obtain descriptive statistics (means and standard deviation), data documentation and management.

The interview was conducted with just 40 students from the whole sample due to its demanding nature and to its being time-consuming. The interview offered in-depth information about student opinions on the importance of English in the local and international job-market. It also elicited their opinions on how communication skills are taught in their institutions. The interviews were all taped and later transcribed, after which the transcriptions were read carefully by the researchers and answers tabulated and categorized to depict trends, similarities or differences in student opinions. Examples given by students of activities that helped them gain communicative competence were also noted to illustrate their opinions.

RESULTS

Table 1 shows that none of the seven areas received a mean above 4. With very limited standard deviation, the means ranged between 3.31 and 3.06, indicating at best a moderate preparation in terms of the skills in question. Hence English programs in the 14 institutions only somewhat equipped students with communication, linguistic and pragmatic skills. This agrees with previous findings from Al-Mahrooqi and Tuzlukova's

study on English teachers at Sultan Qaboos University's Language Center (2012), but it is not completely in line with them. While students in this study indicated that they were somewhat adequately equipped with the seven skill areas, the teachers felt that the curriculum does not equip students well in professional communication skills and does not train them well in the areas related to the psychological aspects of communication. However, in this study, as Table 1 shows, the means for these two skill categories are the lowest among all the seven categories, obtaining 3.06 for Professional Communication skills and 3.19 for the Psychological aspects of communication.

TABLE 1
Descriptive Statistics of the Seven Main Skill Categories

		N	Mean	Std. Deviation
1.	Linguistic skills	451	3.29	.827257
2.	Strategic competencies	451	3.26	.897948
3.	Professional communication skills	451	3.06	.808804
4.	General interpersonal skills	451	3.21	.867100
5.	Team work	451	3.36	.879039
6.	Psychological aspect of communication	451	3.19	1.021269
7.	Pragmatic skills	451	3.31	.839813

For a close look at the results, Table 2 shows the means and standard deviation of the different sub-skills under each of the seven categories. The means show some very interesting results. The following sub-skills had means below 3: possessing language related conflict resolution strategies (M=2.8); interpreting accurately clients' needs and wants (M=2.97); communicating alternatives to clients (M=2.94); being skillful in using English in competitive situations (M=2.92); persuasive skills (M=2.93); responding to complaints (M=2.91); interacting effectively in a job interview (M=2.95); writing an effective CV (M=2.8); giving invitations (M=2.96); expressing sympathy (M=2.88); objecting and making counter arguments (M=2.96); and issuing complaints (M=2.84). These twelve sub-skills, with the exception of giving invitations and expressing sympathy, which are more socially oriented, are very important for effective performance in the job market. If language programs fail to equip students with them, then their success in the job market when they first enter it might be jeopardized.

It is worth noting that there were four items (language functions/speech acts) that achieved a mean above 3.5. These were:

1. 1. Using polite language with others (M = 3.74)

2. 2. Greeting and saying goodbye (M = 3.66)

3. 3. Knowing how to make polite requests (M = 3.55)

4. 4. Introducing oneself to others and introducing people to one another (M = 3.53)

The above four speech acts are basic and are expected to be mastered by elementary school students, not higher education students with 9-12 years of English instruction at school in addition to English instruction at the college level. This highlights the dire need for reform in English language teaching at both school and college levels in Oman.

QUALITATIVE RESULTS

Students unanimously agreed that English is very important for employment in Oman, especially in the private sector. They equated proficiency in English with "getting a good job" and "getting employed faster." The majority thought that English will remain influential in Oman for the coming 20 years. However, there were a few who thought that other languages, such as Chinese and French, would emerge as being important and would be taught in Oman alongside English. Those languages, in the opinion of three students, might become even more important than English in the coming 20 years.

Again, there was unanimous agreement that students learnt English to be able to communicate. However, student definitions of communication skills varied. Some equated them with possessing a rich vocabulary and good grammar, while others defined them as the four language skills. Still others described them as "being accurate when speaking and writing." Around 40% of the participants also mentioned body language and culture as important elements of communication skills, signaling their awareness of the role of culture in determining the meaning of a given linguistic message.

When asked to evaluate their ability to communicate, all students agreed that they needed more training in how to use language in various activities, including apologizing, requesting, expressing sympathy, negotiating, interrupting, complaining, and congratulating, among many others. Students at a private college in Muscat unanimously agreed that their English classes definitely improved their communicative ability. Although all of them started learning English in the foundation program when they first enrolled, they felt that their communication skills had improved tremendously. They gave three main reasons for this: the college encourages speaking in English outside the classroom; students communicate in English with classmates, instructors and professors; and English instructors use interactive methodologies in their teaching, such as group work, debates and class discussions. They said that students also use English in extra-curricular activities, in the college's "American Corner", and when they receive their field training. But while these students felt that their confidence in using English had improved, they still expressed a need for more training in communication skills so as to function effectively in the market place. A large number from the other institutions thought that, although English classes at the tertiary level were an improvement over their school English lessons, their college English classes were ineffective in equipping

TABLE 2
Means and Standard Deviations of sub-skills

		N	Mean	Std. Deviation
Linguistic skills		451	3.29	.827
1	Proficiency in English	451	3.45	0.993
10	Possessing language related conflict resolution strategies	451	2.8	1.057
19	Comparing and contrasting ideas	451	3.27	1.111
25	Ability to write letters	451	3.28	1.131
26	Ability to write emails	451	3.36	1.17
27	Expressing opinions and ideas in writing	451	3.45	1.117
28	Writing brief notes	451	3.51	1.12
29	Summarizing other people's ideas	451	3.41	1.165
30	Paraphrasing and restating other people's opinions	451	3.27	1.141
31	Writing reports, proposals, minutes and meeting agendas	451	3.11	1.176
32	Asking questions	451	3.48	1.124
35	Understanding and accurately using idiomatic expressions	451	3.06	1.141
46	Giving negative feedback in a positive way	451	3.16	1.111
48	Being easily understood by people from different backgrounds when speaking in English	451	3.25	1.129
52	Beginning and ending a conversation	451	3.33	1.114
60	Describing people, places, objects and processes	451	3.38	1.103
69	Reading and understanding English texts independently	451	3.29	1.163
Strategic competencies		451	3.25	.898
33	Listening and note taking	451	3.53	1.134
34	Finding other ways to communicate intention, ideas or emotions when lacking words	451	3.17	1.133
42	Asking questions for clarification	451	3.33	1.105
43	Knowing how to change the topic to redirect discussion or conversation towards a new issue	451	3.01	1.123
Professional communication skills		451	3.06	.809
2	Effective oral communication in English, speaking clearly and directly	451	3.06	1.086
3	Effective written communication, writing legibly, logically and concisely	451	3.25	1.049
4	Interpreting clients' needs and wants accurately	451	2.97	1.024
5	Communicating alternatives to clients	451	2.94	1.059
6	Verbal negotiation skills	451	3.01	1.081
9	Being skillful in using English in competitive situations	451	2.92	1.091
11	Persuasive skills	451	2.93	1.087
24	Resolving a conflict or disagreement	451	3.08	1.092

TABLE 2 (*continue*)

37	Contributing effectively to discussion of important topics	451	3.16	1.113
39	Being able to use appropriate gestures and body language when communicating with others	451	3.29	1.151
40	Having effective presentation skills	451	3.28	1.087
44	Ability to communicate using different media e.g. speaking on the phone, texting, voice messaging etc	451	3.18	1.202
47	Expressing new ideas logically and clearly	451	3.28	1.082
53	Responding to complaints	451	2.91	1.153
64	Making arrangements for trips, meetings etc	451	3.03	1.242
68	Being well prepared for the job market in terms of communication skills	451	3.06	1.211
70	Interacting effectively in a job interview	451	2.95	1.215
71	Writing an effective CV	451	2.8	1.287
General interpersonal skills		451	3.21	.867
12	Introducing oneself to others and introducing people to one another	451	3.53	1.09
36	Engaging in everyday communication	451	3.24	1.112
56	Giving invitations	451	2.96	1.141
58	Expressing regret	451	3.08	1.124
59	Expressing sympathy	451	2.88	1.158
61	Refusing a request or an offer	451	3.12	1.111
63	Greeting and saying goodbye	451	3.66	1.16
Team work		451	3.36	.879
7	Communicating collaboratively in a team	451	3.35	1.082
8	Participating appropriately in group conversations	451	3.22	1.11
38	Communicating and having good working relationships with colleagues	451	3.41	1.089
41	Empathizing with others' positions	451	3.24	1.128
49	Respecting other people's opinions even if they are different from your own	451	3.58	1.143
Psychological aspect of communication		451	3.19	1.021
65	Feeling completely at ease when engaging in communication with others	451	3.15	1.145
66	Feeling at ease when asking for necessary clarification	451	3.23	1.132
67	Feeling confident in one's ability to communicate with others	451	3.19	1.141
Pragmatic skills		451	3.31	.839
13	Using polite language with others	451	3.74	1.081
14	Understanding people with different backgrounds, values, skills and abilities	451	3.52	1.11
15	Being sensitive to cultural and linguistic differences	451	3.32	1.136

TABLE 2 (*continue*)

16	Knowing how to politely refuse requests	451	3.18	1.154
17	Knowing how to make polite requests	451	3.55	1.137
18	Distinguishing between formal and informal language and using what is appropriate in a given situation	451	3.25	1.219
20	Communicating with people who have different backgrounds, values, skills and abilities	451	3.33	1.112
21	Knowing how to apologize when making a mistake	451	3.45	1.166
22	Expressing agreement with someone else's ideas	451	3.46	1.087
23	Expressing disagreement politely and assertively	451	3.42	1.113
45	Responding to criticism appropriately	451	3.08	1.116
50	Giving others a chance to express their ideas and then responding when appropriate	451	3.55	1.135
51	Interrupting appropriately	451	3.25	1.107
54	Asking for suggestions	451	3.27	1.12
55	Making suggestions and recommendations	451	3.19	1.132
57	Objecting and making counter arguments	451	2.96	1.123
62	Issuing a complaint	451	2.84	1.16

them with communication skills. Different teachers focused on different things, they said, some on grammar, others on reading and vocabulary, and still others on writing and correcting grammar mistakes. They also felt that most of their English courses were minimally related to their specializations and future employment.

In the opinion of many students, the tertiary level environment did not encourage them to use English because everything is available in Arabic and there is little encouragement to practice English outside the classroom. However, they had to use English when visiting their English instructors, unless these were Arabic speakers and a problem could not be explained in English. However, when communicating with their Arab content area professors, they often used the mother tongue. Moreover, Arab professors did

the same in their class teaching. Content area exams used mainly multiple choice questions, which required little English competence to answer, and many professors distributed lecture notes and summaries of the text they taught, making the course books redundant and also reducing student study time in English.

A significant number of Sultan Qaboos University students reported favorably on joining the English and Translation Society or simply attending its classes and activities. Student-led, it organizes five different workshops every week to improve attendees' English language competence and performance. Some mentioned agreeing with their peers to use English whenever possible outside the classroom and others spoke of participation in social and other cultural activities organized in Muscat in which new people and English usage could

be found. To improve their communicative ability, students suggested the following:

1. The specific teaching of communication skills in a separate course or in conjunction with other courses

2. Encouragement and support of English-medium student-led or college-led extra-curricular activities (e.g. English clubs and drama clubs)

3. Emphasis on adherence by content area professors to the policy of "English only" in the classroom

4. Making language learning more meaningful and contextualized and using communicative approaches in language teaching more widely and by all language teachers (e.g. group work, pair work and debates).

CONCLUSION AND RECOMMENDATIONS

It is clear that linguistic, pragmatic and communication skills are not highlighted in higher education English classes and that neither is the environment an encouraging one. Quantitative data indicated that some communication sub-skills essential for effective performance in the job market are actually inadequately present in Omani higher education institutions. These include possessing language related conflict resolution strategies, interpreting accurately clients' needs and wants, communicating alternatives to clients, being skillful in using English in competitive situations, persuasive skills, responding to complaints, interacting effectively in a job interview, writing an effective CV, objecting and making counter arguments, and issuing complaints. Qualitative data from the interviews and open-ended questions made clear that language programs do not emphasize speaking and language functions adequately. Hence, students graduate from tertiary education inadequately equipped with the oral communication skills which are vitally needed in a global job market with a multinational workforce.

Among the recommended solutions are the following:

1. Higher education institutions should foster and encourage student use of English on campus

2. Extracurricular activities need to be encouraged and supported

3. Using feedback from the job market, a special course on communication skills should be offered by all the relevant institution. Learning should be made meaningful and contextualized

4. Arab professors should adhere to the "English only" policy in their classrooms

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SOCIAL SCIENCES & HUMANITIES

The Discursive Representation of Companies in Malaysian Business Magazines

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ABSTRACT

This article studies the portrayal of companies in Malaysian business magazine articles. 8 articles were selected from *Business Today* and *Malaysian Business* and they were analyzed using Fairclough's 3-dimensional critical discourse analysis (CDA) model. This entailed an analysis of text, discourse practice and social practice. Text analysis employs TRANSITIVITY from Systemic Functional Linguistics (SFL) to focus on Processes and Participants. Certain Processes relate a particular experience about companies. Companies are shown to have positive social agency because they manage their context to ensure profitability through Material Process while their positive traits are shown through Relational (Attributive and Identifying) Process. The discourse practice analysis covers intertextuality and interdiscursivity. Studying intertextuality reveals 2 dominant voices, the writer and spokesperson, where the writer quotes the spokesperson using Mental and Verbal Processes. Quoting the spokesperson enables the writer to substantiate his opinions, which makes his writing seem credible. Studying interdiscursivity reveals 2 dominant discourses, journalistic and public relations, where public relations discourse is conveyed through the reputed objectivity of journalistic discourse. Both text and discourse practice analyses construe a 'world' where everything revolves around companies for their benefit to garner economic capital, which implies the social practice of the articles in *Business Today* and *Malaysian Business*.

Keywords: Company, media, article, CDA, SFL

INTRODUCTION

Business Today and *Malaysian Business* are magazines about business in Malaysia. Among their monthly articles are those profiling local companies. These articles

explain a company's endeavors and aspirations to readers who are experts or non-experts in business. The articles evidence the role of the media in constructing reality (Macdonald, 2003, p. 14) about companies. This construction is examined by studying the portrayal of companies in *Business Today* and *Malaysian Business*. To do so, selected articles are analyzed using Fairclough's (1995) 3-dimensional critical discourse analysis (CDA) model. The analysis discloses a certain portrayal of companies through the choice of language features, texts and discourses, which reflect the motivation of the articles.

This article can complement related Malaysian studies about companies (e.g. Taib, 2010, Mustaffa & Rashidah, 2007) by studying companies in the media. It is useful to the literature of media discourse because it explains the way that language features, texts and discourses impact the portrayal of companies. These should form part of a journalist's discursive competence because for Bhatia (2002), discursive competence is part of professional expertise. Understanding media discourse increases the scope of theoretical and practical knowledge available to journalists. It sensitizes them to the potential of language to convey meanings, which could develop their ability to write convincing articles. It makes discursive competence a crucial element in developing professional expertise in journalism. Such discursive competence is valuable in teaching and training for the media since it always uses language to communicate with various readers.

PREVIOUS RESEARCH ON MEDIA DISCOURSE

Fairclough (1995, 2003) has analyzed media discourse extensively but he has not emphasized media discourse about companies. There is research about media discourse in Malaysia, such as in newspapers (e.g. Lean, Zuraidah & Fernandez, 2012, Wong & Lean, 2011) but their focus is rarely companies. Similarly, there is research about corporate discourse in Malaysia but their focus ranges from company-to-company communication (e.g. Taib, 2010) or company to stakeholders communication (e.g. Mustaffa & Rashidah, 2007). While Taib (2010) and Mustaffa & Rashidah (2007) analyze corporate texts, companies produce these texts but journalists produce business magazine articles. Lean *et al.* (2012) and Wong and Lean (2011) analyze media texts but their texts did not mention companies. These earlier studies did not study companies in the media.

Fairclough (1995, 2003) employs TRANSITIVITY from Systemic Functional Linguistics (SFL) to study portrayal in media discourse because the choice of Processes and Participants conveys entities in a particular way. McManus (2009) shows a change from doctors as Participant in early 20th century medicine brochures to doctors and patient as Participant in early 21st century medicine brochures in the United Kingdom, which reflects evolving ethical and legal obligations. Rajandran (2012) exemplifies the use of faculty, program and students in the role of Participants to describe the experience of studying in a

university in Malaysia. While McManus (2009) and Rajandran (2012) report personalizing discourse through the choice of Participant, Halliday & Martin (1993) report impersonalizing discourse through the choice of Participant. Halliday & Martin (1993) chart the change of Participant in science manuals from the 19th century to the 20th century, where people are avoided as Participants. For Pietikäinen (2003), indigenous people are personalized by naming their group while their government is impersonalized by naming government agencies.

Being a Participant makes individuals or groups active as the source of a Process or inactive as the target of a Process. People are represented as active if they cause change to their lives (Moore, 2002) or the public (Stamou, 2001) or inactive if other factors cause people to change (Pietikäinen, 2003). Hence, Participants and their relation to Processes are important in constructing social agency or the responsibility for causing or not causing change. As Barnard (2003) demonstrates, social agency for Japan's World War II atrocities is traced to Japan's Imperial Army, not Japan the country, which mitigates blame for Japan. Similarly, Thomas (1997) shows a change in social agency from a company to the economy as the company went from profit to loss, which moves blame from the company to the economy. In Oteíza & Pinto (2008), using non-humans in the role of Participant decreases the social agency of people in historical episodes.

These studies confirm the benefit of TRANSITIVITY to examine portrayal in numerous texts. Yet, TRANSITIVITY is a linguistic analysis and a linguistic analysis might not be adequate to explain the presence of other texts and discourses in business magazine articles. These texts and discourses should be considered because they contribute to the portrayal that TRANSITIVITY analyzes. This requires an intertextual and interdiscursive analysis. For Fairclough (1995, p. 84, 2003, p. 218), intertextuality means combining other texts to form new texts and interdiscursivity means the relations between discourse types; discourse types being a discourse, genre or style.

The studies until now have certainly extended our understanding of media discourse but there are some gaps in our knowledge. First, few studies study media discourse about companies in Malaysia. Second, other studies often emphasize a linguistic analysis to the detriment of an intertextual and interdiscursive analysis. This article hopes narrow such gaps by studying business magazine articles profiling Malaysian companies. It conducts a linguistic analysis of TRANSITIVITY and combines it with an intertextual and interdiscursive analysis to understand the motivation of these articles, following Fairclough's (1995) 3-dimensional CDA model.

METHODOLOGY

Selected Articles

Reach Publishing publishes *Business Today* and Bernama Publishing publishes *Malaysian Business*. The articles in these magazines are about business in Malaysia. Their language is not technical and is suitable for an average educated person, which means that almost anyone interested in business could be a reader of *Business Today* and *Malaysian Business*. Articles profiling a company were selected for analysis. These articles are a monthly feature and explain a company's endeavors and aspirations to readers. *Business Today* profiles 1 company and *Malaysian Business* profiles 3 companies from numerous industries. Articles from *Business Today* and *Malaysian Business* from January 2011 to April 2011 were selected, as detailed in Table 1. Only 8 articles were selected to make them manageable for a qualitative analysis.

Method

Fairclough's (1995) 3-dimensional CDA model is employed as a heuristic to analyze the articles systematically. The model views discourse as an amalgamation of 3 related dimensions of text, discourse practice and social practice (Fairclough, 1995, p. 73). Simply put, text investigates the properties of texts, often using SFL while discourse practice investigates the production and consumption of texts. This article concentrates on production, notably other texts and discourses that contribute to producing the articles. Social practice investigates the influence of social events, social practices and social structures on texts (Fairclough, 2003). It includes references to the broad areas of history, culture, economy and politics (Fairclough, 1995, p. 62).

Text is analyzed using TRANSITIVITY from SFL. TRANSITIVITY provides a detailed and structured linguistic analysis, which makes TRANSITIVITY crucial for CDA (Fairclough, 1995, p. 57). Choices in TRANSITIVITY construe our experience of the world through the clause

TABLE 1
Selected articles

Magazine	Issue	Company	Sector[1]
Business Today	01 2011	Fujitsu	Telecommunications Equipment
	02 2011	Grand Slam Golf	Clothing & Accessories
	03 2011	SmartPools	Furnishings
	04 2011	Las Vacas	Food Products
Malaysian Business	01 2011	Pensonic	Consumer Electronics
	02 2011	CBS	Business Support Services
	03 2011	Return 2 Green	Industrial Suppliers
	04 2011	Emery	Specialty Chemicals

1: Industry Classification Benchmark (2008)

(Halliday & Matthiessen, 2004, p. 170). For TRANSITIVITY, the clause has 3 functional elements, namely Participant, Process and Circumstance, which are normally realized by the syntactic elements of the nominal group, verbal group and adverbial group or prepositional phrase respectively (Halliday & Matthiessen, 2004, pp. 175-177). Table 2 shows the typical matching, using a few article examples.

Processes impose order on the variation of experience (Halliday & Matthiessen, 2004, p. 170) about companies. Processes are always a verbal group. Table 3 provides the Processes, their central meanings and their typical Participants. A clause must have a Process but it does not need to have all the Participants.

Participants include human and non-human entities. The Participant labeled Actor is responsible for an action, which impacts a Goal or Scope (Example 1). The Participant labeled Senser is responsible for a type of sensing. The content of sensing is labeled Phenomenon (Example 2). The Participant labeled Carrier is the entity described while Attribute is the description (Example 3). The Participant labeled Token is the entity

TABLE 2
Matching function and form in TRANSITIVITY

Function	Form	Examples
Participant	nominal group	Fujitsu, its focus, the ambitious target, he, we
Process	verbal group	is shifting, has, had identified, will produce
Circumstance	adverbial group	already
	prepositional phrase	at Telok Panglima Garang, by 2015, from Japan, in the middle of the month, to other parts of the world

TABLE 3
Processes and Participants

Process	Meaning(s)	Major Participants
Material	Experiences of action	Actor, Goal, Scope
Mental	Experiences of cognition, desideration, emotion, perception	Senser, Phenomenon
Relational Attributive	Experiences of description	Carrier, Attribute
Relational Identifying	Experiences of identification	Token, Value
Verbal	Experiences of communication	Sayer, Verbiage
Existential	Experiences of existence	Existent
Behavioural	Experiences of psychology and physiology	Behaver, Behaviour

Example 1

Clause (Pensonic)	Pensonic	operates	two factories	in Penang…
Form	nominal group	verbal group	nominal group	prepositional phrase
Function	Actor	Material Process	Goal	Circumstance

Example 2

Clause (Return 2 Green)	'We	need	more factories!'
Form	nominal group	verbal group	nominal group
Function	Senser	Mental Process	Phenomenon

Example 3

Clause (Emery)	Emery	is	already	a leader in green polymer additives	with brands like Edenol and Loxiol.
Form	nominal group	verbal group	adverbial group	nominal group	prepositional phrase
Function	Carrier	Relational Attributive Process	Circumstance	Attribute	Circumstance

Example 4

Clauses (Las Vacas)	The other selling point of Las Vacas	is	that it only sells chilled meats instead of frozen meats.
Form	nominal group	verbal group	clause
Function	Token	Relational Identifying Process	Value

Example 5

Clauses (CBS)	'They will be very profitable,'	says	Sun.
Form	clause	verbal group	nominal group
Function	Verbiage	Verbal Process	Sayer

Example 6

Clause (Emery)	…there	will be	enough jobs	for 'any number of factories'.
Form	-	verbal group	nominal group	prepositional phrase
Function	-	Existential Process	Existent	Circumstance

identified while Value is the identification (Example 4). The Participant labeled Sayer is responsible for a type of communication. The content of communication is labeled Verbiage (Example 5). The Participant labeled Existent is an entity that simply exists (Example 6).

It might be said that TRANSITIVITY is a complex way to analyze the articles but it provides clear and rigorous linguistic

categories for analysis (Blommaert, 2005, p. 23), which enables explanatory consistency in analysis. A cursory reading might claim to deduce the same thing but being intuitive, it lacks an empirical method to ground its claims.

Discourse practice covers intertextuality and interdiscursivity. Identifying intertextuality and interdiscursivity requires the researcher's judgment and experience (Fairclough, 1995, p. 77) but they have linguistic cues (Fairclough, 1995, p. 78), such as nouns or verbs indicating explicit or implicit reference to texts, direct speech, indirect speech and speech act for intertextuality (Fairclough, 1995, 2003) and traces of other discourses, genres and styles through lexis for interdiscursivity (Fairclough, 2003). As to social practice, there are no fixed social theories that must be used for CDA (Fairclough, 2003, p. 7). Bourdieu's (1977, 1997) notion of capital is employed to explain the motivation of the articles.

Research Design

For analysis, every sentence of the articles was typed in Microsoft Word. These sentences were segregated into clauses because clauses are the basic unit of analysis for TRANSITIVITY. Next, the clauses were tagged manually for Process and available Participants. Some examples of labeling are shown in Examples 1-6 above. For the discussion, the row for form in Examples 1-6 is excluded in Examples 7-24 in the interest of space. Moreover, brackets () are put to separate parts of the clause not under discussion and ellipsis (…) excludes other clauses not under discussion. Then, the clauses were examined to identify linguistic cues indicating intertextuality and interdiscursivity. The texts and discourses were noted and considered in relation to portraying companies.

DISCUSSION

Text- TRANSITIVITY explains text analysis and *Discourse Practice- Intertextuality and Interdiscursivity* provides the intertextual and interdiscursive analyses. Results from *Text-TRANSITIVITY* and *Discourse Practice-Intertextuality and Interdiscursivity* are utilized to posit the social practice of the articles in *Social Practice-Types of Capital*.

Text- TRANSITIVITY

All Processes contribute to represent companies although not in equal proportion because every Process plays distinct roles in the articles. From Table 4, the articles prioritize a company's actions and descriptions using Material and Relational Processes respectively. Both Processes also dominate the texts in Moore (2002), McManus (2009) and Rajandran (2012), and actions and descriptions might be prototypical in certain texts.

A company in the role of Actor personalizes a Material Process. Grand Slam Golf (Example 7) and Pensonic (Example 8) become the source of a Process, where these companies are taking steps to expand their business. Expansion is made tangible in the Goal, which exists because companies perform actions to achieve it, be it having a branch (Example 7) or distributing products

(Example 8). Grand Slam Golf and Pensonic utilize the Goals in Examples 7-8 for their benefit because these Goals enable them to do business. The Goals in Examples 7-8 are positive because they help Grand Slam Golf and Pensonic to increase their presence among customers. Companies in the role of Actor and their activities in the role of Goal portray companies as directly responsible for their endeavors. This provides them positive social agency in the articles.

TABLE 4
Frequency of Processes

Process	Percentage
Material	40.5%
Relational Attributive	32.9%
Verbal	11.1%
Mental	10.4%
Relational Identifying	3.2%
Behavioural	1.1%
Existential	0.8%

Companies depend on their products or services to be profitable. Products are traced to companies in Examples 9-10. For example, the Goals in Examples 9-10 do not exist until Emery and Grand Slam Golf make them. Emery and Grand Slam Golf in the role of Actor become directly responsible for the quality and quantity of Goal, their products. This portrays Emery and Grand Slam Golf as taking an interest in their business. They have to bear this responsibility because their business relies on their products. Also in Examples 9-10, Circumstance sets the place (Example 9) and time (Example 10) for production. Circumstance establishes the context of where and when to expect the products, implying that Emery and Grand Slam Golf are organized in conducting their business.

Various descriptions about companies are portrayed using Relational Attributive Process. Companies are in the role of Carrier and their descriptions are in the role of Attribute. These Attributes present companies as having positive traits. In Examples 11-12, the traits for CBS and Return 2 Green are positive because there are words in the Attribute that indicate this, such as 'appealing' and 'healthy' in Example 11 and 'ambitious' in Example 12. These words in Attribute construe CBS

Example 7

Clause (Grand Slam Golf)	…GSG	set up	its local office	as recent as March 2010	without an existing clientele or shop…
Function	Actor	Material Process	Goal	Circumstance	Circumstance

Example 8

Clause (Pensonic)	…[Pensonic]	distributes	electrical products	under the brandnames of Pensonic, Cornell and Lebensstil Kollektion…
Function	[Actor]	Material Process	Goal	Circumstance

Example 9

Clause (Emery)	The Emery-AK ChemTech joint venture	will produce	specialty esters	at Telok Panglima Garang,…
Function	Actor	Material Process	Goal	Circumstance

Example 10

Clause (Grand Slam Golf)	We	are (actually) coming up with	a junior range	in the middle of the month (January).
Function	Actor	Material Process	Goal	Circumstance

Example 11

Clauses (CBS)	The modest-sized technology company, (however),	has	two features investors should find appealing-uninterrupted profitability since its inception more than 14 years ago, and a healthy net cash balance.
Function	Carrier	Relational Attributive Process	Attribute

Example 12

Clause (Return 2 Green)	Return 2 Green	has	the ambitious target of having 124 satellite factories	by 2015.
Function	Carrier	Relational Attributive Process	Attribute	Circumstance

and Return 2 Green positively by evaluating them through their traits.

The articles also relate a company's traits through Relational Identifying Process. This Process is commonly used as a thematic equative (Examples 13-14), where Token and Value mean the same thing but Value restates Token in a detailed manner. The Value in Examples 13-14 expands the meaning of the Token, and relates a generic situation in Token to a positive progress in Value. For example, the Token in Example 14 mentions 'key route' to emphasize the importance of 'new products' in the Value.

In the articles, Relational Identifying Process helps to define (Example 15), exemplify (Example 16) and translate (Example 17) a company's traits. The traits in Examples 15-17 require Relational Identifying Process because definition, exemplification and translation are set meanings and other Processes cannot articulate these meanings. This limits the meaning of Value to that Token only, making a trait non-negotiable. For example, the commitment fee in Example 15 and the translation in Example 17 are already decided and there are no other options for

Example 13

Clause (CBS)	(Incidentally,) that	had been	the first and only dividend…
Function	Token	Relational Identifying Process	Value

Example 14

Clause (Emery)	The key route to upgrading margins	is	with new products and new technology…
Function	Token	Relational Identifying Process	Value

Example 15

Clause (Return 2 Green)	First	is	the 'commitment fee' of RM500,000.
Function	Token	Relational Identifying Process	Value

Example 16

Clauses (Grand Slam Golf)	One such instance	was	when a client wanted 100 logos imprinted on one duffle bag, or another that wanted a golf shirt with very distinct and odd cuttings all over it, which effectively changed the way it looked altogether!
Function	Token	Relational Identifying Process	Value

Example 17

Clause (Las Vacas)	The name Las Vacas	is	Spanish for "The Cows"…
Function	Token	Relational Identifying Process	Value

the commitment fee and translation. They can only mean what the writer wrote and not anything else. This substantiates Halliday & Matthiessen (2004, p. 71), where thematic equative means 'this and this only'.

In Relational (Attributive and Identifying) Process, there is no change of state, unlike Material Process. Relational Process fixes a company's description in a particular place and time, and a description is valid for a certain place and time for companies. The extent of validity can be made explicit through a Circumstance, as in Example 12 or the tense in a Process. In Examples 11-12, the present tense is employed, implying that descriptions are valid until further notice. In Examples 13 and 16, the past tense is employed, implying that descriptions are no longer valid.

Material Process portrays companies as action-oriented because they influence their context to cause positive change for themselves (Examples 7-10) while Relational (Attributive and Identifying)

Process portrays companies as having positive traits (Examples 11-17). Material and Relational Processes complement one another to portray a company's positive actions and descriptions as centered on itself for its benefit.

Discourse Practice- Intertextuality and Interdiscursivity

There are 2 dominant voices in the articles, which are the voices of the article writer and the company spokesperson. The writer is the default voice because he writes the articles but the spokesperson's voice is included frequently. This is achieved through direct and indirect speech using Mental and Verbal Processes. These Processes signal intertextuality because they indicate that another voice is being introduced in the articles. For example, the writer writes the clauses in Examples 18-20 but the spokesperson has responsibility for their content (Phenomenon or Verbiage)

because he is the Senser or Sayer. It is the Senser or Sayer who projects the Phenomenon or Verbiage in Examples 18-20 and the Phenomenon or Verbiage are the spokesperson's opinions about his company. His opinions indicate important endeavors in the past (Example 19) or aspirations for the future (Examples 18, 20).

The Phenomenon (Example 18) is always indirect speech because Mental Process takes place in our consciousness (Halliday & Matthiessen, 2004, p. 197) and cannot be externalized. Verbiage is either indirect speech (Example 19) or direct speech (Example 20) because it can be externalized as a conversation between the writer and spokesperson. In Examples 18-20, the spokesperson's opinions are mediated through the writer, who is believed to convey them reliably. While the writer cannot change the spokesperson's opinions, he can display his evaluation towards these opinions through the verbal group that projects the spokesperson's opinions.

Example 18

Clause (CBS)	CBS	expects	'very significant' growth in both revenue and profit from its regional expansion.	
Function	Senser	Mental Process	Phenomenon	

Example 19

Clause (CBS)	It [CBS]	has (so far) declared	two one-for-two bonus issues	- in April 2008 and January 2010.
Function	Sayer	Verbal Process	Verbiage	Circumstance

Example 20

Clauses (Return 2 Green)	'We need more factories!'	Mahadi	tells	*Malaysian Business.*
Function	Verbiage	Sayer	Verbal Process	Receiver

For Mental Process, most of the verbal group shows cognition. Cognition covers any sort of thinking, where the writer is indicating that the spokesperson makes a rational decision about his company. Readers can trust his decision because it is not haphazard, as the verbal group (**bolded**) in Examples 21-22 imply. For Verbal Process, most of the verbal group (**bolded**) sounds neutral and does not show the writer's evaluation, as in Example 23. This is also the case of *informs*, *notes*, *opines* and *remarks*. The inverse is also possible, with *defends*, *laments*, *maintains* and *urges*. In Example 24, *defends* shows

the writer's evaluation of the spokesperson's opinions, where the spokesperson seems to be justifying his company's behavior.

Table 5 shows the frequency of Processes for the writer and spokesperson. It is apparent that both voices employ a similar proportion of Processes. The spokesperson complements the writer because he also emphasizes a company's actions and descriptions. This could explain the structure of the articles, where the writer's opinions are often followed by the spokesperson's opinions. The spokesperson's voice provides substantiation because only he can provide insights about a company. He is part of

Example 21

Clauses (Return 2 Green)	R2G	**projects**	that investors will be able to see a return on investment (ROI) within 3.5 years
Function	Senser	Mental Process	Phenomenon

Example 22

Clause (Emery)	Emery	**is planning**	a RM480 million Islamic bond issue	within four months…
Function	Senser	Mental Process	Phenomenon	Circumstance

Example 23

Clauses (Emery)	'Our product portfolio will grow and directly translate to a larger market share in the oleo chemicals business,'	he	**says.**
Function	Verbiage	Sayer	Verbal Process

Example 24

Clauses (Emery)	'We are a relatively young company and we have to plan to get us to next level…When such opportunities arise, we do not need to borrow a lot of money and put our whole company at risk,'	**defends**	Sun.
Function	Verbiage		Verbal Process	Sayer

and represents a company and he becomes a reliable source of opinions. He is also a highly-ranked person in a company, which makes his opinions more reliable because he knows the details of his company's operations. The articles need intertextuality because it is a way to include the perspective of a company's management. It substantiates claims made by the writer and makes his writing seem credible.

TABLE 5
Frequency of Processes by voices

Process	Writer	Spokesperson
Material	39.4%	42.9%
Relational Attributive	31.9%	35.0%
Verbal	14.3%	4.2%
Mental	9.9%	11.5%
Relational Identifying	2.9%	3.9%
Behavioural	0.9%	1.4%
Existential	0.6%	1.1%

While intertextuality helps the articles to seem credible, it also shows the social relation between the writer or spokesperson and companies. This is seen in the choice of pronouns to replace a company's name. Pronouns indicate the social relation between the writer or spokesperson and companies (Fairclough, 1995, 2003) because they mark belonging or non-belonging to companies. For the writer, a company is referred to as 'it' (Example 25) but for the spokesperson, a company is referred to as 'we' (Example 26). The spokesperson's 'we' marks his authority because he speaks for the whole company, being a highly-ranked person in a company. Also, he is part of and represents

a company and 'we' marks his solidarity with a company. The use of pronouns to mark authority and solidarity is recognized by Fairclough (1995).

On the other hand, the writer is not from the company and cannot use the pronoun 'we'. His default pronoun is 'it', which distances him and a company. The spokesperson's 'we' (Example 26) and the writer's 'it' (Example 25) distinguish belonging and non-belonging respectively to companies, which contrasts the social relation between the writer or spokesperson and companies. The choice of pronouns establishes a distant social relation between the writer and companies but a close social relation between the spokesperson and companies. This relation causes the writer to depend on the spokesperson to know more about companies, hence justifying the inclusion of the spokesperson's voice in the articles.

Besides the 2 dominant voices, the articles mix 2 dominant discourses of journalism and public relations. Journalistic discourse is expected because the articles are in magazines. It presumes certain conventions, such as objectivity towards the companies, structure of writing, orientation to space and time, reporting both positive and negative news and interviewing company and non-company representatives. Information should be the focus of journalistic discourse. Yet, the articles only have positive news and interview company representatives, which provides a one-sided perspective about companies. The portrayal of companies in journalistic discourse shows

Example 25

Clauses (CBS)	**CBS** is leveraging on the expertise and success of Super Pages within the small and medium enterprise (SME) space to expand into regional markets. **It** is building what **it** calls a regional 'digital ecosystem'.

Example 26

Clauses (Pensonic)	'**We**'re putting in more effort in brand and distribution. In terms of manufacturing, **we** control the key manufacturing and outsource the rest,' Chew explains.

Example 27

Clauses (Las Vacas)	What do two former finance professionals, passion for business and cows have in common? Las Vacas, that's what. Established in 2007, Las Vacas is the name of a lifestyle and retail butchery set up by two entrepreneurs Yusof Dayan Iskandar and Freddy Azman. The name Las Vacas is Spanish for 'The Cows' and was specially chosen for the business, says the enthusiastic 43-year-old Yusof.

traces of public relations discourse. Public relations discourse tries to influence readers about one perspective of companies (Seital, 2004, p. 3) since promotion is the focus of public relations discourse.

In Example 27, the article starts with a rhetorical question and provides the answer immediately and continues by explaining about the company. The question-answer sequence is promotional because it spurs interest in a company. It is it not typical in journalistic discourse and it introduces new entities ('two former finance professionals', 'business', 'cows') which are not explained until later. The explanation is informational because it gives details about a company, has an orientation to time ('2007') and cites a company representative ('says…'), which are typical in journalistic discourse. Example 27 is an indication that journalistic discourse has been mixed with public relations discourse and separating them

would disturb the article's cohesion. Mixing journalistic discourse with public relations discourse enables promotion to pass as information. Since it is reputed to be objective, journalistic discourse transfers its reputed objectivity to public relations discourse and helps to convey promotion as information.

Social Practice-Types of Capital

The analyses in of text and discourse practice must be interpreted in social practice because social practice motivates the characteristics of text and discourse practice in the articles (Fairclough, 1995, p. 105). Social practice can be examined using Bourdieu's (1977, 1997) types of capital. Bourdieu (1977, 1997) envisions 4 types of capital, namely economic, cultural, social and symbolic. While economic capital means any sort of monetary contribution (Bourdieu, 1997, p. 47), cultural capital

means certain privation, renunciation and sacrifice to own objects (Bourdieu, 1997, pp. 48-50). Bourdieu (1997, p. 51) defines social capital as the people we know in any formal or informal relationship and the benefits that we gain from knowing them and he (1977, p. 179) defines symbolic capital as any consecration, distinction, prestige or renown. These types of capital seem abstract but can be related to the companies.

The companies are profiled in *Business Today* and *Malaysian Business*. These magazines survey business in Malaysia. Business is crucial to Malaysia because in the Prime Minister's present Economic Transformation Program (ETP), companies are to play a larger role in developing Malaysia. For companies to play this role, they need investment to conduct their operations. One way to do gain investment is by increasing their visibility among investors through the articles in *Business Today* and *Malaysian Business*. The articles employ the characteristics of text and discourse practice to build symbolic capital for the companies by portraying companies positively in a 'world' where everything revolves around companies for their benefit. Companies seem stable and dependable, which conveys prestige to them. Prestige is enhanced by *Business Today* and *Malaysian Business* profiling profitable companies since profitability can improve a company's prestige.

Such prestige helps to promote a company among investors. This builds social capital between companies and investors because a relationship is cultivated

between them and it can benefit both of them. The symbolic and social capitals gained through the articles might influence investors to invest in these companies. Investment is an economic capital because it would be a monetary contribution. Hence, symbolic and social capitals are exchanged for economic capital and substantiates the perfect interconvertibility (Bourdieu, 1977, p. 178) between one type of capital and another type of capital. This conversion to economic capital is crucial because it enables companies to continue their operations and investors to gain dividends. Economic capital is the motivation for companies in the articles.It is probably a motivation to be profiled in *Business Today* and *Malaysian* Business. This reflects the capitalist economic system, where companies compete for private investment to finance their operations.

CONCLUSION

This article has studied the portrayal of companies in articles from *Business Today* and *Malaysian Business* using Fairclough's 3-dimensional CDA model. Text analysis explains that the choice of Processes and Participants portray a company's positive actions and descriptions as benefiting itself. The discourse practice analysis identifies the voices of the writer and the spokesperson, where the writer cites the spokesperson to make his writing seem credible. This analysis also identifies mixing journalistic and public relations discourse to convey promotion through information. Both text and social practice analyses help to decipher

the social practice of the articles, which is motivated by a company's pursuit of economic capital.

This article can contribute to studies about companies in the media. It is useful to those teaching and training media discourse, notably business journalism because it utilizes the media to write about companies. Since business journalists do not only write for magazines, the results from this article can be extended to other registers, such as newspapers and corporate reports. Knowledge of text and discourse practice converts business journalism into a multidisciplinary field with insights from CDA, so that journalists become more critical of companies. This provides them another way to approach writing their texts. This knowledge can also be spread to the public to make them more aware of the way that the characteristics of text and discourse practice try to influence their perception of companies, as well as the social practice motivating these characteristics. It would contribute to enhance the public's critical thinking about language, which Fairclough (1995, p. 201) recommends.

Future research can solidify the study of media discourse about companies. Other elements in text can be analyzed, such as MOOD, THEME and COHESION. For a better sample, more articles should be studied, from more magazines, countries or languages. This reflects the global presence of articles profiling companies. Yet, text analysis by itself is restricted and a complete CDA considers the production and consumption of texts (Fairclough, 1995,

2003). This requires some ethnographic methods (Fairclough, 2003, p. 15), where opinions from journalists and readers who interact with the articles are acquired.

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SOCIAL SCIENCES & HUMANITIES

Topological Socio-Cultural Evolution a Predictor of Ethnic Conflicts in Multi- Ethnic Societies

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ABSTRACT

Ethnic conflicts have been one of the biggest single threats for the progress of collaborative human societies. Ethnic issues are common to most multi-ethnic societies. Some of the conflicts are violent and damaging but not all are negative. Owing to the rapid growth of ethnic problems, attempts have been made to overcome them across many nations despite the change in governments or government policies in recent years. However, so far none of the discussions and solutions is able to explain the influence of socio-cultural evolution on the changes in ethnic identities in multi-ethnic society and the effect on the minority. Further, attention is given to discuss the impact of socio-cultural formation topologies of multi-ethnic societies on ethnic issues. In this concept paper, authors explain the socio-cultural evolution process of multi-ethnic societies and the impact of ethnic topologies on ethnic conflicts.

Keywords: Ethnicity, conflict, minority, multi-ethnic society, topology, social-cultural evolution

INTRODUCTION

Ethnic conflicts are becoming common problems in both developed and developing worlds. However, in recent years ethnic conflicts are more explicit in developing countries rather than developed countries (Ostaby, 2006). There are many theories and explanations on the causes and consequences of ethnic conflicts (Brown, 2010). Some of the explanations relate to the non-violent ethnic conflicts between native majority and immigrant minority (Dancygier, 2010),

but most discussions give serious attention to violent ethnic conflicts among the native majority and native minority groups (cf. Tambiah, 1989; Cederman, Wimmer, & Min, 2010).

As it is common for minorities to receive empathy of external third parties, ethnic conflict is generally understood as a consequence of cultural, political or economic discrimination of the minority by the majority. Further, contemporary literature on ethnic conflicts highlights the political and economic disadvantages behind the violent kind of ethnic conflicts in developing countries (Brown, 2010). Hence, critics have raised the hand against the majority ethnic groups for discriminating and disregarding the ethnic identities of minority groups who fight for their rights against the majority or against the governments (Radhakrishnan, 2010). However, there are counter arguments saying most of the violent ethnic conflicts are results of the need for power, control, resources or political rivalry of some groups of minority rather than the real ethnic issues (Bowan, 1996; Cederman, Wimmer, & Min, 2010). Although this argument is not very popular, these are realities that need to be understood by the minorities in multi-ethnic societies.

Natural social and political processes of a democratic country generally work in favour of the majority (Mann, 2005). Likewise natural socio-cultural evolution also favours the stronger social groups and cultural values rather than the minority social groups and their cultural values. Hence,

ethnic and cultural identities need to be understood as changing states of the social life rather than static traits that would not undergo change. Acceptance (or rejection) and adaptation (or non-adaptation) of socio-cultural changes can make the gap between ethnic groups narrower (or wider) that might lead to ethnic conflict. However, the attention given to explore this relationship is not adequate. This paper aims to explain the under-explored causes of ethnic conflicts, which arise due to the inability to understand or ignorance of the basic principles of socio-cultural evolution of a society. In this paper, the authors first explain the natural socio-cultural evolution process and basic ethnic topologies in multi-ethnic society. Second, they explain the positive consequences of the influence of socio-cultural evaluation on the ethnic identity of the minority in a multi-ethnic society. Further they address the negative consequences to the minorities who do not understand or adhere to the natural socio-cultural evaluation. Finally, authors discuss the policy and practical implications of the theoretical concepts of the paper to encourage a multi-cultural collaboration in the multi-ethnic societies in developing countries.

THEORETICAL PERSPECTIVES OF ETHNIC IDENTITY AND CONFLICTS

An ethnic group is made up of a group of people defined as alike on the basis of their unique shared socio-cultural characteristics (Yinger, 1994, p. 2). Language is an indicator of the unique identities of any

ethnic group. Hence, most of the earlier discussions about the different ethnic groups of the society have been largely based on their languages (Haugen, 1988). Recent literature on ethnicity has been concerned with the much broader cultural identities apart from the linguistic identity of a community (Fenton, 2010). According to the literature, ethnic groups have their own language, racial, religious, and employment patterns, and even geographical identities can differentiate them from the other groups in the society. In fact combinations of these identities create new ethnic groups within the society, which have their own unique ethnic identities that differentiate them from their original ethnic identities (see Fig.1). Therefore, ethnic identity and ethnicity in modern society are becoming a complex issue than it was in earlier societies.
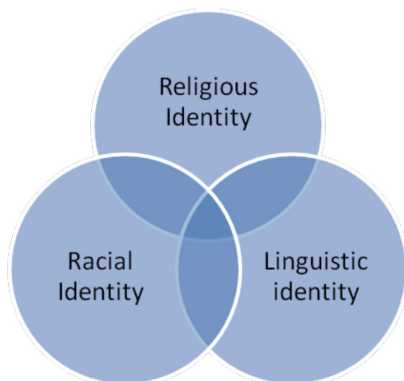

Fig.1: Interactions between three dimensions of ethnic identity

These unique cultural identities give the status, respect and strength to an ethnic community to be established as unique segments of the society. Hence, minor ethnic groups are expected to maintain their cultural identities even when they live in multi-ethnic societies (French & Seidman, 2006). Further, the majority ethnic groups are expected to respect and understand the unique cultural values of the minority ethnic groups in the society to enforce the inter-ethnic collaboration. However, not all multi-ethnic societies are able to achieve this ideal inter-ethnic collaboration and harmonious living as may be expected by the minority groups (cf. Tambiah, 1989). Minority ethnic groups may have their unique cultural identities, but in multi-cultural society their unique cultural identities are dynamic and constantly evolving traits of the community.

Apart from the multi-dimensional nature of ethnicity, traditionally ethnicity has been identified as a dynamic process in social evolution (Christian, Gadfield, Giles, & Taylor, 1976). In multi-ethnic society, influences of dominant cultural values and identities on minor ethnic groups are unavoidable in natural social settings. Owing to the interactions with social, economic and political factors of the dominant culture, characteristics of minor ethnic cultures might change through time. The adaption and adoption of dominant cultural aspects by the minority ethnic groups are the basis for the long-term inter-cultural harmony within a multi-cultural society (Özbilgin & Syed, 2010). On the other hand, failing to adapt and adopt dominant cultures and languages has been one of the major reasons for some of the long lasting civil wars and ethnic conflicts in some parts of the world (Stavenhagen, 1998; Brown, 2010). Hence, the cultural

identities of minority ethnic groups can either be a source of strength and happiness or a source of conflict and unhappiness within the society, depending on the extent of the influence of the dominant culture on their own cultural identities and the degree of acceptability of the ethnic minorities. However, over-adaption and adoption of dominant cultures might pose a problem for the continuation of the unique cultural identities of minorities and hence might negatively affect their socio-psychological characteristics (Kennedy & Cummins, 2007).

According to Darwin's biological evolution of species (1859), stronger biological traits are necessary for the biological fitness and survival to be adapted to the changes in environment. According to his theory the biological traits necessary for survival, but weaker and unnecessary biological traits are eliminated from the species in future generations (Cawley, 2006). Hence, the biological evolution is a process based on selecting required traits that the species needs to face the next wave of change in the environment. Even though there are a number of counter arguments against Darwin's theory of biological evolution, it still stands as the best way of looking at biological evolution (McGrath, 2011). However, the construction of artificial environments and social structures create new criteria for selection, and biological fitness is influenced by cultural fitness (Kliver, 2008). Owing to the rapid changes in social and cultural environments, social groups need to be adept to the environment for their survival.

Hence, the socio-cultural evolution may be a significant factor that causes the existing social and cultural mismatches among some groups of the society.

Evolution means changes or progress that takes place throughout long period of time. As the term "socio-cultural evolution" depicts, it has two dimensions. The social aspect refers to how the social groups of the society interact with each other within the pre-defined rules and structures of society (Kliver, 2008), while culture is defined as the generally accepted cumulated knowledge, values, practices and norms of a certain society or social group (Wildavsky, Chai, & Swedlow, 1998). Hence a socio-cultural evolution is the process of how the social rules, interactions and cultural values, norms and practices change over a long period of time within a society. Owing to the rapid artificial social structures, globalization and modernization, an individual is required to play complex and multiple roles in a society now than in the past. Individuals are also required to interact with different ethnic groups within a complex society. Hence, the established social and cultural structures have to be changed in order to accommodate the changes of the environment and growth of the liberal thinking. These socio-cultural changes have influenced the internal social and cultural identities of the different ethnic groups. The social and cultural traits that cannot accommodate the new environment are required to be eliminated, and certain alien social and cultural values need to be accepted for a smooth continuation of the social progress of an ethnic group.

Socio-cultural evolution has a direct influence on ethnic groups of a society. While the socio-cultural traits of the majority groups may be established and accepted by the general public, it is expected of the majority to also accept and adhere to the ethnic identities, liberal thinking, and human rights of the minor ethnic groups. On the other hand, the minorities are also required to understand, learn, accept and adapt to the socio-cultural identity of the majority. Hence, both majority and minority groups have to sacrifice certain socio-cultural identities that might obstruct the inter-ethnic harmony in the society.

However, in certain circumstances ideologies such as ethnic extremism, patriotism and liberal thinking may require a compromise between the majority and minority groups especially when these ideologies seem to be to the disadvantage of the majority groups who are seen to be the more likely perpetrators of ethnic-related problems. These harmful misinterpretations of the compromise between the so-called 'weak and strong' social and cultural traits and the natural socio-cultural evolution process have artificially altered the power sources of the extremist members of both majority and minority ethnic groups. (such as perhaps some examples or citations here) In modern societies there are established ethnic topologies based on the nature of the socio-cultural interactions between different ethnic groups. Therefore, it is natural to expect these topologies to be represented by three generic types: those that are harmonious, neutral and those that

are hostile among the majority and minority ethnic groups.

TOPOLOGICAL EVOLUTION OF ETHNIC IDENTITY

Topology is a generic term often used in mathematics and computer science to explain how the different components of a system are connected to each other (Willard, 2004). However, the discussion of social typology is evitable only since the sociologist is trying to explain the society and its components as a social system (Freeman, 1992). Contemporary philosopher Manuel De Landa (2006) explains the topological ontology of the socio-cultural evolution in society based on the theories of network topology in computer science. De Landa identified three basic topologies: hierarchical, random and collaborative, present in the topological ontology of culture and ethnic identity of the ethnic groups.

In Hierarchical topology, minor ethnic groups originally have the same ethnic identity. However, owing to new interpretations, separations and combinations of linguistic, religious and racial identities, a growing number of sub-minor ethnic groups have emerged. In human history, the majority of the religious-based ethnic groups have been found to step aside from the hierarchical evolution. In hierarchical topology, although lower level ethnic groups have their own identities which separate them from other ethnic groups of the hierarchy, they have common core identities of their original ethnicity. In ancient Hindu

religious scripture Bagavad Geeta, five sub-communities were mentioned, i.e. as *Brahmin, Kshatriya, Vaishya,* Shudras and Dalits who were divided according to economic and social functions of the society which has nothing to do with conflicts (Singh, 2009). Although the castes are socially separated from each other, members of all the castes still follow a common religion, Hinduism (Fig.2).
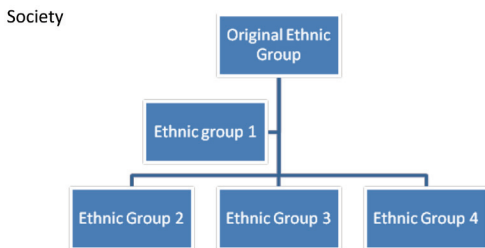

Fig.2: Hierarchical Ethnic Topology

In Random topology, each ethnic group has their own ethnic identity that is not influenced by other ethnic groups in the society. In principle these ethnic groups are loyal to their own ethnic identities and they try to maintain the identities at whatever cost. Hence, their social interaction is conservative and they are typically separated from other ethnic groups to ensure they have their own independent identity within the society (Fig.3). The Amish community in the United States is such a community that has shown significant separation from other communities (Wagner, 2001).
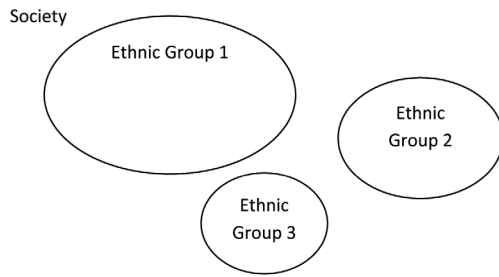
Fig.3: Random Ethnic Topology

The third type of ethnic topology is the Collaborative topology. In collaborative topology there is a clearly identified majority ethnic group in the society. The superior status may stem from historical evolution, constitutional power and politics or due to other external influences. Although superiority is deemed to be accorded based on weak reasons, in collaborative topology the minor ethnic groups accept the superiority of the major ethnic group by adjusting their lifestyles and attachment to ethnic identities in order to achieve a compromise, and to pave the way for a more harmonious living with the majority ethnic groups (see Fig.4). The Hispanic community in United States has significant socio cultural diversity from the Native Americans, at most instances the Hispanic people have conflict-free relationship with the Native Americans (Tienda & Mitchell, 2006).

Society

Ethnic Group 2

Majority ethnic group

Ethnic Group 1

Ethnic Group 3

Fig.4: Collaborative Ethnic Topology

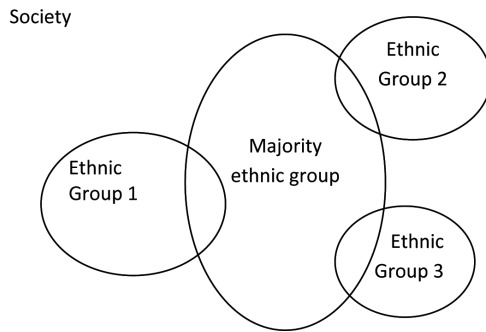Although these types of topological social relationship between ethnic groups are present in the society through socio-cultural evolution the structures of the topology may be changed especially the socio-psychological factors within and among the ethnic groups. Hence, harmonious relationship between ethnic groups and also the hostile relationship between ethnic groups are not static and unchanged. Through the socio-cultural evolution topology structures can also be changed with the changes in ethnic identity. According to the historical experiences of civil wars in multi ethnic countries such as Ghana, Sudan, Nigeria and Sri Lanka, it is explicit that when the different social groups are trying to establish independent identities in multi-cultural societies, inter-cultural harmony will be severely dishonored (Fox, 2004). Hence, in a multicultural society it is important to find ways to live in collaboration with the other communities to achieve equilibrium (Le, Lai & Wallen, 2009).

ETHNIC TOPOLOGIES IN SELECTED MULTI-ETHNIC SOCIETIES

There is large number of multi-ethnic countries in the world. However, ethnic and cultural diversity among the ethnic groups in eastern societies are much more complex than the western multi-cultural societies (Qunying, 2007, van de Vijver, Chasiotis, & Breugelmans, 2011) Therefore, eastern societies provide comprehensive illustrations to understand the topological evolution and its impact on ethnic conflicts. In order to conduct a meaningful comparison of the hierarchical, random and collaborative ethnic topologies, four eastern countries are selected for the current paper based on the fact that in each case the same ethnic group (Tamils) is recognized as a minority group but each country differs in their ethnic topology. India represents the hierarchical topology, Sri Lanka represents random topology while Malaysia is selected to represent the forced collaborative topology and Mauritius is selected to represent natural collaborative ethnic topology. Each of these countries is discussed below in detail.

India

India is one of the largest successful democracies in the world and the cultural diversity of India is not second to any nation (Kohli, 2001). Thousands of languages, religions and races make India one of the most complex social systems in the world. However, in general India faces less violent ethnic issues compared to less complex social structures in other neighboring

countries. India is the birth place of most leading eastern religions. The social and cultural structure of India is basically premised on the religious principles and ancient legends. The legendary history of India has explained how India was united since its civilization (Das, 2003). On the other hand, even though there have been extremist (do you want to mention some cases here issues in some parts of the country lately where the caste system has been the focal point of political debates for the uprising of certain political parties. This caste system itself as explained by the Vedas is one of the most significant sources that explain the importance of allowing natural socio-cultural evolution within a society (Varghese, 2008).

The social structure of India is generally based on the caste system that is explained in the religious teachings and hence, it is one of the largest hierarchical ethnic topological societies in the world (Kohli, 2001). Although the western-based liberal thinkers and discriminated minorities may argue over the discrimination of minorities in India, the established hierarchical system has clearly defined the boundaries of each ethnic group and it has allowed to some extent stability within the society (Somani, 2002). It clearly explains there are stronger groups as well as weaker groups in the society and the decision of who is stronger or weaker has been attributed as the wish of the Supreme God. Although it may be the 'wish of the Supreme God', and has religious meanings it clearly indicates the natural selection within the socio-cultural evolution across the Indian society at large (see Ramacharaka, 2007). However, over-discrimination of the minorities by the extremists based on their caste has been an unresolved problem in Indian social system and is a perpetual issue among the ethnic groups albeit usually covertly (see also Zacharias & Vakulabharanam, in press).

Sri Lanka

Sri Lanka is a small multi ethnic island nation in South-Asia with the majority Sinhalese (74%) and a number of minor racial and religious ethnic groups like Sri Lankan Moors (7.2%), Indian Tamils (4.6%) and Sri Lankan Tamils (3.9%) (Department of Census & Statistics Sri Lanka, 2008). The civilization of Sri Lanka has evolved from India. Hence, the social and cultural structure in Sri Lanka had been significantly influenced by the Indian religious, social and cultural structure. However, when it comes to multi-ethnic interactions, Sri Lanka has become an unfortunate country who has had serious ethnic conflicts between the majority and minority groups for three decades making it one of the world's deadliest civil wars in history (Fearon & Laitin, 2011). According to the constitution of Sri Lanka, the Sinhalese and Tamils have been given equal rights in terms of their social cultural identity.

Both Sinhala and Tamil languages are recognized as the national languages while Buddhist and Hindu religious teachings are taught alongside one another without any serious conflicts. The education system in Sri Lanka allows Sinhalese students

to follow the Sinhala medium and Tamil students to learn in the Tamil medium even at the university level. Even though the policy is intended to give equal rights to the minority Tamils in Sri Lanka, it has made the Sinhalese language becoming gradually unknown and unused among the minorities in Sri Lanka. It has created a significant communication barrier between the majority and the minority groups. Until the civil war, authorities in Sri Lanka were never concerned about the ethnic topology in Sri Lanka. Most of the minority Tamils in Sri Lanka is allowed to be based in the northern and eastern parts of the country while the majority ethnic group resides in other parts of the country.

Although intercultural harmony is the outlying intent of the ruling government, the segregation of the minority to one part of the country has developed random ethnic topology especially in the northern and eastern parts of Sri Lanka. Despite the obvious segregation, the politically discriminated minority Tamils appeared to want to capitalize on this random ethnic topology to establish their own homeland (Imtiyaz & Stavis, 2008). However, the government of the majority Sinhalese would not allow the minorities to take advantage of the random ethnic topology to separate the country. This separatist movement expanded as the deadliest civil war in the world and destroyed the multi-ethnic social, economical and cultural establishments of the country (Goodhand, Klem, & Korf, 2009). Ethnic conflicts in Sri Lanka is a good example of the destructive consequences of

letting the majority and minority groups to be established as random ethnic groups within a multi-cultural society. It avoids the natural socio-cultural exchanges between the majority and minority ethnic groups at least in some parts of the society. Such random ethnic topology works against the natural socio-cultural evolution of the society and leads the country to disastrous ethnic-conflicts. In the case of Sri Lanka, owing to the bad memories of the long civil war, both majority and minority ethnic groups are still unable to find a solution to establish long lasting collaborative social structure in the country (Jayawickreme, Jayawickreme, & Miller, 2010).

Malaysia

Unlike India, Malaysia has a more collaborative inter-ethnic topology within the society. Malaysia is a multi-ethnic nation and it comprises Malays and the natives (62%), Chinese (27%), Indians (8%) and 3% from other races. The general socio-linguistic culture in Malaysia is dominated by the cultural identity of the Malay community. Owing to this numerical significance and the government enforced constitutional superiority of the Malay community, other ethnic groups have been influenced by the language and other cultural identities of dominant ethnic community in Malaysia (Özbilgin & Syed, 2010). Hence, it is important for the minorities such as Indians and Chinese to be adept with the cultural values of the dominant culture. According to the government initiative to establish harmonious multi-ethnic society, Malay

language has been defined as a compulsory subject for all students. Therefore all minority groups with school-going children need to learn the Malay language in government-aided schools (Loo, 2009). Malaysia has a unique society where most of the minorities can communicate fluently in the majority language (Klitgaard & Katz, 1983). The almost conflict-free interaction between the majority and the minorities enhance the cultural exchanges between the ethnic groups. Hence, code-switching in minority languages is inevitable in Malaysia (Muthusamy, 2010). With a successful collaborative ethnic topology in Malaysia, the government and policy makers are able to focus on the economic development of the country which has generally benefitted the ethnic groups in the country. In general, Malaysia is a good example of the positive consequences of the collaborative ethnic topological social structure.

Mauritius

Mauritius is a beautiful island nation located southeast to the continent of Africa where Creoles, Europeans, Indians, Chinese and Africans have been living together as collaborative multi-ethnic society (Muthusamy, 2010). In Mauritius, the Creole language stands as the common language among the other ethnic groups as well. However, since the colonial era English and French are recognized as the official languages in Mauritius (Eisenlohr, 2006). This is uncommon and a very rare phenomena, where the common language of the society has not been recognized

as the national language of the country. According to Muthusamy (2010), 90% of the population is able to speak the Creole language while the minority groups in Mauritius are rapidly moving away from their native languages. Even though they have lost their language identity (i.e. Tamil), the minority groups are still able to maintain their religious and cultural values, norms and practices in Mauritius (Muthusamy, 2010). Hence, the ethnic identity of the Tamils has not diminished in Mauritius, but remains as a unique ethnic group in the island. The collaborative ethnic topology has bonded all the ethnic groups to accept Mauritius as their own country and the Creole language as their own language, while their own cultural and ethnic identities remained within their ethnic groups. Even though the social and cultural values and practices are different, they have not been obstacles for the inter-cultural harmony and social relationship between the ethnic groups in Mauritius.

RECOMMENDATIONS

According to the basic principles of evolution, stronger cultural values continue throughout the generations and weaker cultural values are either eliminated or mixed with the stronger cultural values. Hence the ethnic identity in multi-cultural society changes throughout generations and provides a collaborative platform for the ethnic groups to change according to this natural mechanism while maintaining their established ethnic identities and eventually contribute towards becoming a random

ethnic society. When the majority and minority ethnic groups try to be independent from each other, there will be a burst in the society that depends on the force of these ethnic groups to establish their own ethnic identity.

Apart from the rare exceptions, the majority of this ethnic conflict creates more physical and psychological damage to the minority groups than it would the majority for obvious reasons that the majority made up the masses. Hence, the best approach would be for any minority group to be realistic about their expectations of ethnic identity and their rights in a multi-ethnic society by trying to develop a collaborative ethnic topology within the society. When the minorities approach with what appears to be collaborative demands, the reactions of the majority would naturally be more cooperative. Collaboration rather than randomization will not reduce the ethnic identity or pride of any group in society but it would create a win-win situation and sustainable inter-ethnic harmony that would benefit everyone.

Furthermore by using the religious, cultural or political power sources, the majority ethnic groups can and have created hierarchical ethnic topologies which may result in conflicts, and in most cases the conflicts are violent, as seen in the recent past in Sri Lanka. In fact together with psychological influences of discrimination it may easily culminate in dissatisfaction among the minorities in the long run. As for socio-cultural evolution the weaker social or cultural traits are not always eliminated in

totality but are modified and combined with the stronger traits in the society. Therefore, the majority groups in the hierarchical ethnic topologies should welcome the ethnic collaboration to make the weaker ethnic groups stronger by sharing common socio-cultural traits. When the minorities are given their educational, economic, religious and other basic socio-cultural identities, their approach on the ethnic issues would be less violent than in pure hierarchical ethnic topologies.

According to the topological socio-cultural evolution both majority and minority groups are required to establish a collaborative society where the majority need to ensure linguistic, ethnic, religious or geographical rights of the minority ethnic groups. Meanwhile, the minority ethnic groups also have equal responsibility to obey and enhance the natural phenomenon of topological socio-cultural evolution towards the collaborative topology within loosely defined boundaries in multiethnic societies (Fig.5). Need to explain with examples Fig.5. Government and law making agencies need to have clear understanding of the ethnic topology of the country and they should develop policies and practices to encourage collaborative ethnic topology within the country. In order to avoid misunderstandings and irrational resistances, policies need to be developed through mutual understanding with bottom to top forum rather than bring them from top to bottom.
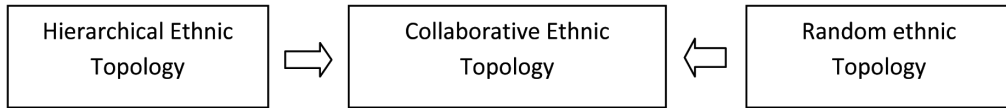
Hierarchical Ethnic Topology		Collaborative Ethnic Topology		Random ethnic Topology
	⇒		⇐	

Fig.5: Socio-cultural evolution movements for collaborative ethnic topology

CONCLUSION

Ethnic conflicts have been the biggest single threat for the progress of collaborative human society. Although not every conflict is violent and explicit, ethnic issues are common in multi-ethnic societies. Despite the efforts put in place by the government and policy makers, solutions suggested at the discussion tables may not augur well with the ethnic groups in practical terms. Thus far very few discussions have offered solutions or explanation on the actual influence of socio-cultural evolution on the changes in ethnic identities in multi-ethnic society. Hence, even if the societies ignore the natural selection process of the socio-cultural evolution, none of the solutions would be able to establish sustainable collaborative ethnic topologies in multi-cultural societies. Therefore, both the minorities and the majority groups must realize the make-up of the socio-cultural evolution and the ethnic topologies of their society and the future progress of the society in totality as a predictor of ethnic conflicts.

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Research Culture of Private Universities in Malaysia: Using Contradictions in Activity Theory

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ABSTRACTS

As a result of the Ministry of Higher Education's strategic and strong thrust to enhance research and innovation in private universities in Malaysia, the work world of professionals in tertiary education has been redefined, with an emphasis on academic research. To get to grips with the dynamics of the changing institutional practices, policies, purposes and new forms of work demanding new skills, tools and resources, Engestrom's activity theory with its focus on change is relevant. Activity Theory affords a gestalt view of and a multi-level analysis from the individual, interactional and collective perspectives. It unpacks interdependencies and relations between subjects, objects, tools, community, rules and division of labor. Activity Theory also discusses issues of power, agency and how systemic changes are shaped by history and culture. Such systemic and multi-faceted changes result in tensions described as 'contradictions' that is a core principle of Activity Theory which explains and potentially creates new forms of development. Data to mirror the changing research culture of four private universities was obtained from semi-structured interviews with 10 academics. The data revealed many contradictions in the research practices of Malaysian private universities; contradictions in the division of labor, rules, norms and traditions, instruments and policies and among communities. Pointing out the central contradictions of the system can prove to be diagnostic as it may chart the situation, recognize the problems and point to possibilities for development.

INTRODUCTION

The 1980s saw a rapid increase in demand for higher education in Malaysia, and despite increasing capacities, public universities

were unable to cope with the growing numbers, resulting in many applicants who did not get places in public HEIs (higher education institutions) seeking higher education abroad. Almost 20 percent of Malaysian students were studying abroad in 1995 and this cost the country 800 million US Dollars in currency outflow (Silverman, 1996, p.26). This led the Malaysian government to privatize and corporatize higher education (Marimuthu, 2008; Sam, 2008). Several acts were passed by Parliament, with the turning point being the enactment of the Private Higher Education Institutions Act (PHEIA) 1996 which further liberalized the private education sector and provided the legal framework for the establishment of franchises, degree courses as well as the upgrading of private colleges to university status. The private sector has since played a pivotal role in complementing and supplementing the efforts of the public sector in its responsibilities of providing higher education opportunities and accessibility while in tandem reducing the outflow of funds for education overseas (Marimuthu, 2008; Ong and Chong, 2004).

In 2004, the Ministry of Higher Education (MOHE) was established to manage the 900,000 students pursuing higher education in 20 public universities, 33 private universities and university colleges, 4 foreign university branch campuses, 22 polytechnics, 37 community colleges and about 500 private colleges (MOHE, 2012). At that juncture, MOHE's mission was to create a higher education environment that will foster the development of academic

and institutional excellence. Since acquiring university status, these private universities have had to comply with the Ministry of Higher Education's expectations, whose objectives are to transform Malaysia into a center of educational excellence and to internationalize the higher education sector. The 10th Malaysian Plan (2011 – 2015) tabled by the Prime Minister, envisions the Malaysian private education sector attracting 150,000 international students by 2015. MOHE also aims to drive higher educational institutions into producing graduates who are competitive and able to generate new knowledge through world class quality research (MOHE, 2012). Private institutions are also under the close scrutiny of the Malaysian Qualifications Agency which was established in 2007 to accredit academic programs in HEIs and undertake the role of quality assurance and standard monitoring of higher education in Malaysia. The MQA is also tasked with ranking higher education institutions in Malaysia (SETARA – Rating System for Malaysian Higher Education Institutions) which is made public for potential students to check prior to enrolling. This ranking system also considers research endeavors and consultancy to be one of the main criteria. To add to this, the Ministry of Higher Education has since 2009 used the Malaysian Research Assessment (MyRA) to rate the research output of many public universities, private universities and private university colleges in the country (MOHE, 2011). Hence, the existence of both the MOHE and MQA, places much emphasis

on research and innovation driven activities in higher education institutions in the country.

All of these regulations and rating systems have raised the bar for private universities who have been in the past, predominantly focused on teaching and learning (Loh, 2011). Should these recently awarded private universities wish to maintain their university status, they will have to commit to contributing to the research output of the nation. Most of these private universities are managed like commercial corporations – they minimize cost, increase efficiency and are market oriented. Return on investment (ROI) is an important measurement for most endeavors in the private universities. Hence, although many private universities in Malaysia have only had their university 'licenses' for less than a decade and are relatively new to the university culture - namely research and publication, a few of these universities have been quick to set up research centers and postgraduate schools to mobilize research work in an attempt to respond to changing expectations in the Malaysian private education scene. Many new policies have also been put in place within these institutions, with research, consultancy and commercialization activities being incorporated into appraisal systems for academic staff. In short, the research agenda in the private universities are fast-tracked to match the research output of the public universities.

Previous Studies on Private Higher Education in Malaysia

Recent studies into higher education in Malaysia have remained focused on the privatization of higher education (Sivalingam, 2006), the role of private institutions (Ong and Chong, 2004; Marimuthu, 2008) and the development of sustainable competitive strategies (Loh, 2011). One study by Sam (2008) attempted to discuss the research environment of private HEIs and focused on comparisons between R&D centers in non-profit and for-profit private HEIs. The present study aims to contribute to this body of research by identifying and understanding some of the challenges emerging through the lens of Activity Theory in the form of contradictions experienced by academics in private universities in responding to the newly established research climate.

ACTIVITY THEORY

The changing research culture of the education profession within Malaysian private universities has generated multi-faceted responses ranging from new purposes to new forms of work and responsibilities, new ways of regulating work and new appraisal criteria which in turn have called for new instruments, resources and policies. Engestrom's (1987) Activity Theory provides a broad analytic base to deal with these changes. Engestrom's Helsinki school of Activity Theory is located within Vygotsky (1978) and Leontev's (1981)

cultural historical Activity Theory. Hence, this study opted for activity theory because it enables a Gestalt view of the research culture prevalent in private universities. It provides a lens through which the study could focus on the complexity of the dynamic interrelationships between the many aspects for example the academics' perspectives, the managements' perspectives, resources available, the objectives of the universities, the community of practice and the many policies and rules that the academics are subjected to. Thus the private university becomes one unit of analysis. Traditionally

as well, Engestrom's activity theory has been most relevantly applied to understand the many interventions in the field of education (Basharina, 2007; Barab *et al.*, 2002; Virkkunen & Kutti, 2000; Jonassen & Murphy, 1999).

The structure of a Human Activity System refers to a specific social setting in which the activity takes place. The activity system has been defined as "object oriented, collective and culturally mediated human activity" (Engestrom *et al.*, 1999, p.19). It facilitates analysis of a multitude of symbiotic relationships between the nodes
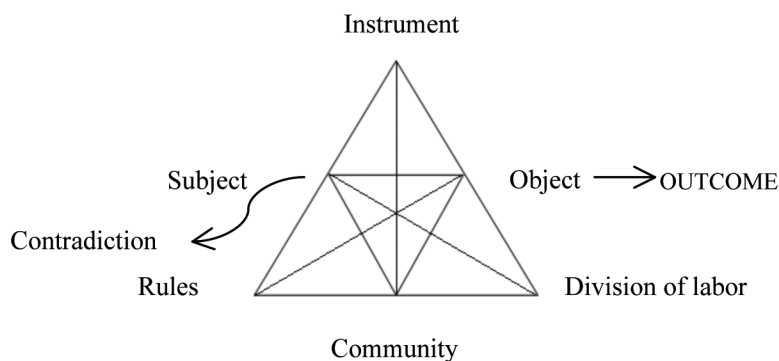
Subject: The individual or group whose agency is chosen as the point of view, in the analysis. In this study the views of academic staff in a private university are central to the activity.
Object: The 'problem place' at which the activity is aimed. Here the object is the changing research culture. Activity is directed at it to obtain excellence in research output.
Mediating Instruments: The object is achieved through the help of mediating instruments, in this case improved infrastructure, support system and policies to facilitate research among academic staff.
Community: The multiple groups of stakeholders in higher education. For the present study community comprises MOHE, management and staff in private universities.
Division of labor: The division of labor includes both the horizontal divisions of labor between members of the community, in this case the academics and the vertical division of power and status which is what gives the decision making powers. In this study, the division of power is between management and academic staff. A focus on power helps Activity Theory to remain true to its Marxist roots and helps unpack power relations in the system.
Rules: These are the explicit and implicit regulations, norms and conventions that constrain actions and interactions within the activity system. In this case, rules which regulate the professional lives of academic staff, their usage of time, measurement of outcomes and criteria for appraisals and reward may influence the research output at private universities.

Fig.1: The Structure of a Human Activity System Engestrom, 1987, p. 78

and yet, it allows the researchers to focus on specific nodes of the complex and the changing activity system as well. The nodes include; *subject*, *instrument* and *object* as well as *rules*, *community* and *division of labor* as illustrated in Fig.1.

Activity Theory's appeal lies in how it brings together multiple perspectives, interests, histories, agendas and traditions and broadens our understanding of the activity system. Activity Theory, in giving prominence to the agency of various stakeholders especially the subjects, is creating a dynamic activity system which is being continuously negotiated, constructed and reconstructed. The object may become established rules which in turn may be questioned or reinterpreted or new rules may be resisted. This much dynamism and multivoicedness is often a source of contradiction within an activity system. Contradictions - a core principle of the theory- are seen as a source of transformation and change. This is the reason Engestrom thinks of an activity system as a "virtual disturbance and innovation producing machine" (1987, p.16). Contradictions are seen as potential developments which force to propel the system further. They help transcend problems to provide solutions.

METHODOLOGY

This study adopted a qualitative approach to data collection in the form of semi-structured interviews. Interview requests were sent out via e-mail to 15 academics from five private universities but only 10 interviewees from four institutions agreed to be interviewed. Thus, three academics each were interviewed from two of the institutions and another two each were interviewed from the other two institutions. Each interview lasted between 45 to 75 minutes. The universities of choice were the ones which had long been established as educational institutions but had been granted university status in recent years. The chosen universities have also included research as part of their strategic planning for the future.

All the informants of this study had worked with the identified private institutions for more than five years. Three out of the 10 interviewees were research heads in their institutions; two others were heads of departments while the remaining five were full time lecturers. The interviewees were from a range of disciplines: business, history, psychology, chemistry, arts, language, tourism, communication and engineering. Five of the interviewees have been involved in research for over five years and have published a few articles in high impact journals whereas the other five interviewees are new to research and have yet to publish.

The interviews were conducted using an interview protocol which comprised the following key areas: institutional support for research, roles and responsibilities of academics, publications, working conditions, funding, incentives, collaboration policies, misalignment of motivations and mentoring. A total of 10 interviews were carried out, recorded electronically and transcribed. Measures were taken to ensure confidentiality and anonymity of participants. Each transcription was then

further analyzed and the contradictions were identified. Questions that were specific to a particular combination within the activity notation and also representing a sub-activity triangle were then generated to guide the analysis.

RESULTS AND DISCUSSION

Contradictions are present in every collective activity and manifest themselves as disturbances (deviations from scripted procedure) in work processes and serve as sources of development (Kuutti, 1996). The analysis of the data from the 10 interviews with academics in four private universities located in the Klang Valley indicated the following four contradictions in the activity system:- contradiction 1: subject, tools, object; contradiction 2: subject, rules, object; contradiction 3: subject, community, object and contradiction 4: subject, division of labor, object.

Contradiction 1: Subject – Tools – Object

The questions generated to analyze the tools and mediators are as follows:

1. What tools do the subjects use in doing their tasks?

2. How readily available are the tools to the users?

3. How well do the subjects use these tools?

Lack of Support from Research Centers and Units within the Universities

Since awarding university status to several private colleges in the country,, the MOHE has set standards for private universities to play a more dynamic role in contributing toward research and development to achieve Malaysia's objectives of becoming a developed nation by 2020. To meet this challenge, many of the private universities have set up research centers, committees and units in order to roll out certain research projects and new policies to stimulate research amongst their academics (Sam, 2008). Although on the surface, it may seem as if these newly established private universities are providing the necessary infrastructure for their academics, in reality this type of support is perceived as merely regulatory and hardly facilitating research productivity. This differential construal about the tools provided gives rise to the first contradiction which emerges between
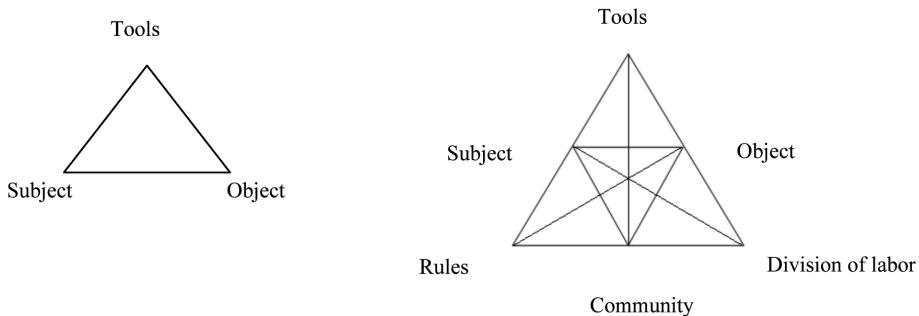

Fig2: Subject-tools-object contradiction in the Activity System

the subject, tools and object nodes in the upper sub-activity triangle as perceived by the academic staff (subjects) in the quotes below:

"The research unit only serves as a record keeping entity – they keep track of which conferences who attended and whose article got published in which type of journal. They do not really provide editorial assistance or mentoring that I could personally benefit from" ~ Interviewee 9

"I think my language and technical skills stand in the way. Journal writing is very different from just writing in English. It would be great if the center could provide us some support in these areas" ~ Interviewee 8

"I fear statistics and writing. I could use some help here" ~ Interviewee 3

"I only go to the research unit to query about purely administrative stuff - submit forms" ~ Interviewee 10

"We have to fork out our own money or be resourceful on our own to secure data analysis packages, they are not made readily available by the research department nor is there budget for it" ~ Interviewee 2

"Everything boils down to money. We cannot purchase nor get access to certain software" ~ Interviewee 5

The academics perceive support to be lacking in the areas of language, statistics, software, instruments and editorial work and that the research centers are merely regulatory; focusing on record keeping and form filling The major reason for this could be attributed to the corporate culture of private universities, especially the need to ensure profit margins which contradicts the need to invest in support infrastructure for research.

Support in terms of research funding also elicited varied responses. Several respondents commented that there is no funding provision at their institutions and that they often use their own money to fund research projects and pay for conference presentations. While others admit that internal and external funding options are available from their institutions and MOHE, they are quick to point that the process of securing the grants is arduous and bureaucratic as expressed in the following quotes:

"There are many grants, trainings and so on but I have not pursued it. It seems too tedious to go through the whole process and I don't know where to start" ~ Interviewee 8

"They send us a lot of information about grants and all but everything is very time dependent. It is rather

de-motivating when people send you these things and you look at it and go well if you were to do this what type of support could you request for. Writing the whole proposal is very painstaking and you do not have anyone to help you with this huge task" ~ Interviewee 2

"Where to get funds from – internal grants by the institution is very limited. Tapping external funds directly is almost impossible" ~ Interviewee 10

Academics lament, as reflected in the quotes above, that they neither have much time nor adequate knowledge to use the available support services (tools) even when their institutions provide them.

Contradiction 2: Subject-rules-object

The following questions guide the analysis of the subject-rules-object sub-activity triangle:

1. Which rules guide the activities that the subjects engage in?

2. How widely are these rules understood?
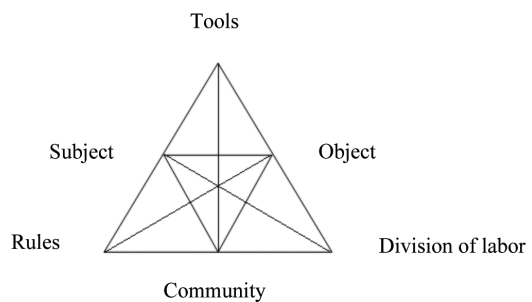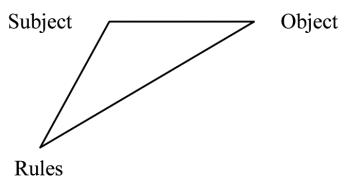
Breakdown due to the Absence of Well-defined Policies

Analysis of this sub-activity triangle includes that of the rules that regulate the professional lives of academic staff, appraisal criterion, incentives, time, measurement of outcomes and policies which may impact research output in this transitional phase for the private universities.

There seems to be a lack of well-formulated policy frameworks to regulate the research initiatives of the academics:

"Policies are still falling in place and there is still a long way to go." ~ Interviewee 5

"We are working on the journal research ethics for the institution which we have yet to roll out. We have some policies here and there but there is no one umbrella policy at the moment yet" ~ Interview 1

The policies have yet to seep into the consciousness of the academics or become part of their work world as indicated by the following interviewees:

Fig.3: Subject-rules-object contradiction in the Activity System

"There may be some policies but I am not aware of it"~ Interviewee 9

"Most of the time policies around research are not laid out, it is not entirely an open process" ~ Interviewee 6

The lack of empathetic consideration of the needs and concerns of the academics in the formulation of policies and the sudden shift of emphasis to research has led them to exclaim:

> *Some of my colleagues do not see the value of doing research. They view it as a pain and refuse to invest any effort or time in it. They think it unfair from the institution's standpoint to request them to do research"* ~ Interviewee 8

> *"The university is so concerned over research to the extent that it can be oppressive for some academics. They have not been given a choice"* ~Interviewee 6

This weakness of the universities' policies leaves academics in a quandary and indirectly leads to breakdowns within the system as noted by the respondent below:

> *"We constantly hear that there are many plans and policies that are going to be implemented but internally nothing has been rolled out thus far"*~ Interviewee 2

Several studies in various parts of the world reiterate the importance of policies and echo that "a well – defined body of policies that demonstrates the relevance of research for professional advancement and growth is needed" (Salazar-Clemena & Almonte-Acosta, 2007, p.13) in order to develop teaching researchers who are competent and productive (Tural, 2007, Gregorutti, 2010).

Tensions between Appraisal Criteria and Workload Distribution

The private universities were quick to formulate appraisal and promotional policies which incorporated research expectations while maintaining the status quo about workload (teaching, mentoring and administrative responsibilities). These policies have been the source of much discontent and demoralization among academics as expressed in the following quotes:

> *"My institution keeps raising the bar when it comes to appraisals – a few years ago it was conference presentation, then they said publication is necessary but now they are saying publish in SCOPUS or ISI or apply for your own grants then you will get some points awarded for your appraisal. They keep raising the bar but are not freeing us sufficiently to enable us to do better quality research"* ~ Interviewee 3

"If you are teaching 20 hours a week, how is one to do research? Our contracts have not changed. There is nothing in black and white to say if you do research, you can teach for 12 hours or something. It is all on a case by case basis" ~ Interviewee 5

"The stress comes from time management. Writing for publication takes up a lot of time. It is indeed overwhelming sometimes to strike a balance between teaching, administrative responsibilities and research activities" ~ Interviewee 4

The worldwide tension between teaching and research becomes even more pronounced in private universities since these institutions are primarily seen as teaching institutions as that is their raison d'etre. Therefore the academics are skeptical of the private university's research aspirations which they feel are professed merely to fulfill MOHE's requirement

"I do ask myself at times, does the university genuinely want academics to conduct research and grow as professionals or are they just encouraging us to do research to maintain the university status and nothing more ~ Interviewee 3

The absence of a well-developed body of policies and the mismatch between appraisal criteria and workload distribution are making academics question and doubt the 'real' motive behind encouraging research activities at these institutions.

Contradiction 3: Subject-community-object

The following questions guide the analysis of the subject-community-object sub-activity triangle:

1. What is the structure of the social interactions in relation to the activity?

2. What impact does the community have on the subject-object pair?

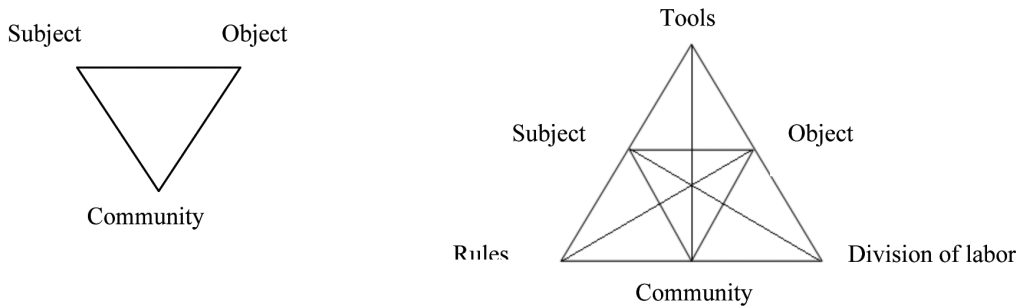3. How do the various components of the community interact?

Fig.4: Subject-community-object contradiction in the Activity System

Misalignment of Motivations amongst the Components in the Community

The Community, MOHE and the management of private universities, along with the subject, the academic staff, share the common object of improving research output. The contradiction arises from the diverse agendas that are brought into play. The political motives of MOHE emphasize innovative research "to execute a quantum leap into the developed status for Malaysia by 2020". The corporate and profit agenda of the management may be at odds with providing adequate support and reducing the teaching load of the academics as indicated below:

> *"Research is all on top of everything else that you do. The teaching workload stays the same"* ~ Interviewee 6

> *"A few of them, honestly, who I have spoken to feel why should I really have to do research?"* ~ Interviewee 1

The contradictory motives make materialization of research based innovation difficult.

Tensions between Teaching and Research

Malaysian private universities appear to be thriving as teaching universities as a consequence of the mass appeal of higher education as fee paying students throng to the private universities. The teaching community at these universities still view teaching as the cornerstone of their professional lives as Altbach and Lewis (1997) state: "the academic profession is largely a teaching profession" (p.39) but the newly acquired status of university exerts a lot of pressure on private institutions to prioritize the research mission. This generates tension as academic staff feel caught between teaching and research.

> *"They are still emphasizing a lot in teaching and other activities. So sometimes I think research becomes secondary"* ~ Interviewee 3

> *"The dean says that we are a profit making institution and where the money goes out-research is a cash outflow for us. Student and teaching is priority"* ~ Interviewee 3

> *"Teaching and other activities as well as the administrative work is overwhelming. Research then is right at the bottom"* ~ Interviewee 9

MOHE's emphasis on knowledge based innovation should create liaisons between government, business, corporation foundations and the academic community. This 'Triple Helix model' (Leydesdorff & Etkowitz, 1998) trend is yet to take roots in private universities:

> *"Nothing commercial so far"* ~ Interviewee 2

"We are not pressured to commercialize university research but more towards doing training" ~ Interview 3

"From 2013 to 2016 that is supposed to be the commercialization stage – making money – third stage – that is the plan" ~ Interviewee 1

Research is thus seen as "cash outflow" (Interviewee 3) at private universities. It is yet to move towards the "Triple Helix Model" (Leydesdorff & Etkowitz, 1998) which is partnership of government, the private sector and universities, to boost economic development. This gap keeps the subject and community from optimizing its engagement with the object of activity system.

The Need for a Community of Research

Researchers see themselves as social scientists or scientists, not just by working out social or scientific problems, but through engagement in the discourse of the scientific community and in the context of the values of that community (Bereiter, 1991, 1994). Much is to be gained by viewing research activity as always nested in the very complex context of the community which shapes research performance or the lack of it.

Lave and Wenger (1991) view community of practice as supporting learning, it is not just a context but a tool that mediates interaction between subject and object (Barab *et al.*, 2004). Barab *et al.*

(2004) further point out that this treatment elevates the notion of community from simply occupying the bottom of the triangle, whose reach is distributed across the multiple components as it functions as tool, object, outcome or even subject. The lack of a community with the multiple functions mentioned is regretted by the academics as expressed below:

"There is neither community of research nor publishing. It all comes down to the individual. Co-authoring amongst staff is not high" ~ Interviewee 2

"The corporate rivalry between the private university constraints any collaboration between their academics. The idea is that private universities cannot work together" ~ Interviewee 1

The community is a very dynamic arena where peripheral participants may become core members. There is a lack of opportunities for work improvement with mentors as formative advisors to help the experts. This is especially conspicuous in private higher education institutions.

This enculturation is essential for the community to grow. Interviewees in this study were painfully aware of the absence of such mentors:

"So we actually need some leaders for the accounting area. We do not have anyone to fall back on" ~ Interviewee 3

Exactly the same sentiment was expressed by another interviewee in relation to publication:

> *"It is frightening to try and publish on your own. You get a rejection then you start wondering what to do now"* ~ Interviewee 2

> *"The review was very bad. I went into a mild depression and since then I have not looked at it"* ~ Interviewee 8

The opposing motivations, a lack of community research, unintended and controversial consequences of the policies, are indicators of discord or contradiction between the subject, object and community nodes, expressed more positively -these are the potential opportunities for growth, improvement and interventions.

Contradiction 4: Subject - Division of labor – Object

The analysis of the contradiction of subject-division of labor-object is guided by the following questions:

1. Who has traditionally taken on the different roles?

2. How does that affect individual or work group activities or breakdowns?

3. What factors drive the role change?

4. How do these roles relate to the researchers output?

In the context of private universities, policy makers and implementers exercise power and control while the academic staff are constrained by these policies and practices.

Inconsistent Implementation of Research Policies

In the present study, the social interchange and social relations are influenced by the diverse interpretations of the policies and the roles by the deans as seen below:

> *"My dean sits with each of us for hours to motivate and support us when we are at sharp angles, when we have problems with time management etc. He backs us up very much. He is my main motivating factor"* ~ Interviewee 4
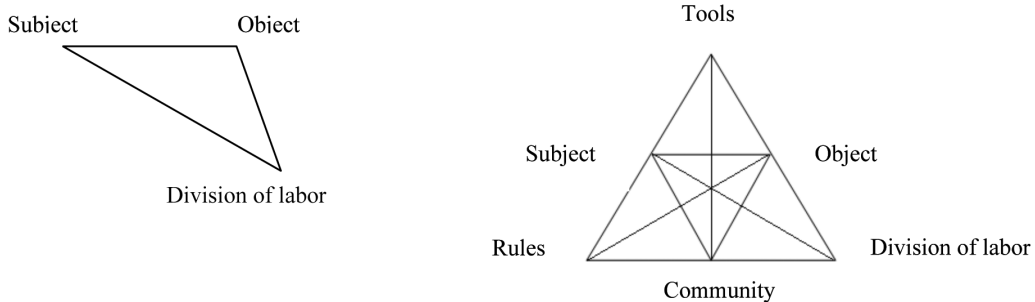

Fig.5: Subject-division of labor-object contradiction in the Activity System

and

"We have a very proactive research vice chancellor, he is young and accessible – his job description and personality make people go to him with their problems. Personally, he made a huge difference to me" ~ Interviewee 5

More specifically, how deans frame research policies and regulate the opportunities and constraints which the academics experience was expressed by many interviewees and two of them said:

"The dean feels that our function is to teach whether you do research or not is up to you" ~ Interviewee 8

More positively:

"The department of psychology developed this strong interest in research purely because of the dean. He started with three other colleagues" ~ Interviewee 2

This situation is summed up by interviewee 1:

"The interpretations by the different schools are very much dependent on who is heading the school. Schools that are headed by research oriented people, they understand the problems of the academics better."

The above tension shows the control and the regulatory face of power where decisions are made and implemented without consultation. The regulatory powers and controls need to be redefined to measure up to the object and output of research.

One Model Fits All Disciplines Policies

The discrepancy in the research output across different academic disciplines has led to many questions – Is it the nature of the discipline? Is it their research tradition? Is it the research scholarship of the academics? Is it the grantsmanship of the faculty? Are the criteria and the reward structures inappropriate, or are comparisons untenable?

"The school of health sciences has more research output than that in other schools" ~ Interviewee 5

In most private universities the consensus is that research output in sciences is encouraging:

"Especially in the sciences, we have been quite successful. Social Science is still slow" ~ Interviewee 1

It is interesting that arts and humanities were not even given a mention. A point resented by the next interviewee:

"The institution is run by engineers who have hegemony over what happens and it is their idea of what research is, as in the sciences there are documents that prove it. for

example ISI journal publications. They are ignorant of humanities and even more so of arts, it is a very prejudicial approach – it is classic hegemony" ~ Interviewee 6

The contradiction of uniform research KPIs and reward structures for disciplines which are vastly different could help us realize the shifting nature of knowledge production because as Dunderstadt (1999) points out, disciplinary configurations are changing so rapidly that departments have difficulty coping with new ways of seeing. Today, those who are at the cutting edge of their fields are often those who travel across them: the catchword today is 'interdisciplinary'.

CONCLUSION AND RECOMMENDATIONS

Traditional academic teaching roles have been challenged by the introduction of the element of research as the object and contradictions and tensions have emerged in and between the elements of the activity system. Activity Theory allows the researcher to recognize the discord created by multiple agendas of the community, the tensions between teaching and research, the lack of clarity of policies especially at the level of implementation,, the lack of serious and consistent mentoring, the lack of appropriate support, the lack of clear articulation of expectations, the lack of training for tracking new sources of funding, the lack of time, the lack of a colleagues' network and heavy teaching loads. Policy

makers need to tailor the standards for research to meet the unique context of each discipline and keep in mind that there is no one model to fit all even with regard to the reward structure.

Malaysian private universities need to position themselves to balance the tensions mentioned above in order to let activity systems evolve to accommodate the shifting nature of knowledge production and develop a more flexible vision of academic career paths rather than the one dimensional reward structure emphasizing research scholarship and grantsmanship which does not create the synergy that should exist between research and education.

The size and scope of this study limits generalization of results, but the theoretical framework of Activity Theory with its interventionist methodology could be used with a larger sample which may recommend engaging the interviewees and administrative or management personnel to resolve the contradictions or tensions so as to facilitate knowledge creation and innovation.

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English Language Reading Preparation for Higher Education

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ABSTRACT

The purpose of the present study is to determine the effectiveness of Form Four English language textbooks in preparing students for tertiary reading in English. The data is in the form of reading comprehension passages from the selected English language textbook. In this study, reading instructional design in the English language textbook is analyzed in terms of types and the length of passages with regards to grade-level. Using the data acquired from the review of this mandated textbook, the author argues that the reading of comprehension and instructional design in English language in the national Form Four English language textbook as part of the English language reading curriculum only partially prepares the upper secondary students in meeting the demand of reading in English at the tertiary level.

Keywords: Higher education, reading comprehension instruction, reading curriculum, textbook, instructional design, ESL, upper secondary, expository texts

INTRODUCTION

Reading skill is one of the most critical skills to academic success (e.g, Weideman & Van, 2002) considering it facilitates access to printed information that enables learners to use and mediate the information that they have acquired (Pretorius, 2002). As such, it is imperative that students be prepared to process information. The task is crucial

for their future educational careers (Grabe, 2001). The findings of English as the first reading language (L1) studies implicate that it is essential to train students at the school level with reading instruction that addresses the reading demand at university level (e.g., Feathers & Smith, 1983; Nist & Kirby, 1986). For example, asking students to process expository texts might increase students' efficiency in processing such type of texts which they have to regularly process in their content areas (e.g., Carrell, 1985; Pugh, Pawan & Antomarchi, 2000). In a similar vein, training students to process

grade-level texts in reading comprehension instruction may assist them in reading and comprehend grade-level texts in the content areas (e.g., Boling & Evans, 2008). Understanding reading texts is paramount to academic success (Best, Floyd, McNamara, 2008). Thus, reading instructional design should emphasize the use of relevant text type and grade-level texts in reading comprehension instruction in order to assist students with reading comprehension in the content areas especially at the university level.

ENGLISH LANGUAGE READING: THE MALAYSIAN CONTEXT

In Malaysia, English is learned and taught as a second language (English as a second language or ESL). The number of less proficient students in the English language is becoming more prominent in Malaysia (Powell, 2002). Many students at the university level in Malaysia are unable to read well in English although reading in English in meeting the academic demand at higher institution level in Malaysia plays a significant role (Kaur & Thiyagarah, 1999). Many studies on English language reading within the Malaysian setting find that university students' academic performance correlates with their English language reading ability in content areas (e.g., Faizah, Zalizan, & Norzaini, 2002; Kanagasabai, 1996; Ponniah, 1993). Past studies in Malaysia have also shown that many students are unable to process academic texts at the university level due to the significantly lack of familiarity with academic texts discourse (e.g., Nambiar, 2005, 2007; Kaur & Thiyagarah, 1999). Such inability in dealing with content area texts is due to insufficient direct exposure to the discourse structure of such text type at the school level (e.g., Ting & Tee, 2008). Such situation suggests that students enrolling in Malaysian universities merely have developing academic readiness due to a lack of English language reading comprehension ability. Such academic readiness could be most likely the result of a lack in the use of expository type of texts at grade-level in reading instruction at the secondary school level, which condition may adversely affect the students' academic performance.

In line with Beck, McKeown, Sinatra, and Loxterman, (1991), many English language researchers within the Malaysian setting also contend that the flaws in English language reading comprehension preparation at the secondary school level could be one of the explanations why many university students in Malaysia have difficulties when reading in English (e,g., David & Govindasamy, 2006; Seng, 2007; Seng & Hashim, 2006; Pandian, 2000); a situation that is similar to other settings in which English is not the first language or non-English speaking countries (e.g., Chen, 1998; Day & Bamford, 2005; Vlack, 2009). Due to this similarity between Malaysia and other non-English language speaking countries, the findings from the present study may have implications not only to the Malaysian setting, but also to other settings of similar nature.

RESEARCH QUESTIONS

The present study seeks to answer the following questions:

1. What types of reading comprehension passages are provided in the Malaysian Form Four English language secondary textbook and used in the English language reading comprehension instruction?

2. To what extent are grade-level passages used in the Malaysian Form Four English language secondary textbook and used in the English language reading comprehension instruction?

LITERATURE REVIEW

Texts Types

Sidek (2010) reviews text types and finds that there are two major text types; narrative and informative (e.g., Avaloz, Plasencia, Chavez, & Rascon, 2007; Gaddy, Bakken, & Fulk, 2008; Grabe, 2008; Koda, 2007). Reading researchers have come to a consensus that the common features of narrative text commonly include characters, settings, problems or conflicts encountered by main characters, plots, and affect patterns (e.g., Gurney, Gursten, Dimino, & Carnine, 1990; Zhang & Hoosain, 2001). On the other hand, informative or expository texts are often written for the purpose of getting its efferent values (Koda, 2005). According to Bakken, Mastropieri, and Scruggs (1997), narrative texts are more consistent in structure while the structure of expository texts is rather varied. Expository texts often use text structures such as cause and effect, problem and solution or compare and contrast (e.g., Meyer & Freedle, 1984; Meyer & Rice, 1984; Taylor, 1980). For example, the aim for a cause and effect type of text is to highlight the reasons or causes and the corresponding results or effects. The text structure for problem and solution explains problems to readers and the solutions to those problems. Expository texts in the form of compare and contrast present readers the comparisons when things are alike and contrast two things when they are different.

The findings of past studies have suggested that second language (L2) readers' familiarity with text structure correlates with their level of text comprehension (e.g., Bakken, Mastropieri, & Scruggs, 2002; Cook, 1983; Pullido, 2007). Successful text processing that maps onto the author's intended meaning requires an efficient integral coordination of underlying processes of reading including discourse processing (e.g., Cook & Gueraud, 2005; Cook & Myers, 2004). As such, the level of exposure to a text type may significantly affect students' ability in the discourse processing of that particular text type (e.g., Anderson & Armbruster, 1986; Best, Floyd, & McNamara, 2008; Koda, 2005). For example, if narrative texts instead of expository texts are more frequently used in reading instruction, students might be able to process narrative texts in a more efficient way than processing expository texts due to structure familiarity and frequent processing practices of narrative texts and vice versa. Bakken *et al*. (1997) contends

that in order for students to be able to read and process the discourse of expository texts effectively in the content areas, explicit training on expository texts is crucial. Therefore, to increase students' text processing efficiency of expository texts at the university level, regular training on the processing of expository texts should take place at the school level.

Grade-Level Texts

In terms of grade-level texts measured by the length of the texts, the findings of past studies indicate that shorter or simplified passages may better facilitate L2 reading comprehension (e.g., Leow, 1997; Shook, 1997; Young, 1999). On the contrary, Oh (2001) who studies the effects of elaborated text, that is commonly longer than the authentic and simplified texts, finds that such modification may also assist text comprehension. Due to the mixed findings of past studies on the roles of text length in reading comprehension (e.g., Crossley, Louwerse, McCarthy & McNamara, 2007; Tomlinson, Dat, Masuhara, & Ruby, 2001), it is inconclusive whether shorter or longer texts would be best used in L2 reading comprehension instruction (Day & Bamford, 1998). Within the L2 reading context, the question is how the length of passages used in general L2 reading comprehension instruction would affect students' ability to read at grade-level in the content areas which texts are commonly long and complex in nature (e.g., Beck, McKeown, Sinatra, & Loxterman, 1991).

As contended by Sidek (2010), the importance of L2 readers reading the appropriate type of L2 texts at grade-level, particularly in relation to academic performance, has not yet much examined in the field of L2 reading. More often than not, the focus of L2 reading research is concentrated on how L2 learners can comprehend L2 reading texts without much consideration of the type of text and the importance of comprehending grade-level texts. The majority of past studies on L2 reading which examine text length hardly examine the importance of training students to process grade-level texts (e.g., Crossley & McNamara, 2008; Crossley, Louwerse, McCarthy & McNamara, 2007; Rott, 2007). Sidek (2010) examines the reading comprehension instructional design in the Form Five English language textbook and concludes that the upper secondary students in the Malaysian setting are only partially prepared for reading in the content areas involving English at the university level in relation to processing expository text at grade level. However, such conclusion is made without the investigation of the Form Four English language textbook which is also part of the upper secondary level in the Malaysian setting. Since the upper secondary school level in Malaysia comprises the Form Four and the Form Five, as an extension to Sidek's (2010) study, the present study examines the reading comprehension instructional design reflected in the Form Four English language textbook with regards to text types and grade-level text. The findings of this study

will enable a more conclusive inference on how the Malaysian upper secondary students are being prepared for the academic demand involving the English language reading in the content areas at the university level.

Theoretical and Analytical Frameworks

Sidek (2010) revises Richards and Rodgers' (2001) model of language teaching analysis to provide a framework of how English language reading comprehension can be analyzed at the Design and Approach levels. Based on Richards and Rodgers' (2001) model, language teaching can be analyzed not only at the approach and design levels, but also at the Procedure level. Sidek (2010) develops a model of method analysis for English language reading at the level of Approach and Design but not at the Procedural level. For this study, Sidek's (2010) model is further revised by including the Procedure level as in Richards and Rodgers' (2001) model. However, this study does not examine the method of English language reading instruction at the Approach level. Therefore, the model used in this study comprises the Design level of Sidek's (2010) model and Richards and Rodgers' (2001) Procedure level. This study adds to Sidek's (2010) model the analyses of the types and length of reading passages reflected in the English language comprehension reading instruction. The new revised framework serves as a model to analyze the method of the teaching of reading in terms of its Design and Procedure as reflected in the EL4 textbook within the parameter of preparing secondary school

students for academic reading at institutions of higher education.

RESEARCH METHODOLOGY

A document analysis and classroom observation methods are conducted for this study. Past studies examining second language curriculum review curriculum documents like textbooks (e.g., Alwan, 2006; Hung, 2006) and observe classroom instruction (e.g., Applebee, Langer, Nystrand, & Gamoran, 2003; McKeown, & Beck, 2004; Salataci & Akyel, 2002). In line with the theoretical model used in this study, the review of curriculum documents provides data on the method of reading instruction at the Design level (Sidek, 2010) while classroom observations provide data on the method of reading instruction at the Procedure level (Richards & Rodgers, 2001). The current study examines a textbook as one of the Malaysian English language curriculum documents and classroom reading comprehension instruction. As stated in the Form Four English language Curriculum Specifications document (Malaysian Ministry of Education [MOE], 2003), one of the main goals of the Malaysian English language in secondary curriculum is to prepare students with English language literacy skills that they may need at the tertiary level. The Form Four English language Curriculum Specifications document, developed by the Curriculum Planning and Development Division under the MOE, provides instructional guidelines for English language instructional material development and classroom instruction.

Therefore, the objective of this study is to offer suggestions on how the Malaysian Form Four English language reading curriculum may effectively prepare the upper secondary school students for the English language reading demands they will encounter in institutions of higher education. In order to make such suggestions, English language reading comprehension instructional design in the Malaysian Form Four English language textbook and the texts used in reading comprehension instruction are analyzed.

Instrument

The current study examines English language reading curriculum using key curriculum documents through document review in line with the practice of past studies of similar nature (e.g., Alwan, 2006, Hung, 2006; Su, 2006). In addition, this study also conducts classroom observations because past studies examining reading comprehension use classroom observation (e.g., Applebee, Langer, Nystrand, & Gamoran, 2003; Beck, & McKeown, 2001). Therefore, following previous studies, the Form Four English language textbook as one of the key curriculum documents is reviewed and analyzed in this study in order to obtain data related to the reading instructional design in the Form Four English language textbook. Reading comprehension instruction is observed and also analyzed.

The Form Four English language secondary textbook is selected as a sample of a standardized instructional material approved by the Textbook Division under the Malaysian Ministry of Education. Based on the description on the MOE Textbook Division (http://www.moe.gov.my/bbt/bukuteks_konsep_en.php), the textbook is organized by topical chapters based on the themes specified in the Form Four English language Curriculum Specifications document. Therefore, the passages used in each chapter are related to the topic of the chapter under the selected theme. The Form Four English language textbook must also conform to instructional guidelines stated in the Form Four English language Curriculum Specifications document. All mandated textbooks by the MOE were written by independent authors affiliated to a publishing company which the ministry appointed to develop the textbooks. The same procedure applies to the development of the Form Four English language textbook. However, there are also no specific guidelines on the selection in terms of types and lengths of passages that should be included in the Form Four English language textbook. Hence, it can be concluded that it is entirely up to the authors' discretion in determining the types and lengths of passages as long as the passages conform to the themes specified in the Form Four English language Curriculum Specifications document. The format of presentation in the Form Four textbook is similar to the Form Five English language textbook in which each reading comprehension passage in the Form Four English language textbook is also followed by comprehension questions divided into four sub-sections: supporting details, main ideas, inference, beyond the text and summary.

The national Form Four level is also selected for analysis considering it is part of the upper secondary school which represents the continuity in education between secondary school level and the tertiary level. Therefore, students' ability to read in the English language at the Form Four level serves as their existing information literacy skill in the English language which they bring with them to the Form Five level. Henceforth, the Form Four English language textbook will be referred to as the EL4 textbook.

Data Collection

To acquire data on text types used in the EL4 textbook, passages that are meant for reading comprehension are elicited from the EL4 textbook. Passages that are provided in the textbook for other purposes such as writing, fluency or grammar practices are not considered as reading comprehension passages; thus, these passages are excluded. The passages collected from classroom observations also use the same procedure of textbook passages selection. For example, if a teacher uses a passage only for pronunciation practice or grammar in reading instruction but not for reading comprehension, such passage is excluded. The passages collected from classroom observations are those used for reading comprehension purpose. Each text type and length of text is recorded in two separate tables (see Appendix A).

Procedure and Data Analysis

In order to determine how English language reading comprehension instruction at the secondary school level applies to tertiary academic contexts, qualitative analyses of the English language textbook and reading comprehension instruction are conducted in terms of passage types and grade-level. Such analysis may provide insights into the English language reading comprehension preparation process at the secondary school level. Within the context of current study, reading passages in the EL4 textbook that are not related to the purpose of reading comprehension instruction such as reading passages for grammar, vocabulary, and writing practices are excluded from the analysis of English language reading passages.

To answer the first research question in this study, reading comprehension passages in the EL4 textbook is also categorized as either narrative texts or expository texts. Texts with features such as characters, settings, problems or conflicts encountered by main characters, plots, and affect patterns (Gurney, Gursten, Dimino, & Carnine, 1990; Koda, 2005) are labeled as narrative texts. Passages with informative content (Koda, 2005) and with text structures such as cause and effect, problem and solution or comparison and contrast (e.g., Meyer & Freedle, 1984; Meyer & Rice, 1984; Taylor, 1980) are labeled as expository texts. The total frequency of each passage type is converted into percentages based on

the total number of reading comprehension passages in the textbook. In addition, data on the types of passages are also acquired from classroom observation and analyzed in the same manner as the data from the EL4 textbook. Two ESL experts rate the text types. The inter-rater reliability for text types is 0.92.

To answer the second research question, similar to Sidek's (2010) study, grade-level texts in this study are examined in terms of text length using Leslie and Caldwell's (2004; 2006) Qualitative Reading Inventory (QRI 3 & 4). Sidek (2010) uses these inventories as proxies due to unavailability of current published inventory for grade-level texts in terms of length for L2 reading. Based on these inventories, the grade-level length of reading texts for upper secondary should be between 470-550 words. The means of length of reading comprehension passages for expository and narrative text types are calculated and served as the indicator of the extent to which grade-level passages for upper secondary level are used in the EL4 textbook for both text types. Data from classroom observation are analyzed in the same manner as data from the EL4 textbook. Therefore, if the means of text length of both types of passages from the data sources are less than 470 words, the texts are considered as not grade-level texts for the Form Four level and vice versa.

FINDINGS AND DISCUSSION

The findings and discussion of results of this study are presented according to the research questions.

Research Question 1: What types of reading comprehension passages are provided in the Malaysian Form Four English language secondary textbook and used in the English language reading comprehension instruction?

Tables 1 and Table 2 present the analyses of types and length of reading comprehension passages in the EL4 textbook. Table 1 provides the analysis of the narrative texts and their corresponding lengths while Table 2 exhibits the analysis of the expository texts and their corresponding lengths.

TABLE 1
Analysis of Narrative Passages in the Form Four English Language Textbook

	Title of Passage	Length
1	Azurah's Diary	366
2	Sonnet 18	113
3	A Story by Keris Mas	56
4	Poem 'Dreams'	32
5	All Summer in a Day	98
6	There's Been a death in the Opposite House	65
7	I shall not Pass This Way Again	57
8	Look at Me	410
9	Dear TZ	149
10	The Drover's Wife	65
12	Newspaper report- Man Dies in Fire	167
13	The Lotus Eater	79
14	Pride and Prejudice	112
15	The Road Not Taken	27
16	As I Was Passing-extract	155
17	Looking for a Rain God	70

17 Narrative Passages (46%)
Mean of passages length = 118 words

TABLE 2

Analysis of Expository Passages in the Form Four English Language Textbook

	Title of Passage	Length
1	Amazing Sarawak	358
2	No Ordinary Souls	354
3	Whales	75
4	Interview with Gerald Read	450
5	Durian	200
6	Nelson Mandela	93
7	Down Syndrome	287
8	Usher's Syndrome	112
9	Talk on Who is Who on Science and Technology	112
10	Huggie Erskine	443
11	Disability Facilities-Letter of Complaint	358
12	Dynamic Eight Malaysia Plan Takes Off	340
13	IT-My Silicon	158
14	For the Common Good	338
15	Map Reading	31
16	International Youth Leaders	167
17	In Search of Self	549
18	Message from Prominent Figures in the United States	479
19	Song in Space	68
20	Vision of the Future	444

20 Expository Passages (54%)
Mean of passage length = 271 words

In terms of types of passage in the EL4 textbook, Tables 1 and Table 2 indicate that the English language reading instruction at the Form Four level exposes students to both narrative and expository texts. Altogether, there are 37 passages for reading comprehension in the EL4 textbook. Seventeen of the passages are narrative passages (46%) and 20 expository passages (54%). This finding indicates that the English language secondary reading curriculum exposes students relatively more to the expository type of passages than to the narrative passages. In relation to reading in English language at the university level, the findings of textbook analysis in this study are incongruent with the finding of Sidek's (2010). However, these findings seem to be in line with the aim of the curriculum in preparing students to read texts in content areas which are primarily expository texts (e.g., Pugh, Pawan & Antomarchi, 2000). Nevertheless, in order to significantly enhance students' expository texts processing skills, extensively additional expository texts should be provided in the textbook s than narrative texts. Nonetheless, the data from classroom observation show that 90% of the passages that teachers used in the English language instruction for the Form Four is the narrative type while only 10% is the expository type. The practice is in contrast to the aim of the curriculum in preparing students to read texts in content areas at higher education institutions.

Past studies show that narrative and expository texts require different cognitive processing and cognitive demands (e.g., Baretta, Tomitch, McNair, Lim, & Waldie, 2009; Horiba, 2000; Trabasso & Magliano, 1996). As such, if English language reading comprehension instruction at the secondary level highly focuses on training students on reading expository texts, students might face less difficulty in processing expository texts. Therefore, English language reading comprehension instruction should highly expose students to expository texts in order to assist them to efficiently process such texts

in the content areas. In contrast, the finding from classroom observation indicates that almost 90% of the texts used in the English language reading comprehension instruction are narrative passages. This finding shows that classroom implementation, as reflected in the text types in the EL4 textbook, is not in alignment with what is suggested in the English language reading curriculum.

Research Question 2: To what extent are grade-level passages used in the Malaysian Form Four English language secondary textbook and used in the English language reading comprehension instruction?

The mean of passage length for the narrative type is approximately 118 words while the mean length for the expository passages is about 271 words. Similar to the findings in Sidek's (2010) study, in this study, both narrative and expository passages used in the EL4 textbook are also below grade level. The Textbook Division of the MOE states in the textbook specifications section (http://www.moe.gov.my/bbt/bukuteks_konsep_en.php) that the content of the textbook should be at the target students' grade level. According to the Malaysian Qualification Agency (MQA), Form Five in the Malaysian setting is equivalent to 12th grade in the American setting. Therefore, Form Four in the Malaysian setting can be inferred to be equivalent to 11th Grade in the American high school. Based on this grade level comparison, the mean length of the expository and narrative passages does not conform to the students' grade level as suggested by Leslie and Caldwell (2004,
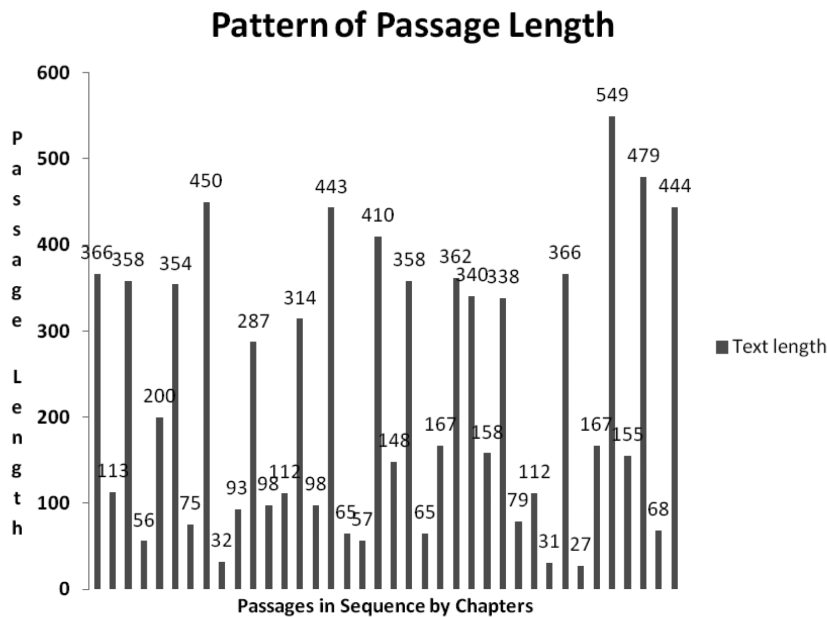

Fig.1: Pattern of Reading Passage Length in the Form Four English language Textbook

2006) and not in alignment with directive from the MOE.

The Form Four English Language Curriculum Specifications specifies developmental instruction in which language activities are divided into different levels from elementary to a more sophisticated level. Hence, if instruction is presented developmentally from a lower level to a higher level, the length of reading passages in the textbook should be in graded pattern from shorter to longer passages. However, the length of passages in the textbook does not follow such pattern. The bar graph in Fig.1 shows the irregular pattern of reading passage length as appeared in the textbook.

TABLE 3
Length of Passages in Sequence as They Appear in Chapters 1-15 in the English Language Textbook

Chapters	Number & Types of Comprehension Passages per Chapter	Length	Type of Passage
1	1 (E=1; N=0)	366	E
2	4 (E=2; N=2)	113	N
		358	E
		58	N
		200	E
3	2 (E=2; N=0)	354	E
		75	E
4	4 (E=3; N=0)	74	E
		450	E
		32	N
		93	E
5	3 (E=2; N=0)	287	E
		98	N
		112	E

TABLE 3 (*continue*)

6	3 (E=0; N=3)	314	N
		98	N
		120	N
7	3 (E=0; N-3)	443	N
		65	N
		57	N
8	2 (E=0; N=2)	410	N
		148	N
9	4 (E=1; N=2)	358	E
		65	N
		167	N
10	1 (E=1; N=0)	362	E
11	1 (E=2; N=0)	340	E
		158	E
12	4 (E=2; N=2)	338	E
		79	N
		112	N
		31	E
13	3 (E=1; N=2)	366	N
		27	N
		167	E
14	2 (E=1; N=1)	549	E
		155	N
15	3 (E=1; N=0)	479	E
16	2 (E=2; N=0)	68	E
		444	E

Key: E- Expository N= Narrative

Fig.1 and Table 3 show that there is no developmental pattern in terms of passage length from the first to the last unit in the EL4 textbook. Considering the high irregularity of passage length in the selected EL4 textbook, the importance of grade-level passage length seems not to have been given appropriate attention in the textbook planning and development.

Fig.2 also indicates that there is irregularity in the number of narrative and
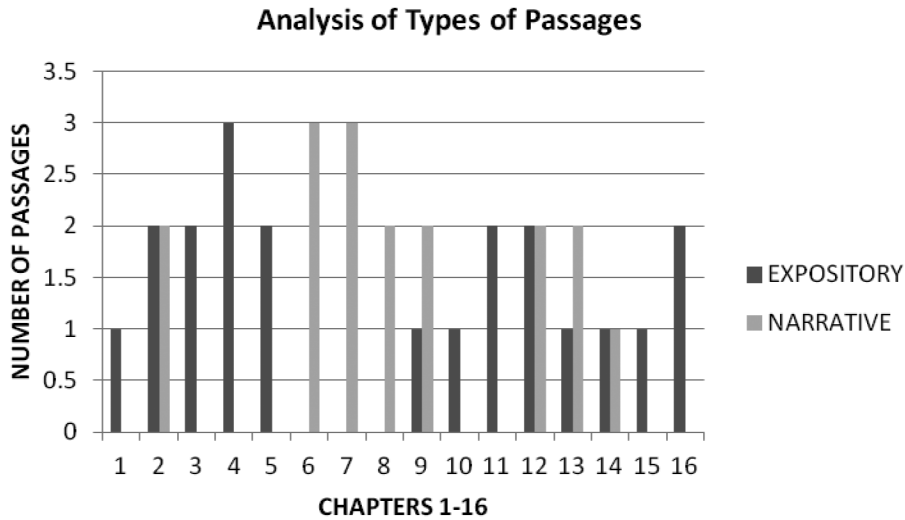
Analysis of Types of Passages

Fig.2: Analysis of Types of Passages

expository texts in each unit of the EL4 textbook. Some units in the textbook only have expository passages (Units 1, 3, 4, 5, 10, 11, 15, 16) while some units (Units 6-8) only use narrative passages. Such finding raises the question on how the decision on the number of expository and narrative types of passages for each unit is made at the textbook development level.

Form Four students should be trained to read and comprehend passages in the English language that is somewhat equivalent to the corresponding grade level of English as first language readers. The range of words for upper secondary should be between 470-550 words (Leslie & Caldwell, 2004; 2006) to enable them to read at grade-level at tertiary education level. However, there are only about 15 passages (41.7%) that meet the grade level word range while the other 21 passages (58.3%) are far below grade level. University students have to read materials in the English language in their content areas similar to native speakers do in order to be academically successful. Therefore, English language reading comprehension instruction that does not use appropriate reading materials may not prepare students with the English language reading skills that they need at the tertiary level.

Table 4 presents the analyses of types of reading comprehension passages teachers use in English language reading comprehension instruction.

TABLE 4
Analysis of Types of Passages from Classroom Observation

Total number of observations = 14
Expository Passages = 2 (14.3%)
Mean of passages length = 305 words
Narrative Passages = 12 (85.7%)
Mean of passages length = 400 words

Total number of observations = 14

With regards to the vocabulary presented in the reading passages, vocabulary learning

is addressed as a component of reading comprehension in the form of finding the meanings of words in context., The majority of the passages in the EL4 textbook are expository texts. Therefore, it seems that vocabulary related to expository texts is more emphasized than vocabulary that is related to the narrative texts. Nonetheless, the English language teachers, in majority use narrative texts in their reading comprehension lessons, do not implement the relatively more emphasis on expository text proposed in the EL4. Considering that students primarily have to read expository texts at the university level, the lack of emphasis on expository vocabulary in classroom instruction at the secondary school level might cause them the difficulty in understanding expository texts when reading in content areas (e.g., Pugh, Pawan & Antomarchi, 2000).

IMPLICATIONS

Material selection in terms of reading passages should be given an equal appropriate attention in order to prepare students to read in English language at universities (e.g., Cheek, 1983). The type of passages used in reading instruction may influence learners' reading comprehension ability with such text type (e.g., Williams, 2005). However, the findings show that students are primarily exposed to narrative passages and not consistently trained to process grade-level passages in the classroom. English language reading comprehension instruction which highly focuses on narrative English language reading passages more than the

expository passages may have adverse implications because, the content area texts at the university level are commonly in the form of expository rather than narrative (e.g., Pugh, Pawan & Antomarchi, 2000).

In addition, based on Leslie and Caldwell's (2004; 2004) reading text length taxonomy according to grade level, the mean length calculation shows that the expository and narrative passages are below the grade level for the Form Four or Tenth Grade. Therefore, within the Malaysian English language secondary reading context, the gap between the types of materials used in the English language reading comprehension instruction at the secondary school level and the type of reading materials that students are frequently required to read at the university level should also be addressed.

RECOMMENDATIONS

Fig.3 and Fig.4 provide the recommendations for the revision in the reading instructional design in the English language textbook as well as in classroom instruction. The findings of the study indicate that currently the EL4 textbook is designed with the emphasis on expository passages; however, below grade-level. The English reading comprehension instruction includes extremely few expository passages and the majority of the passages used in the classroom are below grade level. In synthesis, these findings suggest that current reading instructional design in the English language secondary textbook and reading comprehension instruction only partially prepares students for tertiary reading in the
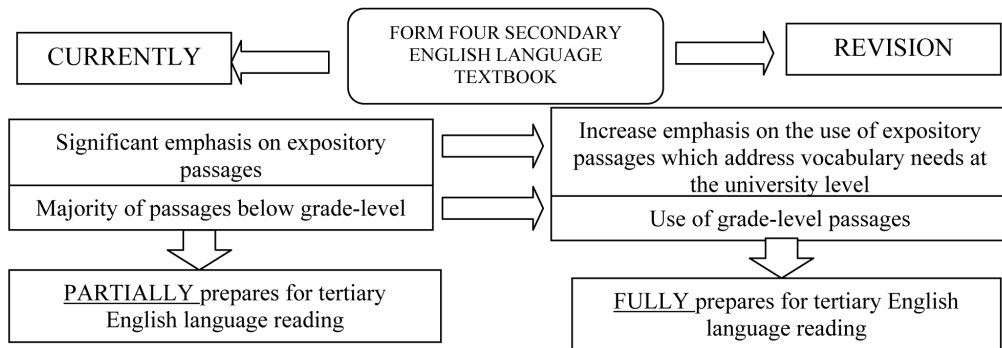
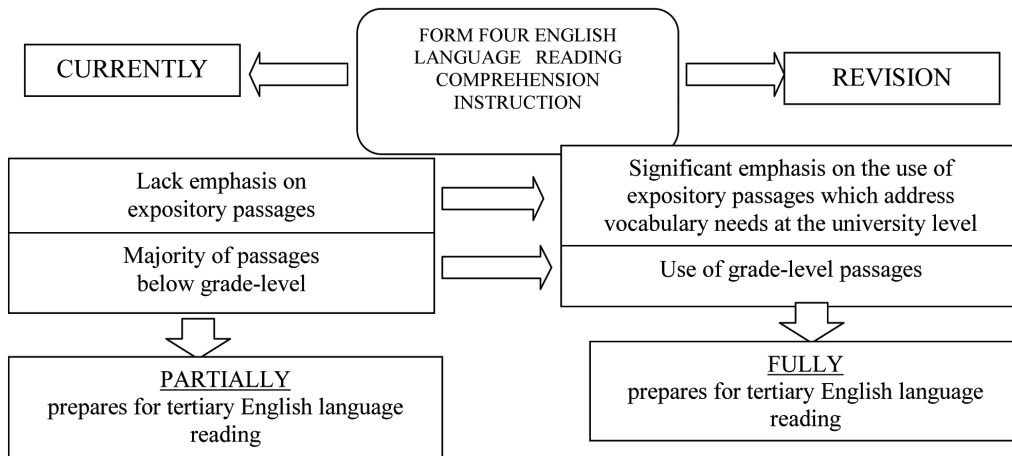Fig.3: Recommended Revisions for the Form Four English Language Textbook

Fig.4: Recommended Revisions for the Form Four English Language Reading Comprehension Instruction

English language. A revision in the English language textbook instructional design and classroom practice is required in Malaysia in order for the secondary reading curriculum and instruction to fully prepare students for tertiary English language reading. The textbook and classroom instruction should place significant emphasis on the use of grade-level expository passages that address students' vocabulary needs at the

university level. The goal of the English Language Secondary Curriculum to prepare students for English language reading at the university level could be achieved with such revisions.

CONCLUSION

Sidek (2010) finds that narrative passages are more emphasized than the expository passages in the English language Form

Five textbook. In contrast to Sidek's, the findings of the present study indicate that the reading instructional design, in terms of the selection of passage type and length in the Form Four English language textbook, seem to place relatively more emphasis on training students to read expository texts. Nonetheless, the expository texts on average do not meet the grade level. The finding on text length is congruent with the findings of Sidek's (2010). The findings of the current study also provide insights into how the types and length of passages used in the Form Four English language reading comprehension instruction not in alignment with the textbook instructional design in terms of material selection. It may contribute to the persisting English language reading comprehension problems at the university level, particularly in Malaysian setting. Thus, a revision of the reading instructional design in the Form Four English language secondary textbook in terms of the grade-level of passage selection and the use of expository text at grade-level in the classroom are called for as a step to improve the effectiveness of the English language secondary reading comprehension instruction with the implications on academic preparation for English language reading at the university level.

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APPENDIX A: A SAMPLE OF CODING FORM FOR TEXT TYPES AND LENGTH

NARRATIVE PASSAGES

No	Title of Passage	Length

EXPOSITORY PASSAGES

No	Title of Passage	Length

Measurement of Transactional and Transformational Leadership: Validity and Reliability in Sri Lankan Context

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ABSTRACT

Among the various leadership behaviors explored, transactional and transformational leadership behaviors continue to attract the interests of researchers. This interest ranges from examining the effect of this leadership dichotomy on various organizational and individual outcomes and, to testing of the goodness of measure on the transactional and transformational leadership behavior. However, testing validity and reliability of the measures for transactional and transformational leadership mainly focus on western context while similar effort in Sri Lanka context is relatively scant. The purpose of this paper is to validate the conceptualization of transactional and transformational leadership in the Sri Lankan Context. Data were gathered through a survey by using a structured questionnaire from 136 Sri Lanka public sector employees. Factors analysis, correlation, and reliability analysis were conducted to test the validity and reliability. Implications regarding the goodness of measure were discussed and major issues of measurement in Sri Lankan context were presented.

Keywords: Transactional, transformational leadership, measurement, reliability, construct validity, discriminant validity

INTRODUCTION

Leadership and leadership styles in particular have been subjected to scrutiny

by researchers not only in the field of management but also in other fields of social science. Leadership is defined as a process of influencing others to understand and agree about what need to be done and how to do it, and the process of facilitating individual and collective efforts to achieve objectives (Yukl, 2006).One of the factors for attributing to leadership such a magnitude of importance

is that leadership plays a central role in organizations irrespective of their nature. Effective leadership makes a contribution to the organizational effectiveness by enhancing job satisfaction (Wofford *et al*., 2000), organizational commitment (Loki & Crawford, 2004), organizational citizenship behavior (Wang *et al*., 2005), and employee loyalty. These leadership outcomes have resulted in the improvement of the performance from individual employees (Limsila & Ogunlana, 2008) and groups (Bass *et al*., 2003) in organizations. Furthermore, effective leadership results in supportive organizational culture, employee innovation and creativity among employees (Parry & Proctor-Thomson, 2003), promote team efficacy (Arnorld *et al*., 2001) and organizational learning (Zagorsek *et al*., 2009). Wart (2003) posited that leadership provides a sense of cohesiveness, personal development, resulted in higher level of satisfaction among employees, sense of direction and vision, alignment with the environment, innovation and creativity and productive culture.

Even though, large numbers of studies on leadership have been carried out, studies to testing the measurements on leadership are lagging behind. This is especially evident with respect to the measurement of transactional and transformational leadership in Sri Lanka context. Nguni *et al*. (2006) claimed that conceptualization of transactional and transformational leadership has been confined to the western countries than in the developing countries. Though transactional and transformational

leadership are relevant in most situations (Bass, 1997) universal relevance does not mean that transactional and transformational leadership equally likely to occur in all situation (Yukl, 2006). Contingent factors may alter the leadership behavior in different contexts (Currie & Lockett, 2007). Therefore, assessing the goodness of measure (Validity and Reliability) of leadership styles, namely transactional and transformational leadership measurement in different countries is recommended by some researchers (Lo *et al*., 2009). It is because of the fact that leadership is largely governed by social, religious, and cultural, prevailing beliefs and attitudes in countries (Kennedy & Mansor, 2000).

Based on the above claims, testing of goodness of measure of transactional and transformational leadership is warranted, given that cultural, social and religious context in Sri Lanka is different to a significant proportion. The purpose of this study is empirically to test the goodness of measure of transactional and transformational leadership constructs form MLQ 5x rater version in the Sri Lankan context. This could lead to a better understanding of the dimensionality of the dual leadership constructs, facilitating further validation of these constructs.

LITERATURE REVIEW

Leadership style or leadership behavior has been the central focus in most of the leadership studies from the beginning of the leadership studies. Numerous studies have been carried out to examine the components

of leadership and leadership effectiveness (Atwater *et al.*, 1999). This has resulted in an accumulation of knowledge covering many constructs, variables and factors associated with leadership and leadership effectiveness. Leadership behavior is standing as prominent determinant of leadership effectiveness (Jaussi & Dionne, 2004). This is evident with the fact that almost all leadership theories have incorporated leadership behaviors in their explanation of leadership effectiveness. Among the vast array of leadership behaviors such as, charismatic leadership (Conger, 1989), visionary leadership (Sashkin, 1988), authentic leadership, servant leadership, spiritual leadership, shared leadership, and ethical leadership (Avolio *et al.*, 2009), transactional and transformational leadership are dominant in leadership studies over the past years. This study used the Bass's conception of transactional and transformational leadership since theses dual leadership has been the mostly researched and validated conception of leadership in leadership literature (Kirkbride, 2006) in assessing the leadership behavioral construct in Sri Lankan context.

Transactional Leadership

The concept of transactional leadership along with transformational leadership was first developed by Burns (1978) and further improved by Bass (1985). Transactional leadership concerns the exchange relationship between the leader and followers. Transactional leaders clarify

his performance expectations and exchange rewards for performance (Zagorsek, *et al.*, 2009). They usually operate within the boundaries of the existing system or culture, have preference for risk avoidance, and emphasize process rather than substance as a means for maintaining control (Lowe *et al.*,1996). Transactional leaders use instrumental compliance; subordinates accept the direction of the leader so that they receive rewards or avoid punishment, in influencing their subordinates (Yukl, 2006). Webb (2007) posited that transactional leaders use contingent rewards for motivating followers. In the initial concept of transactional leadership, there were two components namely, contingent rewards and passive management by exception. Bass and associates later expanded the conception of transactional leadership to include three components. These components were contingent rewards, active and passive management by exception (Antonakis *et al.*, 2003).

Contingent rewards refers to leader's behaviors that focus on clarifying roles and tasks requirements and providing followers with material and psychological rewards contingent on the fulfillment of contractual obligations. Management by exception (Active) refers to the active vigilance of a leader whose goal is to ensure that standards are met. Management by exception (Passive) refers to leader's only intervening after noncompliance has occurred or when mistakes have already happened.

Transformational Leadership

Transformational leadership transforms and motivates followers by creating an exciting new vision, encouraging followers to move beyond their own interest for the sake of the organization, and stimulating the follower's higher order needs (Bass, 1985). Transformational leaders use internalization; bounding organizational goals with subordinate's personal values and attitudes as his influencing strategy (Bono & Judge, 2003). Webb (2007) claimed that transformational leaders motivate their employees through charisma and intellectual stimulation. Transformational leadership is likely to thrive in flatter, low power distance and decentralized decision making process while transactional leadership emerge in bureaucratic and high power distance organizational contexts. Bass's initial conception of transformational leadership included four components namely, charisma, inspirational motivation, intellectual stimulation, and individualized consideration. However, Antonakis *et al.* (2003) proposed five components as follows:

1. Idealized influence (Attribute) refers to the socialized charisma of the leader, whether the leader perceive as being confident and powerful, and whether the leader is viewed as focusing on higher-order ideals and ethics.

2. Idealized influence (Behavior) refers to charismatic actions of the leader that are concerned on values, beliefs and sense of mission.

3. Inspirational motivation highlights the ways leader energizes their followers by viewing the future with optimism, stressing ambitious goals, projecting an idealized vision, and communicating to followers that the vision is achievable.

4. Intellectual stimulation indicates the leader actions that appeal to follower's sense of logic and analysis by challenging followers to think creatively and find solutions to difficult problems.

5. Individualized consideration refers to leader's behavior that contribute to follower satisfaction by advising, supporting, and paying attention to the individual needs of followers, and thus allowing them to develop and self actualize.

Though both transactional and transformational leadership are said to be important, their effect on organizational variables (Nguni, *et al.*, 2006), and mechanism of influence stand distinct to each other, measurement these dual leadership separately is required. Therefore, this study was indented to assess the goodness of measure of both leaderships in Sri Lankan context.

Measurement of Transactional and Transformational Leadership

Multifactor Leadership Questionnaire (MLQ) widely is used in measuring the transactional and transformational leadership in many leadership studies. Bass's (1985) initial MLQ included five factors; charisma, individualized consideration, intellectual stimulation, contingent rewards

and management by exception. Bass and Avolio (1992) developed MLQ 5R form consisting of factors of charisma, inspirational motivation, intellectual stimulation, individualized consideration, contingent reward and management by exception. Though there are few forms of MLQ, the form 5X comprising nine component factors of Avolio *et al*.(1995) model, is largely adapted. The MLQ form 5X contains 45 items out of which 36 items are used for assessing the nine factors namely, idealized influence (attribute), idealized influence (behavior), inspirational motivation, intellectual stimulation, individualized consideration, contingent rewards, management by exception (active), management by exception (passive), laissez-faire leadership and three leadership outcomes. However, this study had excluded the laissez-fair leadership factor for the conception of leadership since it represents non leadership situation in consistence with other studies (Bycio *et al*., 1995). On the other hand, the conceptual distinction between laissez-faire and management-by-exception (passive) is not clear (Den Hartog *et al*., 1997).

Although substantial support was found for the goodness of the measurement (Items of 5X) for example, (Avolio *et al*., 1995; Bass and Avolio 1992; Antonakis *et al*., 2003), some studies have generated conflicting claims on the factor structure of the MLQ in different countries. Hater and Bass (1988) found support for only six factors namely charisma, intellectual stimulation, individualized consideration, contingent

rewards, management by exception active and passive in USA. Bycio *et al*., (1995) had validated five factors in Canada and five different factors model in Singapore (Koh *et al*., 1995). Different factor structure of MLQ was reported in other countries such as Netherlands, (Den Hortog, *et al*., 1997), Germany (Geyer & Steyrer, 1998), Australia (Carless, 1999) and Malaysia (Lo *et al*., 2009). Furthermore, factorial validity of the nine factors model of the MLQ 5X form has also been confirmed (Muenjohn & Amstrong, 2008).

Given these mixed results, testing the goodness of the measurement for transactional and transformational leadership is required before it is used in different context especially in different countries or in different national cultures (Antonakis, *et al*., 2003). As Van De Vijver and Hambleton (1996) had argued, just because measuring instrument is valid and reliable in one culture, it cannot be assumed that the same psychometric properties will prevail in another culture. McCoach (2002) posited that reliability and the validity are the most important aspects of an instrument to be tested before using it for data collection. On the other hand, MLQ 5X has been criticized over some of the areas of its measurement factors (Muenjohn & Amstrong, 2008). This may result in change of the items and factor structures of the transformational and transactional leadership measure.

Studies have been conducted by using the self-rating measurement of transactional and transformational leadership (Daughtry, 1995) and, followers rating measurement

(Antonakis *et al*., 2003; Atwater & Yammarino, 1992). However, the validity and reliability of these measurements are needed to be tested for studies using followers rating than the self rating studies given the fact that some contextual factors involve in observing and assessing the leadership behavior. Research is warranted to further examine of the underlying factor structure of transactional and transformational leadership (Muenjohn & Amstrong, 2008). This could result in refinement and the development of the measurement of transactional and transformational leadership with a universal validation (Avolio & Bass, 1999). Given the argument that properties of transactional and transformational leadership instruments can be affected by the context where the leadership is observed and evaluated (Antonakis *et al*., 2003), testing the goodness of measure of these constructs in different context, is required.

The present study uses the items related to the component behaviors of transactional and transformational leadership other than laissez-faire factor since laissez-fair represents a non leadership context, to test the validity and reliability of the measurement.

Reliability

Reliability is related to the dependability of the measurement that is the extent to which the instrument generates the same results on repeated trials (Babbie & Mouton, 2001). In other words, it represents the stability or consistency of scores of an instrument over time or respondents. Reliability also measures the degree to which the test score indicates the status of an individual item on the factors defined by the test as well as the degree to which the test score demonstrates individual differences in these traits (Cronbach, 1951). Reliability measures the correlation between the test score and hypothetical true value of the variable. It is largely the Cronbach's Alpha which is used by the researchers as reliability coefficient (Cronbach,1951). Cronbach's Alpha measures the relation of the individual item variance to the variance of the entire scale. If the sum of the individual item variance is close to the variance of the entire scale, Alpha value comes to closer to zero, representing that items in the scale are not correlated or they are not measuring the same construct. On the other hand, if the variance of the entire scale is much larger than sum of the variance of the individual items, Alpha value is close to one.

Validity

Validity of an instrument is defined as the degree to which that particular tool measures what it is supposed to measure rather than different phenomena. In other words, the instrument should be correct in relation to the objectives for which it is used. There are various forms of validity associated with an instrument such as criterion validity, content validity, construct validity (Camines & Zeller, 1990). However, it is the construct and descriminant validity which is mostly considered in social sciences though

Cronbach and Meehl (1955) claimed that only construct validity is relevant in social science.

Construct Validity

Construct validity is the extent to which an instrument measures the concept with which it purports to measure. A high level of construct validity indicates that operationalization of the constructs closely matches the constructs or variables (Chen & Rossi, 1987). It is through factor analysis that researchers assess the construct validity of the measure for assessing the constructs. Factor analysis can be defined as a process of examining the correlations among a set of observed variables in order to gather information on their underline latent constructs (Byrne, 2010). In an instrument testing context, it is an examination of the correlations among items by identifying the number of shared factors that account for the observed correlations. In the present study, the Exploratory Factor Analysis (EFA) with principle componant analysis, and varimax rotation were used to measure the construct validity of the MLQ 5X form with 33 items.

Discriminant Validity

Discriminant validity is that variables used to measure the different phenomenon are not perfectly correlated. In other words, testing construct validity comes down to confirming that variables measuring the same concepts converge and differ from variables that measure different construct. Descriminant validity further refers to the extent to which

measures of two different construct are distinctive in terms of correlation between the items of the respective measures. Given that the factor loadings are also the correlation coefficients between the items and the construct, the level of the discriminant validity can be assessed with the component matrix of the factor analysis.

METHODS

Since, this study involves a testing of measurements, it is a survey and a cross sectional study in type. Unit of analysis is the individual employees belonging to the occupational category of the Clerk and Related employees of the 31 public sector organizations in Sri Lanka. Selection of the public sector organizations as the context of this study was prompted by the lack of such studies in this sector. No pilot study was carried out since this study is involved with testing of goodness of a standard measure (MLQ) just in deferent context. However, two experts reviewed the instrument for its appropriateness of wording and items sequence to the Sri Lankan context.

Sample

The purpose of the study is to test the reliability and validity of measure of transformational and transactional leadership in Sri Lankan context. A sample of 200 employees from the 31 public sector organizations was drawn with proportionate stratified random sampling method since the number of employees of these organizations differs in proportion to the total number of employees in the population. Questionnaires

were distributed to the respondents by post containing the questionnaire and the stamped envelope so that they can mail completed questionnaire to the researcher.

85 questionnaires were returned in a period of three weeks. A reminder letter was sent to the respondents and another 65 questionnaires were collected later. Total number of responses was 145 questionnaires and nine questionnaires were excluded since they contained missing data based on the criteria that the amount of missing data is not exceeding 9% of total questionnaires returned and will be used for further analysis(Byrne *et al*.,2004). This study recorded a nearly 68% of response rate. It seems that the external validity of the finidng of this study can be held high with this higher response rate.

65.7% of the sample was male while 34.3% are female employees. The sample respondents represent mostly the middle age category which is 74.2% of the sample. Further, the sample is consisted of employees with diverse educational background. The majority (45.8%) had G.C.E. (A/L) qualification; 27.6% and 10.5% of the respondents had a graduate and postgraduate qualification respectively. Large percentage of the sample (58.7%) had a work experience of ranging from 5 to 10 years. The proportion of respondents' with less than 5 years work experience was 24.4% and 16.6% had 10 to 15 years work experience.

Questionnaire Development

The questionnaire comprised of 33 items adapted from the MLQ 5 x forms which were scaled with five-point Likert scale. Items are rated with anchors labeled, as 0= Not at All, 1= One in a While, 2= Sometimes, 3= Fairly Often and 4= Frequently if Not Always. Items were worded with some modification so that it is relevant to the context. For an example, both he/she were included to ensure the gender equality. Further, two items were broken down as four separate items so that respondent can understand the issue.

The questionnaire was prepared in English given the facts that first, meaning of the original items can be presented with minimum distortion and second, the competence level of respondents in English.

Data Analysis

Factor analysis and reliability analysis were conducted to test the validity and reliability of the measures for transactional and transformational leadership. Exploratory Factor Analysis (EFA) with orthogonal varimax rotation, which is the most common method used in EFA, with the ability of dividing the variance of items across maximum factor structure, was used to assess the construct validity of the instrument being adapted to operationalize transactional and transformational leadership.

Accordingly, principal component analysis was done on the 33 items included in the instrument.

RESULTS AND DISCUSSION

Reliability

The reliability coefficient (Cronbach's Alpha) for the transformational leadership components was 0.70 for idealized influence (Attribute), 0.80 for intellectual stimulation, 0.86 for individual consideration,, 0.87 for inspirational motivation and 0.89 for idealized influence (Behavior),. However, the initial value of the Alpha for individualized consideration recorded is 0.60 with all four items which has a value of below the acceptable level of .70 Alpha value (George & Mallery, 2003). With the deletion of item C_{II}, the alpha value has improved up to 0.86 which is an acceptable value (Sekaran & Bougie, 2009). The reliability coefficient values for transactional leadership components were 0.70, 0.78, and 0.90 for management by exception (active), contingent rewards, and management by exception (passive) respectively. Hence, it can be concluded that both measures of transformational and transactional leadership possess adequate degree of reliability in measuring intended constructs in the Sri Lankan Context. **(**Table 1)

It is the relaibility of the overall measurement which is particularly interested in the present study. The Cronbach Alpha value for the overall instrument with 32 items, excluding the first item of idealized influence (Attribute), recorded a value of 0.80 which is a acceptable level.

As an extension to the testing of reliability of instrument, the hypothesis for all items in the scale came from a population with the same mean and variance was tested by using the model goodness of fit test (Friedman's test). Based on the observed significant level of the test, it has to either reject or not reject the null hypothesis that scale comes from a population with same mean and variance. Since the Friedman's Chi-Square value ($\chi2= 1547.68$, $p<.000$) is significant with respect to the present study, the null hypothesis is rejected, meaning that

TABLE 1
Cronbach Alpha Reliability Coefficients of MLQ (5X) Rater version

Leadership Factor	Mean	Standard Deviation	Cronbach Alpha	Evaluation (Sekaran & Bougie, 2009)
Idealized Influence (Attribute) (IA)	12.06	1.92	.70	Acceptable
Idealized Influence (Behavior) (IB)	12.33	2.20	.89	Good
Inspirational Motivation (IM)	11.60	1.93	.87	Good
Intellectual Stimulation(IS)	12.52	1.69	.80	Good
Individualized Consideration (IC)	8.97	1.72	.86	Good
Contingent Rewards (CR)	12.70	1.44	.78	Acceptable
Management by exemption –Active (MEA)	7.12	2.64	.70	Acceptable
Management by exemption –Passive (MEP)	8.18	3.75	.91	Good

data comes from a population with different means and variances. (Table 2)

Validity

The initial factor analysis has extracted 8 factors from the 32 items. The results clearly suported the three factor structure of the trasactional leadership and five factor structure of the transformational leadership. However, the first items of the indialized influence (attribute), individual consideration of transformational leadership and management by exception of transactional leadership were dropped due to low loadings (Less than .50) and high loadings with other factors as suggested by Hair *et al.* (2006). Howerer, other items recorded a satisfactory level of factor loading values (>.5) as of Hair *et al.* (2010).

The Kaiser-Meyer-Olkin Measure (KMO) which compares the sizes of observed correlation coefficients to the size of the partial correlation coefficients recorded a value of 0.70 which is an acceptable level (Kaiser & Rice, 1974), and the Bartlett's test of sphericity was signinficant with $\chi 2 = 2635.359$, P<.000. The eight factor solution extracted with eigenvalues greater than one explained 76% of the total variance. (Table 3)

The component matrix relating to each construct of the transactional and transformational leadership is shown in the Table V (Below). It indicates the factor loading for each item for the each eight constructs of transactional and transformational leadership. (Table 4)

Based on the Table V, items supposed to be measuring a particular factor, are loaded high with that factor than the other factors, indicating high level of discriminant validity of the measure. Accordingly, all items measuring idealized influence (attribute) (IA) scored a range of factor loading from .885 to .828. Four items of idealized influence (Behavior) (IB) had a factor loading ranging from .892 to .815. Items of intellectual stimulation (IS) were loaded between .852 to .689 range and items of inspirational motivation (IM) were loaded with .887 to .776 range. Only three items of the individual consideration received the acceptable factor loadings (.902-.825).

TABLE 2
ANOVA with Friedman's Test

	Sum of Squares	df	Mean Square	Friedman's Chi-Square	Sig
Between Respondents	168.301	135	1.247		
Between items	1188.785	31	38.348	1547.679	.000
Residual	2049.559	4185	.490		
Total	3238.344	4216	.768		
Total	3406.645	4351	.783		

Grand Mean =2.76
a. Kendall's Coefficient of Concordance W=.34

TABLE 3
Total Variance Explained

Component	Initial Eigen values			Extraction Sums of Squared Loadings		
	Total	% of Variance	Cumulative %	Total	% of Variance	Cumulative %
1	5.002	16.673	16.673	5.002	16.673	16.673
2	3.498	11.659	28.331	3.498	11.659	28.331
3	3.232	10.772	39.103	3.232	10.772	39.103
4	2.906	9.686	48.789	2.906	9.686	48.789
5	2.567	8.556	57.346	2.567	8.556	57.346
6	2.080	6.933	64.278	2.080	6.933	64.278
7	1.910	6.368	70.646	1.910	6.368	70.646
8	1.543	5.144	75.790	1.543	5.144	75.790
9	.799	2.663	78.453			

In case of transactional leadership, four items of contingency rewards (CR) and management by exception (Passive) (MEP) had acquired factor loading .867-.672, and .932-.807 respectively. Three items of the management by exception (Active) (MEA) were loaded .897 to .811 factor loading range.

This is in congruence with similar studies where discriminant validity was examined (Lo *et al*., 2009). Further, Similar results have been found in other studies on overall validity of transactional and transformational leadership (Kelloway *et al*., 2000).

DISCUSSION AND CONCLUSION

This study is intended to test the goodness of measure for transactional and transformational leadership construct in the Sri Lankan context. The purpose for testing the measurement of transactional and transformational leadership construct will add to the contextual validity in different context. It can be an impetus for further leadership studies in the Sri Lankan context given the fact that more research on transactional and transformational leadership required for its conceptual clarity and validity (Bruins, 1999).

It was revealed that eight factor model of transactional and transformational leadership are valid in the Sri Lankan context. Accordingly, the five leadership factor of transformational leadership, namely, idealized influence (Attributes), idealized influence (Behavior), inspirational motivation, intellectual stimulation and individual consideration, and three transactional leadership dimensions namely, contingent rewards, management by exception (active) and management by exception (passive) were found to be significant explaining the variance of the leadership constructs examined.

The original item structure of the nine factor model was not totally consistent with the factor model of the present study given

TABLE 4
Rotated Component Matrix

Items	Component							
	1	2	3	4	5	6	7	8
MEP1	.932	-	-	-	-	-	-	-
MEP2	.894	-	-	-	-	-	-	-
MEP3	.846	-	-	-	-	-	-	-
MEP4	.807	-	-	-	-	-	-	-
IA1	-	.885	-	-	-	-	-	-
IA2	-	.856	-	-	-	-	-	-
IA3	-	.847	-	-	-	-	-	-
IA4	-	.828	-	-	-	-	-	-
IB1	-	-	.892	-	-	-	-	-
IB2	-	-	.876	-	-	-	-	-
IB3	-	-	.830	-	-	-	-	-
IB4	-	-	.815	-	-	-	-	-
IM1	-	-	-	.887	-	-	-	-
IM2	-	-	-	.853	-	-	-	-
IM3	-	-	-	.852	-	-	-	-
IM4	-	-	-	.766	-	-	-	-
CR2	-	-	-	-	.867	-	-	-
CR3	-	-	-	-	.794	-	-	-
CR1	-	-	-	-	.692	-	-	-
CR4	-	-	-	-	.672	-	-	-
IS1	-	-	-	-	-	.852	-	-
IS2	-	-	-	-	-	.820	-	-
IS3	-	-	-	-	-	.783	-	-
IS4	-	-	-	-	-	.689	-	-
IC4	-	-	-	-	-	-	.902	-
IC3	-	-	-	-	-	-	.879	-
IC2	-	-	-	-	-	-	.825	-
MEA2	-	-	-	-	-	-	-	.897
MEA3	-	-	-	-	-	-	-	.848
MEA4	-	-	-	-	-	-	-	.811

Note: Factor loading less than .6 has been supressed.
Extraction Method: Principle Componant Analysis
Roration Method: Varimax with Kaiser Normalization

(IA: Idealized Influence (Attribute), IB: Indealized Influence (Behaviour), IS: Interlectual Stimulation, IM: Inspirational Motivation, IC: Individualized Consideration, CR: Contingent Rewards, MEA: Management by Excemption (Active), MEP: Management by Excemption (Passive)

the fact that several items had to be dropped due to low loading or double loading. Therefore, the finding of this study exhibits the differences on the dimensionality of transactional and transformational leadership in a different context from where it was mostly tested. However, the eight factor structure measurement was consistent to the factor structure in other studies in different context with confidence. Therefore, measurement of transactional and transformational leadership can be

used reliably in future research in Sri Lanka. It seems that transactional and transformational leadership behavior of public sector managers' stand more or less parallel to the behavior of leadership in other context.

Anyway, it is proposed to test, as a future study, the goodness of the measure of transactional and transformational leadership with a larger sample including other occupational groups and sectors so that broader generalization can be made on the dimensionality of these dual leadership in Sri Lankan context.

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Discipline Strategies of Vietnamese and Australian Mothers for in Regulating Children's Behaviour

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ABSTRACT

The discipline strategies used for regulating children's behaviour were investigated in Vietnamese and Australian mothers using hypothetical child behaviour vignettes. An online survey was administered to 47 mothers from each cultural group. Mothers rated their likelihood of using a particular discipline technique to the different conventional and moral transgressions made by the child depicted in the vignettes. Parenting daily hassles experiences were also assessed using the Parenting Daily Hassles Scale (Crnic & Greenberg, 1990). The key finding was that mothers from both cultural groups did not differ in the discipline strategies selected; both groups favoured inductive reasoning over power assertion. Moral transgressions had higher ratings for both types of discipline techniques, which reflect the greater perceived importance of moral over conventional transgressions. Mothers employed more reasoning strategies with boys than girls and slightly more power assertion with girls than boys. Mothers from both cultural groups experienced a similar level of parenting daily hassles. These results highlight commonalities in discipline strategies and childrearing goals including a concern for longer term socialization goals held by mothers from both cultural groups.

Keywords: Discipline strategies, Vietnamese, Australian, parenting daily hassles, power assertion, inductive reasoning, vignettes

INTRODUCTION

Mothers in all cultures discipline or regulate children's behaviour in ways that are congruent with their values, beliefs and child rearing goals. Through disciplinary episodes and experiences, children

gradually learn right from wrong and learn to make distinctions between what are considered appropriate and inappropriate behaviours (Horton, Ray, & Cohen, 2001). As such, discipline offers a means through which young children internalise parental expectations and acquire the values and behaviours esteemed by their culture (Hoffman, 1983). Many of the everyday circumstances that motivate maternal interventions are common across societies such as non-compliance with family behavioural standards, eating, sleeping, and self-care behaviours (Wendland, Maggi, & Wolff, 2010). The present study examines the reported discipline strategies employed by Vietnamese and Australian mothers in regulating their children's every day behaviours depicted in short vignettes.

Considerable research has been devoted to establishing associations between maternal disciplinary practices and their outcomes in terms of achieving child socialisation goals, predominantly in Western cultures (e.g., Critchley & Sanson, 2006; Gershoff, 2002; Rudy & Grusec, 2006; Wendland, Maggi, & Wolff, 2010). Two methods, specifically, power assertion and inductive reasoning have been linked with a broad range of cognitive, social, and emotional consequences for children (Critchley & Sanson, 2006). Inductive reasoning is an authoritative method of discipline whereby caregivers provide children with standards to adhere to and use rationales that emphasise the consequences of the child's behaviour on others (Horton et al., 2001). Through reasoning, parents encourage

favourable child outcomes such as improved self-control, increased moral internalisation and obedience to parent-imposed rules in the absence of a parent (Hoffman, 1983). In contrast, power assertion (e.g., physical punishment, verbal abuse, and withdrawal of privileges) is a more rigid form of discipline where, without explanation, parents achieve the child's compliance through enforcing authority or physical advantage (Wendland et al., 2010). Power assertion has been connected with various negative child consequences such as antisocial behaviour, reduced moral internalisation, and interpersonal relationship difficulties (Gershoff, 2002; Grusec & Goodnow, 1994). In contrast, the use of more effort based cognitive approaches such as reasoning are considered to facilitate children's long-term internalisation of parental values regarding appropriate behaviour (Critchley & Sanson, 2006).

Socialisation Goals and Child Discipline Strategies

Previous research has found that mothers do not adhere to one specific discipline approach when managing children's misbehaviours (Dix, 1991). Rather, they vary their approaches dependent on whether the behaviour breaks moral standards (e.g., stealing, hitting or injuring another person) (Critchley & Sanson, 2006) or breaches socio-conventional ideals (e.g., spilling food, creating a mess) (Smetana, Kochanska, & Chuang, 2000). Kuczynski (1984) argues that discipline incidents occur within the framework of a long-

term, continuing mother-child relationship in which mothers have forthcoming expectations or socialisation goals for their child. Consequently, mothers tend to use power assertion if their goal for the child is immediate compliance (e.g., a child's breach of conventional principles) and reasoning in the event of a moral violation (Chilamkurti & Milner, 1993; Nucci & Turiel, 1978). Moral transgressions are regarded as more important than the breach of a temporary, situation-specific matter as involved in conventional transgressions. Moral breaches are also considered to be more critical in terms of long-term developmental outcomes of the child.

Conflicting findings exist regarding mothers' use of power assertion and reasoning across moral and conventional contexts. Critchley and Sanson (2006) found that power assertion increased when mothers responded to a moral misdemeanor compared to when a conventional rule was transgressed. Conversely, other studies (e.g., Dawber & Kuczynski, 1999; Grusec, Dix, & Mills, 1982) have found that mothers used more reasoning than power assertion with their child when both conventional and moral principles were violated. There is also evidence suggesting that mothers use power assertion and reasoning in combination across both behavioural contexts (Grusec & Kuczynski, 1980). Moreover, Zahn-Waxler, Radke-Yarrow and King (1979) found that mothers who combined forceful demands with consistent rationales for controlling their children's misdeeds were more successful in encouraging generalised

child compliance. Furthermore, research by Cheyne and Walters (1969) found that when used concurrently, power assertion and reasoning promoted the child's overall resistance to temptation compared to when power assertion was used alone.

Parenting Discipline Strategies and Child's Sex

Currently, there has been little research conducted on how discipline strategies are influenced by the child's sex. Some studies (e.g., Kuczynski, 1984; Smetana et al., 2000) have found that mothers use more authoritarian parenting styles with boys than with girls. In line with this, Lytton and Romney (1991) have reported that physical punishment is more frequently used with boys. Furthermore, Smetana (1989) proposed that mothers reason more frequently with girls than with boys.

Vietnamese Childrearing Practices

Thus far, a paucity of research has investigated Vietnamese childrearing with most research conducted on Vietnamese mothers in the context of immigration and acculturation rather than mainland Vietnamese mothers, that is, mothers living in Vietnam. The existing research has yielded conflicting results. Research by Segal (2000) on Vietnamese refugees living in the United States assessed mothers' responses on the Child Abuse Potential Inventory (CAPI) and found that many favoured using physical punishment over other methods of discipline. However, when validated against the Conflict Tactics Scale

(CTS), physical punishment was seldom reported as a chosen method.

Papps, Walker, Trimboli and Trimboli (1995) assessed mothers' responses to a variety of vignettes depicting child behaviour contexts requiring adult intervention. They found that migrant Vietnamese mothers reported using more inductive reasoning with their children (31.7%) compared to Anglo-Australian mothers (11.8%). Additionally, Vietnamese mothers reported using less physical power assertive methods (e.g., smacking, slapping, hitting) (36.7%) than Anglo-Australian mothers (57.7%). Moreover, Tokura (1982) cited in Papps et al. (1995) observed that Vietnamese mothers were relatively permissive in their approach to childrearing. Based on this research, power assertion appears to be a less customary form of discipline used by Vietnamese mothers. An additional consideration is that according to Kolar and Soriano (2000), discipline is customarily assigned to the father in Vietnamese culture.

The Relationship between Discipline Strategies and Parental Daily Hassles

A factor that influences the choice of discipline strategy is the level of parenting stress experienced. Within most families, mothers are consistently challenged by the demands of children and childrearing. Research has shown that an accumulative effect over time may represent a significant source of stress for mothers (Crnic & Greenberg, 1990). This, in turn, may adversely affect the parent-child relationship and lead to forceful, authoritarian

childrearing behaviours (Crouch & Behl, 2001).

The Current Study

The current study investigates the reported discipline strategies utilised by Vietnamese and Australian mothers for everyday conventional and moral transgressions of their child depicted in short vignettes (see Appendix A). The perceived level of daily hassles experienced by mothers was also assessed using the Parenting Daily Hassles Scale (Crnic & Greenberg, 1990) (see Appendix B).

Based on previous research by Grusec and Kuczynski (1980), who found that mothers vary their practices according to the child's transgression type, it was predicted that mothers would report more use of power assertion for conventional transgressions and greater use of reasoning for moral situations. Moreover, as research suggests that physical punishment is used more frequently with boys and mothers provide more explanations and rationales to girls (Lytton & Romney, 1991; Smetana, 1989), it was expected that mothers would report greater use of power assertion with boys and more reasoning strategies with girls.

As previous research (e.g., Crouch & Behl, 2001) has found a relationship between higher parental stress and more rigid, authoritarian parenting practices, it was also predicted that mothers would use more power assertion strategies with increased frequency and intensity of reported parenting daily hassles.

METHOD

Participants

The participants consisted of 47 Vietnamese mothers (age: $M = 31.40$, $SD = 5.03$, range = 26-50 years) and 47 Australian mothers (age: $M = 31.15$, $SD = 5.37$, range = 23-50 years). The Vietnamese mothers were born and lived in Vietnam, and the Australian mothers were similarly born and lived in Australia. There was no significant difference in the age of the mothers from the two cultural groups ($p > .1$)

Participants were initially invited to take part in the online survey if they were a mother of at least one child between 3 and 10 years old. Mothers completed a questionnaire comprising information relating to age, ethnicity, employment status, and level of education. Details relating to children's age and sex were also obtained. Comparisons of socio-demographic characteristics of the Australian and Vietnamese samples are provided as percentages in Table 1.

Materials and Procedure

The online survey consisted of two assessment instruments: (1) vignettes depicting conventional and moral transgressions made by the child (see Appendix A) and (2) the Parenting Daily Hassles Scale (Crnic & Greenberg, 1990) (see Appendix B) to assess the perceived levels of daily parenting stresses associated with raising young children. All materials were originally developed in English then translated and back-translated into Vietnamese. Every item on each questionnaire was carefully examined for accuracy and cultural relevance.

Conventional and Moral Transgression Vignettes

The assessment instrument employed to assess the discipline strategies used by mothers was developed and adapted from vignettes used in previous studies (e.g., Conroy Hess, Azuma, & Kashiwagi, 1980; Critchley & Sanson, 2006; Papps et al., 1995; Wendland et al., 2010). Vignette methodology has been used comprehensively in parenting research and has been comparatively successful in achieving reliable and valid evaluations of how mothers react to their child across several behavioural contexts (e.g., Dawber & Kuczynski, 1999; Hastings & Grusec, 1998). Vignettes were appropriate for this study given the difficulties in observing mothers from both cultural backgrounds in a variety of specific contexts and environments. Mothers were required to report (1 = never, 6 = frequently) on a 6-point Likert scale how often they used four power assertive and three reasoning discipline strategies across eighteen hypothetical contexts. The mothers were presented with eighteen scenarios involving everyday occurrences where behaviour intervention is necessary in the home or social situation. The items comprised two child misbehaviour transgression types (conventional and moral), which were presented to the participants in a random order. The four power assertive choices included the mother's use of control

TABLE 1
Background characteristics of the Vietnamese and Australian mothers. Percentages of the sample are in parentheses.

Cha Characteristics	Australian $n = 47$ (%)	Vietnamese $n = 47$ (%)	Total $N = 94$ (%)
Ethnicity			
Born in Australia	47 (100)	--	47 (50)
Born in Vietnam	--	47 (100)	47 (50)
Number of Children			
One to Three	44 (94)	47 (100)	91 (97)
Four to Six	3 (6)	--	3 (3)
Child's Age Group			
3 to 6 years	16 (34)	40 (85)	56 (88)
7 to 10 years	31 (66)	7 (15)	38 (40)
Sex of Child			
Boy	24 (51)	21 (45)	45 (48)
Girl	23 (49)	26 (55)	29 (62)
Education			
Primary School	--	--	--
High School	8 (17)	2 (4)	10 (11)
Certificate/ Diploma	15 (32)	--	15 (16)
Bachelor Degree	20 (43)	18 (38)	38 (81)
Post Graduate Degree	4 (9)	27 (57)	31 (66)
Employment Status			
Full Time	10 (21)	38 (81)	48 (51)
Part time	9 (19)	6 (13)	15 (16)
Casual	2 (4)	2 (4)	4 (4)
Parent / Caregiver	10 (21)	--	10 (11)
Student	16 (34)	--	16 (17)
Unemployed	--	1 (2)	1 (1)

over her child by *physical punishment, threatening the child, raising her voice, and withdrawing privileges*. The three inductive reasoning choices focused on approaches which involve the mother teaching the child a more appropriate way of behaving, i.e., *explain to the child that there are more acceptable ways of behaving, explain to the child what the effects of their behaviour might be,* and *demonstrate to the child a different way of behaving*.

Parenting Daily Hassles

The Parenting Daily Hassles Scale (PDHS) developed by Crnic and Greenberg (1990) was designed to assess how intensely a

mother is affected by different stresses related to parenting. The PDHS comprises 20 items designed to reflect the frequency of occurrences of challenging child behaviours (items 2, 4, 8, 9, 11, 12, 16) and the intensity of various tasks related to childrearing (items 1, 6, 7, 10, 13, 14, 17, and 20). Item examples included *"continually cleaning up messes of toys or food," "meal-time difficulties with picky eaters," "the kids resist or struggle with you over bed-time,"* etc. Mothers were asked to indicate on a 5-point intensity scale (1 = no hassle to 5 = big hassle) how irritating each item was to them in the last 6 months, and the frequency with which those hassles occurred on a 4-point scale (1 = rarely to 4 = constantly). To obtain total scores, frequency and intensity ratings were obtained by summing the *frequency of hassle* and *intensity of hassle* scores on all items respectively. A reliability analysis found the PDHS to have sufficient internal consistencies, with alpha coefficients of .81 for frequency and .90 for intensity. Further reliability and validity data presented in Crnic and Greenberg (1990) indicate the PDHS as a reliable measure of parenting stress.

In the current study, three items were excluded due to lack of cultural relevance, thus leaving a total of 17 items. These were: *"baby-sitters are hard to find," "the kids' schedules (like pre-school or other activities) interfere with meeting your own household needs,"* and *"difficulties in getting privacy (e.g., in the bathroom)."* After excluding these items, a subsequent reliability analysis further revealed adequate internal consistencies, with alpha coefficients of .85 for frequency and .78 for intensity.

RESULTS

An analysis of variance was conducted for cultural group (Vietnamese, Australian) by child's sex (boy, girl) by transgression type (conventional, moral) by discipline strategy (power assertion, inductive reasoning) with transgression type and discipline strategy as within-participant factors and cultural group and sex as between-participant factors. The descriptive statistics are shown in Table 2. There was a significant main effect of discipline strategy, $F(1, 93) = 657.81$, $p < .001$, $\eta_p^2 = .880$, with mothers reporting preferred usage of inductive reasoning over power assertion. There was a significant main effect of vignette, $F(1, 93) = 268.23$, $p < .001$, $\eta_p^2 = .749$, with higher responses to the moral transgressions than conventional transgressions. Cultural group was notably not significantly different.

There was not a significant main effect of child's sex. However, there was an interaction effect between discipline strategy and child's sex, $F(1, 93) = 8.77$, $p < .01$, $\eta_p^2 = .089$. Post hoc analyses revealed that inductive reasoning was more likely to be used with boys ($M = 6.13$, $SD = 84$) than girls ($M = 5.65$, $SD = 1.02$), $t(93) = 2.47$, $p < .05$, and power assertion was marginally more likely to be used with girls ($M = 2.67$, $SD = 78$) than boys ($M = 2.36$, $SD = .77$), $t(93) = 1.94$, $p = .055$, There were no other significant effects (ps >.1).

The level of reported parenting hassles experienced across cultures was compared. Results indicated that there were no significant difference in frequency or intensity of daily hassles reported by Vietnamese (frequency: $M = 2.15$, $SD = .53$, intensity: $M = 2.03$, $SD = .49$) and Australian mothers (frequency: $M = 2.05$, $SD = .45$, intensity: $M = 2.05$, $SD = .63$).

In addition, the relationship between reported intensity and frequency of daily parenting hassles and the use of power assertion was examined for mothers from both cultural groups using Pearson's product-moment correlations. The results revealed no significant relationship between frequency and intensity scores on the PDHS and the use of power assertion for either cultural group.

DISCUSSION

A key finding of the present study was that there were no significant differences in discipline strategies reported by Vietnamese and Australian mothers to the conventional and moral transgressions depicted in the vignettes. This result highlights the commonalities in childrearing and socialisation goals that mothers share in these two cultural groups. The overall goal of disciplining children is to encourage children to conform to parental expectations and values. This shared discipline goal held by both Vietnamese and Australian mothers may explain the commonalities in responses made by these two cultural groups. Discipline offers a means through which young children can acquire the

TABLE 2
Descriptive statistics for the mean rating scores on power assertion and inductive reasoning among Vietnamese and Australian mothers towards boys and girls for conventional and moral transgressions. Standard deviations are in parentheses.

		Power assertion	Inductive reasoning
A. Conventional transgression			
	Child's sex		
Vietnamese	Boy	2.09 (.62)	5.83 (.95)
	Girl	2.22 (.63)	5.11 (1.09)
	Total	2.16 (.62)	5.43 (1.06)
Australian	Boy	1.87 (.71)	5.86 (.95)
	Girl	2.41 (.69)	5.42 (1.20)
	Total	2.13 (.74)	5.65 (1.09)
B. Moral transgression			
Vietnamese	Boy	2.81 (.89)	6.38 (.78)
	Girl	2.85 (.96)	5.86 (1.07)
	Total	2.83 (.92)	6.10 (1.04)
Australian	Boy	2.69 (1.04)	6.44 (.78)
	Girl	3.24 (1.07)	6.26 (.83)
	Total	2.96 (1.09)	6.36 (.80)

values and behaviours valued by their parents and particular culture (Hoffman, 1983). In a review of cross-cultural research, Heath (1995) similarly observed more commonalities than differences in parenting and parental expectations of children; however she also notes that more fine-grained analyses are likely to reveal differences.

Mothers, in general, reported that they favoured the usage of inductive reasoning over power assertion for regulating their child's behavior. This reflects the perceived importance of longer term socialization and childrearing goals held by the mothers. Other researchers (e.g., Dawber & Kuczynski, 1999; Grusec, Dix, & Mills, 1982) have also found that mothers used more reasoning than power assertion with their child. The use of more effort based cognitive approaches such as reasoning are more likely to facilitate children's long-term internalisation of parental values regarding appropriate behaviour (Critchley & Sanson, 2006). This indicates that mothers from both cultural groups assign importance to long-term aocialisation goals (to support child moral internalisation) by explaining conventions and consequences of behaviours (Kuczynski, 1984).

In the current study, moral transgressions were rated as higher in terms of both inductive reasoning and power assertion in comparison with conventional transgressions. This is consistent with the view that moral transgressions have greater perceived importance in terms of developmental outcomes of the child in comparison to

conventional transgressions, where there are more temporary, situation-specific breaches. This concurs with Critchley and Sanson (2006), who found that power assertion increased when mothers responded to a moral misdemeanor compared to when a conventional rule was transgressed. Other studies (e.g., Dawber & Kuczynski, 1999; Grusec, Dix, & Mills, 1982) have similarly found that mothers used more reasoning than power assertion with their child when both conventional and moral principles were violated.

Interestingly, the child's sex influenced mothers' disciplinary practices. Mothers reported using more inductive reasoning with boys than girls, and slightly more power assertion with girls than boys. This is somewhat incongruent with prior research, which has reported that mothers use more power assertion with boys and more reasoning with girls (e.g., Kuczynski, 1984; Smetana et al., 2000). The use of slightly more frequent power assertion with girls may indicate greater socialisation pressures imposed on girls than boys. Consequently, mothers may be less accepting of girls' deviant behaviour and therefore respond more punitively to their misdeeds. Moreover, mothers may feel that they need to use more reasoning with boys to promote long-term compliance to rules.

Mothers' experiences of daily hassles did not differ significantly between the two cultural groups. Furthermore, mothers' use of power assertion was not significantly correlated with the frequency and intensity of minor stresses experienced. This contrasts

with previous findings by Crouch and Behl (2001), who suggested that higher occurrences of parenting hassles leads to harsh, authoritarian childrearing behaviours. Thus, in the current study, there was no relationship found between the frequency and intensity of hassles and mothers' use of power assertive discipline.

One obvious criticism of the current study is the use of vignettes to examine discipline strategies. While vignette methodology has been used extensively in parenting studies with relative success, the extent to which mothers do what they say is not known. The method relies on reported practices rather than actual behaviours. The contexts outlined in the vignettes are open to interpretation in terms of level of seriousness or triviality. In order to gain a more comprehensive view of discipline and childrearing behaviours in these two cultural groups, in future, it would be beneficial to use additional methodologies, including interviews and actual observations. Research also needs to include fathers and other family members who also play an important role in caring and disciplining the child.

In conclusion, this study has investigated the impact of the type of transgression and child's sex on the discipline strategies adopted by Australian and Vietnamese mothers living in their respective countries. The type of discipline strategies used is related to the nature of the child's transgressions as well as child's sex. This research has important parental educational implications, particularly in relation to physical discipline, which can have long term negative consequences. It is important

that training programs support parents in adopting disciplinary practices that are associated with positive outcomes for both the children and their families.

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APPENDIX

Vignettes

Please read the vignettes below and answer (Never 1----2----3----4----5----6 Frequently) how often you use the following behaviours with your child:

- Physical Punishment (smacking, hitting, slapping)
- Threaten Child (with punishment)
- Raise voice (scolding, shouting, yelling orders, threats)
- Take away some of the child's privileges (deprivation of watching TV, playing games, grounding, withdrawal of pocket money)
- Explain to the child that there are more acceptable ways of behaving
- Explain to the child what the possible effects of their behaviour
- Demonstrate to your child a different way of behaving

You are at home with your child who is thirsty. He / she would like to get himself / herself a drink. In the process of getting it, he / she knocks it over and makes a big mess (C)

Your child has been playing outside and just run through some mud. He/she forgets to wipe his / her feet before coming into the house. He / she gets mud all over the clean floor (C)

You are at home with your child when his / her friend comes over to play. Your child is not looking where he / she is going. Accidentally, your child knocks the other child over making him / her cry (C)

Your child is bouncing his / her ball in the house. The ball bounces off the wall and knocks over your favourite ornament. It breaks into pieces (C)

Your child is running through the house and is not looking where he / she is going. He / she accidentally knocks into you while you are holding a hot drink. You burn your hand (C)

Your child is running to the kitchen carrying an empty plate back to the sink. He / she trips and drops the plate. It smashes all over the floor (C)

You are at home with your child and have made him / her lunch. When you serve the meal, your child refuses to eat it (C)

You are at home with your child and it's very quiet. You go and check on him / her and discover that he / she is scribbling on the table (M)

Your child has just come home from visiting his / her friend. He is hiding something behind his / her back. You discover that your child has deliberately brought home a toy that does not belong to him / her (M)

Your child is playing outside with friends, and you see him / her throw a ball through the neighbour's window and it breaks. When you go outside, your child tells you that it was not him / her who did it (M)

Your child is playing with his / her friend. His / her friend shows your child a new toy that he / she just received. Your child wants the new toy and tries to grab it from his / her friend. However, his / her friend refuses to let him / her have it. Your child becomes angry, hence hits his/her friend and snatches the toy away (M)

Your child asks you for money for sweets. You say "No". The child later takes money from your purse to buy sweets (M)

You are at home with your child when it is almost time for dinner. He / she asks to go outside to play with his / her friends, but you say "No". Your child goes out to plays with his / her friend anyway (M)

Your child is playing outside with friends. An old man walks past and your child starts to imitate him in front of the other children. They all start to laugh. The old man's feelings are hurt (M)

APPENDIX

Parenting Daily Hassles Scale (PDHS) (Crnic & Greenberg, 1990).

The statements below describe numerous events that routinely occur in families with young children. These events sometimes make life difficult. Please read each item and indicate how often it happens to you (rarely, sometimes, a lot, or constantly). Next, indicate how much of a hassle (low to high) you feel that it has been for you FOR THE PAST 6 MONTHS.

EVENT

1. Continually cleaning up messes of toys or food.

2. Being nagged, whined at, complained to.

3. Meal-time difficulties with picky eaters, complaining etc.

4. The kids do not listen or do what they are asked without being nagged.

5. Sibling arguments or fights requiring a 'referee'.

6. The kids demand that you entertain or play with them

7. The kids resist or struggle with you over bed-time.

8. The kids are constantly underfoot, interfering with other chores.

9. The need to keep a constant eye on where the kids are and what they are doing.

10. The kids interrupt adult conversations or interactions.

11. Having to change your plans because of unprecedented child needs.

12. The kids get dirty several times a day requiring changes of clothing.

13. The kids are hard to manage in public (grocery store, shopping centre, and restaurant).

14. Difficulties in getting kids ready for outings and leaving on time.

15. Difficulties in leaving kids for a night out or at school or day care.

16. The kids have difficulties with friends (e.g. fighting, trouble, getting along, or no friends available).

17. Having to run extra errands to meet the kids' needs.

Autonomous Language Learning Behaviour: The Role of Instructional Mediation in Vocabulary Development

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ABSTRACT

Autonomous learning behaviour is the avenue to improvement in language ability. In the scope of vocabulary, autonomous learning enables efficient learning, which in turn improves students' ability in the four language skills, namely, listening, speaking, reading and writing. This study was undertaken with the aim of probing how teaching practices affect autonomous learning behaviour in vocabulary development. A case study on 34 students engaged in an English proficiency class at an institution of higher learning was carried out. Data were collected through four rounds of weekly interviews as well as daily journal entries for one month by the students and their lecturer. It was found that the instructor is a crucial mediating variable in encouraging autonomous learning behaviour. Some of the practices which impact students positively are providing the right pedagogical context, teaching according to students' needs and interest and providing adequate assistance in materials used in class. When teacher is able to set the right learning climate, positive states and mental readiness in learning are witnessed, which are requisites to autonomous learning behaviour. However, it is also important for the instructor not to overburden students with too many words in one lesson. For the students, it is necessary to reduce dependence on the instructor and take greater charge in the learning process to become autonomous language learners.

Keywords: Autonomy, Instructor, autonomous learning behaviour, lexical items, vocabulary

INTRODUCTION

Learner autonomy is seen as the hallmark to effective language learning and improved language ability, as confirmed by various empirical studies (Guo & Zhang, n.d.; Sidhu, Sarjit & Chan, 2011). Students who demonstrate autonomous behaviour share

common characteristics and responsibilities as outlined by Kelly (2003):

- Students work alone or with others using a wide variety of learning materials and resources; the learning skills involved in planning what, when and how to learn.

- Students decide what they want to learn and how they will learn it.

- The responsibilities lie with the individual learner in managing his or her own development. It is important to choose and use materials and support resources appropriately and effectively.

- It involves coaching, guiding and assisting individuals in using learning resources and materials to their best effect.

In response to the fourth responsibility listed above, establishing autonomous behaviour among students, albeit being an independent trait, is a reciprocal process between the teacher and the learner as autonomous learning does not equate teacherless learning (Guo & Zhang, n.d.; Thanasoulas, 2002). The complementary teacher-learner role does not render the teacher redundant nor does the teacher lose control over what transpires in the learning process (Thanasoulas, 2002). In language learning in general and vocabulary learning in particular, autonomous learning behaviour can develop in a teacher-led class (Nation, 2001) because the aim of others directing us is often to allow us to direct ourselves (Roberts, 2006).

Nation (2001) further stresses that autonomy is experienced as long as the learner wields empowerment and explores what should be given the greatest amount of attention and effort, what should be looked at again and reviewed outside class, how the material presented should be mentally processed and how interaction with the teacher and others in the class should be carried out. In the learner's bid to make these important learning decisions, the complementary and supportive role of the teacher is crucial and invariable.

In this regard, autonomy could be seen in the metaphoric sense where the teacher provides the "oar" for the learner to "steer his or her boat" in the right direction.

THE STUDY

In developing empowerment and autonomy in vocabulary learning among students, the teacher is frequently faced with insurmountable challenges and blocks in his / her quest to reach that end owing to several factors. First, vocabulary is often an unfavoured teaching and learning activity as more often than not, students are expected to pick-up vocabulary on their own, with little or no guidance (Crookall & Oxford, 1990, cited in Tong, 2000). Thus, students are left with "serious deficit for any kind of real use of the language they are learning" (Twaddell, 1972, cited in Zakaria, 2005, p. 4). This predicament is also the result of students' initial perception of English being a difficult language, limited exposure to the language and teachers' failure to use interesting teaching and learning processes in class (Low, 2004, cited in Zakaria, 2005). Secondly, students prefer the teacher to take

the central role and decide what should be learnt or otherwise (Naginder & Abdullah, 2007). In relation to vocabulary learning, the pertinent question is: "What vocabulary do the students need to know?" (Nation, 1990). In addressing this, "teachers need to prioritise words that students need to know and how this can be learned meaningfully" (Hassan, 2001, p. 118-119). Knezovich, Tierney, & Wright's (1999) study on 5th and 6th graders found the majority of teachers to prefer teacher selected vocabulary over student selected vocabulary. The question that needs answers is, do they know how to? Teaching vocabulary from isolated lists of words (explicit learning) can be counterproductive because students fail to draw connections between these words to their personal word use and their own reading (Ianacone, 1993, cited in Knezovich, *et al.*, 1999) and it is probable that students will rapidly forget words on these lists, as Anderson and Nagy (1993) explain:

> *Vocabulary instruction that promotes word consciousness, a sense of curiosity about word meaning, appreciation of nuances, independence in word analysis, and wide regular reading appears to be superior to conventional instruction.* (p. 1)

Thus, it is important that teachers play a role in facilitating vocabulary acquisition and enhancing autonomous learning behaviour among students. We can see these connections in several studies which show that the teacher is an important stimulus as well as a provider of reinforcement who determines whether there is positive response (Ismail, 2004; Naginder, 2005) or negative response from the students (Hussin, Maarof & D'Cruz, 2000; Naginder & Osman, 2004).

OBJECTIVES OF THE STUDY

Consequentially, this study was undertaken to probe observable practices among teachers which support and encourage autonomous learning behaviour among students. The objectives of the study were as follows:

1. to enquire the positive classroom practices of teachers which help to encourage autonomous learning behavior. These practices include aspects of what they do, how they do, when they do and why they do (demonstrate) these positive or negative practices (traits).

2. to probe students' response and perceptions of their teacher's observable practices in class.

RESEARCH QUESTIONS

With the above research objectives in perspective, the following research questions were derived:

1. How can instructors encourage autonomous learning behaviour among the students in the learning of vocabulary items?

2. How do the students perceive the instructor's efforts in encouraging autonomous learning behaviour among the students?

Theoretical Perspective of Instructional Mediation in Vocabulary Learning

The role of the teacher in encouraging autonomous behaviour can be described by the Socio Cognitive Theory which focuses on two distinctive types of learning - enactive learning and vicarious learning. Enactive learning relates to the learning experience derived by doing and experiencing the consequences of one's own actions. The consequences are interpreted to provide information about expectations and influence one's motivation and beliefs. Enactive learning is inherent in approaches of self-directed and learner-centred learning like experiential learning and problem-based learning. On the other hand, vicarious learning is learning through observation. By observing others, students focus their attention, construct images, remember, analyse and make decisions that affect learning. Thus, observation and consequences are two important notions and pillars of this theory.

Bandura (1986) explains that observational learning in the Social Cognitive Theory is based on four important elements. These are paying attention, retaining information or impressions, producing behaviour and being motivated. Firstly, students need to pay attention in the learning process during teacher modeling (see Lee & Muncie, 2006). That means in vocabulary learning, they need to acquire the need to want to learn, that is, possess the attitude towards learning. Next, retention occurs by creating mental images of the modeled practice to remember the elements of steps involved. The third element, production ensures learning through repeated actions and practice as well as through feedback. Finally, the last element is motivation and reinforcement. The reinforcement to stimulate learning may be from the teacher, either directly or indirectly (vicarious reinforcement) or may be self-reinforcement of being able to value and enjoy one's personal growing competence. All these forms of reinforcements lead to positive learning behaviour and function exclusively as well as integratively, through both elements of learning consequences and observational learning, in turn enhance and establish learner autonomy in vocabulary learning. Autonomous learning is "able to arouse students' interest and learning initiative, improves students' learning effectiveness and develops students' autonomous learning capacity compared with the traditional teaching model" (Guo & Zhang, n.d., p. 6). In a teacher-fronted class, students can become autonomous by seeking help in setting realistic goals to accomplish within a specified time. Setting clear, challenging and realistic goals can help students see their own vocabulary learning progress. With awareness, attitude towards learning improves. Based on the approaches of enactive learning and vicarious learning as postulated by the Socio Cognitive Theory, the model below is derived to show how instructional mediation of these two approaches to learning can support and encourage autonomous learning behavior.

SCOPE AND METHODOLOGY

The qualitative study was carried out on a group of 34 English language students and their lecturer, engaged in the teaching and learning of vocabulary items at an institution of higher learning in Malaysia. The students were enrolled in a weekly six-contact-hour course with weightage of three credit hours. It is primarily a skills-based language proficiency course which stipulates that students be given the opportunity to practise and integrate language skills in meaningful tasks relevant to academic contexts. In addition, the course intends to prepare students with skills and strategies for the Malaysian University English Test (MUET). In narrowing down on autonomous learning behaviour, the lecturer needed to alleviate the students' lagging lexical ability (see Mathai, Jamian & Nair, 2004; Syed Aziz Baftim, 2005; Tengku Sharif, Mohamad Noor & Yunus, 2008; Othman, 2009) as it was deemed important to raise students' lexical competence to enable them to relate to the four language skills tested in the MUET.

The lecturer selected for this study was a female. With vast teaching experience of over 20 years, she was the preferred choice as she had a wide repertoire of teaching skills with high professionalism. It was deemed important to explore learner autonomy in a competent teacher-led class, so the teacher factor would not be cited as the cause, in case of disinterestedness or boredom among students.

The data were collected through non-contrived and unobtrusive means. The lecturer's practices which supported autonomous learning behaviour were recorded for a period of four weeks through weekly reflective interviews with randomly selected students, weekly reflective interviews with the lecturer as well as daily journal jottings of the students and the lecturer. The lecturer provided data on participants' behaviour and of her reflections before, during and after the lessons. Her insights were of high value as she was able to provide feedback in order to understand the situations at hand. The researcher also perused the lecturer's teaching portfolio to
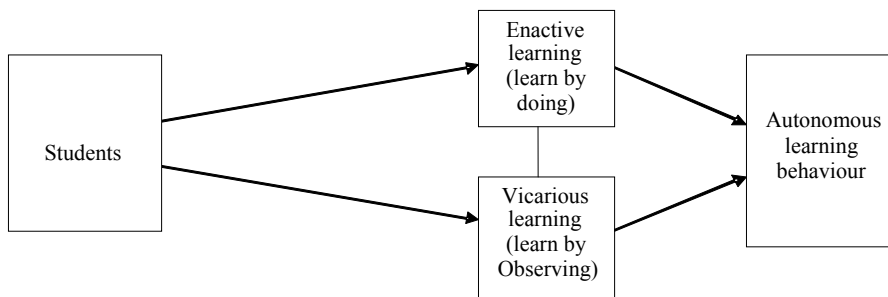
Fig.1: Instructional Mediation for Autonomous Learning Behaviour in the Socio Cognitive Theory

explore the philosophy underpinning her teaching.

The lecturer taught vocabulary through both explicit and implicit methods. According to her, lessons were planned to allow room for expressing views and sharing opinions. Topics ranged from teenage curfew, the Internet, motivational stories and social issues. Since the course syllabus and course outline do not specifically stipulate the learning of vocabulary, it is assumed that instructors use own initiative and creativity in devising language activities that develop and reinforce the learning and retention of vocabulary items. As stated earlier, vocabulary is often regarded as peripheral in the development of language skills and is incidentally covered here and there, in the order in which it appears in the materials used. Hence, pedagogical decisions taken in encouraging autonomous behaviour in the learning of vocabulary are crucial.

RESULTS AND DISCUSSION

The findings to Research Question 1 and Research Question 2 are presented and discussed simultaneously. The lecturer's practices that encouraged autonomous behavior (or otherwise) and the students' reactions are discussed in tandem. Seven traits exhibited by the lecturer were reported by the students, and these were confirmed by triangulating students' data with the teachers' lesson plans, reflective interviews and teaching portfolio. Hence, the practices and students' reactions to these practices are presented and discussed in totality, as they are not seen in mutual exclusivity.

Providing the Right Pedagogical Context

The students in this study cited their favourite language learning experience to be the time when the lecturer played an effective role in their learning process. The students found vocabulary items easy and enjoyable to learn in the semester owing to the instrumental role played by the lecturer who provided varied examples and illustrations. Establishing the right pedagogical context enhanced the students' affective states (which are requisite to autonomous behaviour) as related in their interviews and journals. When affective states were positive, students were encouraged to accept and embrace learning in a meaningful way through testimonies below:

> *Sometimes she need to different lesson … not the stereotype like before this lecturer … quite boring class but this sem, something is different - the way she taught us.* (Student A)

> *Sometimes, poor concentration can be avoid if the lecture is not boring when she want to teach. The way lecturer give a lesson can overcomes of lack of concentration. But my lecturer just know is very good to overcomes her students poor concentration. She is the best English lecturer.* (Student A)

> *Lecturer or teacher plays the roles to the student on how, what, when, where, how to improve, gain, add*

the vocabulary item, these also depend to the lecturer on how they teach the student in the classroom. (Student B)

My lecturer helps me a lot … She trying to make us know what she is deliver for us. She explain one by one clearly. (Student C)

In accordance with the Socio Cognitive Theory, from the findings, we can see that the key to vocabulary acquisition is a mediation of meaning and the teacher assumes an important role in mediating such acquisition by making lessons non-arduous and by alleviating students' boredom in learning. As postulated by Giridharan and Conlan (2003), teachers need to use methodologies and techniques that help to focus the attention of students to improve their vocabulary autonomously, and the lecturer in this study was able to do just that.

Demonstrating Positive Personality Traits

The lecturer's positive personality traits also impacted students' positive learning behaviour. For example, Student D said she could "understand the lesson even though that have a little bit words that I don't understand the meaning" due to "[my] nice lecturer." Another affirmative comment by Student D showing the lecturer's patience was that she "will correct the answer from the words that we make." Thus, students demonstrated positive behaviour. This was also confirmed by Student A because:

"When I am in the class, I become more elated and curious about the lesson. The lecturer does not give the lesson only, but she give the motivation including about studies but also about life."

Artistry in teacher's enterprise is demonstrated through interrelated learner-centred approaches such as developing positive relationships and respect for students, good instructional organisation, classroom management and user-friendly instructions. The teacher's artistry (in the form of stimulus and / reinforcement) is true measure of effectiveness in achieving the desired instructional outcomes of creating autonomous learning behaviour.

Providing Instructional Activities to Suit Student Preferences

The students in this study generally said that their most preferred mode of learning was via listening (particularly songs) and speaking activities. They experienced positive affective states when lessons incorporating vocabulary suited them, namely, activities involving interaction in socially significant tasks of collaborative work and oral communication (such as role play, drama, group presentations) as these activities gave them the much needed opportunities to activate language use and reinforce vocabulary items. Thus, they demonstrated autonomy by being more engaged as the language skills suited their preference. With positive affective states, students also demonstrated mental readiness

for instructional input, consequently, setting the right platform for word acquisition. In addition, active learning platforms also gave the students the opportunity to elaborate on existing knowledge through interactions and discussions.

According to the class lecturer, speaking activities conducted during the semester included role plays, group discussions and individual presentations, all of which were well appreciated by the class. An example of this appreciation is evident through the comment by Student G: "Role play can release my tension … the best moment is where I can speak up spontaneous and play my role well." When lessons related to the students' needs and interests, lexical items were perceived to be easier and manageable (enhanced cognitive state) as well as fun and enjoyable (improved affective state). Findings obtained by Laufer and Hulstijn (2001), who proposed the construct task-induced involvement showed that a learner's need (how strongly the learner wants to achieve a certain task) determines the extent of words he or she would learn in the task. Task-induced involvement thus, corroborates with students' motivation, which in turn determines their attitudes towards the tasks at hand.

In further developing learner autonomy through active learning, several suggestions and comments made by the students were pertinent. For example, a few students postulated the use of interactive games to make vocabulary learning fun, such as scrabble, quizzes and crossword puzzles, as well as fun tests because language

games bring a lot of life and interest into the classroom (Vasudhara & Katyayani, 2008, cited in Babu, 2010). There were also suggestions for English Week or vocabulary campaign, group discussions, drama, role play, public speaking and debates. Meanwhile, Student E suggested story telling by the lecturer since it is "entertaining and effective because when we learn new words, automatically we will remember the related stories." This directly corresponds to cognitive psychology that holds learning as a process where new cognitive structures are formed, combined, altered or extended.

In contrast, when lessons did not suit their preference, attitude towards vocabulary learning was affected. The students revealed that the lecturers in the previous semesters had not engaged them in adequate and meaningful speaking activities as well as collaborative tasks to enhance their vocabulary. In fact, they claimed that they had never been exposed to role plays before - a finding congruent with other studies (locally and abroad) showing lack of collaborative and speaking-related tasks for learning in social setting (see Naginder, 2004; Osman, 2005; Zarafshan, 2002, cited in Hamzah, Kafipour, & Abdullah, 2009). Therefore, students had found English classes of the previous semesters to be boring and of "the same thing" all the time.

Providing Handouts with Textual Glosses

Although it was sometimes a little difficult to learn lexical items, the students said that handouts with glosses (written meanings

of difficult vocabulary items) made learning easier. The researcher's perusal of the handouts used showed that every handout had an appended vocabulary list / glossary. Dictionary meanings in English (taken from the "Compact Oxford English Dictionary" and "Longman Dictionary of Contemporary English") were provided. Parts of speech as well as contextual use (with several examples) were also given in the handouts. Providing the meanings of difficult vocabulary items made the encoding process easier with the lecturer's effort of providing input in the handouts. Student E explained that, "She likes to discuss about words that are quite difficult, and then she likes to give the meaning, also she gives handouts about the meanings. Every handout will include the meaning." The students said that "this will become easy for students to help them to refer the word if [we] do not understand" (Student A) and "this will encourage students to read and learn new words" (Student E) because the use of glosses makes students more autonomous in a reading activity (Nation, 2001).

Even though some of the listening texts were found to be challenging, the students unanimously agreed that glosses of difficult lexis found in the listening tape scripts made listening exercises more manageable. Similarly, in dealing with literary texts such as poems, Student F relayed in her journal: "Today, I more understand about that poem and I think I will easy to understand future poem if I get the new poem."

The lecturer also went a step further and drew associations with the Depth of Information Processing (DOP) model (Craik and Lockhart, 1972, cited in Folse, 2006) which states that the greater the semantic involvement or word analysis, the more persistent and lasting the students' memory trace would be. The lecturer led discussions and provided the platform for students to explore the DOP model - examples were provided in the handouts as well as on the whiteboard, meanings were outlined in detail on the overhead projector, many of the vocabulary items were discussed with further examples (to supplement the illustration in the handout) and graphic representations of the vocabulary items were also made. For example, when explaining "vice cycles", the lecturer drew a wheel on the white board, while the proverb "to turn over a new leaf" was also accompanied with vivid graphic representation.

The lecturer's initiative of providing the meaning of a few difficult or relevant vocabulary items on each handout(s) also dispelled frustration of having to deal with too many unknown lexical items and resulted in positive affective states. "I will become more interested because the learning material is provide the difficult words together with the meaning" (Student A). In fact, all the students in the class appreciated the lecturer's initiative of going through every sentence in the article of a particular handout, and described her to be "very understand what the student needs." This effort was lauded either during the interviews or in the students' journal entries.

Synonyms, Proverbs and Interesting Subject Matter

A useful lexical teaching strategy which helped autonomous learning by evoking positive affective states was the teaching of synonyms to reinforce vocabulary use, particularly in writing. The students said that previously, they frequently used the same or familiar and common words all the time, but the learning of useful synonyms like "improve" and "enhance", as well as a variety of discourse markers stimulated their interest in lexis, to be able to convey meaning in the most effective way possible.

The students also expressed appreciation for being able to learn various types of vocabulary which conveyed implicit meanings. One of these forms was the learning of proverbs because "proverbs show the beauty in a language" (Student G). In fact, some reminisced that they were learning these proverbs for the first time (such as "to turn over a new leaf") after having spent two full semesters at the institution. Besides proverbs, students also learnt limericks, such as, "we are paid best for the things we do for nothing." In addition, several idiomatic expressions were effectively learnt such as, "never let a fool kiss you, and never let a kiss fool you", "treat everyone with politeness, even those who are rude to you, not because they are kind, but because you are", "Take a lesson from the mosquito. She never waits for an opening - she makes one" and "only your real friends tell you when your face is dirty."

Interesting subject matter pertinent to students' lives like teenage issues made the learning of some lexical items non-arduous, such as the word, "rebel" and "rebellious"; The students, being in their teenage years found these lexical items to bear relevance to their lives and experiences. When the subject matter was of interest to them, learning was facilitated due to increased motivation, for example, Student E related in her journal, "Although it is a common article, I found it interesting because after reading it, I have an intention to keep a vocabulary journal." This is evidence of how autonomous learning behavior takes off as a result of interesting subject matter.

Another source of affinity for learning lexical items was the teaching and learning material sourced from the Internet and about the Internet. As the present day students belong to the Net Generation (Pletka, 2007), they showed much enthusiasm when the teaching points used the multimedia or dwelled on the Net and its attributes. The lecturer said that the Internet sources for learning "got them thinking harder", for example, when doing the reading comprehension on "Bane or Wonder - Internet is Here to Stay." The novelty of the words did have an impact in sustaining their interest in lexical learning, hence provided points of take off for autonomous learning.

Importance of Optimum Input for Positive Affective States

The amount of input was found to be an important indicator of students' affective states. Despite the many positive attributes of the lecturer in facilitating vocabulary acquisition and autonomous behaviour, it

was found that the lecturer was not always consistent in the number of new words introduced in class. Most students contended that too many unfamiliar words in a day caused confusion and even frustration, in some cases. For example, Student H pointed out, *"Macam slow-slow tu, bolehlah, kalau bagi sikit-sikit ok lah. Tak boleh bagi banyak-banyak lah - tak boleh ikut lah ..."* (Translation: if we are taught slowly and a few words are presented at a time, it is ok … we cannot be introduced to too many words - we are unable to cope). For example, when the lecturer introduced more words than he could manage in a particular lesson, Student I commented, "I feel that those words are too difficult and not familiar." On another day, he pointed out, "I couldn't learn it because my lecturer give me too many words to be remembered. I never heard these words before and this make me difficult to memorise." In week four, he confessed to have been able to learn the vocabulary items because "this day, lecturer do not focus too much words."

An individual is able to process or hold only five to nine chunks of information at a time , that is, seven plus or minus two (Miller, 1956). Lehr, Osborn, Hiebert (n.d.) contend that it is possible to teach about eight to ten words effectively each week. In this study, opinions on the number of vocabulary items or input that should be taught and learnt in a day varied among the students. Although they insisted on not too many words in a day, there was no clear determinant or consensus of their individual preference for the number of words to be

learnt in a day or week. For some, "… not many new words in a day, only one or two" (Student J) while for others, "not more than five … because … the lecturer should understand that we cannot accept too much new words per day" (Student I). On the whole, the students proposed to limit lexical input to a maximum of five words per lesson. For weekly input, it was noted that five words a week would be the optimum number to learn for some while others said they might be able to handle up to ten words a week. Students' assertion of limiting instructional input is important pedagogical consideration as overload imposes a mental block for students when they are unable to process too much information at one time, particularly when their mental storage capacity is filled up. Likewise, when there is too little input, there will be wastage in the mental space within the learner as learning is not optimised.

Corresponding to the Comprehensible Input Hypothesis, students learn best when the information presented is just a little more complex than his or her current level and arouses curiosity in learning. The Comprehensible Input Hypothesis is one of the five L2 (second language) learning hypotheses proposed by Krashen (1985). According to this hypothesis, language comprehension and acquisition occur when there is presence of optimum levels of comprehensible input. The optimum level relates to input which is just a little beyond the learner's current level of understanding and comprehension of the target language (Krashen, 1985). This means that the learner

will not acquire any type or amounts of input presented but will comprehend only what is a little beyond the learner's level of cognition (i + 1). In relation to this study, learning occurred when the students felt curious about the vocabulary items and felt stimulated or positively challenged to cope with material that were a little beyond their current level of comprehension. When there was optimal challenge, students were able to handle tasks and found the learning process intriguing.

Over-dependence on Lecturer

In mediating the learning of vocabulary items, and striving to encourage autonomous learning behaviour among students, it was found that the students frequently preferred the lecturer to make major decisions pertaining to teaching and learning. Although they expressed preference for more speaking and group activities, nevertheless decisions on the scope of input or topic and instructional approaches were often left on the lecturer's shoulders. The students themselves shunned heavier responsibility in the learning process, confirming many previous research findings in the Malaysian context (Thang, 2001, 2003, 2005, cited in Thang & Alias, 2007; Thang & Alias, 2007; Thang, 2009). These studies show Malaysian tertiary students' lack of autonomous learning initiatives at various (public and private) institutions and indicate that majority of students are teacher-centred, if not fully teacher-dependent, that is, they favour the traditional role of the teacher as a knowledge transmitter, guide and motivator.

The lecturer was of the opinion that majority of her students were not fully independent students of vocabulary. English was taught as a second language but most of the time, it was only used in the classroom and six hours of weekly instructions were inadequate to fully inculcate values of autonomous behaviour.

CONCLUSION

The study found that in encouraging autonomous learning behaviour, the instructor's role is not only pivotal but indispensable. As a major social source of learning, the lecturer in this study was able to provide the scaffold to support the learning of lexical items through practices of providing clues, reminders, encouragement, breaking the problem down into steps, giving examples and other measures which would foster autonomous learning behaviour. The instructor's pedagogical decisions and degree of commitment were found to be paramount and determined the extent of preference for vocabulary learning and successful word acquisition. Hence, a non-judgmental and warm social setting must be established to intensify learning and facilitate autonomous learning behaviour.

The affective stance was relatively high among the students owing to the setting of a supportive learning environment and right pedagogical approaches which took into account students' interest and their preferred methods of reinforcing lexical knowledge. Lecturers who employ appealing teaching methods are viewed as friendly and amicable, and as a result,

students feel more at ease. The lecturer's strategy of providing the meaning of difficult lexis also helped reduce anxiety levels and was much appreciated hence, bringing about more positive attitudes towards lexical learning.

On the other hand, the study also showed that fallacy of teaching methods which failed to evoke students' interest leads to the lack of motivation and low affective states in self-improvement. This was noted through students' learning experiences in the previous semesters.

The findings indicate that it is necessary for the lecturer to ensure that excessive information or scarcity of it, does not occur, or it would result in either blocked mental capacity or slow mental processes, without any meaningful lexical acquisition. The amount of input in a lesson is a key consideration which ensures optimal learning.

The findings proved that a blend of positive traits and pedagogical practices do encourage autonomous behaviors and good teachers beget good students. However, it must be iterated that if students wish to make huge strides and leaps in learning, they need to make extra effort and work much harder. Over-dependence on the instructor must be controlled and students need to become equal partners in the teaching and learning process by participating in decisions related to profitable learning.

In future, this study could be replicated in other settings of lexical learning, with greater sample data in order to derive a benchmark of teaching practices in the learning of lexical items. Sample could be drawn from various cultural and socio-economic backgrounds of both teachers and students, so as to provide a representative sample of the Malaysian student population, in general. This would consequently serve in exploring and demonstrating how teachers of different backgrounds and values implicate autonomous behaviour among students.

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SOCIAL SCIENCES & HUMANITIES

PhD. Supervision as an Emotional Process – Critical Situations and Emotional Boundary Work

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ABSTRACT

This empirical study focuses on emotional processes in the supervision of doctoral students. It takes place in the context of an increasing focus on institutional regulation, time to completion, funding and skills development. It investigates emotional boundary work involved in the doctoral student's experiences, identity formation, and the relationship of this to the supervision process. Through in-depth interviews we aim to capture emotional elements in this identity development process. The research questions asked are: How do doctoral students deal with the fragile borderline between private life and work?; Are conflicts necessarily bad for the process?; and How do doctoral students deal with the emotional aspects of having to change supervisors? The interviews are ongoing, and to date the material consists of 10 interviews with the doctoral students, and these form the basis for this research article. The interviews are performed at different faculties and in different disciplines in a single Swedish university. The results indicate that an important part of the supervision process is connected to the emotional management of the relationship with the supervisor. Students learn how to handle changes in their supervisor's temperaments and moods, and how to develop skills in emotional management.

INTRODUCTION

Since early research into and publications about doctoral education in the 1990s, (Delamont *et al*., 1997) the administrative context, regulations, demands and academic

setting for the production of a PhD have changed dramatically. The changes vary between different academic disciplines, and between different countries, but overall, there is an increased focus on a more managerial, administrative and controlling system in line with the concern for a more widely agreed standard time to completion (Liedman, 2011). Today, more attention is also paid to the sometimes problematic nature of the doctoral learning process. In this context, there could be tensions between the formalisation of the academic system and the writing of a dissertation as a life project, where the latter has a clear and emotional side. Although the reforms emphasise effectiveness (funding for a limited time), control and regulations for doctoral students (individual study plan following an accepted proposal), the actual reasons for writing a dissertation could be quite different from or in addition to professional achievement. These other reasons are likely to be personal, and some of these could lead to stress if the research and dissertation produce difficulties, some of which could be to do with time to completion . Other stresses students experience could be concerned with insecurity of finance, or with lack of structure and direction in the supervision (Wisker, 2012). Formalisation of the academic system regulating doctoral studies might also be seen as an attempt to handle some of the emotional and personal elements of the identity processes of becoming a researcher and of supervision. With finance guaranteed throughout a process which is itself regulated and formalised by the individual study plan

and certain rights aligned to it, the doctoral student should have a more secure position than previously. This is particularly likely in the sciences, where doctoral students are more frequently taken into funded projects and are salaried . While financial security is achieved for some, it also seems that there can be increased expectations for what it means to be a doctoral student;, so, as more is expected of students, more tensions and stresses can appear.

While many of the difficulties students experience could be managed through more efficient institutional processes,, some of the difficulties seem to be related to the 'human factor', that is, to relational issues and communication. The doctoral process is a very personal, demanding and sometimes highly passionate process, involving the individual's biographical construction of identity and career. It is also often described as an anxious experience, where people oscillate between fear and excitement (Owler, 2010), and one where doctoral students experience anxiety and stress (Morris, & Wisker, 2011; Wisker, & Robinson, 2012b). There is, today, an increasing amount of research on the unique and complex process of writing a doctoral thesis (Dysthe, 2002; Murray, 2002; Hair, 2006;). There is also an expanding field of handbooks on how to write and/or supervise a doctoral thesis (Wisker, 2005, 2012a; Lee, 2011). Although this paper deals with emotional issues, communication problems, and the sometimes fragile and vulnerable interaction between supervisor and doctoral candidate, there is still a lack of research on

the emotional work involved in academic work (see, for example, Ogbonna, & Harris, 2004; Grant, 2010; Nutob, & Hazzan, 2011, Wisker, & Robinson, 2012b), especially work which connects research on the supervision process and the sociology of emotion.

The research reported here comprises qualitative research and case studies on supervision, with a specific focus on the doctoral student's situation, emotional reactions, and ways of handling criticism, conflict and emotional rupture in the supervision process. There is already extensive literature on different aspects of this process, and also on the construction of an identity as a doctoral student, but we are hoping to make it possible to understand the doctoral journey, and the relational and emotional aspects of supervision, as a part of the creative learning process (see also Li, & Seale, 2007, 2008; Halse, & Malfroy, 2010; Halse, 2011).

In this study we focus on the doctoral student's experience of critical situations, and of different aspects of the supervision process, rather than on the views of the supervisors, which could form the focus of further reporting . The study is primarily exploratory, and the ambition is to capture some central emotional processes involved in supervision work. This is an interactional and social- psychological study of human experiences, emotions and aspirations.

Through in-depth interviews we aim to capture the students' experiences and, in particular, the emotional content that emerges in the identity formation process,

which we argue is part of being supervised and undertaking doctoral research. We have chosen a number of critical situations where PhD students need to handle different types of conflict, involving emotional boundary work. Because there are many similar experiences reported in the data,we have chosen to focus on three typical situations, using a number of case studies from the investigation.

The research questions asked are:

- How do doctoral students deal with the fragile borderline between private life and work?

- Is conflict necessarily bad for the process?

- How do doctoral students deal with the emotional aspects of having to change supervisors?

METHODS AND METHODOLOGY

This study is a part of a larger research project, and is acarried out in cooperation between a team of researchers at the University of Gothenburg and a researcher at the University of Brighton. The empirical material in the larger project consists of 40 interviews with both students and supervisors. The interviews are ongoing, and the data collection will be finished during 2013. At present the material consists of 10 interviews with Swedish doctoral students, which form the basis for this research article. The research comprises an opportunistic sample composition of doctoral students from different faculties, disciplines, age groups and gender. This provides a

rich, broad mixture of doctoral student experiences and responses, although neither the sample nor the analysis, is stratified. The goal has been to achieve a varied and multifaceted sample, making it possible to discern many different experiences, attitudes and conceptions of what it means to be a doctoral student and how students experience and manage the emotional issues that arise from that process.

The interviews were conducted in different locations in a single university, mostly at the doctoral student's department. The length of the interviews varied, but usually the interview lasted for one hour. The focus of the interview was on different issues connected to being a doctoral student, including, for example, institutional arrangements, supervision, regulations, career expectations and other aspects influencing the process of doctoral work. In this article we focus in the main on the emotional aspects of this process.

A narrative approach and methodology is used in the analysis (Bourdieu & Wacquant, 1992; Gee, 2003; Clandinin, 2007; Wodak & Krzyzanowski, 2008; Kvale & Brinkman, 2009). The interviews focus on the doctoral students' emotional experiences and perceptions, and highlight their emotional boundary work and handling of critical situations.

The Sociology of Emotions and Supervision

Many authors have pointed out the unwillingness among academic teachers to approach emotional and 'problematic'

aspects of teaching, and this is equally true in relation to the doctoral students. For example, bell hooks has elaborated on this issue: "To some extent, we all know that whatever we address in the classroom subjects that the students are passionate about there is always a possibility of confrontation, forceful expression of ideas, or even conflict." (1994, p. 39). hooks goes on to disclose that during her twenty years of teaching, she has observed a grave concern among professors when students want the professors to see them as whole human beings, with personal lives, including having families and a variety of experiences. Taking this as a point of departure, we focus on the emotional processes involved in being a doctoral student.

The work doctoral students undertake with their supervisors during their research can be defined as emotional labour/work; emotional labour/work focuses on how people deal with feelings and emotional rupture, and how feelings are controlled and displayed. There are, often, quite distinct rules regarding the regulation of emotions, for example, when and for how long you can cry. We use the concept of *emotional work* to point towards certain aspects of the supervision process, especially the relationship between student and supervisor, and we apply the concept of *feeling rules* to focus on the more or less explicit regulation of individuals' emotional expressions (Hoschchield, 1983). We explore the kind of feelings doctoral students perceive that they are allowed to express and in what ways their supervisors deal with emotional

outbursts, conflicts and personal problems. We focus in particular on the emotional boundary work involved in becoming and being a doctoral student, using the term 'boundary work' to frame certain moments in the learning process, especially how students handle *critical situations* such as dealing with conflict and drawing boundaries between work and private life (Giddens, 1991).

These concepts of emotional work and emotional boundaries are closely connected to Goffman's idea about an *interaction order*. Emotional work takes place within the framework of an interaction order, which regulates and controls certain aspects of people's display of feelings. This order depends on the assumption that people adhere to and follow certain unspoken feeling rules and codes. These rules regulate what is right and what feels right or wrong in encounters with other people. According to Goffman, interaction order is characterised by a certain moral ethos, an informed attitude of trust, respect and tact. This moral ethos helps people to maintain their emotional boundaries and to engage with others without losing their feeling for where to draw the line between private and public life. The interaction order, which focuses on micro-processes and everyday life, is tightly connected to a *wider institutional order*. Giddens (1991, 1992) has pointed out that Goffman lacks a conceptual framework connecting micro-processes with wider institutional rules and cultural systems (Layder, 2004). Our goal is to point towards how the micro-processes of emotional work

and emotional boundaries we have studied are linked to and affected by the increasing focus on administrative processes and skills development, in a context of emphasis on time to completion for doctoral students.

The main concepts we apply in our study are, thus, *emotional work, feeling rules* and *critical situations*, concepts which are all part of a wider framework described by Goffman as an interaction order. This is in one sense a highly structured order, but it is also characterised by possible breaches, moments of change and ruptures. We analyse a number of key situations, where the order suddenly breaks open, and allows for change. When this happens, it can lead to a fruitful learning process or to a partial breakdown of the interaction order and emotional damage. Consequently, these critical situations can give us valuable information and knowledge about the supervision process and what is involved in the process of 'becoming a doctoral student'.

FINDINGS

The empirical and analytical part of this text is structured in *three sections*. We use quotations from the 10 interviews to go deeper into different types of critical situations and emotional boundary work. We are also exclusively focusing on the parts of the interviews where informants are describing different types of emotional work, and pointing at feeling, rules and possible transgressions of these rules. We do not intend to analyse the whole identity process as a chronological experience and

formation but instead, limit our focus in this article to formative and critical moments in the doctoral student's trajectory. Firstly, we look into the issue of support, energy and the importance of enthusiasm. Secondly, we investigate and focus on incidents where there is sudden conflict between supervisor and student, and finally, we focus on what happens when the doctoral student wants to change supervisors.

Being a doctoral student or being a supervisor can each be looked upon as versions of emotional work. While this can be rewarding and can make a positive contribution to the development of a confident, successful sense of identity for the student as a doctoral researcher, learning from opportunities, relationships and challenges along the doctoral journey, there can also be potential clashes, boundary disputes and difficulties, for example, with regards to balancing life and work. Students in the study noted took note of the keeping of boundaries between work and personal life and the stress of excessive expectations of their time commitments; difficulties over perceived lack of boundariess relating to appropriate places to be supervised and the potential for blurring aspects of the supervisor- student relationships that might arise ; emotional boundaries which can get stretched excessively and stressfully in relation to supervisors' behaviours and moods; managing real and potential conflict situations, and testing and changing boundaries when the supervisor- student relationship has to change , and the current supervisor is replaced with a new supervisor.

Keeping the Boundaries

The distinction between private life and work is often diffuse and difficult to establish and maintain in research. The doctoral students in our study describe specific kinds of *emotional boundary work* required to keep a certain distance from work, and from the whole academic system. There are often subtle, almost invisible expectations both that people should work hard and that it is not either normal or necessary to establish and maintain strict boundaries between private life and work. Fulfilling these expectations might work for a while; indeed it seems to be easy to be drawn into this particular ethos and lifestyle. However, when personal life and this work ethos collide, many of the everyday elements of life tend to stop functioning, and this can lead to an emotional or mental break-down, and potential burn-out. This is vividly described by Anna, one of the interviewees:

> *It was the first time in my life I was on sick leave for stress-related causes. I had worked really hard for two or three years, and I was exhausted. Then my mother died and at that time everything just burst and I was away for a while. Thereafter, it took a while for me to come back, and start to work again. I had constant headache for three months. It has been difficult too for people here to accept that I can just work for forty hours a week. The expectation here is that you work all the time* (IT, Interview 1).

The expectations of the system, and the all-pervading but at the same time quite effective work code, are difficult to handle, and the collision between private life and emotional status and the demands from the 'system' can cause critical situations for doctoral students. This student actually brought up the question of demands and stress with her supervisor, and felt that he listened and supported her in her claim for a better and more manageable work situation.

Another kind of emotional border work, also located in the difficult boundary between private life and work, is found in the following example. This doctoral student tells us that her main supervisor often wanted to meet for supervision at her home. Even though at one level the student found this unproblematic, she had great problems with this at another level. She touched on the subject of sexual harassment, not that she experienced it during supervision, but that she was aware it presented a potential issue.

> I want a professional relation, but of course that is what everyone wants, right. But when we have been working with our data, I have met one of my supervisors a lot. We have actually met a lot at her home, and people can have many different opinions on that. It has not become a problem, but at the same time I feel that we are crossing a boundary. It becomes more private, when meeting at home. /.../ Sometimes I also felt a bit uncomfortable (Medicine, Interview 2).

These two examples show how difficult it is to maintain and feel secure with the construction of boundaries between the private and public sphere. It is clear how the feeling rules get mixed up, and how the doctoral students start to feel unsure about themselves. They feel that there is something wrong with the system or how the supervisor acts, but also feel it is difficult to challenge existing codes and to bring up and discuss the problem. In these situations, the power relation between supervisor and doctoral students becomes apparent. The underlying structures make it difficult to question certain circumstances when based on a *feeling* that something is wrong.

Supervisor and Student Boundaries, Expectations, Struggling and Growing

The relation to the doctoral supervisor may be uncomplicated – and there are cases like that in our material – but often there are issues to deal with, not least concerning demands, mood changes and how to deal with potential conflict. We focus on two cases as examples of how doctoral students deal with these issues. The first case clearly illustrates that there are many different psychological levels present in the supervision relationship. This doctoral student draws a clear and distinct parallel between her father and her female supervisor. A part of the supervision process involves handling affective and angry behaviour, which is also a form of emotional boundary work, where doctoral students have to learn how to handle a supervisor's bad temper. The next example shows how

the student has to mobilise her own personal knowledge and skills in handling a 'parent's' dysfunctional behaviour.

> *She has a reputation of being quite emotional, and a bit angry. It has been rumoured about her having conflicts with all her PhD students, and so on. Maybe that makes me relax a bit, and think it is all about her /.../ I think I can handle her quite well, because she reminds me a lot about my father, he can also lose his temper, so I think I can handle this, yes* (Social Science, Interview 5).

During a four- or sometimes five-year process it is probably impossible to avoid conflicts and emotional turbulence. Our findings also clearly show how emotional boundary work is an important and central part of the supervision process. Sometimes conflicts and emotional outbursts can lead to improvements in the relationship between supervisor and student.

> *Then I told her that she was pressing me, bloody bitch, but then I thought this is really about me, and my history, different things making me act like this. So, then I was quite open, and told her about my personal things and hang-ups, and she was reacting in a good way, giving me good feedback. After this meeting other things has come up, but I trust her, and even though we had more ups and downs, I kind of*

> *stuck to her. She has respected me and I feel confidence in her* (Social Science, Interview 1).

This case illustrates how hard feelings can turn into respect and a good working relationship. The supervisor becomes a 'partial and temporary psychotherapist', a 'good parent'. In cases where conflicts are not solved, but rather buried and not talked about, it could affect the work process in a negative way. The culture at the department is a crucial condition for discussing conflicts or disagreements. In our material, we can see examples where doctoral students decided not to talk about problems because they were unsure about the consequences, based on conceptions about what is right and wrong at the department.

However, conflict is not related to the relationship between supervisor and doctoral student. In the interviews, both supervisors and doctoral students indicated how the academic system had undergone fundamental changes over the past decades, and how these changes affect research, supervision and the relationship between supervisor and doctoral student. An older system where doctoral students were accepted without financing and where the writing of a dissertation could last for decades has been replaced by a new and perhaps more bureaucratic system. Financing is now required for admission, and an individual study plan has to be formulated and reformulated every year, regulating the process toward 'disputation', the defence of the thesis once submitted

for examination. An increasing emphasis on competition between researchers, institutes and universities for funding has also affected supervision. Doctoral students (and researchers in general) are under greater pressure to produce and publish articles (in English) in high-ranked journals. This also affects how the doctoral students comprehend their work, their relation to the supervisor and the development of an identity as a researcher. One of the doctoral students expressed this when talking about her relationship with her supervisor and the academic system:

There is less room for reaching an answer through discussion. Because that is how it is, through arguments, through the exchange of thoughts and by saying that you are wrong. Yes, but show me that I am wrong… /…/ My supervisor is 60-something, and I suppose one could say that he is "old school" with a different view on research and what it should look like at Swedish Universities. Conservative, one could say, another ideal of what knowledge ought to be, a view that I share with him. So neither me, nor my supervisor regard the publication of articles and this as important, but rather that I should think, think wisely and eventually be finished. /…/ I do not want another supervisor, as you said, the chemistry works between us and we both seem to be pleased

with the informal structure. (Social Sciences, Interview 4).

The example stresses how a supervisor and doctoral student can share not only the project of writing a dissertation, but also more fundamental apprehensions of what research should be about, that are subtle and emotionally charged. In this case, both the supervisor and doctoral student identified themselves and the idea of research in opposition to the ongoing changes in the academic system, which are seen as instrumental, controlling and less creative. The doctoral student's aversion to these changes had reached a point where she questioned her future at the university. Rather than being a representation of the academic system, the supervisor stood up for (traditional) values. In this relationship, the supervisor has become a mentor and an ally. The supervision is described as informal with few, if any, planned meetings.

Changing Supervisors and Bringing Back the Energy

The relationship with a supervisor is an ongoing, long, and in many cases, central relationship for doctoral students. Many students are satisfied with supervision, and have few complaints. However, international research suggests that there are also a number of students who feel dissatisfied with different aspects of the supervision process. Some of this can be theorised in terms of the work of Manathunga (2007) and Grant (2008), who upset the cosy dyad

of student and supervisor and identify the potentially problematic hierarchical relations, describing it in postcolonial terms as a 'master-slave' relationship. It is also not that unusual that doctoral students change supervisors. This can be a quick and unproblematic process, but it can also involve hurt feelings and broken relationships. There has been little research into the process of actually changing supervisors but Wisker and Robinson (2012b, 2012c) look at the possible stresses and emotional and intellectual development when what they term as doctoral 'orphans' change supervisors, both from the point of view of the students and that of the supervisors.

In this section we will not focus on the actual process, and all the technical matters connected to changing a supervisor, but instead, we will turn our attention to how supervision and emotional energy are linked when students change supervisors. Sometimes it seems that when a supervision process is drained of all energy and has come to a standstill, the subject of changing supervisors seems to hang in the air:

> *We never quarrelled, or had different opinions, but rather I felt that we had come to a kind of standstill. It was not exactly hyper-creative /.../ And when we were at a conference, all of a sudden, my supervisor said, maybe you should change supervisor, and try R instead /.../ Afterwards I was bit shocked, don't*

> *you want to supervise me any more? I was in a precarious situation* (Social Science, Interview 3).

In this case both the supervisor and the student felt that it was time to change something, but at the same time the supervisor left his student alone with her thoughts regarding the consequences of this decision. After a while, the student felt comfortable with the idea and process of changing supervisors, and the new relationship turned out well. The change was explained as something positive for the doctoral student, indicating that her previous and her new supervisor had an interest in her work. However, in retrospect, the doctoral student felt that the explanations given to her were, at least to some extent, false (a change motivated by an interest from the new supervisor). This shows how emotionally charged a change in supervisors can be, even when there seems to be an agreement that something is not working and a new arrangement could help improve matters.

The next case is also an example of a successful change of supervisors. This woman student describes how the new supervisor had brought new energy into her project:

> *Since I have got a new supervisor everything works out quite well. I have been so happy after our sessions, Oh yes! What is this all about? I think it is the way my supervisor have followed my*

thoughts, and then helped me to change perspectives and see other aspects of my work /.../ It is important for me that my supervisor can help me to bring in larger perspectives, and also help me to connect to ongoing and hot research (Humanities, Interview 2).

She feels happy and understood. (is this one of the beautiful moments?) Supervision is here described in emotional terms, as bringing energy into the relationship and project. The supervisor has an intellectual function, but the most successful moments of the supervision process are described in terms of happiness and energy.

Finally, one more case of a failed supervision process:

I felt that my supervisor had a way of approaching academic work and research that did not synchronize with my own way of relating to this. After our supervision sessions I just felt totally exhausted and drained, and it was so negative. It was not primarily my need for emotional support, but my need of scientific guidance that resulted in disappointment with my supervisor. I feel that it is important that the supervisor show an interest in science and scientific work. It is supposed to be fun and a positive experience (Humanities, Interview 1).

This student describes not a lack of emotional support, but of intellectual guidance. At the same time, we would like to point out that emotional support, energy and intellectual guidance seem to be closely interconnected here. Working on science was "supposed to be fun and a positive experience," states this doctoral student. She also succeeded in changing supervisors.

This highlights one of the points we want to make about the supervision process, from the point of view of the students. The cases reported in this section are all successful ones, where the student has changed supervisors and regained energy and emotional support. There are probably also a fair number of instances where this is not the case, when people get stuck and try to get by and manage. Using the concept of *fateful moments* we can discuss the important decision of actually changing supervisors. Sometimes this involves courage, and it can turn out to be a complicated business. The student could be seen as a troublemaker and he/she may feel that he/she has jeopardised a future career at the institution. Also, there are no guarantees that a suitable new supervisor can be found who will be able and willing to take on the supervision in a successful way. However, all our cases here have positive outcomes, and show that when the students perform this change of supervisors, they also describe the continuation of the supervision process in quite bright terms, showing how this process also involves emotional labour and relational skills, and if well handled, can lead to success in the doctoral project.

CONCLUSION

The aim of this article has been to focus on ways in which emotions and emotional work are involved in the supervision process, from the point of view of the students. We have exclusively looked into how 10 Swedish doctoral students deal with different kinds of emotional boundary work. The purpose of the article is not to generalise, although there are some patterns in the behaviour that are reported in our findings. Rather, the aim of this paper is to extract and study some interesting and highly relevant processes and situations related to our main focus. From this, we offer starting points for consideration of the ways in which emotional boundary work links effective research learning for doctoral students with the particular experience of working with supervisors (or changing supervisors), in the new context of stricter regulations of the doctoral study processes and more fixed times to completion.

In this article the concepts of *emotional boundary work* and *critical situations* developed by Giddens (1991) and Goffman (1967) have been in focus. As supervision of doctoral students necessitates long relationships, often stretching over four years or more, during which time many different things can occur. A life-long and positive relationship might be developed, but there are also things which might go wrong, and one reason for that might be that the relationship is not an equal one. Still, even if it is unequal, it is a relationship between adults, and some of the responses of doctoral students indicate emotional

tensions, difficulties and behaviour that enable both students and supervisors to cope with developing and maturing or changing relationships, as expected in adult behaviour.

The formalisation of the academic system could be regarded as an attempt to handle emotional aspects, where a more planned process can help scaffold the research learning and writing. On the other hand, however, there seem to be certain risks aligned with such an effort. For some students the idea of writing a PhD thesis means something more personal and emotional than what is indicated by a regulated process. If such a process is based on other preferences and concepts of knowledge, the formalisation can be a restraint rather than a contribution to a more secure position. It is also apparent that the supervisor often plays a crucial role when it comes to handling emotional and personal aspects in the supervisor /-student relationships as part of the customary experience of a doctoral research student. experience We argue that emotional elements of the research learning process are not replaced by regulation, and at the same time, they should not be in opposition to it; rather, they can be strengthened and managed by a mixture of a sensitive, planned process coupled with open discussion surrounding aspects of supervision that aim to support doctoral students.

In this article we have focused on a number of critical situations such as misunderstandings, supervisors behaving like authoritarian parents and the changing

of supervisors by doctoral students. The latter is a highly sensitive matter and a critical moment in the work of a doctoral student.

The cases presented here are all stories with positive outcomes. It is probably more difficult to trace and get access to failed processes and stories about broken relationships. Overall, what we can see is how students experience the break and change as a positive event, which puts new energy into supervisory interactions. Emotional support is talked about in different ways, but one way of addressing this is to describe, as these individuals do, how there is first a lack of energy and how this is replaced by a reloading and re-energising of the project. These moments can be described as critical situations, changing and improving the conditions for the supervision process.

We have also focused on how the delicate line between private life and work is drawn and defended. It seems that this boundary is fragile and sometimes hard to uphold. We have analysed two examples where the boundary is broken, with negative consequences for the students. There seems to be a great need for boundary work, and sometimes the *feeling rules* are mixed up in the border areas, in between private life and work. For many doctoral students the length of the research project, and so the supervisory relationship, means that they develop more or less personal-professional relationships with their supervisors. At the same time, it seems to be important to keep certain barriers and boundaries. An important part of the supervision process is connected to the emotional management of the relationship with the supervisor. Students learn how to handle changes in their supervisor's temperament and moods and how to develop skills in emotional management. But sometimes this work breaks down, and there is a rupture, and sometimes the whole process is turned into a painful experience, which the doctoral student is keen to end. Such incidents indicate how important it is to discuss and analyse these fragile, diffuse, but important processes.

It is hoped that our early findings about this emotional work can be of use to doctoral students and supervisors in their own supervision relationships.

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Melancholic Celie in *The Color Purple*

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ABSTRACT

In her theory of the melancholic subject, Julia Kristeva asserts that the melancholic subject has a sense of loss, but she cannot share this feeling with others as she considers it as private. Although the melancholic subject is stranger to her mother tongue, she should use language to get rid of her sense of loss. In *The Color Purple*, Alice Walker devotes herself to the plight of black people's lives in white society. She believes that the black feel a sense of loss as they are subject to racism, sexism and gender discrimination in white society. These black people, especially black women, should use language to express their sense of loss and deal with their traumatic experiences. This article intends to focus on Julia Kristeva's melancholic subject and apply it to Alice Walker's *The Color Purple*.

Keywords: Julia Kristeva, the melancholic subject, language, loss, Alice Walker, *The Color Purple*

INTRODUCTION

Alice Malsenior Walker (1944) was the youngest of the eight children in her family. Her parents were poor sharecroppers and their life was very difficult in the white racist society; however, they resisted the whites who forced them to put their children to work rather than study. As Alice was very talented, her mother intended to see her bloom and that was the main reason why she always worked instead of her daughter and permitted her to devote her time to study her lessons. One day as Alice played with her brothers, an event changed her life and her behavior completely. As she explains,

> *I feel an incredible blow in my right eye. I look down just in time to see my brother lower his gun… [A] tree growing from underneath the porch that climbs past the railing to the roof… it is the last thing my right eye sees. I watch as its trunk, its branches, and then its leaves are blotted out by the rising blood.*
> (Warren & Wolff, 1998, p. 1)

She thought that she became ugly by the scar on her face; therefore, she hid herself from other people and could not communicate with them. Alice Walker herself admits that:

I have always been a solitary person and since I was eight years old (and a victim of a traumatic accident that blinded and scarred one eye), I have day dreamed- not of fairy tales- but of falling on swords, of putting guns to my head or heart, and of slashing my wrists with a razor. For a long time I thought I was ugly and disfigured… I believe, though that it was from this period- from my solitary, lonely position, the position of an outcast- that I began really to see people and things, really to notice relationships and to learn to be patient enough to care about how they turned out. (Robinson, 2009, p. 295)

From that time, she started reading stories and then writing poetry. After graduating from high school, since she had a scholarship, she entered Spelman College. In college, unwillingly she became pregnant, and it led to depression. As a result of her depression, she tried to commit suicide; however, her friends found a doctor who did an abortion for her and saved her life. In Mississippi, 1965, she met Melvyn Rosena Leventhan, a Jewish lawyer, and two years later they got married. Their marriage was a kind of shock as it was the first legal inter-racial marriage in Mississippi. However in 1976 they divorced amicably.

The divorce and so many other bitter events influenced Walker a lot that "she became suicidal", and in fact, "she struggled with the thought of killing herself throughout the years, but writing became a way for Walker to heal herself" (Robinson, 2009, p. 295). Before writing, she was isolated from the rest of the world as she admits she was a solitary person, but then she started communicating with other people (Robinson, 2009, p. 295). She tried hard and worked a lot to become a prominent figure in literature. This article intends to focus on Julia Kristeva's theory of the melancholic subject and apply it to *The Color Purple*. As Kristeva notices the melancholic subject heals herself/himself through writing. Here, Walker heals herself by writing novels and reflecting her traumas within her works.

DISCUSSION

When a child is in the semiotic chora, she is within her mother's embrace. Gradually, she understands that there is a difference between herself and her mother; and this is the time when she enters the symbolic realm, the realm of language. As the melancholic subject loses her mother, she cannot enter the symbolic realm. Sabo states that "no object can replace the mother and no sign can express the loss" (Sabo, 2010, p. 60); therefore, the melancholic subject cannot use language. As she considers her sense of loss a kind of private feeling, she cannot share her feelings with other people. Kristeva mentions that the melancholic

subject is "modest, silent, without verbal or desiring bonds with others" (1980, p. 30). The melancholic subject has heterogeneous subjectivity, i.e. she does not have unified subjectivity. She can gain fixed subjectivity as soon as she is able to express her sense of loss. In Iannetta's words, this non-communicable and timeless grief is melancholia (Iannetta, 2002, p. 194):

> *Let us keep in mind the speech of the depressed_ repetitive and monotonous…they utter sentences that are interrupted, exhausted, come to a standstill. Even phrases they cannot formulate. A repetitive rhythm, a monotonous melody emerges and dominates the broken logical sentences, changing them into recurring obsessive litanies* (Kristeva, 1980, 33).

The following discussion will shed light on Kristeva's theory of melancholic subject and its applicability to Walker's *The Color Purple*.

As *The Color Purple* opens, Celie, the fourteen-year-old protagonist writes a letter to God and expresses "I am fourteen years old. I have always been a good girl" (*The Color Purple,* p. 3). The crossing out of the words "I am" reflects Celie's uncertainty of her goodness. As the story goes on, the reader is informed that Celie is raped and impregnated by Alphonso, who Celie considers as her biological father. The repeated rapes influence Celie's psyche a lot, so that she does not consider herself a good, pure and innocent girl anymore. Besides, her

father threatens her not to tell anyone about the rape. The revision of her sentence makes it clear for the reader that she no longer feels good about herself or her identity. In fact, Celie is so ashamed that she was raped by her own father that she does not intend to talk about it with other people.

> *The survivor [of rape] most often, nearly invariably, becomes silent about his victimization, though the experience nevertheless, in every case remains somehow fundamental to his existence, and to his unfolding or enfolded conception of himself. This silence is an internal one in which the victim attempts to suppress what is recalled, or finds it repressed by some part of himself which functions as a stranger, hiding self from the same part of which functions as stranger, hiding self from the self's experience according to unfathomable criteria and requirements* (Culbertson, 1995, p. 169).

As the victim of the rape cannot express her feeling within language, she prefers to keep silent. As Gieni notices:

> *The survivor of sexual violence may experience a sense of linguistic powerlessness. In the immediate moment and in the long term, sexual violence can be seen as having an oppressive hold on the voice of the survivor, such that the experience remains unspeakable* (p. 2).

As Julia Kristeva holds the melancholic subject, she feels a sense of loss within herself, and in this novel, this sense of loss of virginity by Celie prevents her from sharing it with other people. Besides, one should notice that the style of her letters indicates her melancholia as her first letter and:

> *those that immediately follow, is characterized by short, choppy sentences, halting rhythm, repetitive grammatical structures of subject, verb, object, concrete physical description, in an ongoing present and matter-of-fact tone. It is a style that mirrors Celie's traumatized cognitive process and depressed emotional state* (Proudfit, 1991, p. 17)

When Celie gets pregnant by her father, he takes the children and sells them. "He took it. He took it while I was sleeping. Kill it out there in the woods; kill this one if he can" (*The Color Purple,* p. 4). Celie is traumatized by the loss of her children and her fragmented and repetitive sentences reflect her deep sense of loss. In fact, Celie, a fourteen-year-old girl, lost her two children, her virginity, her mother's love, and her father as a supporter. These catastrophic losses have a great effect on a teenage girl like Celie.

Celie is isolated and does not have any friend or relative to talk with, that is the main reason why, when Mr. - intends to get married to her sister, but his father suggests that he marries Celie instead, she does not complain. She is not a subject who speaks for herself, but she is moved to an objectified position in which other people talk about her. Her father states "she ugly. He say. But she ain't no stranger to hard work. And she clean. And God done fixed her. You can do everything just like you want to and she ain't gonna make you feed it or clothe it" (*The Color Purple* 10). The stepfather speaks as if "the prime objective of a woman's life was to obtain a husband and then to keep him pleased; duties focused entirely on the bearing and rearing of heirs and caring for the household" (Sampson-Choma, 2011, p. 178). In order to have a sexual relationship with Nettie, Celie's younger sister, her father intends to get rid of her. Then, after about three months of thought, Mr. _ agrees to marry Celie as his children need a mother and he needs a housekeeper and a nurse.

As she enters Mr. _'s house, she starts her chores. At the very beginning, Harpo, Mr._'s son, attacks Celie's head with a stone that breaks Celie's head. This action indicates that a black girl is safe neither in her father's house nor in her husband's. Mr. _ does not react to his son's misbehavior. Celie tolerates her miserable situation and starts brushing Mr. _'s daughters' hair. "They cry their selves to sleep. But I don't cry. I lay there thinking about Nettie while he on top of me" (*The Color Purple,* p. 14). As a result of her father's repeated rape, Celie is not only sexually but emotionally numb and she reacts neither to Mr _'s children's misbehavior nor to sexual affairs. She is emotionally traumatized by the

repeated rapes and "mourns for her lost" virginity (Sabo 50). Celie "endures a barrage of rapes and brutality that causes her to experience her body as fragmented and as being possessed by others, namely her victimizers" (Pifer & Slusser, 1998, p. 47).

One day, Celie waits in the shopping center for her husband; meanwhile she sees a girl "I think she mine. My hearts say she mine. But I don't know she mine" (*The Color Purple,* p. 15). The little girl is in her mother's embrace and Celie thinks that the girl is her lost daughter. She is traumatized by the memory of her lost daughter. Kristeva notes that "the traumatic memories of a loved relative … are repressed but constantly evoked" (1980, p.46). This is Celie's time of evocation of the traumatic memory. She intends to take the memory of her lost daughter back in words, but she cannot express it out loud. "The depressed person, overwhelmed by sadness, suffers from a paralysis of symbolic activity. In effect, language fails to fill in or substitute for what has been lost at the level of psyche" (Elliott, 2012, p. 357).

Like her father's house, Celie is not comfortable in her husband's house as well, as Mr. _ beats Celie without any reason and when he beats her "I make myself wood. I say to myself, Celie, you a tree. That's how come I know trees fear man" (*The Color Purple,* p. 23). She denies her body and her subjectivity as she intends to tolerate the beating. In other words, "Celie protects herself by denying the reality of her own flesh and emotion" (Byerman, 1985 p. 167). "Readers sympathize with Celie when she

compares herself to a piece of wood, which is insensitive to pain. She demonstrates by such reference that her husband treats her as an object" (Matunda, 2009, p. 125). Besides, "Celie's descent from rage to hysterical illness to numbness speaks of the extent to which she has internalized the social-sexual order" (Gieni 26). She is afraid of standing against Mr._; therefore, she intends to suffer and tolerate rather than to risk her life. As Tillie Olsen observes:

> *Literary history…dark with silences of mute inglorious Miltons: those whose waking hours are all struggle for existence; the barely educated; illiterate women* (Olsen, 2003, p. 10).

She has been consumed by the thought of survival that she is unable to stand up for herself (Hale 42). She was abused by her father and she has been abused by her husband; i.e., she is trapped in the vicious circle of oppression. "In Mr.___'s house, Celie acts as maid, baby-sitter, object of sexual gratification, and target for sadistic tendencies" (Hamamsy, 2010, p. 154).

She never protests against the oppression even when her parents treated her angrily, she tolerated the situation.

> *I think. I can't even remember the last time I felt mad, I say. I used to git mad at my mammy cause she put a lot of work on me. Then I see how sick she is. Couldn't stay mad at her. Couldn't be mad at my daddy cause he my daddy. Bible say,*

Honor father and mother no matter what. Then after while everytime I got mad, or start to feel mad, I got sick. Felt like throwing up. Terrible feeling. Then I start to feel nothing at all (The Color Purple, p. 40).

She cannot put her sense of anger into words; she does not react to anything because religion restricts her. In her opinion, she should respect her parents no matter what they have done to her. She thinks about the other world and she intends to gain salvation; therefore, she keeps silent and she does not protest. "Celie rarely evaluates or judges her situation. She knows of no other possibilities for her, she concludes that she must bear her lot in life; God will surely reward her in heaven" (Johnson, 1988, 71).

In fact, Celie has a self-comprehension problem. If she knows herself, and believes in her ability, she will not rely on after life salvation, but she will fight for her rights. She tolerates and has been the subject of torture and unfortunately, although "happiness exists at the price of revolt" (Kristeva, 2000, p. 7), "fighting is outside the realm of Celie's experience and nature" (Sampson-Choma, 2011, p. 167).

As Shug Avery, Mr._'s former mistress, arrives, Mr._ goes after her and brings her in his house. He forgets all about his responsibility toward Celie; moreover, he has a sexual relationship with Shug. "When I hear them together all I can do is pull the quilt over my head and finger my little button and tities and cry" (*The Color Purple*

75). She cannot express her sadness even if she protests no one listens to her,

Lacking the filter of language, [she] cannot inscribe [her] violence in "no," nor any other sign. [she] can expel it only by means of gestures, spasms, or shouts. (Kristeva, 1980, p.15)

As a result, she can only react nonverbally which is crying.

After the passage of the time Celie and Shug become intimate friends and they share their secrets and emotions. One day Shug informs Celie that Celie's sister, Nettie, has sent Celie some letters, but Mr._ does not give them to Celie.

All day long I act just like Sofia. I stutter. I mutter to myself. I stumble about the house crazy for Mr_ blood. In my mind, he falling dead every which a way. By time night come, I can't speak. Every time I open my mouth nothing come out but a little burp. (The Color Purple, p. 110)

She is very angry that she cannot express her anger through words. She intends to kill Mr._ to take revenge on him. All these years, she waits for her sister's letter and now she is mad at Mr._. She cannot put her anger into words. "More than at any other point in the text, Celie seems on the verge of slipping into madness when she discovers Albert's [Mr._] suppression of her sister's letters"

(Cutter 168). "I don't sleep. I don't cry. I don't do nothing. I'm cold too. Pretty soon I think maybe I'm dead" (*The Color Purple* 110). As Sabo mentions,

> *From Kristevan perspective this collapse of the symbolic is a tell-tale sign of melancholia, for it always, "ends up in asymbolia, in a loss of meaning: if I am no longer capable of translating or metaphorizing, I become silent.* (p. 57)

She lost her interest in life as the truth is revealed. When she understands that she is betrayed by Mr._, she becomes a living dead. "I know what I'm thinking about, I think. Nothing. And as much of it as I can" (*The Color Purple* 112). She does not have any emotion, passion, desire or interest in anything. All her feelings wither as she feels she is betrayed. She suffers all these years and remains loyal to Mr._ ; therefore, she does not expect him to hide Nettie's letters when he knows how precious the letters are for Celie. This is the last straw that breaks her back.

When Celie and Shug become more intimate and Shug expresses her love for Celie, Celie starts to express her suffering throughout the years. Shug acts like confidante to Celie with whom she can share her secrets and emotions. By talking about her past, she starts to mend her emotional wounds and put her fragmented subjectivity together (Fiske, 2008, p. 152).

> *My mama die, I tell Shug. My sister Nettie run away. Mr_ come git me to take care his rotten children. He never ast me nothing bout myself. He clam on top of me and fuck and fuck, even when my head bandaged. Nobody ever love me, I say.* (The Color Purple, p. 103)

Shug acts not only as confidante but also as a mother. When Shug provides love, comfort and warm condition, Celie feels as if she is in her mother's embrace.

> *Shug Avery provides Celie with an extended period of "female bonding;" who, with unconditional love, provides a "holding environment" in which Celie's nascent self is reflected back to itself; and , who, as surrogate mother and "good- enough-mother," and lover helps Celie to complete the development of those capacities that enable her to deal more effectively with loss, to finalize her gender identity and choice of mature love object, and to develop a stable sense of self.* (Proudfit, 1991, p. 23)

She enters the symbolic realm, the realm of language and starts describing all the years of her life.

> *Here it seems that Celie has successfully moved through the mirror stage of symbolic language,*

that is, language that she can use to represent any perceived lacks. (Pifer & Slusser, 1998, p. 49)

Besides, Shug encourages Celie to fight for her rights and express her needs and desires. With Shug's encouragement, Celie changes herself from a victim to the victor who can stand against her oppressor. In fact, Shug's embrace creates the physical and psychic space Celie needs to process the horror of abuse (LaGrone, 2009, p. 33). Here, Celie addresses Mr._ and says,

> *Every lick you hit me you will suffer twice, I say. Then I say, you better stop talking because all I'm telling you ain't coming just from me. Look like when I open my mouth the air rush in and shape words… I'm pore, I'm black, I may be ugly and can't cook, a voice say to everything listening. But I'me here* (The Color Purple, p. 187).

In this speech, Celie accepts herself as a woman who has the right to live and choose her life; she affirms and asserts herself. She stands up for her rights as she no longer intends to be under Mr._'s oppression. She gains the courage to break her long silence and put all the lost, fragmented and repetitive phrases into a complete, meaningful and informative message.

Unfortunately, Shug falls in love with a boy, much younger than her, and as soon as she expresses her love, Celie says "nothing. I pray to die, just so I never have to speak"

(*The Color Purple* 225). She thinks that she loses Shug who is her confidante, friend, mother figure and supporter. Therefore, like a melancholic subject, she keeps silent. "The mourning process is slow; however, Celie is subject to a variety of contrasting thoughts and feelings about Shug" (Proudfit, 1991, p. 29). However, the passage of time helps her to recover from this mood; moreover, she perceives that she can have the sisterhood bond with Shug until the end of her life.

As it is aforementioned, at the beginning of the novel, Celie suffers as men intend to have power and control over her. Her supposed-to-be father abuses her and her husband hides her sister's letters, belittles her and beats her; therefore, one can conclude that Celie's grief is over her lost virginity, lost sister, lost children, and lost identity. Moreover, Kristeva mentions that "melancholia is a disorder of self and self-identity and condition of loss" (Sabo, 2010, p. 49). As Celie deals with her problems, puts her suffering into words, shares them with her friends, and reunites with her long lost sister and children, she changes from a melancholic subject who does not dare express her feelings of loss and her bitter suffering into the speaking subject who interacts with others, shares her opinions, indicates her emotions and finally shapes her subjectivity.

> *Overcoming traumatic sexual experiences at the hands of her stepfather and husband, as well as copious physical and verbal abuse, Celie creates a satisfying life for herself, Walker's novel*

demonstrates the depth of trauma that a rape victim experiences, but also the process of healing and potential for a fulfilling existence in the end (LaGrone, 1999, p. 167).

All in all, the epistolary style of this novel, which is like a diary, provides the reader with Celie's deep sorrows, pain, anguish and further her development from all these emotions; moreover, her triumph over oppression and violence. "Writing is the dynamic mechanism of healing and creativity"; it helps Celie to achieve a fixed identity (Su, 2005, p. 177). With the help of writing she overcomes the linguistic barrier, which her step father imposed on her; i.e., "Celie in her letters writes herself into being" (Gates, 1989, p. 243). If her step father insisted on her silence, she uses writing, which is a talking book, to tell everyone about her life, and through it she gains her total self and her voice. In addition, "writing also enables Celie to transcend the forced silence and break the marginal position imposed upon her" (Lare-Assogba, 2011, p. 52). Besides, the act of writing is a therapeutic strategy that Celie uses to escape from the state of despair; "important point of Kristeva is that the depressed do speak and often, in imaginary and creative ways. Art is frequently the product of melancholia" (Sabo, 2010, p. 58). In other words, letter writing helps Celie to discover herself and gain better understanding of herself and her surroundings (Hamamsy, 2010, p. 163). Celie is a melancholic subject and the more she suffers the more superior her

aesthetic work will be (Su, 2005, p. 189). That is the main reason why her letters improve and become a diary which reflects the transformation of Celie as a melancholic subject to the speaking being.

In *The Color Purple*, Celie transforms from a melancholic subject, who has a sense of unshareable loss, to the speaking subject, who can interact with other people and form her identity through communication. Sisterhood with Shug, helped Celie to come to terms with her losses and deal with them through letter writing which at the end turned into a personal diary. As a result of sisterhood and writing, Celie changed from a fragile girl into a determined and strong woman.

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SOCIAL SCIENCES & HUMANITIES

Can Women Travel to The Policy-Making Level in Bangladesh? Rural Women's Political Representation, Participation and Empowerment in the Context of Microfinance

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ABSTRACT

This paper aims to analyse the critical evaluation of microfinance in women's political affairs; more specifically, it explores to what extent and how microfinance has contributed to any measurable changes in women being more involved at Local Government level. While the available literature substantiates that microfinance does have some impact, either positive or negative, on women's socio-economic empowerment at the household level, there has been limited research undertaken with regards to its impact on women's political empowerment. While the current study revealed that microfinance did not bring any significant changes to the involvement of women as candidates in local politics, it did reveal, however, that 10% of respondents reported their political participation was directly affected by their involvement in the microfinance programme. The women reported an increase in their knowledge about voting rights and a greater understanding of Local Government. The paper reveals that in many cases microfinance works as a powerful tool for enhancing women's political knowledge and, in certain circumstances, their engagement in local politics. The findings outlined in this paper could make a significant contribution to the theory and practice of women's political empowerment, which could arguably be considered the highest level of empowerment.

Keywords: Women's empowerment, local politics, political awareness, engagement in local politics

INTRODUCTION

Bangladesh is characterised by classic patriarchy, poverty and inequality. It is a country where society not only devalues women but also women perceive themselves as inferiors. It is commonly argued that gender discrimination and disempowerment

of women are regarded as the two vital causes for this extreme poverty. However, since the country's independence, a number of NGOs have emerged to help the state to deal with the enormous number of challenges it faces. Prior to the emergence of these NGOs neither the Government nor the market was able to provide welfare for a war-ravaged country. When the NGOs commenced working, one of their prime methodologies was to empower the women, whom they considered one of the most disadvantaged and marginalised groups of any society, by offering them collateral-free loans known as microfinance (World Bank, 2006 cited in Siddiquee & Faroqi, 2009, p.248).

While numerous research studies has already been undertaken to explore the impact of microfinance on women's socioeconomic empowerment (Khandker 2005, Mahtab, 2007, Hashemi *et al.*, 1996, Sarumathi & Mohan, 2011), very little meaningful research (Habib & Jubb, 2012, Kabeer, 2011) has been carried out to investigate the impact of microfinance on the political empowerment of women. Although the Prime Minister and the opposition leader of Bangladesh are women, the representation of women in both the cabinet and parliament is not more than 10%. Women are not motivated or lack the confidence to engage in local politics due to poor education, limited monetary support, limited mobility and lack of knowledge about the electoral and political processes (Habib & Jubb, 2012). Despite launching a quota system and direct election for women in local politics, women's participation in Local Government is still unsatisfactory. While the direct election for reserved seats ensures representation of women in local politics, it cannot ensure the adequate participation of women. However, this study reveals that involvement in microfinance has brought some positive changes to women's political engagement at the Local Government level.

OBJECTIVE OF THE PAPER

This paper aims to explore the extent to which and how microfinance has affected the level of women's political knowledge and engagement in local politics in Bangladesh.

METHODOLOGY

Epistemologically, this research is based on the ability to uncover and interpret the attitudes and emotions of the participants in order to acquire an in-depth understanding of the research issue and the context. The researcher's epistemological position drove her choice of methodology, guiding her to choose inductive (qualitative) research and data collection techniques to conduct the study. The two villages, Chokkapashiya and Dewyanpara under Usufpur and Borogachi Union Parishad[1], were selected on basic criteria such as location, availability of the programmes in the villages, duration of the programmes, the number of women participating in the microfinance programme and transport facilities from Rajshahi district[2].

[1] The lowest of four tiers of the Local Government system
[2] One of Bangladesh's 64 districts

For the purpose of the study, two NGOs named BRAC (Bangladesh Rural Advancement Committee) and ACD (Association for Community Development) were chosen. BRAC has been working since the independence of Bangladesh in 1971 to alleviate poverty and to empower women. It is considered to be one of the biggest and most diversified NGOs not only in Bangladesh but also all over the world. So BRAC has been chosen due to its wide spread functional coverage especially in rural areas focusing on poor women. Similarly, in the crowd of voluntary organisations of Rajshahi district in Bangladesh, ACD was selected because as a local NGO, ACD endeavours to integrate poor people, especially women, into the prospective mainstream of sustainable development through different programmes. Therefore, ACD was selected due to its diversified activities in local areas. Both NGOs focus on providing attention to the rural poor, especially women, and have been actively providing support for a long period of time in the Rajshahi district where this study was carried out.

The study followed the triangulation approach with different qualitative approaches in the data collection being used and involving multi-perspectives from both participants and NGO officials. Microfinance clients were chosen through purposive, network sampling for detailed interviewing. Purposive sample sizes are often on the basis of theoretical saturation, which is the point in data collection when new data no longer bring additional insights to the research questions. Changes in a range of socio-economic indicators over the last three to five years have been assumed to be the result of microfinance. A total of 40 women beneficiaries were chosen: 24 were from ACD and 16 from BRAC. Through interviews, data were collected to explore the processes by which microfinance may perhaps make a difference in the lives of the borrowers. This research study does not require a very large sample size because it is conducted using the case-orientated qualitative research approach. A sample was selected on the basis of the purpose of the study, not on the basis of representative population. As Yin (1994) argues, the evaluation of case studies should be based on the theoretical construct, not on the size of the sample, as is done in conventional quantitative strategies. My interest was to have a complete in-depth understanding of the case.

In the first phase, microfinance clients were chosen for one-to-one in-depth interviews in order to examine the impact of the microfinance programme. They were selected according to their relevant knowledge, experience and period of involvement in the programme. Initially, they were not contacted directly by the researcher. The researcher obtained a list of a total of 80 beneficiaries from respective NGOs. Only 40 of these were interviewed as the researcher reached the saturation point when the researcher interviewed the 40th client. In the first instance, the researcher was introduced to the participants by NGO staff and the researcher then selected the

respondents for further correspondence. Each and every microfinance client was invited verbally to participate in an in-depth interview session. A total of 30 women out of 40 were interviewed separately in the place where they usually attended group meetings. On some occasions, the clients were also interviewed in a group leader's house which they visited to pay their weekly or monthly instalments. The remaining 10 women were interviewed in a group leader's house. NGO officials were not allowed to be present during the interview session. Microfinance clients were asked to answer a series of different open-ended questions. The main aim of the in-depth interview was to collect qualitative data to examine the level of impact on women's empowerment of material and non-material resources provided through the programme. Each interview session lasted approximately an hour and a half. During these interviews some detailed client Case stories were also collected.

In the second phase, a number of focus group discussions were arranged with microfinance clients. The women from stage one were requested to take part in stage two; all of them agreed to take part in stage two. All in all, eight focus group discussions were conducted with 40 microfinance clients to explore and understand their views about the programmes offered by NGOs. Each group consisted of five participants. This low number was chosen to help participants focus on the questions and to lessen the temptation to engage in personal discussions with one another. Separate dates were organised for the microfinance

clients from each NGO. They were invited to come for the focus group discussion in an open space of the village where they usually gathered for their group meetings. Alternatively, some focus group discussions were arranged in a group leader's house or was organised in open places under trees beside the respondent's houses. Each focus group discussion took roughly 50 to 60 minutes. Focus group discussions were conducted to understand and compare the views of participants about the details of two microfinance programmes. This method was very useful for collecting more in-depth information as culturally, Bangladeshis prefer collectivism to individualism. This method also helped the researcher to get more in-depth and additional information regarding the participants' life transformation that had resulted from their involvement in microfinance. Information relating to the operation of each organisation was collected through one-to-one interviews with a total of 10 NGO officials working at field level or in the headquarters of the organisations and upon attending their centre meetings both weekly and monthly.

Theoretical Key Concepts

Microcredit and microfinance: conceptual clarification. Microcredit is the extension of very small loans (microloans) to those experiencing poverty, and is designed to spur entrepreneurship[3]. In recent times,

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[3]Entrepreneurship is the act of being an entrepreneur-one who undertakes an endeavor. An entrepreneur is a person who has possession of a new enterprise, venture, idea or getting them involved in income generating activities and assumes significant accountability for the inherent risks and the outcome.

the term "microcredit" has been dropped for the alternative term, "microfinance", due to the wider role suggested by the latter; "microfinance" adds the provision of savings and insurance services to that of credit. Some organisations also provide training and other services such as health and education (Abed, 2000).

More generally, microfinance provides a broad category of services, which includes microcredit. It is a programme that offers poor people not only credit but also savings options, insurance, fund transfers and other services. Those who promote microfinance generally consider that access to these services will offer disadvantaged communities a pathway out of poverty (Christen *et al*, 2003, p.2). Though microcredit is one of the aspects of microfinance, confusing the two terms is endemic in public discourse. This study distinguishes between microcredit and microfinance, with the basic functional difference between the terms being recognised by the type of service they provide. Micro credit provides only one service i.e. loan distribution while microfinance provides a wide range of financial services including, for example, savings options, insurance, training and advocacy.

Empowerment. Empowerment is a multi-dimensional concept. It has been used in many different contexts and by many different organisations in the fields of education, health, social work and psychology as well as in the work of feminist and development organisations. Empowerment can be described as a process

whereby women become able to organise themselves to increase their own self-reliance, to assert their independent right to make choices and to control resources that will assist in challenging and eliminating their own subordination (Keller & Mbwewe, 1991 as cited in Malhotra *et al*., 2002). Empowerment-orientated interventions enhance wellness as well as target ways to address problems, providing opportunities for participants to develop knowledge and skills and engage professionals as collaborators instead of authoritative experts (Zimmerman, 1995 cited in Dangol, 2010, p. 19). Cheston and Kuhn (2002) argue that empowerment covers two important aspects i.e. choice and power, as a person must have options to choose from and have the power to choose from the available options. According to Kabeer (1999, p.108), empowerment is "the expansion in people's ability to make strategic life choices in a context where this ability was previously denied to them."

Political empowerment. Political empowerment focuses on transferring various elements of power (resources, capabilities and positions) to those who do not have it. Political empowerment must include giving access to various political offices, including positions in the government, to the members of disadvantaged populations. Following this understanding political empowerment embraces the transformation of gender power relations in the political arena where major political positions are occupied mostly by men.

The power of women to make decisions at a policy or political level is regarded as one of the key elements of women's empowerment. This is the most critical stage of advancing women's empowerment since an acceptable level of empowerment can only be achieved when women can participate in the policy-making process and be heard at the agenda setting table (Snijders, 2009). As far as the context of this study is concerned the political empowerment of women has been assessed both at the household and community level.

In this paper the household level of empowerment indicators include knowledge of the political system and means of access to it, domestic support for political engagement and exercising voting rights. The community level of empowerment indictors include women's involvement in local politics, campaigns, support for specific candidates and representation in local Government bodies. So the study has addressed both knowledge and engagement in political actions. All these indicators have been taken from Malhotra *et al*. (2002).

Nexus between microfinance and women: background and review of related literature. The Government of Bangladesh is faced with numerous challenges but the institutional mechanisms to deal with these challenges are limited. This situation has fostered the emergence of Non-Government Organisations (NGOs) that provide services to assist Bangladesh in addressing two basic visions i.e. poverty alleviation and women's empowerment (Begum, 2003, p.5). The emergence and growth of the NGO

sector is a significant phenomenon from the standpoint of development in Bangladesh and it is anticipated that approximately 45,000 NGOs are registered under the Ministry of Social Affairs (Gauri & Galef, 2005, World Bank, 2006 cited in Siddiquee & Faroqi, 2009, p.248).

This sector has earned its own identity due to its provision of innovative programmes such as poverty alleviation, gender equity, women's empowerment, policy advocacy, education, health, family planning, environmental protection, voting rights, disaster management etc. (Begum, 2003, p.1). NGOs in Bangladesh are also well known globally for innovating microcredit programmes. Estimates show that microcredit is now used by 37% of Bangladeshi households as well as 60% of the poor households (World Bank, 2006 cited in Siddiquee & Faroqi, 2009, p.248). NGOs have emerged as a 'third sector' because neither the Government nor the market has actually succeeded in providing essential services to the vast majority of the poor (Begum, 2003).

In many developing countries and most extensively in Bangladesh the microfinance programmes offered by NGOs are well regarded and recognised for the help they provide women, especially poor women, to fight against poverty regardless of their age, race, religion and social status. Kabeer (1991) and Mayoux (2001) assert that microfinance not only helps women to find a path out of poverty but also helps them to protest against the oppression of their patriarchal society and to stand up for the

establishment of their socio-political rights.

Given the existing socio-cultural constraints on women in Bangladesh, there was tremendous growth and development in poverty-orientated credit programmes during the 1980s, and women were a priority target group for these programmes. In Bangladesh, the rural poor as well as disadvantaged women had long been neglected by the formal financial institutions due to the 'poorly extended commercial banking system', lack of collateral among the poor, 'high transaction costs for borrowers' and essentially a range of socio-cultural constraints on the appropriateness of women engaging in market-orientated production (Hussain & Afsar, 1988, p. 58-59). Thus, there existed the urgent need to redesign traditional financial institutions, which some have condemned as having hastened poverty among the poor.

In reality the advent of microfinance was a major government policy shift in the rural financial environment and must be seen as an opportunity for women. There are a number of reasons for group-based lending to be particularly attractive to women in rural Bangladesh and in other low income societies. Self-employment activities that produce goods at home for market sale are less frowned on culturally. Although some of these production activities can be operated at low levels of capital intensity, for many a minimum level is needed. This minimum is often the result of the indivisibility of capital items.

Women's control over and access to material resources is essential for enabling them to exercise social power and autonomy (Fernando, 1997). Empowerment of women through microfinance was an important milestone in development discourse during the 1990s. Moreover, findings from the previously stated studies reveal that the gender of the credit receiver influences the pattern and outcomes of household decisions. This is understood as evidence that women's preferences carry greater weight in determining decision-making outcomes in households where the women receive credit compared to households where either the men receive credit or no credit is received. Many other studies have also found a significant relationship between microfinance and the empowerment of women (Khandker, 2005). During the past two decades microcredit has created social mobility for women in rural Bangladesh and this has successfully changed the traditional rural power structure and has had a significant impact on empowering women (Khandker, 1998; Mayoux, 2001; Rahman, 2002).

Likewise Sarumathi and Mohan (2011) conducted research on the role of microfinance in women's psychological, social and economic empowerment. The study was carried out in the Pondicherry region of India. The study reveals that there is a gradual increase in all three factors among women since their participation in microfinance. From the interaction with the women it was found that they were more empowered socially and psychologically as a result of their participation in self-help groups through microfinance programmes.

In another study in Bahawalpur, Pakistan, Nawaz *et al*. (2012) found that microcredit drives women's empowerment in a positive direction because women are feeling empowered at personal, economic and family levels after using microcredit in various income generating activities. Empowering women economically further drives increasing empowerment at other levels.

Again, Das (2012) conducted research on self-help groups in India and tried to examine the influence that membership had on women's decision-making capacity within the family, women's position within a patriarchal social system and women's leadership qualities. He found SHG have a positive impact on women members, particularly that of empowering them. He tried to rank the indicators of empowerment and he identified that participation in decision-making ranked first followed by economic empowerment. Awareness and capacity were ranked third while the indicators of entitlement were ranked fourth and so on. He considered SHG as a beneficial empowerment model.

However, the role of microfinance in women's empowerment is largely a debatable issue. There are two extremely polarised views regarding microfinance and its impact on women's empowerment. There are also some studies that represent the negative side of microfinance and its impact on women. But the above-mentioned studies still admit that microfinance brings some positive change to the lives of poor women. While there has been considerable literature published on microfinance and women's

socio-economic development, there is hardly any research carried out to explore its impact on women's political empowerment. Bayulgen (2008) carried out research on the impact of microfinance on Grameen Bank borrowers. The study revealed that in 1992, 400 Grameen loan recipients were elected to union councils, and in 1996, astonishingly, more women Grameen loan recipients voted in the national election compared to men, nearly defeating a political party that had taken a position in parliament against women's rights. In addition, over 1,750 Grameen members (1,485 female and 268 male) and 1,570 members of Grameen members' families were elected to local offices in 1997.

Microfinance and Women's Political Empowerment: Key Findings

Under-representation of women in the political arena is very common in developing countries like Bangladesh. Local Government representation is considered an essential platform for empowerment of the politically marginalised, including women (Goetz, 2004). However, the introduction of a quota system is a significant first step to bringing women into the mainstream political arena (Khan & Mohsin, 2009). Previously, women were nominated for reserved seats by the chairperson of local Government bodies. In 1997, the Local Government Act introduced direct elections in the reserved seats for women, these being one third of the general seats.

When undertaking gender analysis, there is a tendency to overlook women's participation in local politics. As political

equality is the highest level that can be aspired to for women's empowerment, it is essential to determine the level of women's involvement in local elections and the agenda-setting table. This study explores the direct or indirect impact that economic empowerment has had on women's political empowerment. The field inquiry focuses on both the knowledge and engagement of women in politics. The women respondents were asked what knowledge they have about the political system, their means of access to it and their voting rights. They were also asked whether they were involved in local politics, whether they were represented in local Government bodies or if they campaigned for specific candidates in local elections. The women were also asked whether microfinance had any direct or indirect influence on their knowledge and engagement in political affairs.

In-depth interviews revealed that the respondents had a very good level of knowledge about political parties, elections and voting rights. As shown in the table above, 35 (87.50%) women respondents had knowledge about their voting rights while only 5 (12.50%) did not know their voting rights. Thirty-four (85%) of them voted in the last election whereas only 6 (15%) did not vote in the last election. Almost all supported a political party. Nevertheless, the findings relating to personal engagement in politics show a poor result when compared to the knowledge level. The findings reveal that only 4 (10%) were a member of a political party and took part in local politics, while in contrast, a significant number, 36 (96%), of women respondents were not actively involved in politics. When asked whether they had ever campaigned in support of a specific candidate, 34 (85%) instantly replied 'no' while in contrast, only 6 (15%) had worked actively for their chosen candidate.

The field research revealed that although not actively involved in local politics, most women respondents had a good knowledge of the Union Parishad. They gave a mixed response when asked how they gained their knowledge about voting issues.

TABLE 1
Knowledge and Engagement in Politics of Respondents

Questions	Yes (N=40)	%	No (N=40)	%
About knowledge				
Do you know about your voting rights?	35	87.50%	5	12.50%
Did you vote in the last election?	34	85%	6	15%
Do you support any political party?	39	97.50%	1	2.50%
About engagement				
Are you a member of any political party?	4	10%	36	90%
Have you taken part in local elections?	4	10%	36	90%
Did you campaign for a specific candidate?	6	15%	34	85%

Source: Field research by author

"I am very aware about my voting. I will give vote by my decision. I will hear nobody's suggestion to cast vote. To be very honest five years back I was not voter at all. When I became member of microfinance group, NGO brother started telling to cast vote and said as a citizen it is my right to cast vote. Since then I became voter. NGO brother always tells us not to be influenced by others when casting votes" (MC-40, in-depth interview on 01.06.2012)

"I like to cast my vote every time. Our both leaders are women so I will be happy with anyone though I support one specific party. I know about the process and importance of voting from Television since lots of advertisements and talk show focus on voting rights." (MC-11, in depth interview on 20.04.2012)

"I was not aware of voting issues before joining in microfinance groups. Since I joined in the group, my group friends inspired me to cast vote for one of my group members who was contested as member position for union Parishad. I not only casted vote but also campaigned for her and I feel very proud to say that she won in the local election." (MC-24, in depth interview on 26.05.2012)

Source: Field research by author

Though women respondents provided mixed answers about their knowledge of voting issues, almost all of them admitted that they exercised their personal preference when voting because "NGO brothers/sisters" had advised them not to be influenced by others when casting their votes. More importantly, many of the respondents admitted that before their involvement in microfinance they were more easily swayed by local leaders who tried to influence their voting choice. In contrast, after involvement in the microfinance programme they had the confidence to remain silent when local elites tried to influence their voting choice. In summary, these results suggest that the respondents were more informed about voting, their political rights and local politics following their involvement in the microfinance programme. These results conform to findings reported by Habib and Jubb (2012), who found that 68% of the microfinance members in their sample actively supported their desired political party compared to 46% of the respondents from the control group. Microfinance members were more integrated and participative in social-political activities and, thus, were more socially included than the control group.

Responding to the question about their engagement in political activities, only 4 (10%) respondents reported that they were actively engaged in local politics. When asked whether they had been involved in politics before contesting a seat in Local Government elections, all of them replied that they had no involvement in politics

before contesting in an election. Further questioning in focus group discussions revealed that the political involvement of all the women was indirectly influenced by their involvement in microfinance and they unanimously considered their membership as a platform for sharing knowledge and ideas with other group members. They also argued that group meetings provided a place for discussing daily life issues and that group members could raise important issues and concerns with them when attending group meetings to make their repayments. They also acknowledged during the focus group discussions that some of their group friends had campaigned for them. Three of the women also perceived that microfinance had significantly influenced their political life since their NGO *apa* (sister) and their fellow microfinance group members motivated them to take part in Local Government elections. Only one of them was inspired by her husband to participate in local elections. Though they were encouraged by NGO officials to contest in an election, the reality of being a candidate resulted in many challenges. The following case stories represent the challenges that women members had to face while taking part in a local election.

Case Story: 1

I passed Secondary School Certificate few years ago. My husband was a member of local Government and he wanted me to be involved in local politics. But

while there was no quota system the women post were nominated by the chairman only. Therefore I could not take part in local politics but when quota system came I was motivated both by my husband and NGO sister (apa) to contest in local election. I could not freely campaign at night. I had to depend on my husband for campaigning in distant places due to my limited mobility and lack of adequate transport. My microfinance group friends campaigned for me. But truth to say I found myself nowhere in decision making since my husband financed for my campaign. Even after my winning in election I found my husband to decide everything on behalf of me. Since I had little knowledge about my duties I had to comply with my husband's decisions and directions. Though my group friends came to me to solve their problems I could not do anything for them. Even I don't know whether I will take part in next election. I will do what my husband would tell me to do (MC-12, In-depth interview on 22.05.2012)

Case Story: 2

"I never thought of joining in politics because I had an understanding that its male's space and politics is basically controlled by money power. However, after

the introduction of direct election in quota system I was inspired by my family and microfinance group friends to contest in election. When I start working I found me in nowhere in decision making. Sometimes I was not even called in meetings. I did not know what would be my responsibilities. I asked other but they were also not sure since there is no SOP (Standard operating procedure) for female members of UP. I also did not receive any training to perform my duties. Therefore I had no other alternative but to depend other male UP members" (MC-32, in depth interview on 12.06.2012)

Case Story: 3

"My husband is involved in Politics. He lost his nomination from the party in last election then he urged me to take part in local election. But I had to depend on my husband for my election campaigning. He also spent money for election purpose. Therefore I can't go beyond my husband's decision. Direct election in reserved seats really motivated potential women to involve in politics. Before introduction of direct election it was up to the chairman whom he would nominate. Now women have their own space where they can take part in policy making. But in

my case when I started working, I found women are excluded from important committees and their decisions in agenda setting table are not properly valued."(MC-21, In-depth interview on 22.05.2012)

Case Story: 4

I have passed class five. I am working as group leader for microfinance group for nearly five years. I also took BRAC's nursing training and actively working as a nurse in my village. I had a very good relation with NGO sister (apa) who inspired me to take part in local election from the beginning. I also knew that my group members and village people liked me so much for my behavior and position. I tried to learn various aspects of election from her. I contested in the election with my saving money with BRAC. I won and since then I always tried to do something for my group members and non- members' village women as they are the most vulnerable part of the village. Before my joining in UP I found that village women were scared to go to the UP Chairman to discuss their problems but now they easily come to me to ask for help. Sometimes microfinance group members discuss about their problems in the group meetings as well. I always listen to my group friends and other community people

and place their demands to UP chairman. I always try my level best to help my community people (MC-30 from group 1, in-depth interview on 25.06.2012)

Source: Field research by author

The field study revealed that for many of the women contesting a seat in local politics, problems arose from the beginning of their journey, especially to do with their ability to campaign successfully. Although their group friends helped the women, their limited ability and the necessity to campaign at night meant they had to mainly rely on their husbands and male family members to campaign for them. This placed the males in a position to not only influence decisions but to also take a leading role in the campaign. Transport was another issue for the women. Many women revealed that had to rely on a rickshaw, which is normally used for shorter distances, and they raised this as one of the major problems they experienced when campaigning. All of them avoided campaigning far from their house due to transport problems; the solution to this problem was to rely on their husbands to act on their behalf.

Another important aspect of the practicalities of campaigning related to the women's ability to finance their campaign. When I questioned the four respondents who had reported that they had been election candidates, two of them stated that their husbands had provided the finance while the remaining two revealed that they had used their savings with NGOs to finance their campaign. Contesting in an election is very expensive in Bangladesh and interviews with the women respondents revealed that they had to spend 50,000 taka to 100,000 taka (1 AUD = 80 BDT) on average, which is very high. This cost deters potential female electoral contestants from participating in an election.

Moreover, after being elected as a member of the Local Government, three respondents out of the four declared that they were excluded from important committees such as finance and audit and their roles and responsibilities were not adequately defined. They had to depend on the male Union Parishad members for proposing or initiating any action. There is no appropriate training or charter for females in reserved seats. The study suggests that very few women actually take part in elections and those who do face many challenges. Most women struggle to have a voice in Local Government because they don't have access to the committees that are responsible for making the major funding decisions. Their resources do not match the size of their electorates because they are subject to patriarchal family structures and are dependent on the power and money of their husbands if seeking to be elected.

In summary, although the provision of a quota of seats in a direct election provides an opportunity for women to participate in political affairs, women's participation is still very limited due to a range of factors. The respondents claimed that they were not properly informed about their roles

and responsibilities as the political charter does not provide for this. It only includes the responsibilities of chairman and the members of general seats. The women also declared that they were excluded from important committees. Although the field investigation does not reveal a clear relationship between microfinance and women's political participation, there is an indirect nexus between these two as women were inspired and supported to take part in local elections by microfinance group members and NGO officials. However, the local Government election process does not provide equal access and participation for women.

DISCUSSION

On the positive side, the findings suggest that by and large microfinance respondents acknowledged a positive influence of microfinance on their political life with some respondents affirming that their knowledge about voting rights, local politics and political parties had increased since their participation in microfinance. Some respondents also acknowledged that the media had an impact on their understanding about politics. But all of them admitted that their involvement in microfinance had enabled them to exercise their voting rights independently in contrast to their previous position where their voting decisions were negatively influenced by local elites and their husbands. Prior to their involvement in microfinance the study reveals that due to their poverty and lack of proper guidance and knowledge, they were exploited by

local leaders, politicians and village elites and they were unable to exercise their social rights independently. These findings coincide with the argument by Habib and Jubb (2012) that poor women are willing to take the chance to make some quick cash and get financial benefits in exchange for their support of a particular political party.

While the level of participation of women in local politics remains unsatisfactory, the few women respondents who were engaged admitted the positive influence of being a member of the microfinance programme. All female Local Government members declared that they were highly motivated to take part in elections by NGO leaders and their group members. They stated that group meetings worked as a platform for sharing knowledge, making informed decisions and receiving encouragement. This finding is supported by Kabeer (2011), who argues that the BRAC approach and its activism have prepared women to take on local politics and 'decentralization of government to the local level' as a result of new provisions since 1997 that allow women to be directly elected to reserved seats at the local level (in place of the previous practice of nomination). She highlighted that years of activism have made NGO group members credible candidates in these elections. Nonetheless, the discussion in this paper demonstrates current challenges that still remain and restrict women's proper political participation in Bangladesh. Women's empowerment at a household and community level still does not carry over to the state or Local Government level and, as the field investigation demonstrates, the

socio-economic empowerment of women does not transmit simultaneously to political empowerment.

CONCLUSION

Women in most developing countries including Bangladesh are largely excluded from both central and local politics. Although the Local Government Legislation Amendment Act 1997 allows women to engage in local politics through direct election instead of by nomination, women's participation is still unsatisfactory. Women are not appropriately informed or trained for performing their duties satisfactorily. They are always excluded from important decision-making. However, the country's developmental growth will not continue to advance unless women are considered as vital participants in agenda setting and policy making. This study reveals that participation in a microfinance programme enabled women to have improved involvement in political activities as well as increased their political awareness. With this in mind, NGOs need to consider women's political empowerment more seriously by offering opportunities for appropriate training and advocacy in this area.

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Grammatical Presentation of Phrasal Verbs in ESL Textbooks

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ABSTRACT

Despite the notoriously challenging aspects of the English phrasal verbs, these combinations are of high relevance for ESL/EFL learners as knowledge of them is often equated with language fluency and proficiency. They are likely to assume a number of different syntactic patterns, and grammatical presentation of these structures in ESL materials turns out to be a major pedagogical concern. Yet, the body of research dealing with the syntactic representation of these forms is almost missing in the related literature. The present study was, therefore, an attempt to investigate the grammatical treatment of phrasal verbs in Malaysian ESL secondary level textbooks. Although there occured a total number of 15 different syntactic patterns associated with these multiword verbs, they were almost overlooked as a category of language phenomenon enjoying their own grammatical behaviour. There also appeared to be no guiding principle underlying the selection, presentation and sequencing of different patterns associated with them, bringing further home the observation that the development of ELT textbooks is more intuitively than empirically motivated.

Keywords: Phrasal Verbs, grammatical patterns, ESL textbooks, corpus linguistics

INTRODUCTION

The emergence of corpus linguistics, the advent of machine-readable corpora and development of the lexical syllabus

brought about a considerable shift in the area of language study and instruction. These groundbreaking developments in the field gave rise to the new sub-discipline of phraseology. Cowie (1994, p. 3198) describes phraseology as "the study of the structure, meaning, and use of word-combinations". It covers a wide range of forms including idioms, proverbs, phrasal verbs, chunks, prefabs, and prepositional

structures; however, phrasal verbs _ combination of a verb and an adverbial particle_ are reported to be the largest class (Baldwin & Villavicencio, 2002).

The English phrasal verb combinations are claimed to be one of the most notoriously challenging aspects of English language instruction (Celce-Murcia & Larsen-Freeman, 1999; Granger, 1996; Siyanova & Schmitt, 2007). Language learners have been reported to experience difficulties in dealing with these forms in such areas as "'remembering meaning', 'grammar' and 'word order'" (Pye, 1996, p. 698). The problems can be attributed to a number of characteristics of these fuzzy constructions such as their orthographic forms, grammatical configurations, and idiomatic nature.

Despite their rather complicated structures and unpredictable meanings of some combinations, phrasal verbs are of high relevance for ESL/EFL learners because a grasp of them "can be a great asset to learners in acquiring a new language" (Celce-Murcia & Larsen-Freeman, 1999). Taking into account both the complexity associated with these forms and, at the same time, their usefulness to language learners, the issue of how they are selected, sequenced and presented in terms of their grammatical configurations in ESL materials appears to be a pedagogical concern. The present study thus aimed at investigating the presentation of the grammatical patterns associated with these combinations in Malaysian ESL textbooks.

LITERATURE REVIEW

There is a host of different terms like multi-word verbs (Parrott, 2000), complex predicates (Ackerman & Webelhuth, 1998), two-word verbs (Celce-Murcia & Larsen-Freeman, 1999), verb particle combinations (Villavicencio & Copestake, 2002) to refer to these structures with "phrasal verbs" (Brinton, 1985) appearing "to be the winning term" (McArthur, 1989, p. 38). Likewise, literature offers a number of different definitions to describe these esoteric combinations. Among others, Quirk, Greenbaum, Leech, and Svartvik (1985) define a phrasal verb as a verb followed by a morphologically invariable particle, which idiomatically functions with the verb as a single grammatical and semantic unit. To Cowie and Mackin (1993), a phrasal verb is the result of a verb combining with a particle or a preposition forming a unit of meaning. According to Celce-Murcia and Larsen-Freeman (1999), phrasal verbs are two-word verbs that function as a single verb.

Most of the literature on phrasal verbs in corpus-based studies is mainly concerned with the presentation and frequency counts of these forms across different general and specialized corpora (Akbari, 2009; Gardner & Davies, 2007; Trebits, 2009; Schneider, 2005; Von, 2007). Empirical studies of these combinations in instructional materials are, however, few and far between. Side (1990), examining a few ELT course books and reference materials, argues that the difficulties associated with the phrasal verb combinations are to some extent motivated by the way in which they are presented.

She observes that description of phrasal verbs in teaching materials often fail "to create learnable patterns" and sometimes create "patterns of the wrong kind" (P. 150). In addition, Darwin and Gray (1999), comparing a list of top 20 phrasal verbs in the BNC with the combinations in a typical ESL grammar book, found that only three forms in the textbook matched the items on the list. Likewise, Koprowski (2005) reported that there was not even a single phrasal verb shared by the three contemporary ELT course books that were developed as general English materials for intermediate level learners. Finally, in another recent study on the Malaysian ESL textbooks, Zarifi and Mukundan (2012) investigated the use of phrasal verb combinations in the spoken sections of the materials. They reported that textbooks contained combinations of extremely low frequency counts in general English and vice versa. Findings enabled the researchers to conclude that both the selection and presentation of these combinations were inconsistent with their actual use in the BNC.

Phrasal verbs are usually referred to as the multi-word middle ground between lexis and grammar (Gass & Selinker, 2001). Not only are they complicated in terms of their semantics but they are also challenging because of the various grammatical configurations they may assume. While the transitive combinations are accompanied by an NP complement, no NP follows the intransitive combinations. It is interesting, however, to point out that not all transitive structures have the same syntactic behavior. In some transitive combinations, the particle is always contiguous to the verb. In some others, the particle is always noncontiguous to its verb. There are still other transitive combinations in which there is no fixed word order. The particle in these structures can equally occur after the NP complement or immediately after the verb. To complicate the point, there are combinations (e.g., give up) that may fall in more than one syntactic type. With that being said, any discussion of phrasal verbs should not only care for their meaning but also for their grammar.

Teaching grammar has for long been the main focus in language pedagogy and literature has a lot to contribute to the area both in terms of theory and practice. Over the past decade, an overwhelming body of empirical studies in the language classroom has shown that grammar instruction actually results in learners' substantial gains in L2 proficiency, accuracy and rate of progress (Ellis, 2001; Nassaji & Swain 2000). While there is general agreement on the value of teaching grammar, the issue of whether instruction should be explicit or implicit has been a matter of perennial debate. Norris and Ortega's (2000) careful analysis of 49 studies has revealed that explicit teaching leads to better and more durable learning than implicit teaching. According to DeKeyser (1998), grammar instruction should both stimulate students to reflect on the nature of grammatical rules and, at the same time, provide opportunities for them to observe those rules used in a meaningful way in realistic contexts.

Despite the ink spilled over the treatment of the phrasal verbs in teaching materials, to the best of the researchers'

knowledge, there has been very little or no attempt to investigate the grammatical presentation of these structures in ELT materials (Zarifi, 2013). The current study was, therefore, directed at the identification of the grammatical behavior of these forms and, more specifically, the structural relation that holds not only between the particle and its associated verb but also the syntactic relationship between the phrasal verb combinations and the other constituents they keep company with.

RESEARCH QUESTIONS

The current study seeks to address the following research questions:

1. What are the frequencies of different grammatical patterns of phrasal verbs in Malaysian ESL textbooks, and how are they distributed within and across the five Forms?

2. How are these patterns presented in the grammatical sections of the textbooks?

METHODOLOGY AND MATERIALS

Design of the Study

Methodologically speaking, the present study is a corpus-based content analysis. One major methodological issue in corpus studies, by and large, involves the choice between the quantitative and qualitative approach (Mair, 1991). While the quantitative approach lends such important insights into text aspects as the frequency counts of different linguistic features and patterns (Conrad, 2005), numbers alone fail to provide the information why such features

are used so frequently or infrequently. It follows then that even the most elaborate quantitative analyses must be complemented by some qualitative interpretations of the language patterns. Among others, De Monnik (2005), Krippendorff (2004), Mair (1991) observe that combination of the two methods is both essential and indispensable. The present study, therefore, adopted a mixed approach in its methodology.

Population and Sampling

The five Form textbooks prescribed for use by the Malaysian ESL learners at the secondary level were used as the corpus of the study. This pedagogic corpus was developed by Mukundan and Anealka in 2007 and contains around 302,642 tokens of running words and more than 2,000 tokens of phrasal verb combinations. It comprises an almost balanced selection of texts in terms of spoken versus written modalities, conversational versus formal registers (Arka, Simpson, Andrews, & Dalrymple, 2007) and the variety of topics it deals with, hence the representativeness of the corpus. This study adopted a comprehensive data sampling (Ary, Jacob, Razavieh, & Sorensen, 2006) as all the instances of the phrasal verbs in the corpus were included in the analysis.

Instrumentation

The WordSmith Tools (version 4.0) was used to search the corpus of the study for the potential phrasal verbs. Concord functions of this instrument provided efficiently and usefully for a two-step research of

quantitative and qualitative query into aspects of the use of phrasal verbs in the current pedagogic corpus. It gave the researchers the chance to look at each line horizontally in the context to identify the phrasal verbs and the syntactic category associated with each combination.

Data Gathering

One major methodological issue in the current study involved the extraction of phrasal verbs from the corpus. As the number of lexical verbs which can be combined with an adverbial particle to form phrasal verbs is overwhelmingly extensive, it was almost impossible for the researchers to look for the phrasal verbs by looking at all the lexical verbs in the corpus. Furthermore, any single lexical verb can occur in a number of different forms (e.g. get, gets, got, and getting) that would make the task highly formidable and cumbersome. English particles, however, form a very limited and manageable list to work with. Thus, having identified all the particle/preposition cases in the corpus, the Concordance function of WordSmithwas run to look for the possible candidates.

Looking through the concordance lines horizontally, a large number of the instances of these elements were ruled outfrom the data for analysis since they were not preceded by any lexical verb. On the other hand, the remaining instances could feature either phrasal verbs or prepositional verbs. Therefore, the researchers, in the light of the operational definition of phrasal verb combinations adopted in

the study, went over all the instances of particle/preposition elements preceded by a lexical verb to differentiate between these two superficially similar structures. It is, however, interesting to point out that as there are no clear-cut boundaries between phrasal and prepositional verbs but a continuum (O'Dowd, 1994), and the cut-off boundaries based on the different definitions still seem to reflect more or less the subjective feeling of the researchers (Claridge, 2000), there is a hesitation to claim that a hard and fast classification of the combinations has been presented. Only a simple categorization that looks plausible has been made. Putting this into perspective, wherever a non-prepositional use of an adverbial particle followed a lexical verb, the combination was recognized as a phrasal verb (Claridge, 2000). Finally, as phrasal verbs behave syntactically differently, with particle falling immediately adjacent to lexical verbs (V + Part) or with two or more words from it (V + X + Part; V + X + X + Part; V + X + X + X + Part; etc.), the software was programmed to search for these structures within different lengths.

RESULTS AND DISCUSSION

The first research question aimed at identifying the different grammatical patterns of the phrasal verbs and their distribution in the corpus. The concordance function of WordSmith Tools (4.0) provided us with a total number of 16579 particle/ preposition elements. Having looked into the concordance lines, a large number of cases could be ruled out from the population since

they were not preceded by any lexical verb, hence absolutely not potential candidates for phrasal verbs. Since the remaining instances could function both as phrasal verbs and prepositional verbs, the researchers went on to distinguish between the two types in terms of the operational definition of the phrasal verb combinations as explained above. On the whole, there appeared a total of 16579 particle/preposition cases across the textbooks from which only 2212 cases (e.g. How well do you and your parents get ALONG?) acted as particles following lexical verbs, hence phrasal verbs. The rest of the cases, that is, a total number of 14367 behaved either as a preposition (e.g. Walk ALONG Green Avenue.) or as other functions (e.g. You certainly deserve a pat on the BACK!) based on the linguistic context in which they appeared.

After extracting all the instances of phrasal verbs in the corpus, the second step consisted in sorting them into their various grammatical patterns as phrasal verbs may occur in a wide range of syntactic configurations. To this end, a fairly extensive list of the distributional possibilities of these combinations as used in the corpus was developed. This list included 14 different grammatical patterns of phrasal verbs which run as follows:

1. V+Prt+Np (Jot down all your thoughts, feelings and opinions.)

2. V+Np+Prt (The wolf then ate the lamb up.)

3. V+Pron +Prt (Someone will wake them up.)

4. V+Prt (Hey, calm down. I was just joking.)

5. V+Prt+Prep (Cut down on your television time.)

6. V+Pron+Part+Np (I bring them back some worms.)

7. V+Part+Np +Prep (… the person who opened up a new world for me.)

8. V+Part+to-V (… animals have to move away to look for another home.)

9. V+Part+V-ing (That's why you kept on asking the factory tour guide to…)

10. V+Part+Prep+V-ing (I am looking forward to reading more about you.)

11. V+Pron+Part+to-v (… helped him out to complete …)

12. V+Prt+ as Np (… if you signed up as a volunteer.)

13. V+Prt+Adj (… (never forgot) what it was like to grow up poor.)

14. V+Prt+S (… settlers look forward their crops mature in a month's time.)

It should be mentioned that there occurred some other structures with phrasal verbs such as "V + Part + Pron" and "V + Part + That/Wh-Clause" in the corpus. However, as the constituents 'Pron' and 'That/Wh clause' are usually known as the rewrite forms of an NP constituent, the configurations in which they occurred were not treated as separate entities. In such cases,

instances of 'Pron' and 'That/Wh-clause' were acknowledged as variations of the NP constituent which could be rewritten as follows:

NP → (Pron)(That/Wh-Clause)

As a result, the combinations featuring "V + Part + Pron" and "V + Part + That/Wh-Clause" were included in the first pattern, that is, "V + Prt + Np".

Likewise, it should come as no surprise that passive phrasal verbs were not given a separate pattern as any transitive verb-particle combination, like any single-word transitive verb, usually permits a passive variant. Active forms are also held to be more basic than passive ones (Cappelle, 2005). Similarly, as any verb is potentially likely to be followed by an adverb of manner, time, place, etc., the researchers decided that no separate pattern be allotted to configurations in which a phrasal verb was followed by any adverbial element. However, the combination "V + Pron + Part" was assigned a separate pattern as it could be taken both as an optional transform of pattern "V + Np + Part", and as an obligatory transform of pattern "V + Part + Np" with transitive phrasal verbs. So, in order to do away with the ambiguity mentioned above, the researchers decided that it should be assigned a separate pattern, namely, "V + Pron + Part". Therefore, it can be argued that the formulation of the grammatical patterns of phrasal verbs in the current study is far from arbitrary and seems to be justified.

To sum up, a total number of 14 different grammatical patterns of phrasal verbs occurred in the corpus. It is interesting to point out that these multi-word verbal combinations are also likely to occur in the same grammatical patterns that single-word lexical verbs of English may assume.

Having identified the patterns, the researchers found it interesting to see whether the frequencies of the various grammatical realizations of multi-word verbs developed in similar ways across the textbooks. The relative frequency of each of the grammatical patterns of the phrasal verb combinations across the corpus is presented in table 1.

TABLE 1
Phrasal verb patterns and their frequency across Forms 1-5

	Pattern type	Freq across corpus	Occurrence %
1	V + Part + Np	1201	54.29
2	V + Np + Part	55	2.49
3	V + Pron + Part	116	5.24
4	V + Part	536	24.23
5	V + Part + Prep	247	11.17
6	V + Pron + Part + Np	2	.09
7	V + Part + Np + Prep	8	0.36
8	V + Part + to-V	23	1.04
9	V + Part + V-ing	14	0.63
10	V + Part + Prep + V-ing	3	0.14
11	V + Pron + Part + to-V	2	0.09
12	V + Part + as NP	2	0.09
13	V + Part + Adj	2	0.09
14	V + Part + S	1	0.04
	Total	2212	100

As the table shows, these combinations proved to have been distributed significantly unevenly across the corpus. For instance, while Pattern One alone occurred with a high frequency of 54.29% throughout the Forms, patterns 6-14 altogether involved only about 2.57% of all the phrasal verb combinations across the whole corpus. Some patterns had a negligible frequency of one or two instances, and they appeared in only one of the Forms. For instance, patterns 14 occurred just once and patterns 6, 11, 12, and 13 each occurred only twice in the corpus.

The overwhelming occurrence of Pattern One with the predomination of prenominal particle position all across these ESL textbooks revealed the writers' tendency towards showing the dependence of the particle on its related lexical verb and the proximity between these two elements. This finding is consistent with Schneider's (2004) finding that the prenominal particle position predominated all across the ESL or "Outer Circle" varieties of English. It is also supported by Von (2007) who found that pattern "V + Part + NP" was preferred to its counterpart by both native speakers and non-native learners in writing. Arnold, Losongco, Wasow and Ginstorm(2000) argue that constituent ordering is affected by a number of psycholinguistic factors. It is also argued that combinations in which the particle immediately follows lexical verb are less marked (Dehe, 2002) and, therefore, easier to decode, hence a pedagogical priority. Not only Pattern One but also Patterns 4, 5, 7, 8, 9, 10, 12, 13

and 14, that is, more than 92.18% of all the phrasal verbs in the corpus, featured such proximal immediacy. The sheer instances of the patterns in which the particle was in the immediate vicinity of the verb might tempt the reader to think of it as a piece of evidence of argument in favor of the originality of the structure 'V + Part + Np' compared with 'V + Np + Part', at least in outer circle English, which is often a matter of dispute among linguists (Cappelle, 2005).

Tables 2 through 6 present the frequency distribution and the percentage of occurrence of each single pattern in Form One through Form Five, respectively. Findings show that a total number of 347, 345, 395, 583 and 542 phrasal verb combinations occurred with different syntactic patterns in Form 1 through Form 5, respectively. As it is shown, the patterns were unequally distributed across the Forms both in terms of type and number. For instance, while 11 out of the 14 specified patterns occurred in Form Five, and 10 of them came in Form One, there happened only 9 of these grammatical configurations in Forms Two, Three and Four. As the frequency of each pattern is concerned, while Patterns 3 and 4 were of moderate frequency, some patterns like number 4 and more noticeably number 1 were overwhelmingly repeated at the expense of others such as types 12, 13 and 14.

TABLE 2
Phrasal verb patterns and their frequency in Form 1

	Pattern type	Frequency	Occurrence %
1	V + Part + Np	192	55.33
2	V + Np + Part	22	6.34
3	V + Pron + Part	31	8.93
4	V + Part	65	18.73
5	V + Part + Prep	29	8.36
7	V + Part + Np + Prep	1	0.29
8	V + Part + to-V	4	1.15
9	V + Part + V-ing	1	0.29
11	V + Pron + Part + to-V	1	0.29
12	V + Part + as NP	1	
	Total	347	100

TABLE 3
Phrasal verb patterns and their frequency in Form 2

	Pattern type	Frequency	Occurrence %
1	V + Part + Np	174	50.43
2	V + Np + Part	9	2.61
3	V + Pron + Part	17	4.93
4	V + Part	115	33.33
5	V + Part + Prep	21	6.09
6	V + Pron + Part + Np	1	0.29
8	V + Part + to-V	5	1.45
9	V + Part + V-ing	2	0.58
10	V + Part + Prep + V-ing	1	0.29
	Total	345	100

TABLE 4
Phrasal verb patterns and their frequency in Form 3

	Pattern type	Frequency	Occurrence %
1	V + Part + Np	208	52.66
2	V + Np + Part	4	1.01
3	V + Pron + Part	29	7.34
4	V + Part	91	23.04

TABLE 4 (*continue*)

5	V + Part + Prep	49	12.41
7	V + Part + Np + Prep	6	1.52
8	V + Part + to-V	3	0.76
9	V + Part + V-ing	3	0.76
10	V + Part + Prep + V-ing	2	0.51
	Total	395	100

TABLE 5
Phrasal verb patterns and their frequency in Form 4

	Pattern type	Frequency	Occurrence %
1	V + Part + Np	308	52.83
2	V + Np + Part	8	1.37
3	V + Pron + Part	25	4.29
4	V + Part	152	26.07
5	V + Part + Prep	79	13.55
6	V + Pron + Part + Np	1	0.17
8	V + Part + to-V	4	0.69
9	V + Part + V-ing	5	0.86
10	V + Part + S	1	0.17
	Total	583	100

TABLE 6
Phrasal verb patterns and their frequency in Form 5

	Pattern type	Frequency	Occurrence %
1	V + Part + Np	323	59.59
2	V + Np + Part	12	2.21
3	V + Pron + Part	14	2.58
4	V + Part	113	20.85
5	V + Part + Prep	69	12.73
7	V + Part + Np + Prep	1	0.18
8	V + Part + to-V	7	1.29
9	V + Part + V-ing	3	0.55
11	V + Pron + Part + to-V	1	0.18
12	V + Part + as NP	1	0.18
13	V + Part + Adj	2	0.37
	Total	542	100

Results of the grammatical analysis revealed that pattern 1 was the top frequent pattern, followed by patterns 4, 5 and 3, respectively. The relative infrequency in the corpus of patterns 2 and 3 which appear to be well-known configurations in general English might be attributed to the distance between the lexical verb and its particle which is motivated under certain syntagmatic and pragmatic conditions. For instance, it is often the case that only light not heavy NPs may come before the particle (Cowan, 2008). In addition, only when the direct object is a pronoun, it necessarily intervenes between the verb and its particle in separable combinations. Otherwise, it more often than not follows the verb and its associated particle. Moreover, some of the combinations are inherently inseparable and the particle is always there out to immediately follow the verb irrespective of the type of noun phrase that comes with it. By the same token, pattern 1 with the particle directly following its lexical verb was predominant.

As far as patterns like 6 and 10 through 14 are concerned, it should be pointed out that irrespective of their low frequency in real use, they were so infrequently used in the corpus that their presentation would be most likely to be ignored by the learners. Bley-Vroman (2003) argues that the grammar that L2 learners acquire is significantly based on what they have encountered and "how often" (p. 268). While there is no definite number of encounters that ensures learning of a certain form, and different degrees of learning call for different kinds of exposure

(Biber&Reppen, 2002), for ESL learners to acquire a given language form, they need to encounter it in different contexts with a minimum degree of seven to ten frequencies of occurrence over spaced intervals (Brown, Waring, & Donkaewbua, 2008; Thornbury, 2002).

Despite the fact that a large number of phrasal verbs are ditransitive, occurring with one direct object and one indirect object, these combinations were of a negligible frequency (2 instances) in the corpus. The relative absence of these forms from the corpus brings further home the claim often made about the selection and presentation of language items in pedagogical materials, namely, it is based more on speculation and anecdotal experience of materials developers than on empirical findings (Moon, 1998; Mukundan, 2004; Sinclair, 1991; Sinclair & Renouf, 1988). This issue can be raised as a major shortcoming the textbooks are suffering from since these combinations are highly frequent in natural use of language as exemplified by instances such as 'GIVE BACK', 'GIVE UP', 'GIVE IN', 'HAND IN', 'HAND OUT', 'PAY BACK' and many more similar combinations. While patterns 8 and 9 occurred also with a negligible occurrence of one each, they are used quite infrequently in the natural use as well. It should be pointed out, however, that the low frequency of a pattern alone does not warrant its being ignored or underrepresented in the ELT materials as there are factors like range, usefulness, learner need, and some others that have also a role to play in making decisions as to

which forms or patterns to include. Conrad (2000, p. 556) is strongly emphasizing this stance by arguing "Frequency data alone cannot dictate pedagogy", and it is pedagogically insensible to neglect a particular grammatical structure simply because it is infrequent.

Empirical findings of the study also cast light on some aspects of the localized use of the English language as well. There were some patterns with phrasal verbs in the corpus which featured more the Malaysian variety of English. For instance, the sentence "The new settlers LOOKED FORWARD their crops mature in a month's time." in Form Four, is a deviation from the Standard English. Out of the 1097 hits of 'LOOK FORWARD' in the BNC, not even a single instance was found to be used with this structure. In Standard English, 'LOOK FORWARD' is usually used with the preposition 'to' followed by a 'noun' or an '–ing' form of the main verb. Likewise, in standard English, 'LOOK UP' is used with a preposition like 'at, in, into, and for' when it is followed by an NP referring to a geographical name unless it is followed by another prepositional phrase like 'in telephone directory' as in "Now LOOK UP Livesay in the classified telephone directory" (BNC). However, Form One used 'LOOK UP' in the sentence "One such place is Taman Negara. LOOK UP two more such places in your own state." which is grammatically a deviation from Standard English. Standard English makes use of 'LOOK FOR' or 'LOOK UP FOR' to convey the same meaning. While Mesthire

and Bahtt (2008) state that one of the characteristics of Southeast Asian English including Malaysia is the use of prepositions after verbs where they would not normally appear in standard British English, this new empirical evidence reveals that, Malaysians may also tend to ignore prepositions in contexts where native speakers usually use them in standard British English. Platt *et al* (1984) are, in fact, emphasizing the localized patterns in new Englishes when they state that phrasal verbs are sometimes used without particles, with different particles and sometimes new phrasal verb structures are created.

One more point of pedagogical importance to mention is that the guiding principle underlying the sequencing of different patterns across the Forms was not clear, and it was doubtful why some structures were prioritized over others. While the first five patterns were used in all the five Forms, the other patterns were scattered among the Forms almost with no pedagogical justification. For instance, it is unclear why pattern 6, which is more frequent and more familiar to students facing such structures with single word verbs in previous Forms, was postponed to level Two, but pattern 12 which is very infrequent both in natural use and in the corpus came in level One. Finally, much to the researchers' surprise, Form Four students who were at a higher level of language proficiency were denied the chance of coming across patterns 7, 10 and 11 that were introduced to the learners of lower levels.

Of main concern with the presentation of phrasal verbs in the textbooks was that they were presented along with the prepositional verbs like 'think about', 'concentrate on' (Form Four, p. 144) and more disappointingly with prepositional constructions like 'responsible for' and 'happy with' (Form Five, p. 164). While the textbooks made a distinction between prepositions of time, place, direction and so on (Form Four, p. 182), they surprisingly remained silent on the issue of differentiating between particles and prepositions. Such a silence, in the absence of any revealing pattern presentation, would mislead the students to conclude that phrases that come under the same category behave in a similar way. Consequently, learners would remain ignorant of the fact that even though some combinations share similar elements in their structures, they might have different syntactic behavior. For instance, while 'ON' in 'INSIST ON' is a preposition and it is always used before any NP following the verb, and it forms a semantic unit with the NP not the verb, 'ON' in 'PUT ON' is a particle making a semantic and intonational whole with the verb rather than with its following NP. The situation would become more problematic if learners come to decode the phrasal verbs compositionally as with prepositional constructions, that is, in terms of the meanings of the constituent parts. Particles in phrasal verbs, unlike prepositions in prepositional verbs, no longer maintain their prepositional meaning. They rather tend to add a new aspectual or figurative meaning to the lexical verb which makes

comprehension of these forms challenging at least for ESL/EFL learners (Celce-Murcia & Larsen-Freeman, 1999). Unless learners are provided with some explicit or implicit information on how phrasal verbs differ from other similar-looking structures, it should come as no surprise that learners show tendency to regard them as identical forms. Alternatively, they might come to consider the verb and particle in a phrasal verb as individual linguistic elements combining freely together like other free forms such as "They put the book/it on the table".

Phrasal verbs are often known as the middle ground area between grammar and lexicon (Gass & Selinker, 2001). They, like any other phenomenon category in the language, enjoy their own grammar (Aston, 2001; Thornbury, 2002), and learning a phrasal verb involves learning the grammatical patterns associated with it. It is, in fact, due to the strong bonding between the meaning and grammar of each combination that Liu and Jiang (2009) argue that learning of the lexical and grammatical aspects of these phrasal verbs should take place simultaneously. The ESL materials, however, failed to drop even a single hint as to the grammatical forms that these forms could take on.

In order for ESL learners to master the grammatical complexity of the phrasal verb combinations, their attention should be consciously drawn towards the essence of these forms through explicit instruction and meaningful classroom activities (Bishop, 2004). This stance of pedagogical practice

receives much theoretical support from Schmidt's noticing hypothesis (1990). According to Schmidt, unless the learner is consciously aware of the target language features of any type, he will fail to learn them effectively. Likewise, Norris and Ortega (2000), in a meta-analysis of a huge number of studies dealing with the effectiveness of L2 instruction, concluded that form-focused instruction results in substantial and long lasting gain of the target structures. In a similar way, Lewis (2000) and Segermann (2003), cited by Siepmann (2008), argue that ESL materials should not only make the learners aware of the formulaic nature of these sequences through explicit explanation and frequent use of them, but also draw their attention to the "re-analyzability" of these forms for productive purposes.

The lack of grammatical explanation on phrasal verbs, however, should not be interpreted that perhaps the presentation of the grammar in the textbooks followed a communicative approach and thus it needed to be implicit. While some Forms (e.g. Form One) turned out to be highly communicatively oriented, tending to present grammar implicitly, this tendency was not the same across all the five Forms. In some Forms, the authors managed to dish out elaborate grammatical comments on different aspects of the language ranging from bound morphemes to free forms and complicated grammatical rules. For instance, there were explanations on the application of plural morphemes –s and –es and irregular plural forms on page 36

of the Form Three textbook. There also existed comments about English definite and indefinite articles like 'a', 'an' and 'the' and the phonological conditions of the nouns with which they can be used (Form Three, page 36). There were as well grammatical explanations about changing direct speech to indirect speech in page 210 of the Form Five textbook. On the other hand, even the proponents of communicative language teaching have increasingly recognized and stressed the merit of attention to form in classroom pedagogy (Nassaji & Fotos, 2011). For instance, Savignon (2005) argues that "for the development of communicative ability, research findings overwhelmingly support the integration of form-focused exercises with meaning focused experience" (p. 645).

CONCLUSION

Data analysis led the researchers to conclude that phrasal verbs did not enjoy a good reputation in these ELT textbooks. They were hardly ever treated as a group as such, enjoying their own grammatical behavior and were, therefore, rather sparingly dealt with. Despite their pronounced regularity, no grammatical explanation was provided for the language learners. Even in the sections directly addressing these combinations only a few examples were provided just to show that combination of a lexical verb and a particle/preposition element could lead to new sequences with new meanings in the language. No distinction was made between the separable and inseparable forms. No explanation was given on how

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Excellence in Malaysian Universities: Senior Academics in Public and Private Institutions Discuss this Notion

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ABSTRACT

An article from the Times Higher Education inspired this investigation into the perception of university excellence in Malaysian universities with senior academics. Focus group discussions took place in two private and two public universities with random keywords supplied to facilitate the discussions. Discourse analysis of the transcripts of the tape-recorded discussions revealed the academics in private universities tended to use more lexical items associated with industry and liberal market ideologies, such as "employability" and "brand," which conform to a newly-identified description of the research university as an academic entrepreneurial paradigm. By contrast, public university academics emerged as intellectual purists, with references to "curiosity-driven research," "academic freedom," and "commitment" to the transfer of knowledge, in their discussions. Such terms are reflective of more traditional notions of our oldest social institution, the university.

Keywords: excellence, Malaysia, public and private universities

INTRODUCTION

In 2001, self-proclaimed "academic tourist," Professor Graeme Harper embarked on a quest to discover the definition of excellence in a university. To date his travels have taken him to Australian, British, Japanese and American universities and he has increasingly found excellence to be an elusive, multi-faceted notion. At MIT, greatness derives from curiosity-driven research; in Melbourne, Australia, from creative reciprocity between students and faculty; at Harvard, from inherent leadership quality; and at St Andrews, from local pride in being Scotland's oldest university. At the delightfully-named FUN University or Future University Hakodate, Japan, openness and human values contributed to the perception of excellence (Harper, 2010).

Universities are proliferating annually in Malaysia and many promote themselves as "excellent," "premier," or "leading." The problem with using such superlatives is that they tend to lose their potency and meaning with over-use over time. Moreover, as Harper finds, excellence defies a singular definition.

Our objective in this exploratory study of Malaysian universities, which was fundamental research, was to discover whether the notion of "excellence" differed between the older, more established public universities and newer, industry-supported private universities in the eyes of academics with more than ten years' experience.

LITERATURE REVIEW

The study commences with a brief background of the university, our oldest social institution, to form the rationale for some of the keywords provided for the focus group discussions.

The first university was a garden, not a structure. At Plato's Grove of Academus, located outside Athens, circa 360 B.C., the patrician classes of Greece and Asia Minor held informal philosophical discussions concerning the governance of the ideal society. The first formal institutes of learning were constructed in parallel in North Africa and Europe between the 10th and 12th Centuries. Islam established and informed a broad range of subjects at the universities in the Maghreb, whereas the Church established the universities in Europe. The University of Bologna, Italy, in particular, was notable for enshrining the concept of "academic freedom," granting travelling scholars the right to pursue knowledge without hindrance.

It was not until 1850, a time of profound social and economic change in Western Europe, that the purpose and character of Higher Education was discussed by John Henry Newman. Rejecting the passive rote memorization he had experienced at Oxford, Newman maintained education should cultivate the intellect to form and express individual opinions and judgments, with knowledge pursued as an end in itself (Newman, 1996). Until this time, Oxbridge had remained a bastion for the sons of wealthy landowning families to forge useful social connections. Valued professions today such as Law, Medicine and Engineering were acquired not by attending university but through systems similar to apprenticeships (Garland, 1996).

In America, the first modern research university, John Hopkins, was established in 1876 to emulate the new German university model. It gave prominence to science and research over philosophy and teaching, and its academics were given absolute freedom to write or publish. Abraham Flexner, who founded the Institute for Advanced Study at Princeton, was an alumni of John Hopkins. He was critical of mass enrolment in American universities, believing education to be incompatible with business. In Flexner's opinion, the smaller the institution, the better the quality of education (Iwabuchi, 2004). Flexner's vision for Princeton seems to bear similarities to Newman's i.e. a haven devoted to cultivating curiosity and

liberating scholars from a utility-oriented, outside world.

Two influential manuscripts on Higher Education were published in 1963 in the USA and Britain. Clark Kerr, President of the University of California, documented the impact of unprecedented increases in student enrolment and with great prescience, introduced the term Multiversity (Kerr, 2001). The implication is that of a corporation: having thousands of students and hundreds of courses; responsibility for its infrastructure; different locations; contacts with government and industry; an impact on its immediate vicinity and many employees. The analogy appears complete when Kerr compares UC with IBM.

The Robbins Report was published in Britain in 1963 with the intention to advance technology and achieve social change in a decade by doubling student enrolments, funded by taxation increases (Her Britannic Majesty's Treasury, 1963). Nevertheless, Lord Robbins exercised patrician concern regarding academic freedom at individual and societal levels by stating:

> *Such freedom is a necessary condition of the highest efficiency and the proper progress of academic institutions, and that encroachments on their liberty, in the supposed interests of greater efficiency, would in fact diminish their efficiency and stultify their development*

(Her Britannic Majesty's Treasury, 1963, p. 229).

By 2000, with increased enrolments and increasingly knowledge-based economies in Western Europe and the USA, fully or even partially, public-funded universities had become unsustainable, although possibly this was less problematic for some American universities receiving generous, tax-exempt endowments from alumni. Many universities worldwide finance themselves by charging tuition fees, although ethically these cannot be raised to an extent which jeopardizes equality of opportunity for poorer students. As institutions for the production and dissemination of knowledge, universities were urged by their governments to market and patent more of their inventions. To illustrate this more recent entrepreneurial university, a theoretical triple helix was suggested involving linkage between the separate entities of academia, industry and government (Etzkowitz, Webster, Gebhardt & Cantisano Terra , 2000). Acquiescence to this entrepreneurial model appeared in the film The Social Network (2011) documenting Mark Zuckerberg's creation of Facebook at Harvard. When three fellow undergraduates accused Zuckerberg of intellectual theft, they were dismissed from the President's office with the memorable line, "Harvard graduates believe inventing a job is better than finding one" (Fincher, 2011). Of particular import here is that the President was giving all the students concerned academic freedom.

This relatively recent entrepreneurial model requires academics to liaise and negotiate outside the university but relationships may sometimes be tense due to

conflicting interests. Blumenthal, Causino, Campbell and Louis (1996) highlighted issues concerning patent applications between researchers and Life Sciences industries i.e. agriculture, chemical and pharmaceutical. Firstly, such applications were secretive and time-consuming, thus delaying the publication of graduate theses. Moreover, funding tended to be exaggerated in the Life Sciences, when in reality it was often for less than half a million dollars and less than a two-year duration. Similar tensions have also been documented between universities and the U.S. National Institute of Health with researchers experiencing attempts by the economically and politically powerful to silence or politicize their research, particularly studies involving the tobacco industry (Rosenstock & Lee, 2002).

Industry operates in an aura of secrecy to maintain its profitable edge, whereas the role of universities from ancient times has been the dissemination of information to improve society. Campuses with barbed-wire fences resembling maximum security prisons are a far cry from Crick and Watson sketching the structure of the DNA helix on beer mats in the Blue Boar, Cambridge. This new entrepreneurial paradigm then, places academics in unfamiliar negotiations raising finances for research with high-risk venture capital companies, when their ultimate aim is to publish in scholarly journals (Florida, 1999).

Dramatic changes with the advent of computer-mediated communication have also had an unforeseen impact on universities over the last 50 years. This has facilitated distance learning, making it possible for students to work autonomously and interactively off campus (Landow, 1996). Compare, for example, today's Harvard undergraduate accessing the Perseus Project, an electronic corpus of Ancient Greek with numerous hyperlink texts, to John Henry Newman reciting classical Greek under the tutorage of scholarly Oxford dons.

Turning to the Malaysian context of this study, the country's oldest university, The University of Malaya or UM, celebrated its centenary in 2005. This means all universities in Malaysia, public and private, are still in their infancy compared to their American and European counterparts. The British colonial heritage of Universiti Sains Malaysia, or USM in Penang, is evident from many of its campus buildings. The American influence on all universities, lies in the relatively recent introduction of the Grade Point Average system , or GPA, for student assessment.

Measurement and accountability structures are notable features of universities in Malaysia. Whilst students are rated using GPAs, the quality of an academic, primarily in teaching and research, is measured using Key Performance Indicators, or KPIs, They also provide information to assess eligibility for promotion with the criteria set by institutions. Whether KPIs, do measure academic excellence remains a contentious issue as the system may be circumvented to achieve the periodically-reviewed targets. For example, in order to fulfill research quotas, research papers may be submitted

to inferior quality journals or journals requiring payment for publication, thus prioritizing quantity over quality. A time-consuming preoccupation with fulfilling research targets can easily be considered a distraction from the core functions of the university since antiquity i.e. teaching and learning.

In January 2013, five public universities in Malaysia, including UM and USM, were given autonomy in 4 areas: finance and wealth creation; institutional governance; human resources and academic management; and student admissions (Kulasagaran, 2012). The expressed objective was to encourage excellence. This however, is institutional and financial autonomy, not, as Sharom (2012) noted, academic freedom which would require the Statutory Bodies Discipline and Surcharge Act to be amended or revoked. No academic freedom implies a major deviation from the objective of Plato's time which was to improve society.

Recently, one newspaper article criticized higher education in Malaysia for conformance to a pre-established, instrumental, economically-useful agenda (Yusoff & Munir, 2012). It therefore seems opportune to ask Harper's question regarding the perception of excellence with relation to Malaysian universities.

METHOD

Four universities participated in this qualitative study of Senior Academics' perceptions of excellence in Malaysian universities. The two private, government-linked, city universities are in Bangi, just outside Kuala Lumpur and have been in existence for less than 20 years. Multimedia University, or MMU, was established by Telekom Malaysia, or TM, and has a twin campus in Melaka. Universiti Tenaga, or UNITEN, was established by Tenaga National Berhad, or TNB, the national electricity supplier. The two private universities are Malaysia's oldest, The University of Malaya or UM, in Kuala Lumpur, and Universiti Sains Malaysia, or USM, established in Penang 45 years ago.

Each university was emailed with a brief outline of the study and the 30 minutes required for the discussion, for academics to voluntarily participate. Sixteen Senior Academics from a range of disciplines i.e. the humanities, social science, pure science and engineering, were involved in the four discussion groups: eight from the private universities, eight from the public. Senior Academics had previously been defined as lecturers / researchers with at least 10 years' teaching experience and therefore a Senior Lecturer, PhD or Professor. Table 1 below shows the status and gender of the participants, who were assured confidentiality and will therefore remain anonymous throughout this study.

TABLE 1
Participants' Status and Gender

Multimedia University	2 Professors 1 PhD	3 males
Universiti Tenaga National	3 PhDs 2 Senior Lecturers	3 females 2 males
University of Malaya	4 Professors	3 males 1 female
Universiti Sains Malaya	2 Professors 2 Associate Professors	4 females

Qualitative data was preferred over structured interviews and questionnaires as it was believed senior academics would be more amenable to sharing their subjective perceptions in the relaxed setting of a focus group (Gibson & Brown, 2009). Moreover, power relations are inherent in data collection procedures, e.g. with surveys, the interviewer has control by deciding which questions are asked. By contrast, a focus group implies a transfer in the locus of control, with the participants determining the features to be discussed in this particular instance. This was considered to be more appealing to higher status academics. The selection of senior academics, as opposed to lecturers, was deliberate for two reasons: to ensure wealth of experience and to possibly uncover any perceived changes over time.

We introduced ourselves, gave a brief outline of the study, its funding, and instructions for one university as they were unfamiliar with focus group discussions. The major structuring question written on the whiteboard was:

> *Your notion of excellence in a university*

A number of keywords from a preliminary discussion between the researchers were also randomly written on the whiteboard to prevent any interruption by the researchers during the discussion. The focus groups were informed they could refer to these keywords or use their own ideas during the 30 minute recorded discussion. The keywords were :

Facilities…Collaboration… Library…Teaching… Trimester… KPIs.

State vs. Private…Urban vs. rural…Publishing house…

Salaries–Tenure – Grievances….. Commitment…Longevity

Curiosity vs. Market-driven research…Corporate Culture…..

Architecture…….. Multidisciplinary vs. Specialist…

With permission, the discussions were audio-recorded and later transcribed.

RESEARCH FINDINGS AND DISCUSSION

Two Private Universities

"Functional" and "businesslike" describe the locale of the private universities where the discussions took place in meeting rooms accommodating up to 10 people. There was little decoration in the MMU meeting room, except two TM posters, bearing the slogans, ''Customer Centricity" and "performance-based culture", alongside an empowerment message from The Mental Warrior, Lawrence Ng. We did not get a full impression of MMU as most doors remained closed. UNITEN's Chancellery was more inviting, with flowers at the Information Desk. There were illustrated signs to "use the water wisely" in the toilets and "Burn calories, not electricity" by the lift. UNITEN follows the five S principles of Japanese manufacturing culture, which explained the neat, minimalist ambiance. The UNITEN

meeting room allocated for the discussion had more motivational posters.

Deference describes the focus group session at MMU with the two expatriate Professors largely dominating the discussion. Prof 1 began with the acknowledgement the terminology surrounding "excellence," i.e. "premier" and "leading" had become predictable but he proudly added MMU's research was only outranked by four public universities. Prof 2, an Engineer, pondered the question before objectively listing his four criteria to determine excellence in a university: students' admission and output; research, consultancy and projects. He then elaborated on each of these features with Prof 1 concurring a particular strength at MMU was its collaboration with "an enormous number of companies" However, after the mention of strength, its antonym, weakness, caused the discussion to change direction.

The first weakness concerned location, as Prof 1 thought the campus, described as a little isolated and 35 kilometres. from the capital, is too distant for MMU to be considered a Kuala Lumpur university. However, being a multimedia university, meetings are usually conducted by video conference. Prof 1 then selected the keywords "salary-grievances-tenure" which engaged all three academics and formed the backbone of the discussion. Prof 2 revealed he initially believed MMU paid one of the best salaries,

> *But now I find MMU is one of the lowest paid institutions*

This comment was followed with details of actual salaries and was supported by the Doctor. Steering the group back to excellence, Prof 1 stated that the highest MQA requirement is the proportion of staff with PhDs. All concurred a quarter of the academics in most faculties hold a Doctorate. Another weakness came to light because there is a tendency for new PhDs to join other private universities offering better salaries and Associate Professorships. Prof 1 claimed the logical solution would be to instantly promote new PhDs but speculated reluctance was probably due to salary concerns. Prof 2 argued promotions should be determined by criteria and not according to a predetermined allocation of positions.

The keyword "tenure," was described by Prof 1 as a joke because the majority of staff are on contract "which is increasingly the norm in many universities" The Doctor stated permanent staff have a number of privileges i.e. maternity and hospital leave and job security because dismissal is extremely difficult. However, Prof 1 revealed contract renewal was not automatic, prompting younger staff to seek permanent positions at a nearby university.

At this point, the discussion reverted to the perception of excellence. The Doctor said that, in his opinion, this was the recognition given to the university by the academic community, particularly the international community. Both Professors agreed universities on the whole should not be considered excellent, only specific, renowned faculties within particular institutions.

The discussion commenced at UNITEN with the most senior academic present, and an almost uncanny overlap of MMU's unanimous conclusion that excellence in a university is conferred by the outside academic community. The female Doctor at UNITEN, Doc 1 added excellence did not depend on the institution, but was dependent upon field, research, teaching quality or graduates produced. She added recognition of the university's name was an indicator of excellence. As she explained:

*You have a brand, you know…
your brand is known and I think
that will indicate the sort of
excellence in terms of university*

Collaboration, particularly with companies or foreign universities, was also cited as an indicator of excellence, by Doc 1.

There was a notable reliance on the keywords throughout the session with people nominating topics for extension by the group. Overall, the discussion centred on the notion of excellence at UNITEN being dependent upon three interconnected factors: the students; the staff and the management team.

A significant amount of time was taken discussing student excellence with all academics contributing. Doc 1 claimed student excellence depended on their performance and excelling in their grades. The two female Senior Lecturers contradicted her, claiming good communication skills were important for employability after graduation and Doc 1 conceded presentation

skills and team working ability had to be taken into consideration. The older male, Doc 3, who arrived late and said relatively little, was critical of an exam-oriented school system and grade-focused university students unable to apply their knowledge. He maintained students lacked

*Clear Mission and Vision…they
just study, study, study….don't
have target*

However, the younger male Doc 2 defended the students, claiming they were still too young to have clear objectives.

Doc 2 said the description of "well-rounded" for students was equally applicable to lecturers and this was the implication of the KPIs. At this point Doc1 and Doc 2 were engaged in a forthright dialogue about KPI standards, with Doc 2 describing them as a personal standard of excellence. However, he doubted that all lecturers could perform well or excel in all areas by adding:

*You can only achieve if you are
like Superman*

Doc 1 agreed the high expectations for research, teaching and consultancy in a Trimester system were "a bit killing" and she expressed concern that lecturers might compromise in one area or sacrifice teaching quality. As the same doctor had earlier defined excellence in staff as

*How well we produce research
and how well we publish*

She suggested certain administrative work and exam invigilation should be delegated to part-time staff or students to enable lecturers to focus on teaching, research and projects.

TNB was described as UNITEN's "partner" and this was considered a beneficial relationship by the group. Doc 1 said a number of lecturers had previously been employed by TNB and could provide project and consultancy work through their networks. The provision of facilities was a further advantage and one lecturer praised the new language laboratories provided by TNB.

Discourse analysis for private universities

Table 2 below summarises the topics of the private university focus groups

TABLE 2
Topics of discussion for the two private universities

MMU	UNITEN
Research	Research
Students' admission & output	Students' employability
Projects & Consultancy	Facilities
Location	KPIs
Salary-grievances-tenure	Peer Reviews
Peer Reviews	

The academics in both private universities made reference to C*onsultancy*, *Projects* and *Collaboration*, realized through affiliation with their respective corporations. This appears to indicate their conformity to the Entrepreneur model (Etzkowitz, Webster, Gebhardt & Cantisano Terra, 2000). In addition, UNITEN referred to TNB as their *partner*, suggesting equality rather than the asymmetrical relationship implied by *parent* company. UNITEN appeared satisfied with the relationship, possibly because of the tangible assets i.e. language and computer laboratories, provided by TNB. By contrast, MMU did not mention TM once in their discussion. Given the time spent by two of the academics criticising certain contractual conditions, we would speculate the relationship is not as harmonious as UNITEN's.

Discussing the students, both groups used words more familiar in a business milieu e.g. *employability, output* and *performance*. As performance was clarified by *presentation skills* and *team working*, the terminology appears more indicative of physical rather than cognitive capability. The words *target*, *objectives* and *standards* were used in relation to KPIs, again lexical items more common in industrial environments.

Two Public Universities

"Established" and "spacious" describe both public university campuses. UM has a new, aesthetically appealing white Chancellery with numerous Bougainvilleas on the upper balconies. Even the cleaners wear smart purple jackets with the University crest embroidered on the pocket. We initially declined an invitation to use a gymnasium-sized conference venue and settled instead for a smaller, but equally opulent, meeting room seating up to 20 people. Ensconced in comfortable, high-backed seats, we were

surrounded by glass-fronted bookcases displaying a plethora of plaques and trophies. Two office assistants discretely dispatched fresh coffee and cakes before the discussion began. At USM, we were shown into another capacious conference room with individual microphones and a smaller central table for 15 people. It had a slightly raised dais with a lectern and a large painting of Angkor Wat, presented as a token of appreciation, hung on one wall. We were informed every USM department has a meeting room of similar dimensions.

The University of Malaya focus group tended to be dominated by two of the males, Prof 1 from the Social Sciences and Prof 2 from Engineering. The most senior, Prof 3 was a female Physicist and Prof 4, who was less vocal, a Geographer.

The session commenced with Prof 1 politely offering the most senior academic the opportunity to open the discussion but Prof 3 declined. Prof 1 clearly asserted excellent universities, public or private, should be driven by curiosity to address societal issues and therefore contribute to the country's development. Prof 2, arguing for a balanced approach throughout, countered that research should be both curiosity and market-driven and universities concerned with teaching as much as research. Prof 3 conceded theoretical social science research was more time-consuming and difficult to publish compared to pure science.

Switching to the keywords Multidisciplinary vs. Specialist, Prof 3 cited Cambridge as a university with excellent engineering and academic i.e.

non-science, faculties. She added MIT, as its name implies, is supposed to be purely technological, but is multidisciplinary. Prof 1 and Prof 3 agreed Caltech and Loughborough were two examples of excellent specialist universities. Prof 2 then stated Cambridge had not only achieved a standard of excellence but had sustained that level for many years. He added,

> *So I think we should try to understand this procedure and I think one of the things that is relevant to an excellent university is academic freedom*

At this juncture, there was a clear consensus of opinion and the discussion became heated. Several examples were given of research that had been blocked from publication because it touched upon sensitive issues. Prof 3 maintained scientists tended to have more freedom simply through avoidance of controversy.

Prof 3 said excellent universities should have an equal commitment to teaching and research or knowledge would not be imparted to the students. Prof 1 added a number of academics were only interested in their own research excellence and not in the excellence of the institution.

Location was then mentioned briefly with the agreement urban universities tended to attract more students and good academicians. There was a cursory remark that this had an impact on salaries. Prof 3 then spoke of NUS, the National University of Singapore, stating they bought Professors

from all over the world with the implication this improved their standing in World University rankings. Prof 1 maintained NUS had good research facilities which attracted good lecturers, particularly scientists. She added UM's superior facilities attracted science and engineering lecturers from private universities even though private universities were offering higher salaries. Prof 4 joined the discussion to mention Government policy, which allocates 60% of the places for Science students and 40% for Arts students. This, he said, had resulted in UM having fewer Arts enrolments, and had prompted some staff resignations.

Prof 3 mentioned KPIs were the same for Science and Arts lecturers and reiterated the publication difficulties of the social scientists. Prof 4 said previously professorships were awarded according to book publications. Prof 2 interjected to state KPIs had to be realistic, relevant and fair, but acknowledged some faculties had better support and facilities. He added peer reviews from other universities were important in considerations of excellence, to which Prof 3 agreed. The session concluded with Prof 2 and Prof 3 reiterating Prof 4's comment of book authorship and criticizing KPIs for narrowly focusing on ISI journals, with Prof 1 and Prof 4 voicing their agreement.

The USM focus group of two female Professors and two female Associate Professors, was more relaxed throughout, yet it began with a clear affirmation,

> *So we start off…we are very committed…we want to be excellent in research*

Prof 1 and Prof 2, have been with USM 20-30 years and were therefore instrumental in the university gaining its research status in the last 5 years. Research excellence, said Prof 1, was dependent on several factors: infrastructure, global networking and financial support. She was appreciative of the RCMO, Research Creativity Management Office, for providing advice and assistance to win grants and overcome bureaucratic constraints.

From the outset, it was clear from Prof 1 that research excellence was connected to teaching. As she said,

> *We also look at the kind of students….. the quality of students that we have…. we try to make them more critical*

Her colleague, Prof 2 elaborated on the teaching style for her Microbiology students who have one-week, practical, mini-projects, requiring them to monitor over a 24-hour period. In her opinion, excellence in teaching is when students understand the skills required for the work environment. Theory, she added, "is back-up knowledge." Prof 1 confirmed their tuition is strongly guided i.e. one-to-one with the intention that the student learns to be analytical. Later, Prof 2 reiterated that she wanted to be recognized as a teacher and expressed her support for mentoring to enable the continuation of their research. Prof 2 laughed when Prof 1 teased her about being a "grandmother" to several students who had studied under her for a number of years.

Prof 1 and Prof 2 nostalgically recalled studying in the UK, particularly how university courses focus on a single subject, unless they are Joint Honours' degrees. There was comparison with the Malaysian university system and the enforcement of a number of unrelated, extra-curricular activities which tend to create timetabling problems. In their opinion, this restricted the time for students to think and socialize among themselves.

At this point, AProf 4 stated excellence was unquantifiable and the quest to find it is full of contradictions. For example, some academics were good researchers but poor teachers and vice-versa. Similarly, a student might not achieve a high CGPA but write a good thesis. Prof 2 said KPIs provided a measurement of teaching excellence but added experienced lecturers should produce books on their discipline as she had written two books. In defence of the students, Prof 2 claimed the coursework assessment helped to produce higher CGPAs.

AProf 3, from the Architecture faculty, explained how her department was linked to industry practice and therefore distinct from the others. Students have to pass a 9-day schedule each semester and they organize a conference. The department is accredited by International Professional bodies every 2 years and consultancy work is a feature of the lecturers' KPIs. Prof 1 stated standardization was not a good approach for KPIs, because the social scientists cannot publish the same number of papers as pure scientists. She jokingly described AProf's department as "money-making people" but added this was good for the university. She then expressed her concern that Biotechnology students, unlike Architects, faced difficulties finding relevant employment after graduation as this was not a prominent industry in Malaysia.

Prof 1 then spoke of her faculty's commitment to humanitarian research, particularly ideas to help the poor and underprivileged. Both Prof 1 and Prof 2 clarified their research was not to compete with the products from multinational companies or to achieve patents, but had a social responsibility e.g. prevention of Malaria and Dengue fever; prevention of biodiversity loss in the Mekong River. It was the first mention of KIP or Key Intangible Performance, concerned with sustainability. Furthermore, their research is multidisciplinary e.g. with Information Systems they developed a simple communication system for farmers. Prof 1 and Prof 2 said that they were known in their field but they were more concerned to address their contribution to the country. A poignant conclusion to this Focus group came when the most senior lady said,

> *We are a bit different because we are a human being…*
> *we cannot forget the community*

Discourse Analysis for Public Universities

Table 3 below summarises the topics of the public university focus groups.

TABLE 3
Topics of discussion for the two public universities

UM	USM
Curiosity-driven Research	Research & Teaching
Commitment	Commitment
Multidisciplinary vs Specialist	Multidisciplinary vs Specialist
Location	KPIs
KPIs	Peer Reviews
Peer Reviews	
Academic freedom	

The word *Commitment* was prominent in both focus groups, with academics at both venues asserting their commitment to research, in particular, from the outset, as this defined excellence in universities. Most of the discussion at UM related to *curiosity-driven research* and the importance of academics addressing societal problems. It was clear these academics, from pure science and social science disciplines, were concerned by what Lord Robbins terms "encroachment" on their *academic freedom*.

Although it was not stated explicitly, it was apparent Professors 1 and 2 at USM valued and had achieved academic freedom by choosing to prioritise humanitarian research.

At UM, 2 professors were critical of academics prioritizing research over teaching, although the term *imparting* knowledge seemed to imply a more traditional, transmission style of teaching. At USM, the greater part of the discussion concerned commitment to teaching. Clearly, there are close, almost familial relationships between these female professors and their students. Moreover, the reference to one-to-one tuition and encouraging critical thinking suggest a more facilitative teaching style. The definition of excellent teaching as "when students understand the skills required for the work environment", suggest intellectual engagement and seems to contrast markedly with references of *employability* expressed at the private universities.

Both focus groups were notable for the absence of industry terminology. Although AProf3 at USM said the Architecture faculty is linked to industry by *collaboration*, she spoke of the discipline as a *profession*. We should, however, acknowledge USM's Research Creativity Management Office, as this provides a comfortable interface between the academics and any industrial liaison.

As research universities, these academics know the expectations of them regarding the KPIs. There was, however, reiteration that standardization was unacceptably unfair, from scientists and non-scientists.

A limitation of this small-study was the absence of genuinely, private universities i.e. those not established by State companies, and those with overseas affiliations, primarily UK and Australian universities. Further studies should encompass the notion of excellence at these universities for a truer perspective.

CONCLUSION

This qualitative enquiry into the notion of "excellence" in the eyes of senior academics in private and public universities in Malaysia aimed to uncover whether perceptions differed between the older, more established public universities and newer, industry-supported private universities.

In 2010 Professor Graeme Harper maintained excellence in an academic community could not be constructed because it involves a myriad of human activities and a gathering of important ideals. The implication was that excellence involves intangible, as opposed to tangible features.

The focus groups in this study did not mention keywords of tangible features e.g. library, publishing house and architecture but concentrated on intangible aspects. In the public universities, in particular, the intangible ideals of curiosity and ability to criticize dominated the definition of excellence. In the private universities the discussion of excellence was notable for its concern with economically-useful, instrumental factors and usage of the clichéd language from manufacturing and management. However, the discussions may have been influenced by the corporate environments and the subconscious acquisition of this terminology from the motivational posters on the walls. It is notable that all focus groups mentioned commitment, providing affirmation of the intangible humanitarian aspect of teaching in higher education.

It is hoped that some of the comments from the learned academics in this study are informative in shaping an excellent, culturally distinct, Malaysian university.

ACKNOWLEDGEMENTS

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Family Correlates of Child Outcomes among Rural Malay Families

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ABSTRACT

The study examined the relationship between familial factors (i.e. number of children, economic strain, marital quality and parental nurturance) and child outcomes (self-esteem and academic achievement) among rural Malay families. The participants comprised 200 parents with a child aged from 7 to 12 years. Findings indicated that children with higher self-esteem tended to have parents with positive parental behaviour and come from families with high economic strain. Economic strain also was found to significantly correlate with children's academic achievement. These findings imply a significant contribution of parental nurturance and economic strain on children's self-esteem and academic achievement.

Keywords: Economic strain, marital quality, parental nurturance, self-esteem, academic achievement

INTRODUCTION

Self-esteem has long been viewed as a requisite for healthy personal development. The prominent role played by self-esteem in defining human nature can be found in most theories of personality (Adler, 1958; Maslow, 1968). Coopersmith (2002, p. 1) defines self-esteem as "a set of attitudes and beliefs that a person brings with him or

herself when facing the world. It includes the beliefs as to whether he or she can accept success or failure, how much effort should be put forth, whether failure at a task will 'hurt', and whether he or she will be capable as a result of different experiences". Positive self-esteem may serve as a buffer against negative outcomes, which is very important in children's development (Ruiz *et al.*, 2002). Academic achievement has been indicated as a means to acquiring personal advancement, higher social status, wealth and respect for the individual, family or community (Magnuson, 2007). In relation to the educational setting, Steinberg,

Dornbusch and Brown (1992) stated that achievement is related to theevaluation of the student's success in his or hergrade point averages, test scores, awards, acquired skills and abilities (in both academic and life skill domains), career preparation and content-based knowledge educational attainment (the number of schooling years completed).

The ecological framework (Brofenbrenner, 1986) suggests that the development of children depends on resources (e.g. number of children) and processes (e.g. economic strain, marital quality and parental nurturance) that are available in the family. Consistent with the ecological theory, prior studies have found significant relationship between family factorsandchildren's self-esteem(e.g. Zarinah *et al.*, 2006; Rudy &Grusec, 2006; Shek, 2000) and academic achievement (e.g. Ferguson, 1991; Sun, 2001; Leung *et al.*, 1998; Boon, 2007).

Previous studies (e.g. Ellsberg *et al.*, 2000; Flake & Forste, 2006;) on families have considered large family size as a risk factor that may have negative impact on the development of a child. Similarly, other studies have also suggested that large family size poses a risk factor for children's mental health and behaviour, which may have negative effects later in life (Fisher *et al.*, 1997). This may be explained by the fact that as the number of children in the family increases, there are often less resources to share, less parental involvement and more stress in relations to child-rearing. Nevertheless, previous studies have shown mix resultsin relation to the linkage between number of children and child outcomes. For instance, a study by Zarinahet al. (2006) found that the number of children wasonly significantly correlated to self-esteem, but not to academic achievement amongchildren living in the rural areas in Malaysia. Similarly, Casanova *et al.* (2005) found that the number of siblings was not significantly correlated with academic achievement among students with low and normal achievement. On the other hand, Ferguson (1991) found that family size was only modestly related to children's achievement.

Economic strain is always tied to the number of earners and the amount of income brought into the family, unpaid contributions to the family's economy and the needs of family as determined by family size and composition (Voydanoff, 1990).Studies on the role of economic strain on children's self-esteem are sparse in the literature. Most of the studies have focussed on the indirect relationship between economic strain and children's self-esteem through family processes such as parental nurturance (Ho & Lempers, 1995; Solantaus *et al.*, 2004), parental depression (Conger *et al.*, 1993; Mistry *et al.*, 2004; Forkel & Silbereisen, 2001; Solantaus *et al.*, 2004), and parental marital relationship (Sobolewski & Amato, 2005; Solantaus *et al.,* 2004). Thus, the results of this study may contribute to the literature on the relationship between economic strain and children's self-esteem. Reviews of the literature generally conclude that financial hardship increases the risk of a variety of problems for children, including

academic failure and impaired cognitive development (Seccombe, 2000; Robila & Krishnakumar, 2006).Parents who lack income and other financial assets cannot afford to purchase commodities (e.g. books, educational toys and personal computers) needed to facilitate children's success in school and progress in education. For instance, poor children who managed to graduate from high school with passing grades may fail to further their education because their parents usually cannot afford to help with college expenses.

Marital quality is another familial factor highlighted in the literature on developmental and socialisation processes. In general, research examining the relation between marital quality and child outcomes has demonstrated mixed findings between these two constructs.Some studies have shown that marital quality was significantly correlated to children's self-esteem (Pawlak & Klein, 1997; Shek, 2000) and school achievement (Feldman *et al.*, 1990; Sun, 2001). Others, such as Acs (2005) found thatthe quality of parental marriage did not affect children's mathematics and reading scores. Similarly, Rumaya and colleagues (2004) found that marital quality was not related to children's academic achievement in the rural areas of Malaysia.

Literature has also shown that parents who use authoritative parenting (characterised by warmth, strict, consistent, supportive and nurturing behaviour)tend to have children with higher self-esteem (Pawlak & Klein, 1997; Ruiz *et al.*, 2002; Parker & Benson, 2004; Zarinah *et al.*,

2006) and academic achievement(Leung *et al.*, 1998; Boon, 2007). On the other hand, children of authoritarian (characterised by traits of control, strict rules and expectation, and supervision) or permissive (characterised by traitssuch as few standards of behaviour, avoid punishing the child, andinconsistent rules) parentshave been found to have lower self-esteem (Rudy & Grusec, 2006) and academic performance (Koutsoulis & Campbell, 2001).

In sum, the ecological theory and the reviewed literature indicate that family factors affect the development of children. This study, therefore, examined the relationship between familial factors (namely number of children, economic strain, marital quality and parental nurturance) and child outcomes (self-esteem and academic achievement) among rural Malay families.

METHODS

Sample and Procedure

The sample consisted of 200 (97 mothers and 103 fathers) members of the second generation of Federal Land Development Authority (FELDA) settlers with a focal child of 7 to 12 years living in the home. The purpose of FELDA is to help the government to carry out rural land development schemes and to improve the economic status as well as living standards of poor rural communities. A lot of aid and facilities are provided continually to second generation FELDAsettlers in terms of educational, spiritual and physical development.

All the participants were Malay and residing in FELDA schemes in Negeri Sembilan and Pahang, two states in Malaysia. Therefore, in terms of ethnicity, the selected families are not a representative of the Malaysian multiethnic population. Negeri Sembilan and Pahang were purposively selected as the location of the study based on the following considerations: (1) the availability of second generation FELDA families that would facilitate the selection of respondents based on the discussion with FELDA's Director of Community Development in Kuala Lumpur (2) the availability of study resources (finance, manpower) and (3) the accessibility of the respondents.

Prior to data collection, approval was obtained from FELDA's Director of Community Development at the FELDA headquarters in Kuala Lumpurand the Director of FELDA in Negeri Sembilan and Wilayah Mempaga, Pahang. This study selected only 10 out of 21 FELDA schemes given by FELDA's headquarters that had a high probability of obtaining the respondents who fulfilled the criteria using simple random sampling. The 10selected schemes included four FELDA schemes in Negeri Sembilan (Felda Bukit Jalor, Felda Bukit Rokan, Felda Pasir Besar and Felda Sg. Kelamah) and six FELDA schemes in Pahang (Felda Bukit Kepayang, Felda Bukit Mendi, Felda Lurah Bilut, Felda Bukit Puchong, Felda Mayam and Felda Cemomoi).

The participants were identified through a list of names of married second generation FELDA settlers who were eligible for the study obtained from 10 selected FELDA settlements using simple random sampling. The participants were interviewedface-to-face by the researchers and trained assistants using a set of standardisedquestionnairesat their homes. This method permitted the collection of the most extensive data about each participant (Salkind, 2006; Tan, 2004). Prior to the interview, a briefing on the objectives of the study was given andpermission to participate in the study was also sought from the participants. A token of appreciation was given to the participants upon completion of the questionnaire.

Measures

Economic strain.This was assessed using the Economic Strain Scale (ESS; Pearlin *et al.*, 1981) which consisted of nine items focussing on family's difficulties in acquiring the necessities of life (e.g. food, clothing, housing and medical care) and some of its more optional accoutrements (e.g. furniture, automobiles and recreation). Some of the items included were, 'I have enough money for treatment and medication for family as needed', 'My money was never enough as needed' and 'I don't have enough money to pay bills'. The responses were rated on a 4-point scale ranging from 1=strongly disagree to 4=strongly agree. Seven items were reverse-scored to ensure that higher scores indicated higher levels of economic strain. This measure (ESS) has been used with a variety of populations. In Simons *et al.* (1992), the alpha coefficients were 0.88 and 0.89 for males and females

respectively, whereas in Mayhew and Lempers (1998), the alpha coefficients exceeded 0.70 for both male and female respondents. The alpha coefficient derived in the study by AnjliPanalal (2004) based on a Malaysian sample was 0.77, and this indicateda good internal consistency of the scale. For this study the alpha coefficient for the ESS was 0.80.

Marital quality.This was measured using the modified Kansas Marital Satisfaction Scale (KMSS; Schummet al., 1986) by Rumaya (1997), who had added an item that shows affection in one's relationship.The three original items by Schumm *et al.* (1986) were, "How satisfied are you with your marriage?", "How satisfied are you with your relationship?" and "How satisfied are you with your wife/husband as a spouse?" The added item was, "How satisfied are you with expression of love in your marriage? The items were rated on a7-point scale(from 1=extremely dissatisfied to 7=extremely satisfied). Cronbach's alpha for the modified version of the KMSS in Rumaya's (1997) study ranged from 0.93 to 0.95.In a local study, Noralina (2001) recorded a reliability coefficient of 0.95.Cronbach's alpha for the KMSS in this study was 0.95.

Parental nurturance. This wasassessed usingthe 24-item Parental Nurturance Scale (PNS; Buri, 1989). The scale had been translated into Bahasa Malaysia using back-to-back translation method. Based on a scale ranging from 1=strongly disagree to 5=strongly agree, the participants rated their warmth, care, understanding and supportiveness towards their children. Some of the items included, "My child is an important person in my eyes" and "I am warm and caring." Negative items were reverse-scored andhigher scores indicated higher levels of parental nurturance.Buri (1989) found that the scale hadgood internal reliabilities in excess of 0.90 for both mother's and father's nurturance. The concurrent, predictive and construct validity of the scale have also been well established (e.g. Buri, 1989; Buri & Muller, 1993; Hopkins & Klein, 1993; Watson *et al.*, 1993, Pawlak & Klein, 1997). Cronbach's alpha for the PNS in this study was 0.80.

Self-esteem. This was measured using the modified Rosenberg Self-Esteem Scale (RSES; Rosenberg, 1965). In the original RSES, the respondent rates his/her own self-esteem. However in this study, the parents rated their children's self-esteem.Their responses were measured on a scale ranging from 1=strongly disagree to 4=strongly agree. Five negative items were reverse-scored and higher scores reflected higher levels of self-esteem. Some examples of the items included, "My child feels that he/she is a person of worth", and "My child takes a positive attitude towards him/herself".In a local study, the scale was used by AnjliPanalal (2004) to measure a child's self-esteem from the perspective of a mother, and the alpha coefficient was recorded as 0.63. In this study the alpha coefficient for the RSES was 0.71.

Academic achievement. This was assessed based on a child's scores on four selected subjects: the Malay language,

English, Science and Mathematics in school final exam. The possible cumulative minimum and maximum scores were0 and 400. The higher the score, the higher the academic achievement would be.

Socio-demographiccharacteritics. Participants completed a brief demographics form that assessed age, sex, number of years of education, family monthly income, child focal age and child focal sex.

Data Analysis

Firstly, a descriptive analysis was conducted to provide a clearer picture of the data distribution. Secondly, the magnitude and strength of the relationsip of study variables were quantitavely measured using Pearson product-moment correlations.Thirdly, the multiple regression analyis using the hierarchical procedurewas conducted to determine the best set of predictors of child's self-esteem and academic achievement while controlling the socio-demographic characteritics (i.e. participant's age, participant's sex, participant's education, family monthly income, child's age and child's sex).

RESULTS

Socio-Demographics Characteristics

The mean age of participants involved in the study was 36.6 years old ($SD = 5.7$). On average, they had been married for about 13 years and had completed about 10 years of formal education (SD=1.9). Financially, the participants involved in this study had lower family income per month (M=RM932.4, SD=604.0) than the national average household income for rural area (RM2545) (Department of Statistics, 2009). They seemed to have a considerably large number of children (M=3.7. SD=3.7) which exceeded the average size of the Malaysian family of 2.76 (Ninth Malaysia Plan 2006-2010). The mean age of the focal child was 9.6 years. The sex distribution showed that there were slightly more males (58%) than females (42%) of the focal child.

Relationships between Socio-demographic Characteristics, Familial Factors and Child Outcomes

Correlational analysis were used to explore the relationships among the study variables in the study (Table 1). The results showed that none of the socio-demographic characteristics was significantly correlated with child's self-esteem. The findings revealed that parent's education (r=.20, p<.01), family monthly income (r=.15, p<.05) and child's sex (r=.20, p<.01)had positive and significant relationship with child's academic achievement. Child's age was found to significantly correlate with child's academic achievement (r=.17, p<.05). For familial factors, it was found that economic strain had significant negative relationship with child's self-esteem (r=-.21, p<.01), whilemarital quality (r=.15, p<.05) and parental nurturance (r=.31, p<.01) had positivere lationships with child's self-esteem. However, the study did not detect any significant relationship between familial factors and child's academic achievement.

TABLE 1
Correlation Matrix of Study Variables

Variables	1	2	3	4	5	6	7	8	9	10	11	12
1. Participant's age	-											
2. Participant's sex	-.32	-										
3. Participant's education	.04	-.07	-									
4. Family monthly income	.18	.04	.34**	-								
5. Child's age	.36**	.01	.02	.09	-							
6. Child's sex	.03	-.02	-.02	-.03	-.02	-						
7. Number of children	.30**	.01	-.10	.13	.34**	-.07	-					
8. Economic strain	.09	.06	.19**	.25**	.19**	-.17*	.01	-				
9. Marital quality	-.00	-.21	.03	.02	-.03	.02	-.03	0.00	-			
10. Parental nurturance	-.04	.02	.11	.09	.08	-.00	0.02	0.17*	0.29**	-		
11. Self-esteem	-.03	-.06	.06	-.02	-.01	.03	0.05	0.21**	0.15*	0.31**	-	
12. Academic achievement	-.06	-.09	.20**	.15*	-.17*	.20**	-0.10	0.14	0.07	0.09	0.10	-

Note: Participant's sex: 1=Female, 0= Male

Child's sex: 1=Female, 0= Male

*p<0.05, **p<0.01

Predictors of Child Self-Esteem and Academic Achievement

Hierarchical regression analysis was computed to examine the relative strength of the four familial factors in predicting the children's self-esteem and academic achievement while controlling for the effect of socio-demographic characteristics of participants and children. Analysis of predictors of children's self-esteem and academic achievement are presented

in Table 2. A preliminary analysis was conducted to ensure no violation of the assumptions of normality, linearity, multicollinearity and homoscedasticity. The first model illustrates that the socio-demographic characteristics of parents and children are entered as controls for child's self-esteem (Model 1a) and academic achievement (Model 1b). The second model examines familial factors, namely number of children, economic strain, marital quality

TABLE 2
Standard Regression Coefficients (βs) Predicting Child Outcomes

Predictors	Child Outcomes			
	Self-Esteem		Academic Achievement	
	Model 1a	Model 2a	Model 1b	Model 2b
Socio-demographic Characteristics				
Participant's age	-.06	-.06	-.07	-.07
Participant's sex	-.08	-.09	-.10	-.11
Participant's education	.05	.01	.16*	.14*
Family monthly income	.02	-.05	.13	.10
Child's age	.01	-.08	-.16*	-.19*
Child's sex	.03	.07	.21**	.23**
Familial Factors				
Number of children		.10		.01
Economic strain		.22**		.17*
Marital quality		.05		.02
Parental nurturance		.26**		.05
R^2	.01	.15	.14	.17
R^2 change	.01	.14	.14	.03
F	.36	3.32**	5.03**	3.73**
F change	.36	7.70**	5.03**	1.69

Note: Participant's sex: 1=Female, 0= Male
     Child's sex: 1=Female, 0= Male
     p<0.05, **p*<0.01

and parental nurturance, which were added simultaneously to determine the significant predictors for child'sself-esteem (model 2a) and academic achievement (model 2b), after taking into account socio-demographic characteristics.

As shown in Table 2, Model 1a, socio-demographic characteristics explained 1% of the variance in child's self-esteem. After entering familial factors in model 2a, the total variance explained by the model as a whole was 15%, $F(10,189)=3.32, p<.01$. The four variables of familial factors explained an additional 14% of the variance in child's self-esteem, after controlling for socio-demographic characteristics, R-squared change=.14, F change (2, 189)=7.70, $p<.01$. In the final model, only economic strain and parental nurturance were statistically significant, with parental nurturance the strongest predictor of child's self-esteem ($\beta=.26, p<.01$) followed by economic strain ($\beta=.22, p<.01$).

In Model 1b, as explained earlier this study is undertaken to control for the variation in socio-demographic characteristics which could impact the child's academic achievement. The results showed (Model 2b) that only one out of four familial factors which was economic strain ($\beta=.17, p<.05$)could significantly predict the child's academic achievement after controlling for the preceding factors. However, the addition of familial factors to the model decreased the overall model fit in predicting the child's academic achievement, R change=.17, $F(10, 189)=3.73, p<.01$.

DISCUSSION AND CONCLUSION

This study examined the relationship between familial factors and child outcomes among rural Malay families. Surprisingly, based on a hierarchical regression analysis, this study found that as the level of economic strain increased, the level of self-esteem and academic achievement among children tended to increase after controlling socio-demographic characteristics. These findings are contrary to a study by Robila and Krishnakumar (2006) that foundfinancial hardship increased psychological disorders and academic failure among children because parents could not provide a healthy environment during times of economic difficulties. The findings of this study showed that the children of second generation FELDA settlers had successfully adaptedto their high family economic strain that made them more resilient.According to Masten *et al.* (1990), resilience is "the process of, capacity for, or outcome of successful adaptation despite challenging or threatening circumstances."

Another main finding ofthis study indicates that parental nurturance was the strongest predictor of child's self-esteem in comparison to other familial factors in the model.This finding shares important consistencies with other similar studies, which seem to support that positive parenting behaviour increases the level self-esteem of children (Morvitz & Motta, 1992; Pawlak & Klein, 1997; Ruiz *et al.*, 2002; Parker & Benson, 2004). The result of this study showed that the child's academic achievement was not affected by the number

of children in the family, which is consistent with the findings by Cassanova *et al.* (2005) and Zarinah *et al.* (2006).

Overall, the findings support the theory that child development may be influenced by amyriad of factors that are present within the ecosystem of the family (Bronfenbrenner, 1979). The unexpected relationship between economic strain and children's self-esteem and academic achievement in this study showed that children are resilient. Children whose parents were warm, caring, understanding and supportive tend to have a higher level of self-esteem. Therefore, family professionals are encouraged to consider the roles of economic strain and parental behaviour when organising programmes to foster child development.

Limitations of this study highlight directions for future research. First, the findings from the regression analysis indicate that the variables specified in the models do not account for most of the original variability. Clearly, there are other important variables which are related to the two dependent variables tested that were not accounted for in this study. Moreover, this study only included four familial factors as independent variables (i.e. number of children, economic strain, marital quality and parental nurturance). Therefore, any future studies carried out on Malaysian families will require a more in-depth look at other key family variables such as family functioning and parent-child relationship.A second limitation lies in the sample of this study i.e. it involved only Malay families

with primary-school-age children (7 to 12 years old) in the rural areas. This, thus, limits the extent to which the findings can be generalised to a more diverse population. The findings of the study will need to be replicated with a more heterogeneous population that includes other ethnic groups, different family structures and social classes to determine whether the findings hold true in contexts with different cultural values, lifestyles, occupational variations and opportunities. Third, this study focussed on two aspects of child outcomes i.e. self-esteem and academic achievement. It would be interesting if other aspects of child outcomes were also employed in this study. Finally, conclusions about the direction of effects cannot be made regarding the relation between family characteristics and child outcomes because of the cross-sectional nature of the data. It would certainly be interesting to include more time points over longer a period of time.

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The Editorial Board of the Journal of Social Sciences and Humanities wishes to thank the following:

Pertanika

Our goal is to bring high quality research to the widest possible audience

Journal of Social Sciences and Humanities

INSTRUCTIONS TO AUTHORS
(Manuscript Preparation & Submission Guidelines)

Revised: February 2013

We aim for excellence, sustained by a responsible and professional approach to journal publishing.
We value and support our authors in the research community.

Please read the guidelines and follow these instructions carefully; doing so will ensure that the publication of your manuscript is as rapid and efficient as possible. The Editorial Board reserves the right to return manuscripts that are not prepared in accordance with these guidelines.

About the Journal

Pertanika is an international peer-reviewed journal devoted to the publication of original papers, and it serves as a forum for practical approaches to improving quality in issues pertaining to tropical agriculture and its related fields. *Pertanika* began publication in 1978 as Journal of Tropical Agricultural Science. In 1992, a decision was made to streamline *Pertanika* into three journals to meet the need for specialised journals in areas of study aligned with the interdisciplinary strengths of the university. The revamped Journal of Social Sciences & Humanities (JSSH) 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, particularly in the Asia Pacific region. Other *Pertanika* series include Journal of Tropical Agricultural Science (JTAS); and Journal of Science and Technology (JST).

JSSH is published in **English** and it is open to authors around the world regardless of the nationality. It is currently published four times a year i.e. in **March**, **June**, **September** and **December**.

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 12 weeks. The elapsed time from submission to publication for the articles averages 5-6 months.

Indexing of *Pertanika*
Pertanika is now over 33 years old; this accumulated knowledge has resulted Pertanika JSSH being indexed in SCOPUS (Elsevier), EBSCO, Thomson (ISI) Web of Knowledge [CAB Abstracts], DOAJ, Google Scholar, ISC, Citefactor, Rubriq and MyAIS.

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.

We also have views on the future of our journals. The emergence of the online medium as the predominant vehicle for the 'consumption' and distribution of much academic research will be the ultimate instrument in the dissemination of research news to our scientists and readers.

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.

Editorial Statement

Pertanika is the official journal of Universiti Putra Malaysia. The abbreviation for *Pertanika* Journal of Social Sciences & Humanities is *Pertanika J. Soc. Sci. Hum.*

Guidelines for Authors

Publication policies

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. Please refer to Pertanika's **Code of Ethics** for full details.

Editorial process

Authors are notified on receipt of a manuscript and upon the editorial decision regarding publication.

Manuscript review: Manuscripts deemed suitable for publication are sent to the Editorial Board members and/or other reviewers. We encourage authors to suggest the names of possible reviewers. Notification of the editorial decision is usually provided within to eight to ten 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.

Author approval: Authors are responsible for all statements in articles, including changes made by editors. The liaison author must be available for consultation with an editor of *The Journal* to answer questions during the editorial process and to approve the edited copy. Authors receive edited typescript (not galley proofs) for final approval. Changes **cannot** be made to the copy after the edited version has been approved.

Manuscript preparation

Pertanika accepts submission of mainly four types of manuscripts. Each manuscript is classified as **regular** or **original** articles, **short communications**, **reviews**, and proposals for **special issues**. Articles must be in **English** and they must be competently written and argued in clear and concise grammatical English. Acceptable English usage and syntax are expected. Do not use slang, jargon, or obscure abbreviations or phrasing. Metric measurement is preferred; equivalent English measurement may be included in parentheses. Always provide the complete form of an acronym/abbreviation the first time it is presented in the text. Contributors are strongly recommended to have the manuscript checked by a colleague with ample experience in writing English manuscripts or an English language editor.

Linguistically hopeless manuscripts will be rejected straightaway (e.g., when the language is so poor that one cannot be sure of what the authors really mean). This process, taken by authors before submission, will greatly facilitate reviewing, and thus publication if the content is acceptable.

The instructions for authors must be followed. Manuscripts not adhering to the instructions will be returned for revision without review. Authors should prepare manuscripts according to the guidelines of *Pertanika*.

1. Regular article

Definition: Full-length original empirical investigations, consisting of introduction, materials and methods, results and discussion, conclusions. Original work must provide references and an explanation on research findings that contain new and significant findings.

Size: Should not exceed 5000 words or 8-10 printed pages (excluding the abstract, references, tables and/or figures). One printed page is roughly equivalent to 3 type-written pages.

2. Short communications

Definition: Significant new information to readers of the Journal in a short but complete form. It is suitable for the publication of technical advance, bioinformatics or insightful findings of plant and animal development and function.

Size: Should not exceed 2000 words or 4 printed pages, is intended for rapid publication. They are not intended for publishing preliminary results or to be a reduced version of Regular Papers or Rapid Papers.

3. Review article

Definition: Critical evaluation of materials about current research that had already been published by organizing, integrating, and evaluating previously published materials. Re-analyses as meta-analysis and systemic reviews are encouraged. Review articles should aim to provide systemic overviews, evaluations and interpretations of research in a given field.

Size: Should not exceed 4000 words or 7-8 printed pages.

4. Special issues

Definition: Usually papers from research presented at a conference, seminar, congress or a symposium.

Size: Should not exceed 5000 words or 8-10 printed pages.

5. Others

Definition: Brief reports, case studies, comments, Letters to the Editor, and replies on previously published articles may be considered.

Size: Should not exceed 2000 words or up to 4 printed pages.

With few exceptions, original manuscripts should not exceed the recommended length of 6 printed pages (about 18 typed pages, double-spaced and in 12-point font, tables and figures included). Printing is expensive, and, for the Journal, postage doubles when an issue exceeds 80 pages. You can understand then that there is little room for flexibility.

Long articles reduce the Journal's possibility to accept other high-quality contributions because of its 80-page restriction. We would like to publish as many good studies as possible, not only a few lengthy ones. (And, who reads overly long articles anyway?) Therefore, in our competition, short and concise manuscripts have a definite advantage.

Format

The paper should be formatted in one column format with at least 4cm margins and 1.5 line spacing throughout. Authors are advised to use Times New Roman 12-point font. Be especially careful when you are inserting special characters, as those inserted in different fonts may be replaced by different characters when converted to PDF files. It is well known that 'μ' will be replaced by other characters when fonts such as 'Symbol' or 'Mincho' are used.

A maximum of eight keywords should be indicated below the abstract to describe the contents of the manuscript. Leave a blank line between each paragraph and between each entry in the list of bibliographic references. Tables should preferably be placed in the same electronic file as the text. Authors should consult a recent issue of the Journal for table layout.

Every page of the manuscript, including the title page, references, tables, etc. should be numbered. However, no reference should be made to page numbers in the text; if necessary, one may refer to sections. Underline words that should be in italics, and do not underline any other words.

We recommend that authors prepare the text as a **Microsoft Word** file.

1. Manuscripts in general should be organised in the following order:

   o **Page 1: Running title.** (Not to exceed 60 characters, counting letters and spaces). This page should **only** contain the running title of your paper. The running title is an abbreviated title used as the running head on every page of the manuscript.

     In addition, the **Subject areas m**ost relevant to the study must be indicated on this page. Select the appropriate subject areas from the Scope of the Journals provided in the Manuscript Submission Guide.

   o A **list** of n**umber of black and white / colour figures and tables** should also be indicated on this page. Figures submitted in color will be printed in colour. See "*5. Figures & Photographs"* for details.

   o **Page 2: Author(s) and Corresponding author information**. This page should contain the **full title** of your paper with name(s) of all the authors, institutions and corresponding author's name, institution and full address (Street address, telephone number (including extension), hand phone number, fax number and e-mail address) for editorial correspondence. The names of the authors **must** be abbreviated following the international naming convention. e.g. Salleh, A.B., Tan, S.G., or Sapuan, S.M.

     Authors' addresses. Multiple authors with different addresses must indicate their respective addresses separately by superscript numbers:

     George Swan[1] and Nayan Kanwal[2]
     [1]Department of Biology, Faculty of Science, Duke University, Durham, North Carolina, USA.
     [2]Office of the Deputy Vice Chancellor (R&I), Universiti Putra Malaysia, Serdang, Malaysia.

   o **Page 3**: This page should **repeat** the **full title** of your paper with only the **Abstract** (the abstract should be less than 250 words for a Regular Paper and up to 100 words for a Short Communication). **Keywords** must also be provided on this page (Not more than eight keywords in alphabetical order).

   o **Page 4 and subsequent pages**: This page should begin with the **Introduction** of your article and the rest of your paper should follow from page 5 onwards.

Abbreviations. Define alphabetically, other than abbreviations that can be used without definition. Words or phrases that are abbreviated in the introduction and following text should be written out in full the first time that they appear in the text, with each abbreviated form in parenthesis. Include the common name or scientific name, or both, of animal and plant materials.

Footnotes. Current addresses of authors if different from heading.

2. **Text.** Regular Papers should be prepared with the headings **Introduction**, **Materials and Methods**, **Results and Discussion, Conclusions** in this order. Short Communications should be prepared according to "*8. Short Communications.*" below.

3. **Tables.** All tables should be prepared in a form consistent with recent issues of *Pertanika* and should be numbered consecutively with Arabic numerals. Explanatory material should be given in the table legends and footnotes. Each table should be prepared on a separate page. (Note that when a manuscript is accepted for publication, tables must be submitted as data - .doc, .rtf, Excel or PowerPoint file- because tables submitted as image data cannot be edited for publication.)

4. **Equations and Formulae.** These must be set up clearly and should be typed triple spaced. Numbers identifying equations should be in square brackets and placed on the right margin of the text.

5. **Figures & Photographs.** Submit an original figure or photograph. Line drawings must be clear, with high black and white contrast. Each figure or photograph should be prepared on a separate sheet and numbered consecutively with Arabic numerals. Appropriate sized numbers, letters and symbols should be used, no smaller than 2 mm in size after reduction to single column width (85 mm), 1.5-column width (120 mm) or full 2-column width (175 mm). Failure to comply with these specifications will require new figures and delay in publication. For electronic figures, create your figures using applications that are capable of preparing high resolution TIFF files acceptable for publication. In general, we require **300 dpi or higher resolution for coloured and half-tone artwork** and **1200 dpi or higher for line drawings**.

For review, you may attach low-resolution figures, which are still clear enough for reviewing, to keep the file of the manuscript under 5 MB. Illustrations may be produced at extra cost in colour at the discretion of the Publisher; the author could be charged Malaysian Ringgit 50 for each colour page.

6. **References.** Literature citations in the text should be made by name(s) of author(s) and year. For references with more than two authors, the name of the first author followed by '*et al*.' should be used.

Swan and Kanwal (2007) reported that …
The results have been interpreted (Kanwal *et al.,* 2009).

- References should be listed in alphabetical order, by the authors' last names. For the same author, or for the same set of authors, references should be arranged chronologically. If there is more than one publication in the same year for the same author(s), the letters 'a', 'b', etc., should be added to the year.

- When the authors are more than 11, list 5 authors and then et al.

- Do not use indentations in typing References. Use one line of space to separate each reference. The name of the journal should be written in full. For example:

  - Mellers, B. A. (2006a). Choice and the relative pleasure of consequences. *Psychological Bulletin, 126,* 910-924.
  - Mellers, B. A. (2006b). Treatment for sexually abused children and adolescents. *American Psychologist, 55,* 1040-1049.
  - Hawe, P. (2005). Capturing the meaning of "community" in community intervention evaluation: Some contributions from community psychology. *Health Promotion International, 9,*199-210.
  - Braconier, H., & Ekholm, K. (2006). Swedish multinationals and competition from high and low wage location*. Review of International Economics, 8,* 448-461.

- In case of citing an author(s) who has published more than one paper in the same year, the papers should be distinguished by addition of a small letter as shown above, e.g. Jalaludin (1997a); Jalaludin (1997b).

- Unpublished data and personal communications should not be cited as literature citations, but given in the text in parentheses. 'In press' articles that have been accepted for publication may be cited in References. Include in the citation the journal in which the 'in press' article will appear and the publication date, if a date is available.

7. **Examples of other reference citations**:

Monographs: Kalimapour, Y.R. (2004). *Images of the U.S. Around the World: A Multicultural Perspective*. Albany, NY: State University of New York Press.

Chapter in Book: Bjork, R. A. (2007). Retrieval inhibition as an adaptive mechanism in human memory. In H. L. Roediger III & F. I. M. Craik (Eds.), *Varieties of memory & consciousness* (pp. 309-330). Hull: Hull University Press.

o *Proceedings*: Amir Awang. (2006). Counseling, human resources development and counseling services. In Sulaiman M. Yassin, Yahya Mat Hassan, Kamariah Abu Bakar, Esah Munji and Sabariah Mohd. Rashid (Eds.), *Proceedings of Asia Pacific Conference on Human Development* (p. 243-246). Serdang: Universiti Putra Malaysia.

8. **Short Communications** should include **Introduction, Materials and Methods, Results and Discussion, Conclusions** in this order. Headings should only be inserted for Materials and Methods. The abstract should be up to 100 words, as stated above. Short Communications must be 5 printed pages or less, including all references, figures and tables. References should be less than 30. A 5 page paper is usually approximately 3000 words plus four figures or tables (if each figure or table is less than 1/4 page).

*Authors should state the total number of words (including the Abstract) in the cover letter. Manuscripts that do not fulfill these criteria will be rejected as Short Communications without review.

STYLE OF THE MANUSCRIPT

Manuscripts should follow the style of the latest version of the Publication Manual of the American Psychological Association (APA). The journal uses American or British spelling and authors may follow the latest edition of the Oxford Advanced Learner's Dictionary for British spellings.

SUBMISSION OF MANUSCRIPTS

All articles should be submitted electronically using the ScholarOne web-based system. ScholarOne, a Thomson Reuters product provides comprehensive workflow management systems for scholarly journals. For more information, go to our web page and click "**Online Submission**".

Alternatively, you may submit the electronic files (cover letter, manuscript, and the **Manuscript Submission Kit** comprising *Declaration* and *Referral* form) via email directly to the Executive Editor. If the files are too large to email, mail a CD containing the files. The **Manuscript Submission Guide** and **Submission Kit** are available from the *Pertanika*'s home page at http://www. pertanika.upm.edu.my/home.php or from the Chief Executive Editor's office upon request.

All articles submitted to the journal **must comply** with these instructions. Failure to do so will result in return of the manuscript and possible delay in publication.

Please do **not** submit manuscripts to the editor-in-chief or to any other office directly. All manuscripts must be **submitted through the chief executive editor's office** to be properly acknowledged and rapidly processed at the address below:

Dr. Nayan KANWAL
Chief Executive Editor
Pertanika Journals, UPM Press
Office of the Deputy Vice Chancellor (R&I)
IDEA Tower II, UPM-MTDC Technology Centre
Universiti Putra Malaysia
43400 UPM, Serdang, Selangor,
Malaysia

E-mail: nayan@upm.my; journal.officer@gmail.com tel: + 603-8947 1622
or visit our website at http://www.pertanika.upm.edu.my/ for further information.

Authors should retain copies of submitted manuscripts and correspondence, as materials can not be returned. Authors are required to inform the Chief Executive Editor of any change of address which occurs whilst their papers are in the process of publication.

Cover letter

All submissions must be accompanied by a cover letter detailing what you are submitting. Papers are accepted for publication in the journal on the understanding that the article is original and the content has not been published or submitted for publication elsewhere. This must be stated in the cover letter.

The cover letter must also contain an acknowledgement that all authors have contributed significantly, and that all authors are in agreement with the content of the manuscript.

The cover letter of the paper should contain (i) the title; (ii) the full names of the authors; (iii) the addresses of the institutions at which the work was carried out together with (iv) the full postal and email address, plus facsimile and telephone numbers of the author to whom correspondence about the manuscript should be sent. The present address of any author, if different from that where the work was carried out, should be supplied in a footnote.

As articles are double-blind reviewed, material that might identify authorship of the paper should be placed on a cover sheet.

Peer review

Pertanika follows a **double-blind peer-review** process. 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.

In the peer-review process, three referees independently evaluate the scientific quality of the submitted manuscripts. Authors are encouraged to indicate in the **Referral form** using the **Manuscript Submission Kit** the names of three potential reviewers, but the editors will make the final choice. The editors are not, however, bound by these suggestions..

Manuscripts should be written so that they are intelligible to the professional reader who is not a specialist in the particular field. They should be written in a clear, concise, direct style. Where contributions are judged as acceptable for publication on the basis of content, the Editor reserves the right to modify the typescripts to eliminate ambiguity and repetition, and improve communication between author and reader. If extensive alterations are required, the manuscript will be returned to the author for revision.

The Journal's 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 executive editor and the editorial board 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 executive editor sends the article-identifying information having been removed, to three reviewers. Typically, one of these is from the Journal's editorial board. Others are specialists in the subject matter represented by the article. The executive editor asks them to complete the review in three weeks and encloses two forms: (a) referral form B and (b) reviewer's comment form along with reviewer's guidelines. 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 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 Editorial Board, 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 submit a revised version of the paper to the executive editor along with specific information describing how they have answered' the concerns of the reviewers and the editor.

5. The executive editor sends the revised paper out for 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 executive editor in consultation with the editorial board and the editor-in-chief 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, the paper is sent to that Press and 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 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.

English language editing

Pertanika **emphasizes** on the linguistic accuracy of every manuscript published. Thus all authors are required to get their manuscripts edited by **professional English language editors**. Author(s) **must provide a certificate** confirming that their manuscripts have been adequately edited. A proof from a recognised editing service should be submitted together with the cover letter at the time of submitting a manuscript to Pertanika. **All costs will be borne by the author(s)**.

This step, taken by authors before submission, will greatly facilitate reviewing, and thus publication if the content is acceptable.

Author material archive policy

Authors who require the return of any submitted material that is rejected for publication in the journal should indicate on the cover letter. If no indication is given, that author's material should be returned, the Editorial Office will dispose of all hardcopy and electronic material.

Copyright

Authors publishing the Journal will be asked to sign a declaration form. In signing the form, it is assumed that authors have obtained permission to use any copyrighted or previously published material. All authors must read and agree to the conditions outlined in the form, and must sign the form or agree that the corresponding author can sign on their behalf. Articles cannot be published until a signed form has been received.

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.

Hardcopies of the Journals and off prints

Under the Journal's open access initiative, authors can choose to download free material (via PDF link) from any of the journal issues from Pertanika's website. Under "Browse Journals" you will see a link entitled "Current Issues" or "Archives". Here you will get access to all back-issues from 1978 onwards.

The **corresponding author** for all articles will receive one complimentary hardcopy of the journal in which his/her articles is published. In addition, 20 off prints of the full text of their article will also be provided. Additional copies of the journals may be purchased by writing to the executive editor.

Why should you publish in *Pertanika*?

BENEFITS TO AUTHORS

PROFILE: Our journals are circulated in large numbers all over Malaysia, and beyond in Southeast Asia. Our circulation covers other overseas countries as well. We ensure that your work reaches the widest possible audience in print and online, through our wide publicity campaigns held frequently, and through our constantly developing electronic initiatives such as Web of Science Author Connect backed by Thomson Reuters.

QUALITY: Our journals' reputation for quality is unsurpassed ensuring that the originality, authority and accuracy of your work is fully recognised. Each manuscript submitted to Pertanika undergoes a rigid originality check. Our double-blind peer refereeing procedures are fair and open, and we aim to help authors develop and improve their scientific work. Pertanika is now over 35 years old; this accumulated knowledge has resulted in our journals being indexed in SCOPUS (Elsevier), Thomson (ISI) Web of Knowledge [BIOSIS & CAB Abstracts], EBSCO, DOAJ, Google Scholar, AGRICOLA, ERA, ISC, Citefactor, Rubriq and MyAIS.

AUTHOR SERVICES: We provide a rapid response service to all our authors, with dedicated support staff for each journal, and a point of contact throughout the refereeing and production processes. Our aim is to ensure that the production process is as smooth as possible, is borne out by the high number of authors who prefer to publish with us.

CODE OF ETHICS: Our Journal has adopted a Code of Ethics to ensure that its commitment to integrity is recognized and adhered to by contributors, editors and reviewers. It warns against plagiarism and self-plagiarism, and provides guidelines on authorship, copyright and submission, among others.

PRESS RELEASES: Landmark academic papers that are published in Pertanika journals are converted into press releases as a unique strategy for increasing visibility of the journal as well as to make major findings accessible to non-specialist readers. These press releases are then featured in the university's UK-based research portal, ResearchSEA, for the perusal of journalists all over the world.

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

An **Award-Winning** International-Malaysian Journal —MAY 2014

About the Journal

Pertanika is an international multidisciplinary peer-reviewed leading journal in Malaysia which began publication in 1978. The journal publishes in three different areas — Journal of Tropical Agricultural Science (JTAS); Journal of Science and Technology (JST); and Journal of Social Sciences and Humanities (JSSH).

JTAS is devoted to the publication of original papers that serves as a forum for practical approaches to improving quality in issues pertaining to **tropical agricultural research-** or related fields of study. It is published four times a year in **February**, **May**, **August** and **November**.

JST caters for **science and engineering research-** or related fields of study. It is published twice a year in **January** and **July**.

JSSH deals in **research or theories in social sciences and humanities research**. It aims to develop as a flagship journal with a focus on emerging issues pertaining to the social and behavioural sciences as well as the humanities, particularly in the Asia Pacific region. It is published four times a year in **March**, **June**, **September** and **December**.
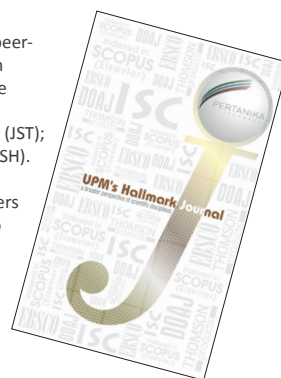
Call for Papers 2014-15
now accepting submissions...

Pertanika invites you to explore frontiers from all key areas of **agriculture**, **science and technology** to **social sciences and humanities**.

Original research and review articles are invited from scholars, scientists, professors, post-docs, and university students who are seeking publishing opportunities for their research papers through the Journal's three titles; JTAS, JST & JSSH. Preference is given to the work on leading and innovative research approaches.

Pertanika is a fast track peer-reviewed and open-access academic journal published by **Universiti Putra Malaysia**. To date, Pertanika Journals have been indexed by many important databases. Authors may contribute their scientific work by publishing in UPM's hallmark SCOPUS & ISI indexed journals.

Our journals are open access - international journals. Researchers worldwide will have full access to all the articles published online and be able to download them with **zero subscription fee**.

Pertanika uses online article submission, review and tracking system for quality and quick review processing backed by Thomson Reuter's ScholarOne™. Journals provide rapid publication of research articles through this system.

For details on the Guide to Online Submissions, visit http://www.pertanika.upm.edu.my/guide_online_submission.php

Questions regarding submissions should only be directed to the **Chief Executive Editor**, Pertanika Journals.

Remember, *Pertanika* is the resource to support you in strengthening research and research management capacity.

Address your submissions to:
The Chief Executive Editor
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