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& HUMANITIES**

JSSH

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PERTANIKA
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Journal of Social Sciences & Humanities

About the Journal

Overview

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

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

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

The Journal is available world-wide.

Aims and scope

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

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

History

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

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

Goal of *Pertanika*

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

Quality

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

Abstracting and indexing of *Pertanika*

Pertanika is almost 40 years old; this accumulated knowledge has resulted in Pertanika JSSH being abstracted and indexed in SCOPUS (Elsevier), Thomson (ISI) Web of Knowledge [BIOSIS & CAB Abstracts], EBSCO & EBSCOhost, DOAJ, Cabell's Directories, Google Scholar, MyAIS, ISC & Rubriq (Journal Guide).

Future vision

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

Citing journal articles

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

Publication policy

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

Code of Ethics

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

International Standard Serial Number (ISSN)

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

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

Lag time

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

Authorship

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

Manuscript preparation

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

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

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

Editorial process

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

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

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

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

The Journal's peer-review

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

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

Operating and review process

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

1. The Journal's chief executive editor and the editorial board examine the paper to determine whether it is appropriate for the journal and should be reviewed. If not appropriate, the manuscript is rejected outright and the author is informed.
2. The chief executive editor sends the article-identifying information having been removed, to three reviewers. Typically, one of these is from the Journal's editorial board. Others are specialists in the subject matter represented by the article. The chief executive editor asks them to complete the review in three weeks.

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

3. The chief executive editor, in consultation with the editor-in-chief, examines the reviews and decides whether to reject the manuscript, invite the author(s) to revise and resubmit the manuscript, or seek additional reviews. Final acceptance or rejection rests with the Editor-in-Chief, who reserves the right to refuse any material for publication. In rare instances, the manuscript is accepted with almost no revision. Almost without exception, reviewers' comments (to the author) are forwarded to the author. If a revision is indicated, the editor provides guidelines for attending to the reviewers' suggestions and perhaps additional advice about revising the manuscript.
4. The authors decide whether and how to address the reviewers' comments and criticisms and the editor's concerns. The authors return a revised version of the paper to the chief executive editor along with specific information describing how they have answered the concerns of the reviewers and the editor, usually in a tabular form. The author(s) may also submit a rebuttal if there is a need especially when the author disagrees with certain comments provided by reviewer(s).

5. The chief executive editor sends the revised paper out for re-review. Typically, at least one of the original reviewers will be asked to examine the article.
6. When the reviewers have completed their work, the chief executive editor in consultation with the 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, an acceptance letter is sent to all the author(s), the paper is sent to the Press. The article should appear in print in approximately three months.

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



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ABSTRACTING/INDEXING

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Foreword

Welcome to the **Fourth Issue 2015** 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 **31 articles**. The authors of these articles come from different countries, namely, **Malaysia, Iran, India, China, Iraq, Vietnam, Bosnia-Herzegovina, Thailand, Palestine** and **Indonesia**.

The articles cover a wide range of topics and include a study investigating the relationship between the transformational leadership style of Iranian high school coaches and the sport commitment of Iranian high school football players (*Saybani, H. R., Yusof, A., Soon, C. and Hassan, A.*); a study examining the influence of financial literacy, money attitude, financial strain and financial capability on young employees' financial well-being (*Mohd. Fazli, S. and N Farhana, Z.*); an analysis on cross-cultural relevance of emotional intelligence with reference to the Indian philosophical text, the Bhagavad-Gita (*N. Gayathri and K. Meenakshi*); a study that explored the impact of global and Chinese cultural values on young people's perceptions of parenthood in Hong Kong, China (*Ng Yin-ling, Tabitha*); an investigation into natural ventilation provisions in different house design types in Putrajaya, Malaysia with respect to the Uniform Building By-Law (UBBL) (*Ibiyeye A. I, Mohd F. Z. J and Zalina S.*); and a paper discussing the concept of al-wasatiyyah and some of its implications for correctly perceiving the phenomenon of Islamic built environment (*Spahic Omer*).

The remaining articles, on topics related to language and linguistics, education, literature, psychology and tourism, include a corpus-based study of semantic treatment of phrasal verbs in Malaysian ESL secondary school textbooks (*Zarifi, A. and Mukundan, J.*); a paper reporting the steps that were taken in developing and validating a critical pedagogy questionnaire for the ESP context (*Kazemi, A. and Tabatabaei*); an analysis of the texture discourse of the Tamil movie song, 'Annaiyin Karuvil', meaning 'mother's womb' (*Thanalachime Perumal, Paramasivam Muthusamy, Che Ibrahim Salleh and Karunakaran Krishnamoorthy*); a study examining the use of author self-reference, but pronouns, in the form of the third-person point of view in academic writing (*Yazid Basthomi, Lely Tri Wijayanti, Nurenzia Yannuar and Utami Widiati*); an investigation into the impact of incorporating reading in efforts to improve the writing skills of EFL students (*Habibi H. and M. K. Chahal*); a study comparing the strategies used in presenting research work in the introductory sections of highly cited research articles and those that have never

been cited (*Suryani, I., Aizan, Y. and Noor Hashima Abd Aziz*); a study on pre-university students' strategies in revising ESL writing using teachers' written corrective feedback (*Razali, K.*); an investigation into the motivational dynamics of Iranian EFL learners (*Azarnoosh, M., Kargozari, H.R. and Faravani, A.*); a study of the use of the CBI method in teaching English at an Indonesian university (*Simbolon, N.E.*); an investigation into how Indonesian learners acquire scalar implicature (*Setiono Sugiharto*); a study discussing the refinement of the English Language Teaching Textbook Evaluation Checklist (*Vahid Nimehchisalem and Jayakaran Mukundan*); a study exploring the research culture in an educational faculty in Malaysia (*Low., H.M. and Mohamed, A.R.*); an investigation into teachers' professional identity using symbolic interactionism (*Jariya Sudtho, Wareesiri Singhasiri and Pattamawan Jimarkon*); a study that proposed a practical theoretical framework in constructing a prototype lesson of online-mediated lessons in English for domestic tourism (*Phaiboonnugulkij, M.*); a study examining students' perceived test difficulty, perceived performance and actual performance in oral tests (*Chang, S.L.*); a paper discussing the employment of a narrative technique 'unreliable narrator' in McEwan's *Atonement* (*Omar Mohammed Abdullah and Wan Roselezam Wan Yahya*); an article analysing the melancholy of a character, Mem, in Alice Walker's *The Third Life of Grange Copeland* (*Kamelia Talebian Sedehi, Rosli Talif, Wan Roselezam Wan Yahya and Hardev Kaur*); an article exploring how John Barth dealt with the intricate relationship between postmodern fiction and its modern counterpart by constructing a subjective narrative event in his novella, *Lost in the Funhouse* (*Abdalhadi Nimer A. Abu Jweid and Arbaayah bt Ali Termizi*); a study investigating the role of "bottom-up" versus "top-down" learning on the interleaving effect in category induction (*Zulkipli, N.*); a study examining the effects of an informal value education programme on the development of the concept of responsibilities among 5th grade students from ethnic minority groups in Vietnam (*Quyên, L.T.D., Zaharim, N.M. and Hashim, I. H. M.*); a study investigating the causal relationship of occupational stress among male academic university employees in Thailand (*Kaewnauchit C.*); a study examining visitors' perceptions and their intention to support ecotourism development in the Alamout area in Iran (*Asadi, A., Abdullah, M. and Fathizahraei, M.*); an analysis of the international tourism market in the Greater Mekong Sub-Region using the panel data approach (*Nonthapot, S. and Lean, H.H.*); a research investigating the effects of resort service quality, location quality and environmental practices on the loyalty of guests within the Malaysian ecotourism industry (*Yusof, N., Rahman, S. and Iranmanesh, M.*) and a study exploring the operational efficiencies of Thai airports from the perspective of low-cost carriers (*Klamsaengsai, S. and Choibamroong, T.*).

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 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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Refinement of the English Language Teaching Textbook Evaluation Checklist

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ABSTRACT

The English Language Teaching (ELT) Textbook Evaluation Checklist was developed in response to the need for a reliable, valid and practical instrument to evaluate English language teaching textbooks. The checklist was qualitatively developed by a review of the literature (Mukundan & Ahour, 2010; Mukundan *et al.*, 2011a) and was refined through qualitative (Mukundan *et al.*, 2011b) and quantitative (Mukundan & Nimehchisalem, 2012a) methods. As the validation test results of the checklist (Mukundan & Nimehchisalem, 2012b; Nimehchisalem & Mukundan, 2013) indicated, it could be refined further to improve its validity, reliability and practicality. The present study discusses the modifications made to the checklist following the comments of a panel of experts (n=3), who were sent a copy of the old version of the checklist. They commented on the comprehensiveness, importance and clarity of the domains and items of the checklist independently. The qualitative method was used to collect and analyse the data. The checklist was refined based on the experts' comments; problematic items were removed or revised and a scoring guide was added to it. The refined instrument is more economical than its previous version, and yet further research is required to test its validity empirically.

Keywords: English language textbook evaluation, evaluation checklists, checklist validation

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INTRODUCTION

Textbooks are evaluated for two main reasons: selection or adaptation (Sheldon, 1988). Sometimes programme developers or language teachers need to evaluate textbooks so that they can make wise decisions in selecting the most suitable book for a language course. Textbook

selection can remarkably influence the process of learning and teaching as students and teachers continuously make references to them (McGrath, 2002) and programme developers design syllabi around them (Garinger, 2002). Textbook evaluation can also help the reflective teacher make necessary changes to a textbook by examining its weaknesses or strengths. Teachers' involvement in this type of evaluation can help them develop professionally (Mukundan, 2010). However, in practice, teachers often prefer to use books that have attractive covers or use best-selling books blindly and merely because they are used by others (Tomlinson, 2010). It is possible to evaluate textbooks in two ways, implicitly or explicitly. Language teachers often evaluate textbooks implicitly, which involves an impressionistic judgment of the material through a quick glance at it with a picture of the target learners in mind. One may find it easy to rely on the impressionistic judgment of an experienced teacher to test the suitability of a textbook. However, less experienced teachers, who have not yet developed a principled set of evaluative criteria in their minds, will find it hard to come up with valid judgments. In such cases, a better choice would be using the explicit evaluation method in which a clear set of criteria is referred to by the evaluator to test the usefulness of the material. Instruments that present such explicit sets of criteria are called checklists. They can help the evaluator make an explicit and comprehensive assessment of the quality

of the textbook in question. Checklists can reduce the subjectivity of evaluators' impressionistic judgment, contributing to the reliability of the evaluation.

A review of the available checklists indicates that in spite of their importance, these instruments are often not tested for their validity or reliability. Admittedly, there are checklists that have been validated, but they are rarely tested for their practicality. Some of these checklists are laden with specialised terminology that can be discouraging for language instructors with little theoretical knowledge of ELT. There are also some checklists whose developers report temptingly high reliability indices. However, in practice, most language instructors will avoid these because they are highly specialised and/or uneconomical. The ELT Textbook Evaluation Checklist (reported here) was developed to provide language instructors and researchers with a valid, reliable as well as practical instrument to evaluate English teaching textbooks. The checklist was developed using both qualitative and quantitative methods of analysis. The next section briefly reviews the literature on ELT material evaluation and gives a summary of the procedure of developing the present checklist.

LITERATURE REVIEW

Different scholars have suggested various procedures and criteria for evaluating ELT materials. Tomlinson (1998) provides an extensive list of principles to be considered in material development and evaluation.

He proposes that good English language learning-teaching materials should:

1. achieve impact (by having novelty and variety and by being attractive and appealing),
2. help learners feel at ease and overcome anxiety (by providing plenty of white space and providing comprehensible input, *i+1*, Krashen, 1988),
3. be relevant to the learners' needs,
4. promote learner self-investment (by involving them in projects and creating their own resources),
5. present authentic language,
6. draw learners' attention to linguistic features of the input (which does not necessarily mean an explicit presentation of grammar),
7. promote the use of the target language to achieve communicative purposes (e.g., through information gap activities),
8. consider the fact that positive effects of instruction are often delayed,
9. consider learners' varying learning styles and affective attitudes,
10. permit a silent period at the beginning of instruction,
11. encourage intellectual, aesthetic and emotional involvement that stimulates both right and left brain hemispheres (through activities like singing a song),
12. not rely on controlled practice (since it is retained only in short-term memory), and
13. provide opportunities for outcome feedback (by activities that encourage them to check their language achievement).

According to Stevick (1971), textbooks could be evaluated based on three qualities (strength, lightness and transparency), three dimensions (linguistic, social and topical) as well as four components (occasion for use, sample of language use, lexical exploration and exploration of structural relationships). Brown (1995) suggests evaluating materials in terms of their background (e.g. the author's credentials), fitness to the target curriculum, physical characteristics, logistical characteristics (e.g. price and availability) and teachability (e.g. annotations to help teachers explain and plan activities). For Ansari and Babaii (2002), approach, content presentation, physical make-up and administrative concerns constitute the universal features that are the bases on which a textbook should be evaluated. Bell and Gower (1998) emphasise that the language presented in an English textbook should be natural and realistic. They contend that a textbook with authentic examples of language commonly used in the real world can motivate the learner.

Some other dimensions that are often considered in evaluating textbooks include the learner's role, the teacher's role and the role of instructional materials (Richards & Rodgers, 1986), as well as the learning-teaching context and the background of the learners (Byrd, 2001; Sheldon, 1988; Skierso, 1991). Another crucial factor is the relevance of learning content in the ELT materials in which the format and orientation of activities should be geared to learners' preferences and developmental needs (Tudor, 1992).

Although the available checklists have been developed for different learning-teaching situations, they usually share almost the same characteristics and evaluative criteria. Features such as aim, layout, methodology, organisation, language skills (speaking, listening etc.), sub-skills (grammar, vocabulary etc.) and functions can be frequently seen in most of the commonly used checklists like Cunningsworth (1995), Cunningsworth and Kusel (1991), Harmer (1991), Skierso (1991) and Ur (1996).

The content of a checklist should be relevant and explicit. The items in a checklist should be worded in such a way that the concepts are defined clearly and unambiguously. In this respect, Littlejohn (1998) warns checklist developers about including items that involve “general, impressionistic judgements ... rather than examining in depth what the materials contain” (p.191). Ur (1996) recommends that developers avoid wording items in such a way that they are limited to a specific methodology or approach. According to Littlejohn (1998), it is important to avoid items like “up-to-date methodology of L2 teaching” (as in Williams, 1983, p.252). A teaching method that is up-to-date may not be necessarily the best available method for the target learning-teaching situation.

Furthermore, concepts that are hard to quantify should be avoided. For example, it is very hard to score an item that asks whether the material is “based on a contrastive analysis of English and the L1 sound system” (Williams, 1983, p.255).

Checklists are used by language teachers, who often cannot spare time to make a contrastive analysis of the first and target languages merely to be able to accurately respond to an item in a checklist. Also, teachers would find it very hard to quantify an item like “Balanced distribution: To what extent is there an even distribution of grammatical and vocabulary material among the chapters?” (as in Skierso, 1991, p.447). An analysis of such distribution patterns would require software like WordSmith (Scott, 1999) or Retrotex-E (Mukundan, 2010). A human numerator would find it very challenging to analyse the distribution patterns of the new words throughout a textbook manually.

According to Tomlinson (2003), there are certain pitfalls that should be avoided by developers of textbook checklists, including (1) confusion over evaluation and analysis questions, (2) multiple questions in one item, (3) extended, unclear and unanswerable items, (4) dogmatic questions and finally (5) items that may be interpreted in different ways by various evaluators. In their review of 48 available checklists in the literature, Mukundan and Ahour (2010) show how checklist developers commonly commit the errors mentioned by Tomlinson (2003).

PREVIOUS RESEARCH ON THE ELT TEXTBOOK EVALUATION CHECKLIST

The ELT Textbook Evaluation Checklist (referred to as ‘the checklist’ henceforth) has undergone a number of recursive

validation and refinement stages that will be presented in this section. The checklist was first designed based on the review of the related literature on ELT textbook evaluation (Mukundan & Ahour, 2010). Based on this review, a prototype was developed (Mukundan *et al.*, 2011a). It consisted of two main domains, namely 'general attributes' (5 sub-domains and 11 items) and 'learning-teaching content' (9 sub-domains and 27 items). The sub-domains in the first section included 'the book in relation to syllabus and curriculum', 'methodology', 'suitability to learners', 'physical and utilitarian attributes' and 'supplementary materials'. On the other hand, 'general content' (i.e. task quality, cultural sensitivity as well as linguistic and situational realism), 'listening', 'speaking', 'reading', 'writing', 'vocabulary', 'grammar', 'pronunciation' and 'exercises' constituted the sub-domains of the second section. The checklist followed a five-point Likert style scale, in which zero signified 'never true' and four 'always true'.

The prototype was further refined through qualitative and quantitative methods. Six experts participated in a focus group study to comment on the clarity, comprehensiveness and importance of the checklist items, sub-domains and domains. Based on the focus group's feedback, 2 items were rephrased and 14 more were added to the checklist (Mukundan *et al.*, 2011b). The focus group study was very useful. Most importantly, it helped the developers revise some of the ambiguous items that would otherwise have reduced the reliability of the instrument.

Subsequent to the focus group study, the refined checklist was given to a group of ELT experts (n=207) who stated their views on the checklist. They indicated which items needed to be reworded, removed or added. They also determined the importance level of each item by marking a five-point Likert scale from zero, signifying 'unimportant', to four, signifying 'very important'. The method that was followed was almost the same as the one followed by Akbari *et al.* (2010) or Cid *et al.* (2009). Based on the results of factor analysis, two items were removed from the checklist. A discussion of the findings of this survey is presented in Mukundan and Nimehchisalem (2012a).

After the focus group study and the survey, the checklist turned into a 50-item instrument. At this point, two other studies were simultaneously conducted to validate the checklist. One of the studies involved a survey of a group of English language teachers' views on the usefulness (validity, reliability, impact and practicality) of the checklist. For this purpose, a group of teachers (n=82) with bachelor degrees and a minimum of 2 years of teaching experience used the checklist to evaluate a textbook. They were then given a questionnaire to evaluate the checklist itself. The findings showed that more than three out of four teachers (78%) regarded the checklist as highly useful (Nimehchisalem & Mukundan, 2013). Additionally, some of the teachers provided comments that helped the developers in the further refinement of the checklist. The study provided some promising feedback on the usefulness of

the checklist, but its main limitation was its reliance on the 'perceptions' of a group of respondents rather than on a panel of experts' evaluation of the checklist. It could not be concluded that the results of this survey were really able to take all of such elusive facets as validity, reliability, impact and practicality into account.

Therefore, another study was conducted which involved a more empirical evaluation of the validity, reliability and economy of the checklist. In this study, two ELT experts, who were experienced English language teachers with PhD degrees in TESL, evaluated the same textbook using the checklist. The correlation between the two raters' results (the inter-rater reliability) proved to be quite high ($r=.88$). The experts also used another checklist with proven validity (i.e. Skierso, 1991) to evaluate the same textbook. A high correlation ($r=.77$) was reported between the results of the two checklists. This would mean that the checklist results indicated a high level of concurrent validity. Additionally, the checklist turned out to be more economical than the Skierso checklist. It helped the two experts evaluate the textbook in 9.5 minutes, which was almost three times shorter than the time they spent using the Skierso checklist for the same purpose. Finally, the experts' responses to a questionnaire indicated they were highly satisfied with the checklist (Mukundan & Nimehchisalem, 2012b).

As the reviewed literature on the ELT Textbook Evaluation Checklist indicates, the instrument has been developed and

tested rigorously and positive results have been obtained on its validity, reliability, impact and practicality. However, further in-depth research was necessary to shed light on its potential problems and help its developers increase its usefulness. The present study was proposed to address this objective.

OBJECTIVE AND RESEARCH QUESTIONS

This study aimed at validating the ELT Textbook Evaluation Checklist with the help of a panel of ELT experts. The following research questions were posed to meet the objective of the project:

1. How do the experts evaluate the ELT Textbook Evaluation Checklist regarding the comprehensiveness of its items, sub-domains and domains?
2. How do the experts evaluate the checklist regarding the importance of its items, sub-domains and domains?
3. How do the experts evaluate the checklist in reference to the clarity of its items?

METHOD

This research was an attempt to further improve the validity (research questions 1 & 2) and reliability (research question 3) of the checklist. Qualitative method was used to collect and analyse data. The panel of experts that were consulted included three experienced ELT experts (one female and two males). They were all experienced ELT practitioners (with a minimum experience of 15 years) and all held PhD

degrees in Teaching English as a Second Language (TESL). They were individually given a copy of the latest version of the checklist with a cover letter indicating the objective of the research and asking them for their critical feedback. They were particularly requested to review the checklist and write down their comments on the comprehensiveness, importance and clarity of its items. All the experts returned their comments in less than a week.

Using a panel of experts' judgment, or qualitative expert reviews, is a common way of validating instruments (Wynd, Schmidt, & Schaefer, 2003). Also known as the Delphi technique, the method involves obtaining an expert panel's independent evaluations over repeated rounds until consent is reached (Armstrong, 2001). After each round, summaries of the anonymous judgments are provided for the experts (Rowe & Wright, 2001). Delphi is based on the assumption that group judgment has higher validity than individual and/or unstructured group judgments and provides more accurate forecasts than unstructured groups (Rowe & Wright, 1999). In this study, the three experts provided consistent judgments about the validity of the instrument, which rendered a second round redundant.

RESULTS AND DISCUSSION

The study sought to elicit feedback from the experts on the comprehensiveness, importance and clarity of the checklist items. The experts added some items that they believed would make the checklist

more comprehensive (research question 1). They removed some that they considered unimportant (research question 2), while they modified and reworded the items that were not clear (research question 3). This section presents and discusses the changes made to the checklist based on the experts' comments in three sections, each covering a separate research question. When references are made to the old version of the checklist (Appendix A), item numbers are followed by the word 'Old' (e.g. item 1 Old); otherwise, the item appears in the new version of the checklist (Appendix B).

Added Items

Some items were added to the checklist based on the experts' comments. These included the flexibility of the checklist, textbook illustrations, supplementary materials (like tests and workbooks), language functions, learner attitudes and register of listening contexts. A score interpretation guide was also added to the checklist. Some of these comments were considered while others were disregarded, as discussed in this section.

There were comments concerning the flexibility of the checklist. The researchers were recommended to add a part to the checklist to enable the evaluators to disregard any of the items that they considered irrelevant to their present teaching situation. Some well-known checklists permit the evaluator to ignore an item that lacks relevance to particular learning-teaching contexts. The Skierso checklist (1991), for instance, has a 'not

applicable' column next to each item. Should an evaluator find an item irrelevant for the teaching-learning context in question, s/he may mark it as 'not applicable' and disregard it. In order to make the present checklist more flexible, a 'not applicable' column was added next to each sub-domain. A note was also added to the beginning of the checklist which instructed evaluators to disregard the sections that they found irrelevant to their present context.

The second expert suggested adding the item, *Illustrations are sufficient*, to Part D. This comment was, however, disregarded since it was covered by item 9, *It indicates efficient use of text and visuals*. In part E (Efficient layout of supplementary materials), the second and third experts both suggested adding items on tests, quizzes and workbooks. Adding three items to this part would reduce the economy of the checklist. Instead, item 14 Old, *The book is supported efficiently by essentials like audio-materials*, was modified to *The book is supported by suitable materials, like a workbook, audio, or multimedia* (item 10). A new item was also added to cover assessment, *The book is supported by other materials like review and test units* (item 11). One of the experts suggested adding an item on external links and references to internet sources and the like. This recommendation was, however, ignored since it would not be fair to penalise a book merely for not having made references to the internet.

The first expert suggested adding an item on language functions to part F

(General content) e.g. *Book covers the essential functions learners need to express their ideas in real life communication*. This item was not, however, added to the new version of the checklist for a number of reasons. First, the item would not be suitable for textbooks that do not follow a functional notional syllabus. Additionally, the first item of the checklist, *It matches to the specifications of the syllabus*, covered the same concept. Adding similar items to the checklist would also reduce its economy.

The first expert also suggested adding an item on the learners' attitudes towards the book. He recommended an item like *The students have a positive attitude toward the book*. The item was not added to the checklist since it would divert the instrument from its main objective, which is enabling teachers and other experts to evaluate the usefulness and suitability of ELT textbooks rather than measuring learners' attitudes or perceptions of textbooks.

Following the third expert's comment on part G (Listening), item 20, *Various listening contexts such as formal vs. informal contexts are considered*, was added to emphasise the variety of listening activities. Adding such an item was appropriate since it focused on the crucial area of style and register.

Finally, an interpretation guide was also added to the end of the checklist. To evaluate a textbook, the evaluator would read each item, assign a value of 0 to 4 for each, add up the scores to calculate the total score, and then divide this score by the total number of the items (i.e. 39) to

achieve the mean score. If the mean score ranged between 0 and 0.80, it would have 'negligible usefulness' to the target group of learners. A mean, ranging between 0.81 and 1.60, would indicate 'low usefulness'. The third level ranged between 1.61 and 2.80, which would indicate 'moderate usefulness'. The next level, ranging from 2.81 to 3.60, would show 'high usefulness'. The final level that fell between 3.61 and 4.00 would indicate a 'very high level of usefulness'. The levels were defined based on Guilford's (1973) rule of thumb:

- <20% = negligible
- 20%-40% = low
- 40%-70% = moderate
- 70%-90% = high
- >90% = very high

According to this rule of thumb, a value of <20% is regarded as 'negligible', 20%-40% as 'low', 40%-70% as 'moderate', 70%-90% as 'high' and >90% as 'very high'.

Removed Items

This section will present the items that were deleted from the checklist. The items were removed generally for two main reasons. Most of these items overlapped with other similar items in the checklist. Other items were removed since they would make the checklist suitable only for particular types of English textbooks, making it less generic.

Item 5 Old, *It is compatible with the socio-economic context*, was deleted because the concept of learners' socio-economic context would be covered by item 7, *It is appropriately priced*. Items

6 Old, *It is culturally accessible to the learners*, and 18 Old, *Cultural sensitivities have been considered*, were also removed. According to the third expert, these items had already been covered by item 4 Old, *It is compatible with the background knowledge and level of students*. Item 30 Old, *Activities motivate students to talk*, in part H (Speaking) was removed since item 21, *Activities are developed to initiate meaningful communication*, would cover it.

Item 20 Old, *The situations created in the dialogues sound natural and real*, was removed since it would not be fair to regard an English textbook as unsuitable for lack of situational realism in it. In addition, linguistic realism (item 19 Old) to some extent overlapped with this item.

Item 23 Old, *The book contains fun elements*, was removed. Admittedly, engaging language students can definitely increase their motivation and make them more successful learners. However, it is the teacher and, in part, the students, who can make the textbook fun. In this respect, Pulverness (1999) contends that it is the teacher who reanimates the dead text of the book for the learners. As the second expert also noted, different cultures may have different conceptions of 'fun'. In addition, if the textbook has 'varied' (item 14) or 'interesting' (item 27) tasks, it will make it easy for the teacher to make its use fun.

Items 26 Old, *Tasks are efficiently graded according to complexity*, and 31 Old, *Texts are graded*, were removed based on the first expert's feedback. He contended:

Some items imply that 'gradation' is an essential criterion of suitability. However, gradation is a characteristic of linguistic or grammatical syllabi, and may be done away with by analytic syllabi or process-oriented syllabi. In addition, according to Ellis (2003), "there is no simple algorithmic procedure for grading tasks in terms of their inherent characteristics" (p. 122).

In fact, items 5, *It is compatible with background knowledge and level of students*, and 13, *Tasks move from simple to complex*, already covered the concept of difficulty, making items 26 and 31 redundant.

Finally, item 35 Old, *Models are provided for different genres*, was also removed. The item would be more suitable for English textbooks following a genre- or text-based approach to teaching of ESL writing. The approach is more appropriate for courses following English for academic purposes. Having an item that promoted this approach would unfairly under-rate the textbooks that followed a different approach.

Modified Items

The panel of experts also suggested modifying some of the items for a number of reasons. As in the case of items that needed to be removed, some items lacked unidimensionality and focused on more than one sub-construct. There were also items that overlapped with others. It is common practice to have more than one item to test the same sub-construct. In the development of the present checklist, however, we tried to avoid overlapping

items to keep the final checklist as concise as possible. The experts also highlighted some ambiguous items that were too broad and could confuse the evaluator. Some other items were modified to make the checklist more economical.

As the third expert pointed out, item 2 Old, *The activities can be exploited fully and can embrace the various methodologies in ELT*, was testing two separate sub-constructs. The second part of this item, *...and can embrace the various methodologies in ELT*, was, in fact, the same as item 3 Old, *Activities can work well with methodologies in ELT*. This part of the item was, therefore, removed.

As it was also observed by the first expert, item 4 Old, *It is compatible with the background knowledge and level of students*, focused on two separate issues. In this respect, Tomlinson (2003) warns checklist developers of including multiple questions in a single item. The learners' background knowledge includes their world knowledge, but their level encompasses their linguistic knowledge. Thus, the item was broken into two separate items.

Another item that needed to be modified was item 3 Old, *Activities can work well with methodologies in ELT* since, according to the second expert, it was too broad. In her words, "Do we expect a book to cater for or accommodate various methodologies? Then the evaluator needs to have access to your operational definition of methodology." The third item was, therefore revised as, *Activities can work well in most classroom situations* (item 4) to avoid the ambiguity that the

word ‘methodology’ could create. One of the experts commented on the word ‘needs’ in item 7 Old, *It addresses the needs of the learners*. As he argued, “The word ‘needs’ is too general a concept. It could include a variety of needs such as linguistic needs, functional needs, communicative needs etc.; moreover, different students may have different needs.” The item was, therefore, rephrased to *It addresses learning targets* (item 6) to avoid ambiguity.

Item 11 Old, *It is cost-effective*, was rephrased to *It is appropriately priced*. As the third expert mentioned, in some cases free English textbooks may be provided for the students. The revised item can cover such situations. In part F (General content), item 17 Old, *Task objectives are achievable*, was reworded more clearly as *Tasks support teaching objectives*. Item 21 Old, *The material is up-to-date*, was also modified, based on the second expert’s comment. According to her, the term ‘up-to-date’ is vague and “can have different connotations. It may relate to the date of publication, the content, the topics, or the like”. The item was reworded as *The content is fairly recent* to avoid confusion. Another item that was modified was item 22 Old, *It covers a variety of topics from different fields*. The idea of variety cannot be neglected since it makes the textbook more interesting. However, in the case of some textbooks, it would be impossible to have a variety of topics from different fields. Therefore, the focus of the item was shifted from the topics to the tasks. It was reworded as *Tasks are varied* (item 14).

As mentioned by two of the experts, factors like durability, size, or printing quality are important, but not as essential as other items like the compatibility of the book to the background knowledge and level of the students (item 4 Old). Therefore, items 10 Old, *It is durable*, 12 Old, *Its size is appropriate*, and 13 Old, *The printing quality is high*, were all rephrased more generally as *Overall, the book has a nice feel* (item 2). Collapsing these items would also improve the economy of the checklist. Likewise, in part H (Speaking), item 29 Old, *Activities are balanced between individual work, pair work and group work*, was rephrased as *Individual, pair and group work are given equal emphasis* (item 22). The reworded item was shorter and easier to understand.

CONCLUSION

This paper summarises the previous research conducted to develop and evaluate The ELT Textbook Evaluation Checklist. It also presents the findings of a study that investigated a panel of experts’ evaluation of the validity and reliability of the checklist. This study helped the developers gain further in-depth feedback from the prospective users of the checklist regarding its usefulness. Based on this feedback, the checklist was revised. The new version of the checklist (see Appendix B) is more concise than the previous version. It has 39 items (with 303 running words) while the previous version contained 50 (with 361 running words). It also makes it more convenient for the evaluator to rate and

interpret textbooks with the help of its interpretation table that was missing in its predecessor.

This study has useful implications for researchers who are interested in developing similar instruments. As the results indicated, there were many items in the checklist that were ambiguous or overlapped with others. Such issues could affect the reliability and validity of the instrument, but surprisingly they had been ignored in the previous studies through which the checklist had been developed. This leads us to the important conclusion that it is not sufficient to validate an instrument based on the perceptions of a group of experts or even the evaluation of a group of users. The findings have led us to believe that the critical feedback of a panel of experts can shed light on many areas of an instrument that may be ignored in more positivistic research methods.

The study emphasises the role of textbook evaluation checklists in ELT research and practice. A checklist is a useful tool that can be used for research purposes; that is, “measuring what might be expected to occur; and as a means of raising awareness among designers, i.e. pointing out what perhaps ought to occur” (Jones, 1993, p.457). As a research tool, a checklist can facilitate and encourage self-directed teacher research, which has been underlined in the literature (Elliot, 1981; Roberts, 1993). It can be helpful in ‘pre-use’, ‘in-use’ and/or ‘post-use’ ELT material evaluation (Cunningsworth, 1995; Ellis, 1997). In pre-use (or predictive) evaluation of textbooks, the checklist can help teachers

to select more useful and suitable textbooks for their language classes by examining the prospective performance in their present learning-teaching context. Teachers can use checklists to diagnose the strengths and/or weaknesses of the textbooks that they are using in their classrooms. Finally, checklists can also be used in post-use (or retrospective) evaluation of textbooks that involves a reflection on the quality of a textbook that has been taught/used in a language classroom. The present checklist can be used by programme evaluators, researchers and other experts to evaluate a textbook after it has been used. The probable shortcomings of the textbook can specifically be diagnosed with the help of the checklist and adaptations can be made to optimise the usefulness of the textbook.

However, any instrument should be used with caution as testing situations vary. For instance, the checklist will definitely require some modifications before it can be adequately used to evaluate junior level English textbooks for children. Additionally, the checklist cannot be used for evaluating ELT software packages unless certain criteria are added to address the technical properties of the software. It is common to test checklists by using them to evaluate a wide range and number of materials (Jones, 1993). A study in which the checklist is used to evaluate several textbooks may help further improve its validity.

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APPENDIX A

English Language Teaching Textbook Evaluation Checklist (Old Version)

Instructions

Read the items in the checklist and in the column opposite the items indicate the level to which they agree with each statement by marking 0 to 4:

0 = NEVER TRUE

1 = RARELY TRUE

2 = SOMETIMES TRUE

3 = OFTEN TRUE

4 = ALWAYS TRUE

I. General attributes	
A. The book is in relation with the syllabus and curriculum	
1. It matches the specifications of the syllabus.	① ② ③ ④
B. Methodology	
2. The activities can be exploited fully and can embrace the various methodologies in ELT.	① ② ③ ④
3. The activities can work well with methodologies in ELT.	① ② ③ ④
C. Suitability to learners	
4. It is compatible with background knowledge and level of students.	① ② ③ ④
5. It is compatible with the socio-economic context.	① ② ③ ④
6. It is culturally accessible to the learners.	① ② ③ ④
7. It is compatible with the needs of the learners.	① ② ③ ④
D. Physical and utilitarian attributes	
8. Its layout is attractive.	① ② ③ ④
9. It indicates efficient use of text and visuals.	① ② ③ ④
10. It is durable.	① ② ③ ④
11. It is cost-effective.	① ② ③ ④
12. Its size is appropriate.	① ② ③ ④
13. The printing quality is high.	① ② ③ ④
E. Efficient layout of supplementary materials	
14. The book is supported efficiently by essentials like audio-materials.	① ② ③ ④
15. There is a teacher's guide to aid the teacher.	① ② ③ ④

II. Learning-teaching content	
A. General	
16. Tasks move from simple to complex.	① ② ③ ④
17. Task objectives are achievable.	① ② ③ ④
18. Cultural sensitivities have been considered.	① ② ③ ④
19. The language in the textbook is natural and real.	① ② ③ ④
20. The situations created in the dialogues sound natural and real.	① ② ③ ④
21. The material is up-to-date.	① ② ③ ④
22. It covers a variety of topics from different fields.	① ② ③ ④
23. The book contains fun elements.	① ② ③ ④
B. Listening	
24. The book has appropriate listening tasks with well-defined goals.	① ② ③ ④
25. Instructions are clear.	① ② ③ ④
26. Tasks are efficiently graded according to complexity.	① ② ③ ④
27. Tasks are authentic or close to real language situations.	① ② ③ ④
C. Speaking	
28. Activities are developed to initiate meaningful communication.	① ② ③ ④
29. Activities are balanced between individual response, pair work and group work.	① ② ③ ④
30. Activities motivate students to talk.	① ② ③ ④
D. Reading	
31. Texts are graded.	① ② ③ ④
32. Length is appropriate.	① ② ③ ④
33. Texts are interesting.	① ② ③ ④
E. Writing	
34. Tasks have achievable goals and take into consideration learner capabilities.	① ② ③ ④
35. Models are provided for different genres.	① ② ③ ④
36. Tasks are interesting.	① ② ③ ④
F. Vocabulary	
37. The load (number of new words in each lesson) is appropriate to the level.	① ② ③ ④
38. There is a good distribution (simple to complex) of vocabulary load across chapters and the whole book.	① ② ③ ④
39. Words are efficiently repeated and recycled across the book.	① ② ③ ④
40. Words are contextualized.	① ② ③ ④

Textbook Evaluation Checklist

G. Grammar	
41. The amount of grammar is achievable.	① ② ③ ④
42. The grammar is contextualized.	① ② ③ ④
43. Examples are interesting.	① ② ③ ④
44. Grammar is introduced explicitly.	① ② ③ ④
45. Grammar is reworked implicitly throughout the book.	① ② ③ ④
H. Pronunciation	
46. It is contextualized.	① ② ③ ④
47. It is easy to learn.	① ② ③ ④
I. Exercises	
48. They have clear instructions.	① ② ③ ④
49. They are adequate.	① ② ③ ④
50. They help students who are under/over-achievers.	① ② ③ ④

APPENDIX B

English Language Teaching Textbook Evaluation Checklist (New Version)

Instructions

Read the items in the checklist and in the column opposite the items indicate the level to which they agree with each statement by marking 0 to 4:

0 = NEVER TRUE

3 = OFTEN TRUE

1 = RARELY TRUE

4 = ALWAYS TRUE

2 = SOMETIMES TRUE

NA= NOT APPLICABLE

NB: There may be one or more sections that you may not find applicable to your teaching context. In such cases, check the box in the ‘NA’ (or, NOT APPLICABLE) column and disregard the section in evaluating the textbook.

NA	I. General attributes	
<input type="checkbox"/>	A. The book in relation to syllabus and curriculum	
	1. It matches the specifications of the syllabus.	① ② ③ ④
	2. Overall, the book has a nice feel.	① ② ③ ④
NA		
<input type="checkbox"/>	B. Methodology	
	3. The activities can be exploited fully.	① ② ③ ④
	4. The accivities can work well in most classroom situations.	① ② ③ ④
NA		
<input type="checkbox"/>	C. Suitability to learners	
	5. It is compatible with the background knowledge and level of students.	① ② ③ ④
	6. It addresses learning targets.	① ② ③ ④
NA		
<input type="checkbox"/>	D. Physical and utilitarian attributes	
	7. It is appropriately priced.	① ② ③ ④
	8. Its layout is attractive.	
	9. It indicates efficient use of text and visuals.	① ② ③ ④
NA		
<input type="checkbox"/>	E. Efficient layout of supplementary materials	
	10. The book is supported by suitable materials like a work-book, audio, or multimedia.	① ② ③ ④

Textbook Evaluation Checklist

	11. The book is supported by other materials like review and test units.	①	①	②	③	④
	12. There is a useful teacher's guide to aid the teacher.	①	①	②	③	④
NA	II. Learning-teaching content					
<input type="checkbox"/>	F. General content					
	13. Tasks move from simple to complex.	①	①	②	③	④
	14. Tasks are varied.	①	①	②	③	④
	15. Tasks support teaching objectives.	①	①	②	③	④
	16. The language in the textbook is natural and real.	①	①	②	③	④
	17. The material is fairly recent.	①	①	②	③	④
NA	<input type="checkbox"/> G. Listening					
	18. The book has appropriate listening tasks with well-defined goals.	①	①	②	③	④
	19. Tasks are authentic or close to real language situations.	①	①	②	③	④
	20. Various listening contexts such as formal vs. informal contexts are considered.	①	①	②	③	④
NA	<input type="checkbox"/> H. Speaking					
	21. Activities are developed to initiate meaningful communication.	①	①	②	③	④
	22. Individual, pair and group work are given equal emphasis.	①	①	②	③	④
NA	<input type="checkbox"/> I. Reading					
	23. Length is appropriate.	①	①	②	③	④
	24. Difficulty level is appropriate.	①	①	②	③	④
	25. Texts are interesting.	①	①	②	③	④
NA	<input type="checkbox"/> J. Writing					
	26. Tasks have achievable goals and take into consideration learner capabilities.	①	①	②	③	④
	27. Tasks are interesting.	①	①	②	③	④
NA	<input type="checkbox"/> K. Vocabulary					
	28. The load (number of new words in each lesson) is appropriate to the level of students.	①	①	②	③	④

	29. There is a good distribution (simple to complex) of vocabulary load across chapters and the whole book.	①	②	③	④
	30. New words are sufficiently repeated and recycled across the book.	①	②	③	④
	31. Words are contextualized.	①	②	③	④
NA					
<input type="checkbox"/>	L. Grammar				
	32. Grammar is contextualized.	①	②	③	④
	33. Grammar items are repeated throughout the book.	①	②	③	④
NA					
<input type="checkbox"/>	M. Pronunciation				
	34. Tasks are useful.	①	②	③	④
	35. Tasks are interesting.				
NA					
<input type="checkbox"/>	N. Exercises				
	36. They have clear instructions.	①	②	③	④
	37. They are adequate.	①	②	③	④
	38. They are interesting.	①	②	③	④
	39. They help students with mixed abilities.	①	②	③	④

Scores Interpretation Guide

Level	Range	Interpretation
0	0.00-0.80	Negligible usefulness
1	0.81-1.60	Low usefulness
2	1.61-2.80	Moderate usefulness
3	2.81-3.60	High usefulness
4	3.61-4.00	Very high usefulness



Transformational Leadership and Sport Commitment: A Study of Iranian High Schools' Football Teams

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ABSTRACT

The aim of this study was to investigate the relationship between the transformational leadership style of Iranian high school coaches and the sport commitment of Iranian high school football players. This study also examined the effect of age and playing experience on athletes' sport commitment. A total of 270 football players were selected from 31 high school football teams in Iran using the simple random sampling procedure. Instruments of the study were the Multifactor Leadership Questionnaire (MLQ) (Avolio & Bass, 1995) and Sport Commitment Model Scale (SCMS) (Scanlan, Carpenter, Schmidt, Simons, & Keeler, 1993). The results of the study indicated that there is a positive and significant relationship between the transformational leadership style of coaches and sport commitment ($r=.419$, $\beta=.478$, ρ value=.001). In addition, the results also showed that there are no significant differences in sport commitment of football players of different ages ($F=1.115$, p value=0.330>0.05) and years of football experience ($F=0.053$, p value=0.948>0.05). Findings of this study suggest that the transformational leadership style is effective in enhancing the sport commitment of Iranian high school football players.

Keywords: Sport commitment, transformational leadership

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INTRODUCTION

In recent years studies on leadership have been carried out in sport settings that refer to the coach as a leader and the athlete as a follower. Coaches can play different roles with different approaches as leaders in their teams. A study conducted by Price (2010,

found that several theories of leadership were used to describe how situational factors, leader-member relations and leader traits signify effective leadership. Beginning with the theory that leaders are born, not made to the contingency theory and the transformational leadership theory, leadership theories have progressed to include countless components related to characteristics of the leader, followers, situation and leader-follower relationship.

The transformational leadership theory accentuates the significance of the leader-follower relationship (Bass, 1985; Bass, 1990; Bass & Avolio, 1993; Bass & Avolio, 1994) making it pertinent to the study of athletic leadership. According to this theory the positive interactions between leaders and followers lead to desirable consequences such as commitment, satisfaction and motivation. This theory does not focus on the characteristics of the leader, followers or situation; rather, it emphasises the development of the relationship between leaders and followers. Therefore, the leader-follower relationship-centred theory finds its strength in the mutual social collaborations of leaders and followers in accomplishing a shared goal (Price, 2010). Transformational leaders try to create motivation, vision and insight in order to increase satisfaction and commitment among their employees (Amorose & Horn, 2000; Chen & Fahr, 2003; Louise & Robert, 2007). The transformational leadership theory is relatively new in sport settings and it has proved to be useful (Bass & Riggio, 2006).

Bass (1985) and his colleagues wrote that by altering and influencing followers' beliefs and attitudes, transformational leaders motivate and inspire followers to exceed expectations. According to Bass and Riggio (2006) and Avolio (1999), transformational leadership factors are: (1) idealised influence (attributed), (2) idealised influence (behaviour), (3) inspirational motivation, (4) intellectual stimulation and (5) individualised consideration.

Even though many studies have been conducted in recent years on the transformational leadership theory in different settings such as business, industry, the military and the corporate world (companies), there are very few studies that have examined the transformational and transactional leadership theory in sport (Burton & Peachey, 2009). The limited studies in sport focused on the relationship between transformational and transactional leadership behaviours of sport leaders such as athletic manager, athletic directors and the commitment of subordinates such as coaches (Amorose & Horn, 2000; Kent & Chelladurai, 2001; Javdani, 2002; Chen & Fahr, 2003; Bass & Riggio, 2006; Louise & Robert, 2007; Nikoofar, 2007; Andrew *et al.*, 2010; Hallajy, 2009; Price, 2010). The result of these studies showed transformational leadership behaviours increased subordinates' commitment. However, other studies in sport have obtained conflicting results. Specifically, studies by Pruijn and Boucher (1995), Wallace and Weese (1995), Doherty and Danylchuk (1996) and Javdani (2002) showed that

transformational leadership of superiors had little impact on followers' outcome such as commitment or performance. The inconsistent findings suggest more research is needed to examine the relationship of transformational leadership behaviour on subordinate outcomes such as subordinates' commitment.

Within the context of high school sport in Iran, several authors reported lack of commitment among Iranian high school students in sport participation. Specifically, Hashemi (2010) found out that only 48% of Iranian high school students participated in sport in 2010 as compared to 76% in 2009. The decline in sport participation among Iranian high school students may be due to a lack of sport commitment or the "desire and resolve to continue sport participation in a particular program, specific sport, or sport in general" (Scanlan *et al.*, 1993, p. 6).

Poor leadership has been identified as a possible reason for the decline of sport participation in Iran. For example, Ramezanijad, Hemmatinejad, Mohebbi and Niazi (2010) and Hashemi (2010) suggest the main reasons for the poor results of Iranian national youth teams and national school teams are the coach's leadership role on commitment and satisfaction of players. Noroozi, Koozechian, Ehsani, Feyz and Noroozi (2012) stated that when coaches do not make use of effective leadership styles, they can cause decreased commitment and satisfaction among players. Coaches may invest a lot of money and use different facilities, but if they are not able to satisfy players they cannot expect commitment

from them, thus the result will be a weak team with poor performance (Zardoshtian, 2008).

This study sought to examine the relationship between transformational leadership styles of Iranian coaches and the sport commitment of high school football players. Using high school as the setting since this sport is the most popular sport in Iran (Ramezanijad *et al.*, 2010), this study sought to examine whether Iranian high school coaches who engage in transformational leadership behaviours are able to inspire and empower high school football players to a higher level of commitment than coaches who do not engage in such leadership behaviours.

The following hypotheses were formulated for this study:

H₁: There is no significant relationship between the transformational leadership style of coaches and the sport commitment of high school football players in Iran.

H₂: There is no significant difference in sport commitment of high school football players of different ages in Iran.

H₃: There is no significant difference in sport commitment of high school football players of different football playing experiences in Iran.

METHODOLOGY

The quantitative research approach was adopted for the study. Participants of this study were Iranian high school football

players. The sample of this study was selected from 558 football players who were playing in different Iranian high schools' football select teams (31 teams×18 players=558 players). For determining sample size, the researcher used the Krejcie and Morgan's Table (1975). Based on this table, a total sample size of 234 subjects was determined. The researcher selected 15 provinces through simple random sampling procedure from all 31 Iranian provinces (high school football teams) to increase the confidence level of research results. Finally, participants of this study were 270 (15 teams×18 players=270 players) Iranian high school football players (mean age=17.35 years, standard deviation=0.78.), which was reduced to 255 football players due to missing answers to some of the questions. Therefore, the total number of participants was 255 high school football players who completed all questions in the questionnaire.

The age of the football players ranged from 15 to 20 years (mean age=17.35 years; standard deviation=0.78). The range of football playing experience (year) of football players in the schools' competitions were between 0 (inexperience) to 10 years (mean age=2.66 years; standard deviation=3.04). The age and experience of all participants were categorised. In this regard, the age and

football playing experience of football players were categorised into three groups (Table 2).

The researcher used a standardised back-translation technique (Arbuckle, 2009) to translate the original English version of the two instruments (MLQ and SCMS) into Persian. Then a pilot study was utilised to confirm the capability of the methodological procedure of the research and also to increase the validity and reliability of instrumentations of the study. Results of the pilot study showed that internal consistency of MLQ Rater Form (five transformational subscales) with ranges from 0.80 to 0.89 and SCMS (four subscales) from 0.81 to 0.85 were acceptable.

Statistical Analysis

The main purpose of this study was to examine the relationship between the transformational leadership style of coaches and the sport commitment of Iranian high school football players and to provide a direct model with two variables. The data were analysed using the Structural Equation Modeling (SEM) using AMOS 18 (Arbuckle, 2009) in order to investigate a model which reflected the purposes of this study. In addition, the one-way ANOVA was used to determine the sport commitment differences in age and football-playing experience category.

TABLE 1
Standardised Regression Weights: Total Direct Model

DV	path	IV	Unstand Estimate	S.E.	Standard Estimate	C.R.	P*
Sport Commitment	<---	Transformational	0.407	0.087	0.415	4.663	0.000

* Significant level at $\alpha < 0.001$

TABLE 2
Football Players' Age and Experience

Experience category	Frequency	Percent	Age category	Frequency	Percent
0-3	178	69.8	15-16	35	13.7
4-6	55	21.6	17-18	213	83.5
7-10	22	8.6	19-20	7	2.7
Total	255	100.0	Total	255	100.0

TABLE 3
Summary of Direct Model Fit
CMIN & GFI

Model	NPAR	CMIN	DF	P	CMIN/DF	RMR	GFI
Default model	19	32.264	26	0.106	1.356	0.026	0.973

Baseline Comparisons & RMSEA

Model	NFI Delta1	RFI rho1	IFI Delta2	TLI rho2	CFI	RMSEA
Default model	0.944	0.922	0.985	0.978	0.985	0.037

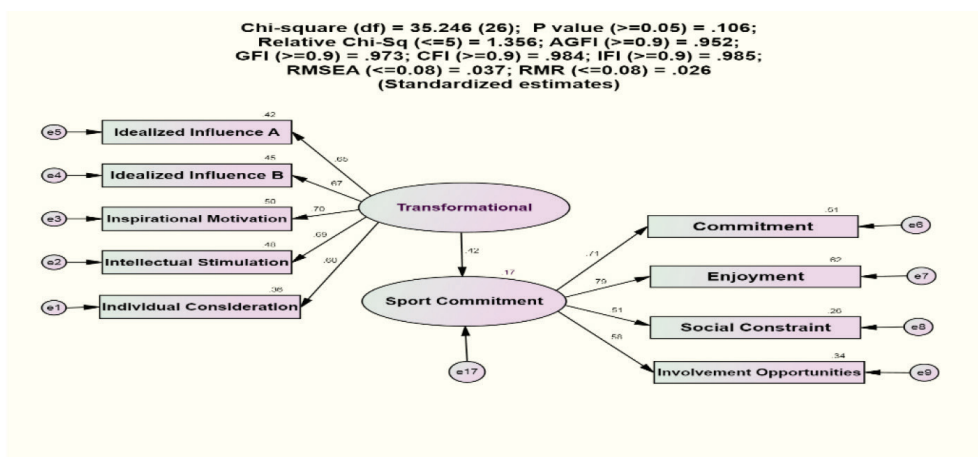


Fig. 1: Direct model

RESULTS

The results in Fig.1 and Table 1 show that the transformational leadership style of coaches significantly contributed towards the prediction sport commitment of high schools' football players (β or Standard Estimate=0.415, B or Unstandardised Estimate=0.407, Standard Error=0.087, Critical Ratio=4.663, $\rho=0.000$). The result based on standard regression weight (β) indicated that when transformational leadership goes up by 1 standard deviation (SD), sport commitment goes up by 0.415 standard deviations. Thus, the first hypothesis was rejected, and it is concluded that there is a significant positive relationship between transformational leadership style of coaches and sport commitment of high school football players in Iran.

Direct Model

Table 3 shows the summary of model fit for direct model. This Table illustrates that the ρ value of the Chi-square test was not statistically significant which would indicate that the data do fit the model well by χ^2 or CMIN (N=255, df=26)=32.264, $\rho=0.106 < 0.05$. Additionally, there are several acceptable indices such as CMIN/DF=1.356 (<3), RMR=0.026(< 0.08), TLI= 0.978(≥ 0.90), IFI=0.985(≥ 0.90), CFI=0.985 (≥ 0.90) and RMSEA=0.037 (< 0.08) that support the model fitting the data. Hence, the fit of this model is adequate.

Based on the direct model, it is estimated that transformational leadership (exogenous variable) as predictor of

sport commitment (endogenous variable) explains about 17% of its variance. In other words, the error variance of sport commitment is approximately 83% of the variance of sport commitment itself. As shown in Fig.1 and Table 2, the direct relationship between the transformational leadership style of coaches and sport commitment was significant ($\beta=0.415$). Based on the result of the SEM using AMOS, the following Standardised Regression Equation can be proposed:

$$H_0: Y = \beta_0 + \hat{e}$$

$$H_A: \hat{Y} = \beta_1 X_1$$

Standardised Regression Equation:

$$\hat{Y} = 0.415X_1 + \hat{e}$$

The one-way ANOVA was used to examine hypotheses 2 and 3. The results showed that there were no significant differences in sport commitment of football players of different ages, $F(2, 252)=1.115$, $p \text{ value}=0.330 > 0.05$. Therefore, the null hypothesis is not rejected (fail to reject H_2 at $\alpha=0.05$). In addition, the results revealed that there were no significant differences in the sport commitment of football players of different football playing experience (three categories), $F(2, 252)=0.053$, $p \text{ value}=0.948 > 0.05$. Therefore, the null hypothesis is not rejected (fail to reject H_3 at $\alpha=0.05$).

DISCUSSION

The findings suggest that the transformational leadership style of coaches would increase sport commitment of Iranian high school football players.

On the basis of the research findings, it can be interpreted that if a coach provided a desired level of transformational behaviour, he would be able to persuade the athlete to resolve or maintain physical activity and sport participation. This result may be due to the abilities of transformational behaviour. Idealised influence (Attributed), idealised influence (Behaviour) and inspirational motivation are three dimensions of transformational leaders that can increase followers' self-confidence, create an excellent vision and strong belief among them for achieving shared goals (Antonakis *et al.*, 2003; Bass, 1997).

By engaging in those behaviours, transformational leaders clearly explain their goals and are able to motivate their followers to get their commitment towards achieving the goals (Bass & Riggio, 2006). In addition, the idealized influence (Behaviour) component of transformational leaders has been reported to be positive in terms of coaches' success in developing emotional ties with their followers. These emotional ties are formed because followers believe that their leader has certain positive characteristics such as perceived power, focus on higher-order values and ideals (Antonakis *et al.*, 2003; Bass, 1997).

Comparing the results of this study with other studies in the literature, it can be concluded that the results are consistent with the proposition of the transformational theory (Bass, 1985; Avolio, 1999; Bass & Riggio, 2006), which suggested that the

transformational behaviour of a leader increases the commitment of his or her followers. The results demonstrated that the transformational leadership style is effective not only in business, industry, the military and education but also in sport settings. Specifically, the results support the proposition by Hallajy (2009) that transformational coaches can effect and predict the sport commitment of handball players.

However, the findings of this study are in contrast to those of Doherty and Danylchuk (1996), who studied the transformational and transactional leadership styles of coaches of athletic departments of universities in Ontario. In their report they indicated that transformational and transactional leadership behaviour of athletic administrators was not related to the commitment of coaches. In addition, Pruijn and Boucher's (1995) findings of Dutch national sport organisations revealed that there was no significant relationship between transformational leadership behaviours and commitment of subordinates.

This study did not find a significant difference between sport commitment and age and also between sport commitment and football playing experience of football players. This may be due to low playing experience. Young players may have less experience than older players. In other words, young, less experienced players may not have sufficient skills and consequently, their individual and

team performance level may decrease. Players that have lower performance and skills than others are less likely to experience success in sport. Therefore, their willingness to continue participating in sport activities may decrease. In addition, sport enjoyment and motivation of players for staying in the team also may decrease. Similar to findings of this study, Lok and Crawford (1999) found that there was no significant relationship between experience and employees' commitment in non-sport settings. This similarity may be due to some correspondence in the concept of organisational commitment and sport commitment such as tendency to work hard and constantly to stay in the organisation.

THEORETICAL IMPLICATIONS

From a theoretical point of view, the results of this study reveal the applicability of the transformational leadership theory in sport settings. In other words, the results of the study revealed partial support for the transformational leadership theory (Bass, 1985). In addition, these findings provide evidence that leaders with transformational leadership styles (coaches) tend to influence the commitment of followers (players) (Bass & Riggio, 2006). The results revealed that transformational behaviour is able to predict sport commitment. Therefore, the results of this study not only expand the body of knowledge in sport settings, but also are an effective reason for transformational leadership as a predictor in the sport domain. In other words, the results support several studies that found

a prediction role for the transformational leadership style (Andrew *et al.*, 2010; Hallajy, 2009; Lynn, 2003; Zardoshtian, 2008).

PRACTICAL IMPLICATIONS

The results of this study have important implications not only in high school domains, but also in other sport settings such as intercollegiate athletic settings and sport clubs. Practically, the findings of the current study suggest the need for more transformational leaders in school settings and other sport settings. In addition, the results suggest that transformational leadership style can predict sport commitment, thus, coaches can increase sport commitment of the players. Iranian high school coaches who have transformational leadership style would be able to empower high school football players to higher levels of satisfaction and commitment, and hence, higher participation in a particular programme, specific sport or sport in general as stated by Scanlan *et al.* (1993).

Transformational leadership behaviours can be taught (Bass, 1990) through workshops and seminars (Bass & Riggio, 2006). Training football coaches to become transformational leaders should be an important issue for the Sport Department of the Ministry of Education of Iran and the Ministry of sport of Iran. This department should select physical education teachers for coaching positions based on their potential to become transformational leaders. Furthermore, the Football

Federation of Iran is the main facilitator for the teaching of coaches; it should provide lectures, courses and workshops whose primary focus is on following syllabi that include transformational leadership principles with the goal of improving transformational leadership behaviours of coaches. The results will solve the problem that was mentioned earlier by Noroozi *et al.* (2012) who argued that a coach without an effective leadership style can neither increase commitment and satisfaction of players nor enhance the poor performance that was mentioned by Zardoshtian (2008). In addition, the problems of decreased commitment and satisfaction of Iranian high school football players and poor results of high school national teams (Hashemi, 2010) will be solved. Players, having improved their skills and performance by greater participation in training programs and competitions, can achieve better results in competitions.

RECOMMENDATION FOR FUTURE STUDIES

This study recommends the following issues for future investigation:

1. This study focused on five dimensions of transformational leadership style that was developed by Bass and Avolio (1995): Idealised influence (Attributed), idealised influence (Behavioural), inspirational motivation, intellectual stimulation and individual consideration. Future studies could focus on other leadership styles such as the transactional leadership style.
2. The current study included only head coaches. However, we know that athletes are in communication with other coaching staff such as assistant coaches, conditioning coaches and other athletes. These coaches and athletes could probably have an equal and significant role in communication between coach and athletes. Therefore, future studies could focus on the effect of these staff on athlete satisfaction.
3. Future studies could involve other dependent variables such as motivation, self-determining and burn out.
4. Future studies could involve other team sport such as basketball, volleyball, handball etc.
5. Future studies could involve other individual sport such as tennis, table tennis, badminton etc.
6. This study involved male football players; future studies could involve female athletes in different sport.
7. Future studies could examine relationship between leadership behaviours and organisational citizenship behaviour.

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A Corpus-Based Study of Semantic Treatment of Phrasal Verbs in Malaysian ESL Secondary School Textbooks

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ABSTRACT

Despite their being the most notoriously confusing aspects of English language instruction, phrasal verbs are of high relevance for ESL/EFL learners because knowledge of them is often equated with language proficiency and fluency. With textbooks containing a noticeable number of phrasal verbs, it is of pedagogical significance to see if these combinations are appropriately dealt with in semantic terms. The present corpus-based study was, thus, intended to explore the semantic treatment of these combinations in a pedagogical corpus of Malaysian ESL textbooks. Using WordSmith software and the Oxford Dictionary of Phrasal Verbs as research instruments, the study revealed that despite the overwhelming number of phrasal verbs in the corpus, most of these combinations were presented with a very thin skeleton, as they were repeated in different forms with the same meaning. In addition, some items were presented with their rare and infrequent word meanings. Therefore, the selection and presentation of the word senses of different phrasal verb combinations proved to be more intuitively than empirically motivated.

Keywords: Phrasal verbs, ESL textbooks, corpus linguistics, semantics

INTRODUCTION

One of the most well-known and yet complicated structures in the English

language is the phrasal verb. Phrasal verbs appear in different registers of the language and are highly frequent and prolific, adding a definite richness to the language. In addition to their grammatical variability, phrasal verbs are extremely demanding for ESL/EFL language learners in terms of their semantic complexity. As with single-word verbs, they can, depending on the context in which they appear, represent a

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number of different meanings, hence they are polysemous. For instance, the Oxford Dictionary of Phrasal Verbs presents about twenty-two different meanings for the phrasal verb ‘come out’. The identification of word senses associated with each form is, thus, relevant as “multi-word verbs certainly originate mainly for semantic reasons” (Claridge, 2000, p. 2). It is, however, unfortunate to point out that textbook writers often fail to give enough weight to different semantic functions associated with each combination (Zarifi & Mukundan, 2014a).

LITERATURE REVIEW

Phrasal verbs are, semantically speaking, categorised with regard to the degree of their compositionality or the relationship between the constituent elements and how each element contributes to the meaning of the whole unit. Chief among the different semantic classifications of phrasal verbs is the three-way classification of literal, figurative and completive (Dagut & Laufer, 1985); literal, idiomatic and aspectual (Celce-Murcia & Larsen-Freeman, 1999); compositional, idiomatic or aspectual (Dehe, 2002b; Jackendoff, 2002); and transparent, semi-transparent and semantically opaque (Armstrong, 2004). Despite the use of different terms for the classification, there seems to be unanimity among linguists as to the number of the types and the nature of the word sense created by the elements in the unit, hence roughly similar divisions. To put this into perspective, in these classifications, the

terms ‘compositional, transparent and literal’ are used to indicate that the literal interpretation of the particle and the verb determines the meaning of the whole unit (e.g. ‘take down’ in ‘take down the picture’). Likewise, terms ‘idiomatic, figurative and opaque’ are used for phrasal verbs whose meanings cannot be determined by interpreting their components literally (e.g. ‘go off’ in ‘A bomb went off near that village.’). Finally, terms ‘completive, less transparent and aspectual’ refer to those combinations whose meanings are more transparent than those of the second type but perhaps not as transparent as those of the first type. Despite the literal meaning of the verb proper, the particle contributes an unusual aspect of meaning (Celce-Murcia & Larsen-Freeman, 1999) that indicates the completeness, thoroughness or continuity of the action described by the verb.

Despite these various semantic classifications, Claridge (2000) assigns a core role to the literal forms from which figurative types are derived, asserting that “Idiomaticity, after all, does not emerge out of nowhere, but is based in some way or other on the regular patterns of the language” (p. 47). In other words, an idiomatisation process brings about the semantic evolution of the combinations (Rodriguez-Puente, 2012) with the prototypical non-idiomatic meaning giving birth to various “semantic extensions, by metonymy, metaphorization, or other mechanisms” (Gonzalez, 2010, p. 53). For instance, the particle ‘out’ with the prototypical meaning associated with

'away from inside of a place or thing' has been extended to assume such different idiomatic meanings as 'stop something from burning' (Firefighters soon put the fire out.), 'publish' (When is her new novel coming out?), 'reduction' (The fine will be taken out of your wages.), and so on.

While the semantic classification of the phrasal verbs might be of high research interest to the linguists, it would be of little or no relevance in pedagogy. This is because teachers as well as learners are hardly ever required to account for the compositionality level of the items, especially at school level of education. Despite this, investigation of the semantic treatment of phrasal verbs could be of paramount significance to the curriculum designers, material developers, language teachers as well as language learners. It would result in the selection, presentation and practice of the most frequent meanings of the combinations for instructional purposes. From among the available empirical studies on the semantic aspects of the phrasal verbs, one can refer to the research carried out by Gardner and Darwin (2007), Trebits (2009) and Akbari (2009).

In a corpus based study, Gardner and Darwin (2007), using WordNet, provided the word-sense frequencies for the top 100 Phrasal Verbs in the BNC. They reported that these top frequent combinations, which accounted for almost half of all the phrasal verbs in the corpus, had a total number of 559 different meanings. In other words, each unit conveyed 5.6 meanings on the average. It is perhaps interesting to

point out that the reported low average of meaning multiplicity of the items in the BNC was largely due to the instrument used in the study. This issue will be precisely elaborated on in the methodology section.

In another recent corpus-based study, Trebits (2009) provided the word-senses associated with the 25 most frequently used phrasal verbs in the Corpus of European Union English (CEUE). Results showed that these items represented 34 different meanings altogether, that is, 1.36 per item on the average. Each of these top frequent units in the CEUE was reported to have an average of four different meanings in the BNC. She also added that about one third of these combinations expressed more than one meaning in the CEUE. For example, the phrasal verb 'set up' conveyed two different meanings in the CEUE (1 start a business or organisation, 2 make the arrangements for something to happen) and more than 10 in general English. This discrepancy is, however, not surprising as the CEUE is a purely written and specialised corpus.

In addition, in a large scale corpus-based study, Akbari (2009) investigated the treatment of phrasal verb combinations in an ESL learner corpus. The corpus of the study was composed of a number of Malaysian secondary school level students' narrative compositions sampled from the EMAS. In addition to exploring the grammatical and semantic misuse of the combinations, he went on to account for their compositionality degree, categorising them according to their literal, aspectual or idiomatic nature. It is interesting, however,

to point out that the criteria underlying this compositional classification of the different types of phrasal verbs are open to question. For instance, it is unclear why 'break out' was classified as an aspectual unit but 'break off' was considered to be an idiomatic form.

Finally, in a very recent study, Zarifi and Mukundan (2014b) explored the grammatical treatment of phrasal verb items in Malaysian ESL secondary level textbooks. They provided a full account of the grammatical configurations that the combinations assumed in the textbooks. Findings of the study revealed that there 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" (p. 649).

RESEARCH QUESTION

In light of the semantic complexity of phrasal verbs, corpus-based studies often suggest that any successful study of these combinations should necessarily focus on their various word senses (Gardner & Davies, 2007; Trebits, 2009) since it is often argued that knowledge of a given word is multi-faceted (Nation, 2001). Besides the knowledge of its various syntactic forms and their definitions, it involves the knowledge of its different associated word senses and shades of meaning as well (Kieffer & Lesaux, 2012; Nation, 2001; Stahl & Nagy, 2006). What is more, not all

the various meanings of any given phrasal verb are of the same frequency of use, and nor are these meanings common to all the possible language registers. In other words, some meanings are highly frequent and enjoy a wide range of occurrence while others are of infrequent use in natural use. As a result, the selection and prioritisation of the different meanings of these combinations should be a major concern in pedagogy in general and in the development of ELT materials in particular. In line with the above argument, the current study was intended to address the following research question:

**How were phrasal verb combinations semantically dealt with in the pedagogic corpus of the Malaysian ESL textbooks prescribed for use in the secondary level?*

METHODOLOGY AND MATERIALS

Design of the Study

In corpus-based studies the choice between the quantitative and qualitative approach is usually a methodological issue (Mair, 1991). Although the quantitative approach provides useful information as to the frequency counts of different linguistic features (Conrad, 2005), it is only the qualitative approach that can account for the occurrence of these features. Hardy, Harley and Philips (2004), assuming a pluralist stance, argue that performing any quantitative study without clear conceptual definitions derived from qualitative approach, or generalising qualitative findings without providing quantitative

evidence on the prevalence and patterns of the linguistic phenomena under study is deemed imprudent. Though these methods of analysis address a linguistic phenomenon differently, Neuendorf (2004) holds that their ultimate findings can nicely fit together to lend a good instance of research method triangulation. With the above arguments in mind, the current corpus-based study, thus, used a mixed-methods approach to investigate the semantic presentation of phrasal verbs in a pedagogic corpus of ESL textbooks.

Corpus of the Study

The corpus in the study consisted of Malaysian textbooks from Form One to Form Five that have been prescribed for use by secondary level learners. It appeared to be a balanced pedagogic corpus as it involved both conversational and formal registers and dealt with a variety of topics (Trebetsky, 2009). It comprised a total number of 302,642 tokens and an overwhelming number of phrasal verb combinations. The corpus was widely-searched in a number of corpus-based studies (Menon, 2009; Mukundan & Anealka, 2007; Zarifi & Mukundan, 2012; Zarifi, 2013; etc.), throwing light on different aspects of the instructional language variety that Malaysian ESL learners are exposed to in the classroom setting.

Instrumentation

The first stage in data analysis involved the use of some reliable instrument for data collection. To this end, the Concordance

tool of the WordSmith package version 4.0 was run to cull all the potential phrasal verbs from the corpus. The next stage involved using a valid reference source for the identification of the different potential meanings associated with each combination. Although a number of previous studies made use of WordNet (Miller, 2003), an electronic system of a large lexical database in which different word categories are presented into synonym sets (synsets) with each set showing a distinct semantic concept (Fellbaum, 1998), this study opted for the use of the Oxford Dictionary of Phrasal Verbs. This decision was made since WordNet appeared to be rather restricted in its presentation of both the number of phrasal verbs and their potential meanings. For instance, the software failed to provide any entry for a number of combinations like 'START OFF, REEL IN, INVITE ALONG, and so on'. Likewise, the software presented only 11 out of the 21 various definitions that the Oxford Dictionary of Phrasal Verbs presents for the string 'GET OFF'. As a result, the Oxford Dictionary of Phrasal Verbs turned out to serve as a more reliable source for the word meaning of the phrasal verbs.

With a comprehensive list of over 6,000 common British and American phrasal verbs, the Oxford Dictionary of Phrasal Verbs is one of the most well-known leading dictionaries used worldwide as a source of definition of phrasal verbs, hence a valid instrument. Second, a number of empirically-based

semantic studies on phrasal verbs have, albeit marginally, used dictionaries as one of their reference sources (Trebits, 2009). Third, most of the World Englishes are British-based (Schneider, 2004), and the acrolectal English variety of current use in Malaysia is similar to British English (Menon, 2009). In addition, Ooi (2001, p. 169) observes “Standard British is still currently the official frame of reference” in Singapore and Malaysia.

Procedure of Analysis

In order to throw light on the semantic treatment of phrasal verbs, all the instances of these combinations in the corpus were extracted. Then, the combinations of one frequency count of occurrence in the corpus like ‘BREAK OFF, CHOP DOWN, DRESS UP, HAND OUT, etc.’ and those of one-word sense in the Oxford Dictionary of Phrasal Verbs like ‘READ UP, LOG ON, GOBBLE UP, PRINT OUT, etc.’ were ruled out from the analysis. Likewise, cliché forms like ‘FILL IN, ZOOM IN, SOUND OUT, etc.’ were omitted for further exploration. These three sets of combinations were excluded from the study simply because they were invariably associated with one meaning in the corpus.

Each of the remaining units was first looked up for all its different meanings in the dictionary. These meanings were listed under the target phrasal verb. Then all the concordance lines of the combination

in the corpus were extracted through the concordance function of WordSmith. The analysis went on with the researchers reading through the concordance shots for each combination line by line to determine the meaning it carried in each specific context. Then, all the meanings of the combination were mapped for further qualitative analysis.

In order to make sure that the coding did not fall victim to the researchers’ idiosyncratic judgment, an independent rater (with a record of teaching English as a second language for the past five years) was asked to read the concordance lines and identify the meaning(s) of each unit based on the definitions in the Oxford Dictionary of Phrasal Verbs. Finally, Cohen’s Kappa measure was used to check for the consistency level of coding between the researchers and the coder. It is interesting to indicate that Cohen’s Kappa value calculated for the inter-rater reliability was .94, which is an excellent index.

RESULTS AND DISCUSSION

Findings revealed that of the total number of 464 lemmas of phrasal verbs in the corpus, a sum of 89 lemmas proved to be qualified candidates for semantic analysis. Concordance query revealed that they occurred more than once in the corpus and dictionary search proved that they enjoyed more than one word sense.

TABLE 1
Number of Meanings of PVs in ODPV and the Corpus

PV	ODPV	Corpus
Pick up	25	8
Come up	23	5
Get off	21	2
Go on	20	2
Take off	16	3
Put up	14	4
Get out	14	3
Give up	13	7
Take up	13	6
Keep up	13	4
Take out, go out	13	3
Get up, take in	13	2
Go back, go over, turn over	12	2
Come on	11	3
Set up	10	4
Make up	10	3
Put on, take away	10	2
Come in	10	1
Cut off, take over	9	3
Open up, bring up	9	2
Tie up	9	1
Break down, sort out	8	3
Cut out	8	2
Take back	8	1
Cut down	7	3
Stand up, pick out	7	2
Get down, blow up, come back, turn on	7	1
Take on, turn off, bring in	6	2
Put off, take down, call up	6	1
Bring back	5	3
Break out, get back, run out, give out, come along	5	2
Get over, put away, give away, line up, look out	5	1
Draw up, look up	4	3
Run away, set out, start off, call out	4	2
Put forward, leave out, shut up, clean up, sum up	4	1
Fill up, wake up, turn down, sign up, light up, grow up, go away	3	2
Get along, see through, sit down, eat up	3	1
Point out, slow down, speak up, wash away	2	2
Throw away, carry out, catch on, give back, pass away, try out, write out	2	1
Total = 89	640	X= 7.12 186 X= 2.09

Results of the semantic analysis of the target phrasal verbs are summarised in Table 1. As shown, all the 89 phrasal verbs had a total number of 640 word meanings in the dictionary, that is, an average of 7.12 senses each unit, hence they were heavily polysemous. On the other hand, each of these combinations expressed an average of 2.09 word senses in the corpus, hence they were rather skeletal.

It is interesting to point out that Gardner and Davies (2007) found an average of five senses for each of the top 25 phrasal verbs in general English. The discrepancy involved could be partly explained by the fact that, although they marginally referred to the Cambridge Dictionary of Phrasal Verbs when needed, their main reference source was WordNet. As has been mentioned, WordNet fails to present a comprehensive reservoir of word meanings for phrasal verbs. In addition, not all the top frequent combinations in the BNC got a chance to surface in this pedagogic corpus and vice versa. For instance, units like 'wake up, write out, etc.' that were among the top frequent forms in the corpus were not so in the BNC.

As the table reveals, there occurred different patterns of phrasal verbs in terms of word senses and frequency of meanings in the corpus. While some units like 'PUT OFF, TURN ON and GIVE AWAY' were used with only one word sense, others like 'PICK UP, GIVE UP and TAKE UP' were used with 8, 7 and 6 meanings, respectively. On the other hand, while some combinations were used with all their different potential dictionary meanings in

the corpus, others were used with quite a limited number of their possible word meanings. For instance, 'WASH AWAY, SPEAK UP, SLOW DOWN, etc.' were used in their full meaning varieties, but such other combinations as 'TAKE IN, GET OFF, GET UP, etc.' were used, at most, with two of their large number of dictionary meanings.

Corpus findings in the current study showed that phrasal verbs were not 'fleshed out' appropriately. While many items like 'CUT DOWN, WASH AWAY, BRING BACK, etc.' were used with more than one sense, many more items such as 'PASS AWAY, GIVE AWAY, TAKE DOWN, PUT OFF, etc.' were repeated in different Forms with the same meaning, hence they were purely skeletal. Instead of fleshing out the knowledge of the different word associations and shades of meaning of the phrasal verbs offered in the lower levels, the textbooks tended to insist on the same word senses already presented and went on to introduce new combinations, playing down the polysemy feature of high frequency items at later stages. Instances of semantically inaccurate use of highly frequent and common phrasal verbs like 'TAKE OUT shoes, PICK UP the flowers, HELP him UP, etc.' by Malaysian Form Four learners (Akbari, 2009) back up the notion that the textbook writers had a great tendency towards introducing new forms at each stage and overlooking their importance at following stages because they were perhaps erroneously considered mastered or acquired (Lennon, 1996).

In addition, there seemed to be no consistent principle at work in the selection of certain meanings of the phrasal verb combinations in the corpus. For instance, while many of the phrasal verbs such as ‘PASS AWAY (1st sense), GET DOWN (1st sense), RUN OUT (1st and 2nd senses), and BRING UP (1st and 2nd senses)’ were used with their first or second meanings, many others like ‘TAKE BACK (4th sense), TAKE DOWN (6th sense), TAKE IN (4th and 13th senses), etc.’ were presented with senses that rank lower both in the dictionary and in WordNet. Despite the justification that one can think of i.e. it was done for the priority of meaning selection for some combinations such as ‘TAKE DOWN (to write something down) and PUT FORWARD (to suggest an idea or a plan so that it can be discussed)’ as they seem to suit the pedagogic register of the corpus, one wonders why the high frequent meanings of some units like TAKE AWAY (to take one number from another; to buy a cooked dish at a restaurant and carry it

away to eat at home) were overlooked. These meanings are among the first definitions in different dictionaries and are recorded with high frequency in WordNet. Moreover, learners are highly likely to come across these senses in everyday use of the language.

Tables 2 through 5 reveal the results of detailed analysis of four phrasal verbs, namely ‘COME ALONG, WASH AWAY, PICK UP and TAKE DOWN’. As shown in Table 2, from the five different meanings of ‘COME ALONG’, only the first and third senses, that is, ‘to arrive or appear somewhere; to go somewhere with somebody’ were used across the corpus. This combination had a frequency count of only three times, with the first meaning occurring once and the second meaning twice. According to Table 3, the two different meanings of the unit ‘WASH AWAY’ were used in the corpus, though with different frequencies. The first meaning was repeated five times and the second sense occurred twice.

TABLE 2
Semantic Analysis of COME ALONG

Meanings in dictionary	Corpus meanings and examples
1. to arrive or appear somewhere; to start to exist, happen or be available; 2. to go somewhere with sb; 3. used to encourage sb to do sth, for example, to hurry; 4. to make progress or to improve or develop in the way that you want; 5. to move forward or from one end of sth to the other, towards the speaker	1. The whole family, including Granny, came along. (F 1) 3. My mum always comes along with me. (F 3)

TABLE 3
Semantic Analysis of WASH AWAY

Dictionary meanings	Corpus meanings and examples
1. remove or carry away to another place; 2. to use water to remove a mark, dirt.etc. from sth	1. Houses were washed away (F3) 2. ... ink is washed away using a detergent (F2)

On the other hand, as Table 4 reveals, ‘PICK UP’ was used with the most number of different instances of meanings in the corpus. It was used in different contexts to present eight word meanings although the first few more frequent meanings were neglected. Finally, Table 5 shows that of the six possible meanings of the combination ‘TAKE DOWN’, only the least frequent one, that is ‘to write something down’, was used. It needs to be mentioned, however,

that use of this sense is justified as it suited the register of the corpus.

A point of main pedagogical concern here is that frequency of phrasal verbs forms in the corpus should not be misinterpreted as equivalent to frequency of their meanings. We have shown the various meanings of the four selected combinations in the corpus (Tables 2 through 5 above); this, however, does not mean that all these meanings were of equal frequency. For instance, while the

TABLE 4
Semantic Analysis of PICK UP

Meanings in dictionary	Corpus meanings and examples
1. to become better, to improve; 2. to start to blow more strongly; 3. to start again, to continue; 4. to start to go faster; 5. to stop somewhere to allow passengers to get on; 6. to collect things that have been dropped or left on the ground and put them away; 7. to take hold of and lift sb/sth; 8. to go to sb’s home or a place you have arranged and take them somewhere in your car; 9. to rescue sb, for example from the sea; 10. to arrest sb or to take sb somewhere in order to question them; 11. to start talking to sb you do not know, because you want to have a sexual relationship with them; 12. if sth picks you up, it makes you feel better; 13. to obtain or collect sth; 14. to learn a language, a skill, etc, without making an effort; 15. to come down with sth or to obtain sth (virus, accent, etc.); 16. to identify or recognize sth; 17. if a machine picks sth up, it receives a sound or a signal; 18. to buy sth, especially cheap by or by good luck; 19. to win a prize or an award; 20. to find and follow a route, etc; 21. to discuss something further or to return to a topic or theme and continue it; 22. to manage to see or hear sth that is not very clear; 23. to tidy a room, etc, and put things away; 24. if you pick up a bill for sth you pay it for sb else; 25. to get to your feet, especially after a fall	5. stops along the way to pick up passengers (F2) 6. Pick up all sharp objects like knives and scissors from the floor (F1) 7. Mother Teresa picked up (6) the baby, wrapped it in her white sari (F3) 8. pick me up after the show (F3) 9. The rescue boat picked up the crew of sailors from the sinking (F2) 13. she had to hastily scramble to pick up certificates and ... (F5) 15. Rahman had also picked up the habit from the older children (F5) 16. for parents to pick up signs of depression in their children (F4)

TABLE 5
Semantic Analysis of TAKE DOWN

Dictionary meanings	Corpus meanings and examples
1. to go with sb/sth to a lower level, to a more southern part of a country etc., or to a different part of a building, town, country etc.; 2. to remove sth from a high level; 3. to remove sth that is hanging on a wall; 4. to move a structure by separating it into pieces; 5. to pull down a piece of clothing worn below the waist, without actually removing it; 6. to write sth down	6. Take down the message for your brother (F3)

dictionary meaning ‘stops working because of a fault’ of the combination ‘BREAK DOWN’ occurred four times, each of the other two meanings of the combination in the corpus, that is ‘to lose control of your feelings and start crying; and to make something fall down or open by hitting it hard’ was used only once throughout the corpus. This is also true of ‘TAKE DOWN’ for which of all the six different meanings associated with it only the last one, that is ‘to write something down’ was repeated eight times in Forms Three, Four and Five, revealing the pedagogic type of the register of the corpus. Therefore, any discussion of frequency count of phrasal verbs should take into account the frequency of different meanings of a given combination as it is likely that one single sense gets overused at the expense of others. To top it off, just because a form gets repeated frequently enough in a pedagogic corpus, it cannot be concluded that it is optimally appropriate for learning since it is possible that each occurrence presents a specific meaning of the combination.

Findings also showed that the textbooks contained a noticeably large number of phrasal verbs with some being quite infrequent in general English. Despite the textbooks writers’ tendency towards quantitatively extending the breadth of use of phrasal verb items to lower frequency items like ‘POKE ABOUT (Form One), RALLY AROUND (Form Two), RACE OFF (Form Three), PELT DOWN (Form Four), FLING OUT (Form Five), etc.’, it should be emphasised that not only the

quantitative but also qualitative treatment of high frequent forms should be the focus of ELT pedagogy. Students should be provided ample opportunity to extend their depth of knowledge of the different layers of meanings of the forms that are of frequent use in general English. In Lennon’s terms, textbooks need to “flesh out the incomplete or skeleton entries” (1996, p. 23), presenting as many different word senses of each unit as possible. This stance receives support from Reda (2003), arguing that phrasal verbs should not only be different from level to level but should also be dealt with differently as the language proficiency of the learners increases. What is implied is that not only should enough care be given to increase the breadth of phrasal verbs at each higher level, but the previously introduced items should also be presented with their other associated meanings of a more idiomatic nature.

The semantic analysis of phrasal verbs is very important as the meaning or meanings of a phrasal verb in a given register can often serve as a defining characteristic of that very register (Trebits, 2009). For instance, the high frequency counts of units like ‘TAKE DOWN, FILL IN, FIND OUT, WRITE OUT, LOOK UP, etc.’ in the Malaysian ESL Textbooks reveal the pedagogic register of the corpus. The semantic analysis of phrasal verbs could also be a great help to material designers and developers in both the selection and presentation of the meaning or meanings of a specific combination in accord with the course level and objectives.

Table 6 presents the frequency count of the meanings of the top 20 polysemous phrasal verbs in the corpus. As shown, these combinations turned out to be highly polysemous in general English, with each unit enjoying 11.9 meanings on average. They are also of relatively high frequency count in the corpus with 77 meanings and an average of 3.85 meanings per unit. To put it into perspective, presentation of these forms in the corpus, we would conservatively argue, was more or less consistent with their use in natural language as far as the feature of polysemy is concerned.

One interesting point to mention about these combinations is that all the top seven highly polysemous phrasal verbs had 'UP' as their particle element. Not only was 'UP' the most proliferate particle in terms of the number of lexical verbs with which it combined to form a phrasal verb, but it also formed the largest number of word senses with the verbs with which it combined. This is in line with other recent empirical evidence showing the proliferative and polysemous nature of this particle (Armstrong, 2004). Moreover, the phrasal verb combinations with the particle 'UP' accounted for more than

TABLE 6
Top 20 Most Polysemous PVs in the Corpus

PV	Meaning Freq. in corpus	Meaning Freq. in ODPV
Pick up	8	25
Give up	7	13
Take up	6	13
Come up	5	23
Put up	4	14
Keep up	4	13
Set up	4	10
Make up	3	10
Take off	3	16
Get out	3	14
Take out	3	13
Got out	3	13
Come on	3	11
Cut off	3	9
Take over	3	9
Sort out	3	8
Break down	3	8
Cut down	3	7
Bring back	3	5
Look up	3	4
Total = 20	77	238
	X = 3.85	X = 11.9

57% of all the meanings presented by these top 20 polysemous forms in the corpus. So care should be taken to present this particle in meaningful categories to alleviate as much as possible the difficulties that ESL/EFL learners experience in learning phrasal verbs.

'UP' has been reported as one of the most complex English particles; it is, on the other hand, one of the most commonly used (Side, 1990), and there appear to be semantic patterns associated with the lexical verbs that combine with it. For instance, words designating the idea of 'being together' like 'MATCH, JOIN, TEAM, LINE, MEET, PAIR, PILE, and so on' tend to be used with 'UP'. Likewise, words related to the idea of 'fastening' such as 'ZIP, TIE, CHAIN, LOCK, PARCEL, LACE, BANDAGE' show more tendency to combine with 'UP'. Similarly, words indicating the idea of 'division' like 'CUT, DIVIDE, SPLIT, BREAK, CHOP, SLICE, etc.' usually prefer to join with 'UP'. Although these verb clusters are not appropriate to be presented in the same level as they are not of the same level of difficulty, usefulness and coverage, it is recommended that whenever a new item of these combination clusters is introduced in ESL materials, the other related items in the previous lessons should be repeated with them so that learners may unconsciously figure out the semantic relationship that exists among them. This can help the ESL learner come up with the idea that the new unfamiliar lexical verbs having the same semantic features are very likely to combine with 'UP'.

CONCLUSION

Findings of the study showed that despite the quantitative treatment of phrasal verbs, these combinations were not qualitatively dealt with appropriately. Some items were not presented with their common and frequent word meanings. Many others were presented with a very thin skeleton, being repeated in different Forms with the same meaning. There appeared to be a strong tendency on the side of the writers to introduce new combinations, playing down the importance of multiple, context-sensitive meanings of the frequent, common forms. With a view to research findings, the researchers concur with Littlejohn (1992) that ELT materials seem not to be availing themselves of research findings in applied linguistics. Phrasal verb combinations are extremely polysemous, and textbooks would be better off recycling and "fleshing] out the incomplete or skeleton entries" (Lennon, 1996, p. 23), presenting them in as many different contexts and with as many different meanings as possible. The selection and presentation of phrasal verbs should be graded in a way that, at the lower levels, more transparent meanings of the forms are presented moving towards aspectual and idiomatic senses as the levels go up and learners' language proficiency picks up. All in all, while it would be neither possible nor logical for any series of ELT materials to include all the phrasal verbs with all their range of potential meanings, care should be exercised to include the most common units with meanings that are both frequent and useful to the learners.

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Exploring the Research Culture in an Educational Faculty in Malaysia

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ABSTRACT

Globally, journal publication index is used as a key indicator to measure university performance. At the macro level, it contributes to the university ranking. At the micro level, it reflects academicians' scholarship values and credentials. Over the last decade, tertiary education has rapidly grown in the Asia Pacific region. Tertiary institutions are competing among themselves nationally and regionally for university ranking, student intake and research funding. These three elements have numerical figures that are inter-related and powerful enough to dictate the fate and survival of an institution. Journal publication output plays a big role in this numerical game. For that reason, it is the topmost interest of many institutions and faculties to boost research writing output of their members. Paradoxically, minimal efforts have been made in the majority of instances to understand the needs and obstacles for such an aim to be realised. In this study, a preliminary attempt was made to gather the views and perceptions of academicians from an educational faculty in Malaysia. The data were collected via an online survey. The findings informed that academicians were facing different sets of challenges in different stages of their careers. Beginners reported the lack of technical support as the major hindering factor faced by them in producing academic output while the more senior members identified personal factors such as paradigm shift and motivation as the major hindering factors faced by them. Thus, the differential needs of academicians need to be acknowledged and to be supported with suitable mechanisms and catalysts.

Keywords: Journal publication, research culture, education faculty, Malaysia, Asia Pacific

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INTRODUCTION

Many top world university rankings use bibliometric indicators to compare the academic standards of universities. To name a few (1) Webometrics Ranking

of World Universities (WRWU) by Cybermetrics Lab in Spain, (2) Academic Ranking of World Universities (ARWU) by Shanghai Jiao Tong University of China, (3) Performance Ranking of Scientific Papers for World Universities (PRSPWU) by Higher Education Evaluation and Accreditation Council of Taiwan, and (4) THE-QS World University Rankings (THE-QS) by a private company, Quacquarelli Symonds Limited based in England (refer to Table 1). With the exception of THE-QS, almost all ranking systems place

great importance on the output and impact of research over the other indicators (Ahuillo, Bar-Ilan, Levene, & Orteja, 2010; Chen & Liao, 2012). Despite the fact that a full spectrum of research measures include grant, consultancy, exhibition and knowledge transfer, research output in the form of publications remains as a dominant measure in these world university ranking systems. A direct consequence of this is the increased emphasis on academic publication for academic staff of universities.

TABLE 1
Relative Relevance of Research Output and Research Impact in World University Rankings

Ranking systems	Indicators	Weightage
Webometrics Ranking of World Universities (WRWU)	Research output (30%) Rich files Google scholar	80% of total
	Research impact (50%) Link (visibility)	
Academic Ranking of World Universities (ARWU)	Research output (40%) Articles published in <i>Nature</i> and <i>Science</i> Articles indexed in SCI/E & SSCI	60% of total
	Research impact (20%) Highly cited researchers	
Performance Ranking of Scientific Papers for World Universities (PRSPWU)	Research output (20%) Number of articles of the last 11 years Number of articles of the current year	50% of total
	Research impact (30%) Number of citations of the last 11 years Number of citations of the last 2 years Average number of citations of the last 11 years H-index in the last 2 years Number of highly cited papers Number of articles of the current year in high-impact journals	
THE-QS World University Rankings (THE-QS)	Research impact (20%) Citations (Scopus)	20% of total

Source: Ahuillo *et al.*, 2010 & Chen & Liao, 2012

The pressure of publication is faced by academicians worldwide. A general impression is that academicians in North America outperform their counterparts in all other regions. This impression is supported by solid data provided by the International Bureau of BMBF in Germany. The bureau conducted a review of world research publications from 1992 to 2007 (Haustein, Mittermaind, Tunger, & Julich, 2009) and the findings revealed that 41.0% of world research publications were produced by North American researchers, followed by European researchers at 39.4%. The remaining 19.6% were shared by 12 Asia Pacific countries included in the review (i.e., Japan, China, Australia, South Korea, Taiwan, New Zealand, Singapore, Iran, Thailand, Malaysia, Indonesia and Vietnam).

Many studies have been conducted by social scientists, linguists and experts in higher education to investigate the reasons for non-American researchers falling behind in academic publications (e.g. Pratt, Margaritis, & Coy, 1999; Lee, 2003; Lyytinen, Baskerville, Livari, & Te'eni, 2007; Tynan & Garbett, 2007; Jaroongkhongdach, Todd, Keyuravong, & Hall, 2012; Singh, Thuraisingam, Nair, & David, 2013). One of the reasons identified is delayed establishment of research culture. Research culture in the context of higher education institutions refers to the standard or norm established in an institution in promoting and supporting research activities and practices. In general, it refers to whether academicians view

research as their regular job routine and responsibility and whether they recognise it as an integral part of their job appraisal and a catalyst of career advancement (Pratt *et al.*, 1999; Hill & Haigh, 2012). Such insight and belief have been long established in American academia (Geiger, 1986). In the last two decades, researchers in the other regions have begun to relate to the relevance and importance of research (Pratt *et al.*, 1999; Lyytinen *et al.*, 2007; Hill & Haigh, 2012; Valladolid, 2013). In the Asia Pacific region, the urge for the cultivation of research culture is partly driven by tertiary education reforms in the past 20 years (Lee, 2007; Altbach, 2009; Postiglione, 2011; Singh *et al.*, 2013).

Tertiary Education Reforms in Asia Pacific Region

Tertiary education is rapidly growing in the Asia Pacific region as a result of globalisation (Arokiasamy & Nagappan, 2012) and global economic recession (Postiglione, 2011). Today, there are increasing efforts to study the higher education contexts in Asia-Pacific as a regional block in order to better understand the research and teaching strengths shared by countries in this region (Denman & Higushi, 2013). In many countries in this region, tertiary education needs to be reformed and restructured in order to serve the market demands of knowledge workers locally and to be more competitive globally (Postiglione, 2011; Arokiasamy & Nagappan, 2012). For example, reforms of tertiary education were reinforced

in Malaysia in 2007 when the federal government introduced the National Higher Education Strategic Plan Beyond 2020 and the National Higher Education Action Plan 2007-2010 (MOHE, 2007a, 2007b). There are now 622 tertiary educational institutions in Malaysia (Ahmad, Farley, & Naidoo, 2012), a four-fold increase from merely 156 institutions in 1992 (Lee, 2004; Wan, 2007). This increase in number also increases the competitiveness among the institutions in institutional ranking, student intake and research funding. To increase the university competitive level, it is becoming a norm now that the academicians in each and every university need to contribute to improving the university bibliometric index by producing journal publications (Low, Phoon, Petras, & Abdul Rashid, 2013; Singh *et al.*, 2013).

Many Asia Pacific countries have shown a spurt of scholarly output over the past two decades. For example, China has shown a remarkable nine-fold increase (n=9309 in 1992, n=99270 in 2007, in Haustein *et al.*, 2009). Countries in Southeast Asia such as Singapore (n=1251 in 1992, n=7756 in 2007), Thailand (n=573 in 1992, n=4319 in 2007) and Malaysia (n=408 in 1992, n=2417 in 2007) have also recorded as much as a five- to six-fold increase (Haustein *et al.*, 2009). Nguyen and Pham (2011) studied the scientific output in the ASEAN (Association of Southeast Asian Nations) countries (10 Southeast Asian countries: Brunei Darussalam, Cambodia, Indonesia, Lao PDR, Malaysia, Myanmar, Philippines, Singapore, Thailand and

Vietnam) between 1991 and 2010, and they recorded an average annual growth of 15%. Despite this impressive achievement, many academicians in this region still face continual challenges in their academic endeavours. Lee (2007) identified four major factors that contribute to the lack of an academic culture in Southeast Asia: (1) heavy teaching load, (2) low pay, (3) lack of facilities and resources to carry out research, and (4) reduced academic freedom i.e. restrictions on what can be researched and what can be expressed to the public.

Research and Publication in Malaysia

In Malaysia, since the launching of the tertiary education reforms in 2007 (MOHE, 2007a, 2007b), the Ministry of Higher Education has channelled generous monetary support to increase academicians' wages and to support their research works. Thus, at least the second and third reasons identified by Lee (2007) are now less applicable to the public universities in Malaysia, particularly those identifiable within the category of research universities (for classification of Malaysian universities, refer to Ahmad *et al.*, 2012). Despite that, gaps remain before Malaysian universities can reach higher levels in world university ranking.

In a comparative study conducted by Bentley and Kyvik (2012), Malaysia stood out as quite uniquely different from the other 12 countries (namely Argentina, Australia, Brazil, Canada, China, Finland, Germany, Hong Kong, Italy, Norway, UK

and the USA) in several aspects. A general finding was that most professors in the other 12 countries showed stronger interests in research as compared to their lower-ranking counterparts and correspondingly, they also devoted more time into research over teaching. However, despite the fact that Malaysian professors also expressed strong interest in research, they reportedly spent very little time on research. Comparatively, they devoted longer hours to teaching and administration as compared to professors from other countries. Furthermore, Malaysian professors' research activities did not increase during non-teaching period as compared to those of professors in the other countries. These findings coincide with Lee's (2003) suggestion that Malaysian academics spend more time in administrative activities due to the lack of a research culture.

Research Culture

As previously defined, research culture refers to the establishment of norms for research practice in an institution. In the context of higher education, it refers to the presence of beliefs, attitudes and behaviours that support scientific inquiry, critical thinking, innovation and creativity among the members of faculties or universities (Pratt *et al.*, 1999; Valladolid, 2013). Salazar-Clemeña and Almonte-Acosta (2007) believe that research culture is formed by the interactions of three domains: (1) faculty tasks in teaching, research and community services, (2) individual attributes and outputs, and (3)

institutional attributes and policies. As a result, the establishment of a research culture does not happen overnight (Salazar-Clemeña & Almonte-Acosta, 2007) and most of the time it requires top-down efforts made by the institutions and faculties (Pratt *et al.*, 1999). The popular recommendations to develop a research culture include the building of a research environment (Salazar-Clemeña & Almonte-Acosta, 2007) and establishment of a community of practice (Hill & Haigh, 2012). The ultimate aims of these efforts are to increase individuals' research capabilities and subsequently institutional research output. The building of a research environment is largely an administrative initiative that potentially covers these eight indicators outlined by Salazar-Clemeña and Almonte-Acosta (2007): (1) institutional research policies and agenda, (2) departmental culture and working conditions, (3) budget for research, (4) infrastructure, (5) collaboration with and access to research professionals in other institutions, (6) policies and guidelines on research benefits and incentives, (7) research committee, and (8) publications. On the other hand, the building of a community of practice refers to the efforts of creating mutual support among the members of a faculty or institution. As reported by Hill and Haigh (2012), it includes (1) funding and supporting learning through research clusters/teams, (2) establishing research centres, (3) producing graduate students, (4) working collaboratively in research projects, and (5)

recognising the membership of the research community. As a result, the building of a research culture entails systematic planning at the administrative level and requires careful consideration of all the indicators and elements mentioned above.

Research Culture in the Context of Teacher Education

Some higher educational researchers have put forward the view that the cultivation of research culture is more difficult in professional faculties such as the accounting and educational faculties compared to natural sciences (Hill & Haigh, 2012; Singh *et al.*, 2013). As explained by Hill and Haigh (2012), many teacher educators are recruited into the service for their achievements in professional practice rather than for their research competence and expertise. As a result, many academics in the educational faculty are not laboratory-trained researchers compared to their natural sciences colleagues who perceive research as a predominant part of their career. On top of that, teacher educators face the extra work demands and responsibilities of supervising pre-service teachers in schools, establishing university-community partnerships with schools and responding to top-down projects from the ministry (Martinez, 2008; Hill & Haigh, 2012). Therefore, it is not surprising that many teacher educators simply do not have enough time for their research works and they are not research active. The lack of a research culture in educational faculties negatively affects the faculties' competitive levels to

compete for university funding and it also affects the job promotion of individual faculty members when they are judged based on common university standards.

In this study, an educational faculty in Malaysia was investigated to provide case-study insights into the common practices and dilemmas faced by teacher educators in Malaysia. The area of teacher education has been identified in the literature as an area in which the cultivation of a research culture is exceptionally challenging (e.g. McGaghie, 2009; Hill & Haigh, 2012). Therefore, it is hoped that the case-study findings provide insight into the missing gaps and the efforts required in nurturing a research culture in this specific area in a region where the research culture is considered to be still predominantly lacking. Thus, this study is conducted to address the following questions:

- (1) What are the hindering factors that would affect the production of scholarly output in an educational faculty?
- (2) What are the factors contributing to improved performance in scholarly output?
- (3) What are the implications of the findings on faculty's strategy planning?

Despite being an action research that is aimed to determine immediate local solutions, the findings of this study are potentially applicable to the larger Southeast Asian context and other developing countries worldwide that share similar contexts.

MATERIALS AND METHODS

The faculty focused on in this study was an education faculty of a research university in Malaysia. A research university is an academic institution committed to the creation and dissemination of knowledge in a wide range of disciplines through top-quality teaching and research (Altbach, 2009). As reported by Singh *et al.* (2013), currently there are about 20 public universities in Malaysia and these universities are categorised into three types: research universities, comprehensive universities and focused universities. The latter two are regarded as teaching universities. Comprehensive universities offer a vast variety of undergraduate and postgraduate courses while focused universities tap on specified fields such as engineering or teaching. Research universities could be considered as the leading universities in the country. The sample faculty selected is within one of the top-three research universities in Malaysia. The university secured a top 500 ranking in the latest Webometrics Ranking of World Universities (WRWU).

The faculty in the current case study consists of five professors, 11 associate professors and 52 lecturers. This study is the first step of a larger plan initiated by the dean's office to instil a research culture among the faculty members. A secretariat was formed to steer-drive the larger plan. Prior to this study, the secretariat studied the previous year's faculty publication record and identified several aspects that required further investigation. These

aspects of enquiry were formulated into 13 closed-ended questions and 1 open-ended question in a simple survey format developed by the researchers of this study. The survey was launched online via www.freeonlinesurvey.com for four weeks. Announcement and subsequent reminders about the survey were sent to the emails of all faculty members at weekly intervals. Faculty members were urged to participate in this survey voluntarily. To encourage participation, three measures were taken, (1) a direct URL link was added to the email content to ensure easy access to the survey form, (2) an additional email reminder was sent three days before the closing date to ensure no one had missed the date, and (3) the faculty writing club also advertised this survey in the quarterly newsletter, which was published online and in hard copy, which was sent to all faculty members two weeks before the closing date. At the end of this survey period, the data were exported from the online database and downloaded as a single digital file in SPSS 20.0. Statistical analyses were conducted using the similar software.

RESULTS

Response Rate

On the whole, 21 faculty members completed the online survey (N=68). The 30% participation rate fulfilled the baseline requirement of the self-posted survey, which Baruch and Holton (2008) found as 52.7% with a standard deviation of 20.4. However, this rate was arguably less satisfactory considering the sample size and

the accessibility of the targetted members to the survey materials and responding modes. In this context, the reduced response rate potentially reflects the lack of interest among many faculty members (the remaining 70%) to participate in the activities or events related to academic writing. This presumption will be further discussed in the discussion section.

Respondents' Characteristics

The 21 respondents who participated in this survey represented a proportional

distribution of academicians from various academic positions and years of service. The distribution shows that the sample, in general, is representative of the larger population in the faculty. However, it is important to note that there is a slight under-representation of professor-level respondents and those with longer years of service (refer to Table 2). This distributional data suggest that the subsequent findings might be slightly more reflective of the junior academicians in the faculty.

TABLE 2
Respondents' Self-Reported Background Information

Categories	Actual population in the faculty (N=69)	Survey respondents (N=21)
Academic positions		
Professor	14.5% (n=10)	9.5% (n=2)
Associate Professor	21.7% (n=15)	23.8% (n=5)
Senior lecturers and lecturers	63.8% (n=44)	66.7% (n=14)
Years of service		
More than 5 years	81.2% (n=56)	66.7% (n=14)
Less than 5 years	18.8% (n=13)	33.3% (n=7)

Results of correlation analyses revealed that academic positions and years of service did not correlate with research publications, $r(21)=.36, p=.11$. Next, the analyses explored types of publication output. The respondents were asked to report their publication achievements in the recent five years (Jan 2007-Dec 2011). More than half of the respondents (61.9%, n=13) had published between one and five articles in ISI and Scopus-listed journals in the mentioned time; while two (9.5%) had published between six and 10 articles

(estimated average: at least one article per year). This group of respondents also actively published in other journals (results are in bold in Table 3). For subsequent discussion, this group of respondents is referred to as '**active researchers**'. On the other hand, 28.6% of the respondents (n=6) had not published in ISI and Scopus-listed journals in the recent five years. In comparison, the productivity of these respondents in other journals was also lower as compared to the other group of respondents. Only one third of them (n=2,

N=6) had published more than five articles in the mentioned time compared to two thirds in the other group (n=11, N=15).

For subsequent discussion, this group of respondents is referred to as ‘**beginner researchers**’.

TABLE 3
Publication Output

		Publications in Other Journals				
		> 10 articles	6 –10 articles	1–5 articles	0 article	
Publications in ISI and Scopus-listed journals (Jan 2007-Dec 2011)	> 10 articles	0	0	0	0	
	6 –10 articles	4.8% n=1	4.8% n=1	0	0	9.5%
	1–5 articles	19.0% n=4	23.8% n=5	19.0% n=4	0	61.9%
	0 article	4.8% n=1	4.8% n=1	19.0% n=4	0	28.6%
		28.6%	33.3%	38.1%	0	100.0%

Research Grants and Research Supervision

Of the 21 respondents, all reported experience of participating in research grants. Other than university grants (n=21), 40% of them also had research experience in national and international grants (n=10, n=4 respectively). Pertaining to this, the majority of them (71.4%, n=15) had published between one and two research articles for every research grant that they were involved in. Five (23.8%) had published between three and four papers and one (4.8%) had published more than five papers for every research grant that he or she had received. The data suggest that the respondents’ commitment to their research grants were obvious and none had failed to publish research articles based on their research outcomes. Further, writing outcomes from research grants

and publications in ISI and Scopus-listed journals was shown to be correlated statistically, $r(21)=.48, p < .05$.

In the recent five years (Jan 2007-Dec 2011), 98.2% of them (n=20) had experience in supervising research students. About one third of them (33.9%, n=19) reported experience in supervising PhD candidates while the rest were involved in Master’s level research supervision (64.3%, n=36). Pertaining to this, about two thirds of them (71.4%, n=15) reported that they had co-written between one and five research articles with their supervisees in the recent five years (estimated average is less than one article per year). Another 14.3% (n=3) had co-written between six and 10 articles (estimated average is one to two articles per year) while 4.8% (n=1) had co-written more than 10 articles (estimated average is two articles per year).

As a whole, this set of data showed that research supervision was a common professional practice in this faculty. For one fifth of the respondents, at least one research article was generated per year through this mode. The results of the statistical computation showed that 'writing with research students' shared a strong correlation with 'publications in non-ISI and non-Scopus-listed journals', $r(21)=.56$, $p < .01$.

Perceptions

The respondents were asked to provide four types of perceptual ratings: (1) satisfaction towards own achievements in scholarly output, (2) aspiration for further improvements, (3) importance of scholarly output in career advancement, and (4) satisfaction towards faculty support in this process. Pertaining to this, one third (33.3%, $n=7$) expressed satisfaction towards their current achievements, while half of the respondents (52.4%, $n=11$) expressed dissatisfaction. Three respondents were unsure (14.3%, $n=3$). Satisfaction of own achievements was found to be strongly correlated with publication records in ISI and Scopus-listed journals, $r(21)=.56$, $p < .01$ and writing outcomes from research

grants, $r(21)=.59$, $p < .01$. Despite the diverse opinions about own achievements, all the respondents (100%, $n=21$) expressed aspiration for improved performance in academic writing. At the same time, all of them (100%, $n=21$) also felt that academic writing and publication were critical to their career advancement. Two thirds were satisfied with the support given by the faculty in this process (66.7%, $n=14$), while one third expressed dissatisfaction (33.3%, $n=7$). Different from the other aspects of satisfaction rating, this aspect of rating was found to be negatively correlated with the writing outcomes from research grants, $r(21)=-.48$, $p < .05$. This potentially implied that, paradoxically, those with better writing outcomes felt that the school should have supported them better in the process. This might also imply that this group of writers was more aware of the support services that they required.

Hindering Factors

The respondents were asked to rate 16 hindering factors according to their own circumstances. The rating was conducted via a Likert scale (1=not relevant, 2=unsure, 3=a little bit, 4=common hindering factor, 5=major hindering factor).

TABLE 4
Rating of Hindering Factors

Items	Mean	Percentage of respondents identifying the item as a major hindering factor (Scale 5)
Not enough time	4.57	66.7% (n=14)
Overloaded with teaching work	3.57	23.81% (n=5)
Rejection of draft by publisher	3.48	9.52% (n=2)
Lack of statistical assistance/support	3.29	19.05% (n=4)
Lack of writing-skills assistance/support	3.24	14.29% (n=3)
Lack of language assistance/support	3.10	19.05% (n=4)
Research has not yet been completed	3.10	4.76% (n=1)
Delayed research progress due to technical issue	3.00	4.76% (n=1)
Delayed research progress due to personal issue	2.76	0
Lack of quality in research work	2.52	0
Not confident	2.33	0
Not motivated	2.29	0
No luck	2.05	4.76% (n=1)
Paradigm shift	2.00	0
Not interested to write and to publish	1.81	0
Lethargic	1.81	4.76% (n=1)

Considering their responses as a group, the respondents had identified eight factors as hindering their progress and performance in producing scholarly writing (with a mean score of 3 and above). As outlined in Table 4, these eight factors were (1) not enough time, (2) overloaded with teaching work, (3) rejection of draft by publisher, (4) lack of statistical assistance/support, (5) lack of writing-skills assistance/support, (6) lack of language assistance/support, (7) research has not yet been completed and (8) delayed research progress due to

technical issue. On the other hand, as a group, the respondents did not recognise personal factors such as personal issue, confidence, motivation and interest as hindering factors in the production of scholarly writing. As a whole, the results showed that the hindering factors were primarily external in nature i.e. job commitment and lack of various technical support. Next, the responses given by the active researchers were compared with those of the beginner researchers to identify if there were any differentiating variables.

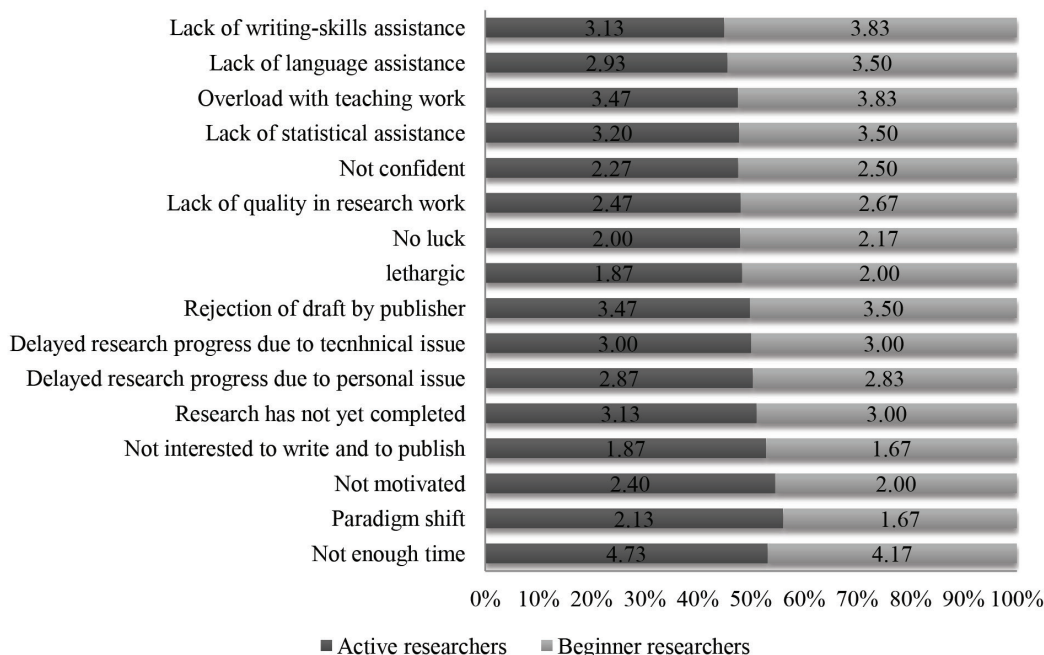


Fig.1: Comparison of hindering-factor ratings between active researchers and beginner researchers.

The Pearson Chi-squared tests revealed that the ratings of hindering factors did not significantly differ with the researcher type, $\chi^2(1, N=21)=0.167-0.571$, $p =.06-.90$. Despite that, the results of the descriptive analyses showed differences in their opinions as follows:

- (1) Active researchers rated the items more highly as compared to beginner researchers (the bottom six items in Fig.1).
- (2) Beginner researchers rated the items more highly as compared to active researchers (the top six items in Fig.1).
- (3) Similar ratings between the two researcher types (one item: delayed research progress due to technical issue).

The results showed that technical factors such as the lack of support or assistance in writing, language and statistical analysis remained as the major hindering factors identified by beginner researchers. On the other hand, at another level, active researchers seemed to face certain personal issues as a major challenge in writing. The issues encompassed ‘paradigm shift’, ‘not motivated’ and ‘not interested to write and publish’. This set of findings pointed to the differential needs of separate writer groups.

DISCUSSION

As a whole, this study explored the scholarly writing activities and outcomes of academicians in an educational faculty in Malaysia. Specifically, the study sought

to identify the adverse factors that would affect the production of scholarly output and, at the same time, the contributing factors for improved performance in scholarly output. It is hoped that the findings could provide insight into the cultivation of a research culture in a higher education context, specifically in teacher education. The study gathered a 30% response rate, which arguably is less satisfactory considering the measures taken to encourage participation. This finding reflects that, in general, a sizeable number of faculty members were possibly less interested in activities and events related to academic writing as was found by previous researchers in the context of teacher education (Martinez, 2008; Hill & Haigh, 2012). The reasons might reflect the adverse factors of academic writing as reported by the respondents in this study. These subsequent findings will be used as a starting point to suggest solutions.

From the data provided by 21 respondents in this study, the researchers realized that scholarly output did not correlate with academic position and years of service. This finding adds to the debate where mixed outcomes were found for the relationship between aspects of seniority and scholarly output (Jonkers & Tijssen, 2008; Hemmings & Kay, 2010; Miller, Taylor, & Bedeian, 2011; Barnard, Cowan, & Muller, 2012; Bentley, 2012). In an Asian context as reported by Jonkers and Tijssen (2008), junior faculty members, especially those returning from overseas training, were found to be more actively

involved in academic writing. Researchers such as Miller *et al.* (2011) associated such findings with the values of scholarly output in job security and promotion, which were more strongly felt by the junior members. Tabbodi (2009) observed a similar trend pertaining to be the relationship between seniority and commitment to work. On the other hand, in this study, strong correlations were found between scholarly outputs with writing outcomes from 'research grants' and 'research supervisions'. The findings echoed the general assumption that these two research elements were fundamental to the process of academic writings. Besides that, Hill and Haigh (2012) also provided insight that the establishment of research teams and research supervision helped to create a community of practice that was believed to be the engine of instilling research culture in an educational faculty.

The respondents held different opinions of their own achievements in scholarly output. Over half of them were not satisfied with their current performance. Despite that, all of them expressed aspiration for improved performance. In fact, the findings showed that those with better writing output appeared to be less satisfied with the faculty support as compared to their counterparts. This might be an indication that they were more aware of the support service they require due to their extended experience in academic writing. This set of findings supported the importance of active measures taken to support academicians in the process of academic writing. Further, to ensure efficacy, the measures also needed

to be contextually relevant to match with the academicians' local needs and requirements, possibly differentiated by the extent of academic writing experience they have had. For strategising planning, subsequent findings on adverse and favorable factors were especially critical.

By large, the findings on adverse factors showed that the primary hindering factors were predominantly external in nature, such as time and lack of technical support. These findings were roughly expected since the literature had widely pointed to these two factors as the major obstacles faced by academicians in producing journal publications (Millwater, & Hudson, 2011; Hill & Haigh, 2012; Li, Low *et al.*, 2013). A novel finding of this study was that different types of adverse factor were also found to characterise active and beginner researchers. The findings showed that beginner researchers generally faced a lack of technical support as their major challenge. On the other hand, more active researchers perceived personal factors such as paradigm shift, motivation and interest as major hindering factors in academic output. This set of findings pointed to the hierarchical needs of writers as they advanced in the endeavour of academic writing. A pattern that emerged from this study was that in the beginning stage of writing, the writer's major challenge was to acquire various technical skills concerning academic writing. As they became mature writers, intrinsic factors began to arise.

The findings on the differential needs of writer groups has important practical

implications for faculty administration. As strongly advocated by Pratt, Margaritis and Coy (1999), faculty administration should take on a leadership role in developing a research culture. Faculty administration has to take bold actions to change the systems, beliefs, attitudes, values and behaviours as entailed in the theory of management (Pratt *et al.*, 1999). The findings from this current study showed that to foster the desired changes, faculty administration needs to relate to the differential needs of active and beginner researchers and to offer differential support mechanisms.

First, since technical support was crucial to support beginner researchers, such support needed to be adequately channelled to this group of researchers. To achieve this, the faculty administrators needed to promptly identify the relevant consultation services such as language and statistical consultation and to make these support services available to those in need. In fact, such services as in-house services are common in many tertiary institutions in developing nations, especially those in the medical and science domains (Gusic *et al.*, 2010; Sehgal, Sharpe, Auerbach, & Wachter, 2011). In the attempt to develop a world-class academic profile, such services are essential and should be made accessible at the faculty level. Second, to ensure continual success and improvement in established writers, certain mechanisms targeted to address their higher-level scholastic needs are needed.

In general, research supervision and collaboration are two conventional

mechanisms that are already in place for the sustaining of interest and motivation in scholastic writing. Perhaps, more proactively, faculty administrators could offer certain incentives for improved performance (Pratt *et al.*, 1999) and also work on improving the quality of these existing mechanisms. The improvement plans could be to encourage the growth of research clusters and to work on building positive working relationships between research supervisors and supervisees (Tynan & Garbett, 2007; Hill & Haigh, 2012).

CONCLUSION

The findings of this study provide some preliminary data to explain the obstacles and catalysts experienced by Malaysian academics in producing scholarly output, in the context of teacher education. A limitation of this study was the small sample size, constrained by a case-study design. However, through investigating the faculty as a unit, it was clear that active and beginner researchers and writers in a faculty faced different sets of challenges pertaining to research and publication. In particular, beginner researchers faced external support issues, which optimistically are easy to overcome by faculty administration by making sure that the support services and intervention strategies are in place. In comparison, active researchers were found to face internal-related issues such as the decline of motivation and interest, which could drastically affect their subsequent track records. Pertaining to this, faculty

administration needs to ensure that a comprehensive mechanism to establish research partnerships and collaboration within the faculty is in place to create a mutual support for the different researcher groups i.e. to provide external technical support for the beginner researchers and continual emotional incentives for the active researchers. By systematically addressing their respective needs, it is hoped that contributions are made to the establishment of a research culture in the studied context and other similar contexts. Future research could investigate the intervention measures used and interviews could be utilised to better reveal personal insight and perception among the target respondents.

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The Influence of Financial Literacy, Money Attitude, Financial Strain and Financial Capability on Young Employees' Financial Well-being

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ABSTRACT

The rising cost of living and difficult economic conditions have made Malaysian individuals and households more conscious of their financial management. This study aims to (1) identify the levels of financial literacy, financial strain, financial capability and financial well-being and the type of money attitude of young Malaysian employees; (2) explore the differences in financial well-being based on the demographic characteristics of young employees; (3) analyse the relationships between the financial well-being of young employees and their financial literacy, money attitude, financial strain and financial capability; and (4) identify the determinants of financial well-being among young employees. The sample for this study consisted of 508 young employees in the public and private sectors aged 40 years and below from four urban areas in central Peninsular Malaysia, who were selected through the multi-stage sampling technique. Data were collected through self-administered questionnaires. The findings indicate that respondents who had moderate levels of financial literacy, financial capability and financial well-being scored high in effort and retention money attitudes and had a low level of financial strain. Statistically significant differences emerged in the financial well-being of those of different marital status (married and single) and the different household income groups (lower, middle and high-income), while there were significant relationships between financial well-being and financial literacy, type of

money attitude, financial strain and financial capability. Demographic characteristics (gender and monthly household income), financial literacy, retention-money attitude, effort-money attitude, financial strain and financial capability had significant influence

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on financial well-being with financial strain being a major factor contributing to financial well-being.

Keywords: Financial literacy, money attitude, financial strain, financial capability, financial well-being

INTRODUCTION

The current difficult economic conditions have made people more concerned about how they spend, save, invest and manage risks in order to protect their standard of living, especially for the long term. Financial management skills are crucial at every stage of life. However, young people face particularly challenging circumstances in making choices regarding their personal finances. A young or prime adult is generally considered a person in the age range of 20 to 40 years. These individuals and their households have a relatively low income and few assets such as home and savings. Nevertheless, this stage of life is also a time when young adults make decisions and significant investments for their future, and most of these involve debt (Haveman & Wolff, 2005).

According to the Federation of Malaysian Consumers Associations (FOMCA) 2011 Report, many of those declared bankrupt due to credit card debt were under 40 years old and 72% of them had no retirement plans. In addition, the report stated that 47% of these young employees were in serious debt with monthly debt payment of 30% or more of their gross income and had, on average, savings to last only four months if they

had to stop working. These are considered unfavourable financial management activities, especially for long-term planning. The combination of financial problems such as high debt, low income and low levels of financial literacy may adversely affect an individual's financial well-being. Income uncertainty, rising petrol prices and physical pain for instance, have more severe effects on well-being.

Today's young adults display ignorance when it comes to their finances, particularly with regard to retirement savings, smart investing, credit card use and debt (Lusardi, 2010). Young adults exhibit a low level of financial literacy, especially when asked about interest rates, inflation and risk diversification. The results of a 2010 survey on the financial literacy of Malaysians conducted by the Central Bank of Malaysia (*Bank Negara Malaysia*) found the financial capability of Malaysian consumers to be low. Research has shown that when the level of financial capability is low, there is impact on individuals, households and consumers in general, as it leads to stress and financial exclusion (Taylor, 2009; Lenton & Mosely, 2008). This is seen as an obstacle to financial well-being as young adults find it difficult to manage their personal finances if they have never learned how to budget and plan to achieve financial security.

The increasing level of compulsive buying among young adults has contributed to personal financial problems, personal bankruptcy filings and credit card debt (Roberts & Jones, 2011). Young people

today face different financial challenges than their parents did. They also accumulate greater debt at a younger age, largely due to high college costs. More than ever, they need to gain skills to take a more active, responsible role in their personal finances.

In addition, financial strain is an important indicator of well-being that is strongly related to mental and physical health. Pressure to pay off debt, for instance, can increase stress and anxiety levels (Szanton, Thorpe, & Whitfield, 2010) and affect workplace morale as conflict between money and work can diminish employee productivity (Garrett, 1993).

However, there has been limited research on financial well-being in Malaysia, particularly of young employees. Thus, this study explores the levels of financial literacy, financial strain, financial capability and financial well-being and type of money attitude, and explores the relationship between the financial well-being and the financial literacy, money attitude, financial strain and financial capability of young public and private sector employees in Peninsular Malaysia. Gaining a better understanding of the contributors to financial well-being will, it is hoped, help young employees to acquire financial prudence and, in the long run, decrease the number of young employees declared bankrupt. Understanding and applying financial well-being concepts will help people to be satisfied with their financial status, improve their standard of living, help them to be able to meet

their needs and feel safe, comfortable and satisfied with their income.

OBJECTIVES

This study was thus conducted with the following specific objectives:

1. To identify the levels of financial literacy, financial strain, financial capability and financial well-being and type of money attitude of young employees.
2. To explore the differences in financial well-being based on the demographic characteristics of young employees.
3. To analyse the relationships between the financial well-being of young employees and their financial literacy, type of money attitude, financial strain and financial capability.
4. To identify the determinants of financial well-being among young employees.

LITERATURE REVIEW

Financial Well-Being

“Financial well-being” can be defined as a feeling of being financially healthy, happy and free from anxiety, and is usually based on a subjective appraisal of an individual’s financial situation (Joo, 2008). Financial well-being is an important factor in determining one’s quality of life. Recession, for instance, has threatened financial well-being and caused economic concerns, including concerns about health, income, debt and career development. According to Van Praag, Frijters and Carbonel (2003),

these concerns affect the psychological and physical health of employees, reduce their confidence and productivity in the workplace and increase absenteeism, work delays and lack of concentration in their jobs.

Determinants of Financial Well-Being

Researchers have reported that a number of variables appear to be consistently associated with financial well-being. Among the most common are demographic and socioeconomic characteristics such as gender, ethnicity, age, income, education and marital status (Hira & Mugenda, 1999). It has also been suggested that while financial well-being is significantly related to some demographic factors, other variables such as financial literacy (Joo & Grable, 2004; Shim *et al.*, 2009), money attitude (Nickerson, Schwarz, & Diener, 2007), financial strain (Drentea & Lavrakas, 2000) and financial capability (Financial Service Authority [FSA], 2009) can also affect financial well-being.

Financial Literacy

Financial literacy enables individuals to make informed decisions about their money and helps to minimise their chances of being misled on financial matters (Beal & Delpachitra, 2003; Raven, 2005). Eitel and Martin (2009) explained that financial literacy is important for the success of future generations. In the United States, for instance, young adults spend more than they earn and this has led to a negative savings rate. This situation is very serious

and needs to be addressed to ensure the financial well-being of future generations (Nellen & McWilliams, 2008). In fact, Hayslip, Bezerlein and Nichols (1997) have found that young adults tend to show high levels of retirement anxiety because of lack of information about retirement. Consistent with that finding, Mitchell and Moore (1998) reported that one reason individuals fail to plan for retirement is because of insufficient knowledge.

Money Attitude

In today's materialistic environment, money is not limited to being a medium of exchange but has also become a means to achieving happiness and well-being. According to Diener and Seligman (2004), money has four symbolic values, which are status, respect, freedom and luxury. Cross-sectional studies have found that there is a positive relationship between these values and subjective well-being. Nickerson, Schwarz and Diener (2007) attempted to relate the link between orientation toward money and life satisfaction. Their study showed that people with high materialism or who were obsessed with money tended to be more satisfied with their finances due to their ability to afford their material desires. The results indicate that the perception that individuals have of their well-being is determined by their life aspirations.

Financial Strain

A number of studies done by Delafrooz, Paim, Sabri and Masud (2010), Bailey, Woodiel, Turner, and Young (1998) and

Falahati, Sabri, and Paim (2012) have examined the factors contributing to financial well-being. Taylor (2009) found financial strain to be a good predictor of financial well-being. Worried about being unable to pay medical bills and being depressed due to having little or no savings were among the financial strain that were highlighted in Taylor's study. Financial strain is not only associated with individuals' financial well-being; it also affects the productivity of individuals.

Financial Capability

A study on financial capability and well-being was conducted in 2009 using data from the British Household Panel Survey (BHPS). It was found that financially capable individuals are able to learn how to manage money and personal finances, become critical consumers when purchasing goods and services and understand the risk in both positive and negative terms. It can be demonstrated that increasing financial capability can have an implication on the wealth of individuals and families, financial security and financial well-being. A greater participation in asset building can lead to greater stability, thus enhancing financial well-being.

METHODOLOGY

Sample

The sample comprised 508 young employees working in public and private agencies in four urban areas in central Peninsular Malaysia i.e. in the states of

Perak and Selangor, the Federal Territory of Kuala Lumpur and the Federal Territory of Putrajaya. This study used a multi-stage sampling technique in selecting the sample study. The target was to obtain 300 respondents working in the public sector in Perak and the Federal Territory of Putrajaya and 300 respondents working in the private sector in the Federal Territory of Kuala Lumpur and the state of Selangor. Public sector agencies were selected from government websites and private sector agencies located in the Federal Territory of Kuala Lumpur and Selangor were selected from a list obtained from the Malaysian Employers Federation (MEF). Four stages were involved prior to administration and collection of data. First, officers from the human resource departments of the selected agencies were contacted through telephone to explain the intention of the study. Pre-approach letters were then sent to explain about the study and to get approval. Once approval had been given, the agencies each provided the name, personal contact number, postal and e-mail address of the person assigned to assist in the survey. After this, personal visits were made to the agencies to meet the person in charge and they were given a more detailed explanation of the study in terms of objectives of the study, the expected outcome from the study and the target group of respondents. In the final stage, the person in charge provided a list of participants who met the requirement of being aged from 20 to 40 years. Self-administered questionnaires were provided to the person in charge to be distributed

to the participants, whose consent had first been obtained. The person in charge then set the date for the collection of the completed questionnaires.

Each state was equally distributed with 150 sets of questionnaires. Among the 600 questionnaires, 92 were returned as undeliverable due to some departments having distributed the questionnaires to the individual respondents, resulting in the misplacement of the forms and some of the respondents withdrawing from participation in the survey. Therefore, the total sample size was reduced to 508. This number represents a total return rate of 84.7%.

The data obtained were coded and analysed using SPSS to identify the determinants of financial well-being among young Malaysian employees.

Variables Measurement

Financial Well-Being: To measure financial well-being, this study used the Malaysian Financial Personal Well-Being Scale (MPFWBS) developed by Garman and Jariah (2006). This scale comprises 12 statements with a 10-point scale, with 1 as the lowest score and 10 as the highest score. Respondents were asked to respond to statements that best described their financial situation. Cronbach's alpha reported in this study was 0.935.

Financial Literacy: Financial literacy was measured using an instrument developed by Sabri, MacDonald, Hira and Masud (2010) based on the Malaysian context.

Thirty-four statements were designed to measure the respondents' level of financial literacy. Respondents were asked to indicate whether the statements given were true or false. One point was given for a "true" response while a "false" response was given zero points. Higher percentage scores indicated a higher level of financial literacy. In this section, financial literacy was divided into three categories, namely, low mean score (0-10), medium mean score (11-21) and high mean score (22-34). The average score was 17.81, with a standard deviation of 5.53.

Money Attitude

Money attitude in this study was measured by adopting six dimensions from the Furnham's Money Beliefs and Behaviours Scale (MBBS), which were obsession, retention, inadequacy, effort, power and security. Money attitude was measured using 24 items that described the feelings and experiences of the respondents with a 5-point Likert scale ranging from strongly disagree (1) to strongly agree (5). Cronbach's alpha was used to test the reliability of each factor. It was determined that all factors except power and security had acceptable values of 0.6 to 0.7, while the power and the security factors had reliability values of 0.37 and 0.36, respectively. In view of this, the power and the security factors were dropped from further analysis.

Financial Strain

Financial strain was measured using an instrument involving seven items developed by Aldana and Liljenquist (1998). Respondents were asked about financial strain in these questions: "I am unable to sleep well due to inability to get bills paid on time", "I've been depressed due to lack of money" and "My current financial situation makes me anxious". Respondents were required to rate the situation experienced by them in the previous six months on a 3-point Likert scale ranging from never (1), sometimes (2) and always (3). This subjective appraisal of financial situation was coded 1 to 3 so that the higher scores referred to higher levels of financial strain. Cronbach's alpha reported for this study was 0.838.

Financial Capability

To measure financial capability, 20 statements encompassing four different domains (managing money, staying informed, choosing products and planning ahead) used in the following studies on financial capability were used: Financial Capability Survey (2004), Scottish Household Survey (2005-2009), British Household Panel Survey (2006) and Central Bank of Malaysia Survey on Financial Literacy of Malaysian Adults (2010). Each domain comprised five questions and the respondents were asked to rate their responses from strongly disagree (1) to strongly agree (5). Cronbach's alpha reported was 0.896.

RESULTS AND DISCUSSION

Demographic Details of the Respondents

Table 1 provides details of the respondents' profiles. The respondents consisted of 290 employees from the public sector and 218 from the private sector. The majority of the respondents were female (61.6%), while males constituted 38.4%. The majority of the respondents were between the ages of 26 and 30 years. A total of 90.4% (459) were of Malay ethnicity, 4.5% (23) were Chinese, 3.7% (19) were Indians and 1.4% (7) were of other ethnic backgrounds. More than half of the respondents were married (65.9%). Most of the respondents were bachelor's degree holders (29.4%).

More than half of the respondents had a monthly household income of above RM3,500 (51.1%) and 11.8% of them were reported to earn less than RM1,500 per month. The mean monthly household income of the respondents was RM4,937.66, which is slightly lower than the mean monthly urban household income of RM5,742 as stated by the Economic Planning Unit of The Prime Minister's Department, Malaysia in 2012. Even though the high-income level as categorised in the Tenth Malaysia Plan is RM3,500 and above, this level seems too low for urban areas, especially Kuala Lumpur and Selangor, given the high cost of living in these areas.

Respondents were asked about the percentage of their income they saved each month. The results showed that slightly more than half (53.1%) of the respondents saved at least 1 to 10% of their income.

Almost a third (32.2%) of the respondents saved about 10 to 20% and 7.9% of the respondents were able to save more than 20% of their income. However, it was found that 6.7% of the respondents never put their income aside as savings.

The respondents were also asked about their current income adequacy. Half of the respondents (52.8%) felt that their current income was good enough to meet only their basic needs while 26.2% of the respondents reported that their current income was enough for most things and 12.4% of the respondents were able to buy anything that

they wished and could also save money from their income. Only one tenth (8.7%) of the respondents stated they felt that their current income was not enough even to meet their basic necessities.

In terms of financial status, the results showed an almost equal percentage of responses. One third (35%) of the respondents had asset values more than their outstanding debt values, followed by 32.7% who had equal values of asset and outstanding debt, while 32.3% of them felt their asset values were less than their outstanding debt values.

TABLE 1
Profile of Respondents

Demographic	Characteristics	n	%
Agency	Public	290	57.1
	Private	218	42.9
Gender	Male	195	38.4
	Female	313	61.6
Age	20-25 years	68	13.4
	26-30 years	180	35.4
	31-35 years	159	31.3
	36-40 years	101	19.9
Marital status	Single	160	31.5
	Married	335	65.9
	Widow/widower/divorced/separated	13	2.6
Ethnicity	Malay	459	90.4
	Chinese	23	4.5
	Indian	19	3.7
	Others	7	1.4
Education	SPM	122	24.0
	STPM	40	7.9
	Certificate	36	7.1
	Diploma	137	27.0
	Bachelor's Degree	150	29.5
	Master's/PhD	23	4.5

Influence of Financial Literacy

Number of financial dependents	1	217	42.7
	2	112	22.0
	3	74	14.6
	4	35	6.9
	5	28	5.5
	More than 5	11	2.2
Monthly household income	< RM1, 500	57	11.8
	RM1, 500- RM3, 500	179	37.1
	Above RM3,500	247	51.1
Monthly savings	0%	34	6.7
	1%-< 10%	270	53.1
	10%-< 20%	164	32.3
	≥ 20%	40	7.9
Financial status	Asset values less than outstanding debt	164	32.3
	Asset values equal to outstanding debt	166	32.7
	Asset values more than outstanding debt	178	35.0
Current income adequacy	Not enough	44	8.7
	Enough for basic needs	268	52.8
	Enough for most things	133	26.2
	Enough to buy all the things wished for and could save money	63	12.4

Financial Literacy levels

In order to identify the levels of financial literacy, the respondents were asked thirty-four questions concerning general knowledge, credit card, debt and loan, savings and investment, and Islamic banking and products. In general, most of the respondents understood the concept of credit as three quarters (78.3%) of the respondents knew that credit-card holders cannot spend without limit. More than half (64.2%) of the respondents gave the correct answer that making cash withdrawals using credit cards is not a low-cost financial source. Meanwhile, 69.3% of the respondents answered correctly

that credit-card holders will be charged for making cash withdrawals using credit cards.

The results also indicate that a large number of respondents (72.0%) gave the right answer when asked about loan repayment. However, 33.3% of the respondents did not know that they could not spend more than 40% of their monthly income to pay instalments while 39.8% of them gave the wrong answer to this statement. Only the remaining 27.0% of the respondents provided the correct answer. According to Garman and Forgue (2004), savings should be included in spending plans (budgeting). However, most of the respondents had the wrong interpretation

of savings. The results showed that 74.8% of the respondents agreed that savings were extra income after deducted expenses. The answer given was wrong and contrary to the recommendations of experts in the field of finance, who state that savings are actually the portion of income not spent on current expenditure. Individuals should understand the various concepts involved in savings, including reasons for saving, the importance of saving, setting saving targets, the saving process, places to save, available types of savings instrument, advice for becoming a disciplined saver, special purpose accounts, comparison of savings accounts and savings plans. A saving mindset must be cultivated, and individuals must understand such matters as why spending less should be easier than saving more and how to apply savings strategies for purchasing large appliances (Tohey & Tohey, 2000).

In addition, respondents were also asked on their knowledge of Islamic financial products. The tremendous growth in Islamic banking has encouraged global movement of banks into this area that has become increasingly popular with consumers. However, the results revealed that the respondents were less knowledgeable about Islamic banking and finance products. Malaysia's Islamic finance industry has been in existence for over 30 years and Malaysia's

Islamic banking assets have reached USD750 billion with an average growth rate of 15 to 20% annually (Islamic Financial Industry Stability Report, 2013). Islamic banking and finance is not only expanding in nations with majority Muslim populations, but also in the countries with Muslim minorities such as the United Kingdom and Japan (International Monetary Fund Survey, 2007). Increased efforts by conventional banks to offer Islamic banking products to a larger segment of consumers may help to diversify the choices available to them.

Less than one third (19.5%) of the respondents gave the right answer to the question on borrowings in Islamic banking and only 23.0% of the respondents gave the correct response to the question on interest rates and returns when making investment in Islamic banking.

Table 2 shows the financial literacy scores by categories. The results indicate that 321 (63.3%) of the respondents had medium levels of financial literacy. This finding is consistent with that of the pilot survey conducted by OECD in 2012, which made an assessment of the national level of financial literacy in several countries such as Germany, Peru, Norway and Malaysia. Based on the pilot survey, Malaysia reported a moderate level of financial literacy with a knowledge score of 51%.

TABLE 2
Financial Literacy Score Levels

Category	Total	Low	Medium	High
Scores	31	0-10	11-21	22-31
Respondents	508	45	321	142
(%)		(8.7)	(63.3)	(28.0)

Money Attitude Levels

The respondents were asked to describe their experience and feelings regarding money based on four dimensions of money attitude. The first dimension of money attitude was obsession. The results show that most of the respondents were not obsessed about money. By combining categories, only 32.1% of the respondents agreed that money could solve their problems. Meanwhile only 16.8% of the respondents believed that money is the only thing that they could depend on in their lives. The majority (84.0%) of the respondents were not interested to show off their financial success to their friends. This indicates that most of the respondents did not consider money as the main means to solve the problems they encountered in their daily lives. However, the findings of this study are found to be in contrast with a study of young Chinese consumers conducted by Durvasula and Lysonski (2010), which indicates that young Chinese consumers are fascinated with money and consider money as an important means to solve problems in their daily lives. Money is seen as a symbol of wealth and is likely to be associated with one's level of materialism. This finding contradicts the findings on the money attitude of Malaysian individuals, which may be different due to personal traits or demographic factors such as family life cycle (Tang, 1993). Apart from that, it can be assumed that the Malaysian culture makes people rely on religion, family, career satisfaction, health and friends instead of on money. In other

words, without these elements, their lives would not have any meaning even if they had a lot of money.

The second dimension was retention of money, which illustrates the attitude of people who keep track of their money through budgeting and planning, and prepare for their future financial needs. The results showed that 41.9% of the respondents had mixed feelings as to whether they felt guilty spending their money on necessities even though they had enough money at the time. More than one third (45.7%) of the respondents had difficulty making decisions regarding spending their money, regardless of the amount involved and their actual ability to afford it. It can be concluded that most of the respondents had high retention of money attitude.

The third dimension was inadequacy of money. People who are financially inadequate are those who worry about their financial situation most of the time, feel that most of their friends have more money than they do and believe other people overestimate their actual financial resources (Furnham & Argyle, 1998). By combining categories, the results showed that 53.4% of the respondents did not spend their money on leisure or pleasurable activities. Nearly half (42.9%) of the respondents did not agree that their friends had more money than they did while only 18.7% of the respondents felt anxious about their personal finances. It can be concluded that the respondents had a good degree of the perception of having enough money. This

may have been because the respondents were still at a young age and had few financial dependents.

The final dimension was effort of money. One third (30.3%) of the respondents did not agree they were thrifty while 30.1% of them agreed with that statement. Less than half (45.9%) of the respondents were satisfied with their present income as being what they deserved based on their jobs. A high percentage of the respondents (73.0%) believed that the amount of money that a person earns is closely related to their ability and effort. More than two thirds (66.8%) of the respondents kept track of their money and knew how much they had in their bank or savings account, including the credit or loan incurred. It can be concluded that most of the respondents felt that their achievement or ability was reflected in the amount of money they earned.

Scores for each of the four dimensions were computed by summing the mean score for all of the items. Dimensions with a high score represented a high level of the attitude. Fig.1 shows that the respondents scored high for effort of money attitude (mean=16.9). The other scores were retention of money (mean=10.7), obsession with money (mean=9.3), and inadequacy of money (mean=7.9).

Financial Strain Levels

Respondents were asked to answer if they had experienced seven situations that indicated their financial strain in the last six months. The results showed

that the statement "Delay in paying bills makes me worried" yielded the highest percentage (35.03%) among the young employees, followed by "Current financial situation makes me anxious" (17.13%) and "Worried about medical costs" (15.75%). Meanwhile, the four lowest scores were for "Unable to sleep well due to inability to pay bills on time" (14.96%); "Worried about being unable to get a balanced diet" (10.63%); "Have fallen sick due to worry about self or family spending" (6.9%); and "Depressed due to lack of money" (6.3%). Financial strain levels were divided into three, which were low, moderate and high. Fig.2 shows that a high percentage of the respondents (46.2%) had a low level of financial strain. However, there was a subtle difference between those respondents reporting a low level of financial strain and those reporting a moderate level of financial strain (44.6%). However, this finding was found to be different from that in a study conducted by Alley and Kahn (2012), which involved 6,287 respondents. Using the Health and Retirement Survey, they demonstrated that economic resources, psychological resources and health explain financial strain across the demographic subgroups. They found that people who experienced high levels of financial strain were young adults who had few financial resources in terms of income.

Financial Capability Levels

The respondents' financial capability was measured by twenty statements comprising four domains, which were managing

money, staying informed, choosing products and planning ahead. In terms of managing money, most of the respondents agreed that they managed their money properly as 64.1% of them made plans for their expenses and paid their bills on time and 60.5% of the respondents regularly set money aside for possible unexpected

expenses. With regard to planning ahead, less than half of the respondents planned ahead, especially for their retirement life. The results indicated that only 48.7% of the respondents made financial provision for retirement. In terms of staying informed, 30% of the respondents were interested in keeping up to date with information

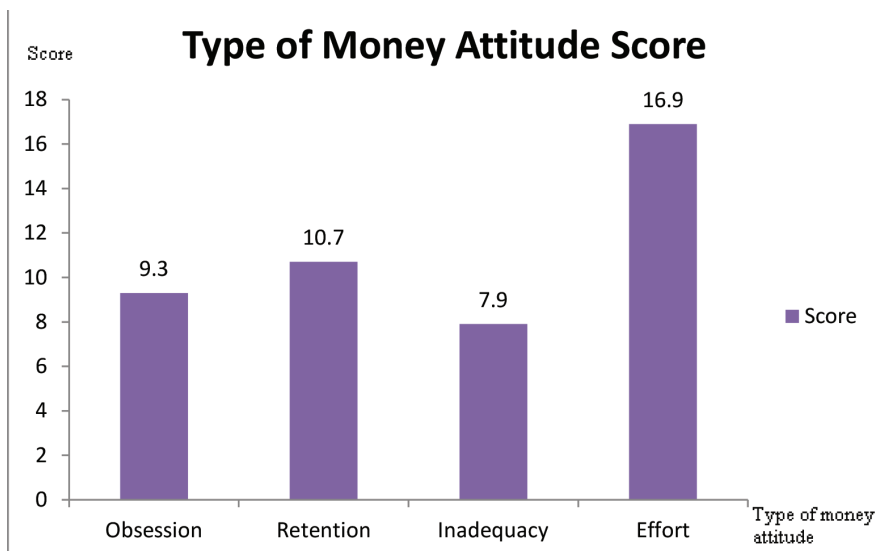


Fig.1: Type of money attitude score.

Financial Strain Levels

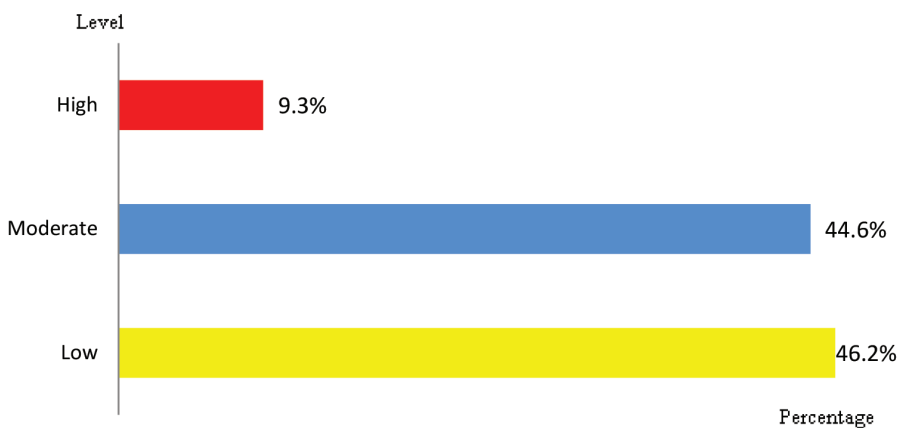


Fig.2: Financial strain levels.

on financial management. Only 22.4% of them willingly obtained advice from the professionals. In terms of choosing products, most of the respondents considered several policies or loans from different companies before making decisions, read the terms and conditions in detail before agreeing or signing and

made personal considerations rather than believing and accepting what had been recommended by financial advisers. Fig.3 shows the financial capability scores by categories. The results indicate that 73.6% of the respondents had a moderate level of financial capability.

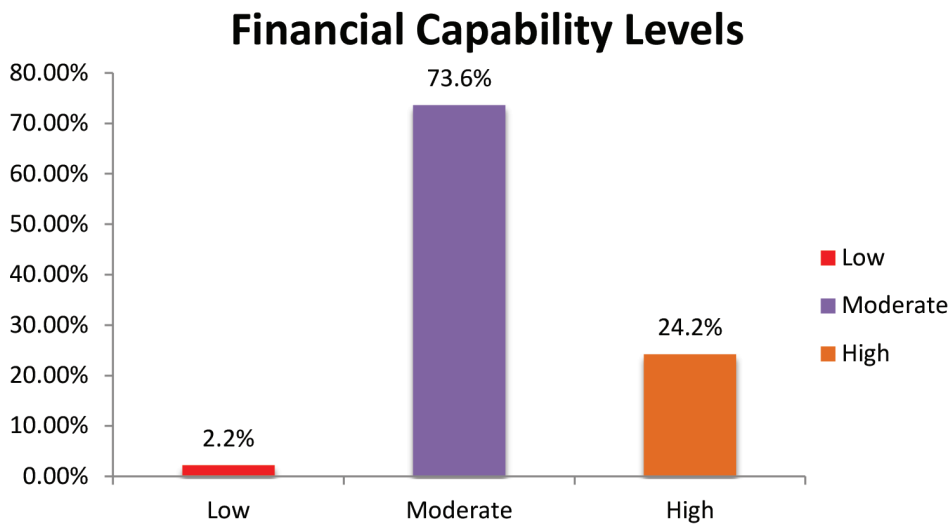


Fig.3: Financial capability levels.

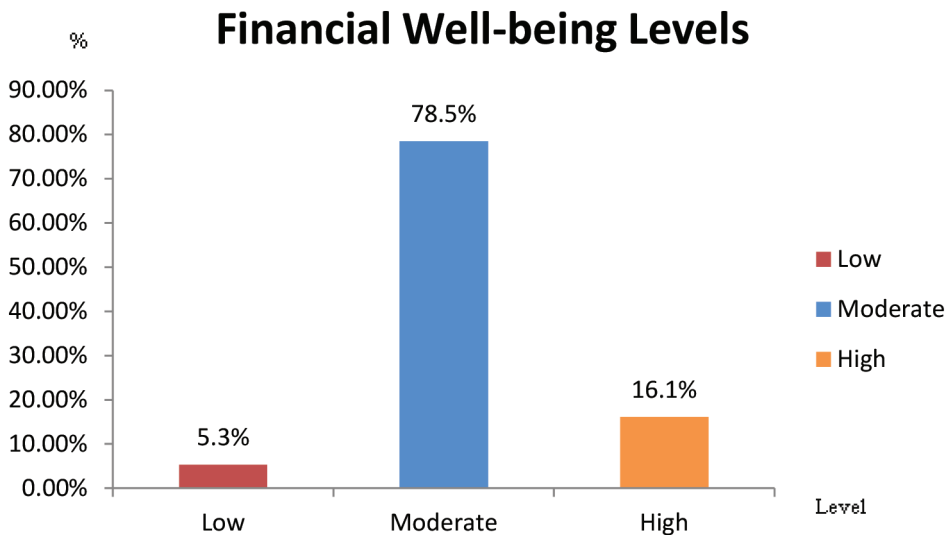


Fig.4: Financial well-being levels.

Financial Well-Being Levels

The respondents' financial well-being was measured using 12 statements indicating their financial status. The respondents were asked about their satisfaction with their current financial situation, current financial adequacy and how confident they were of having enough money to cover their life after retirement. In general, the highest mean score for financial well-being was reported for the statement regarding the frequency of having trouble paying bills. The mean score of 7.32 indicates that most of the respondents did not frequently face a problem in paying their bills. In addition, the respondents were confident that they could control their finances (mean=6.57) and they were confident that they had the power to control their personal finances (mean=6.36). Even though most of the respondents believed they were in good financial condition, they were still worried about their current financial situation as the statement "Worry about your current financial situation" reported the lowest mean score of 4.93. The results illustrated in Fig.4 show that the majority of the respondents (78.5) had a moderate level of financial well-being.

An independent sample t-test was conducted to compare the financial well-

being scores for married and single young employees. Table 3 shows that there was a significant difference in the scores for married respondents (M=73.00, SD=14.11) and for single respondents (M=70.14, SD=16.12; $t(508)=1.97$, $p=0.04$). The results thus revealed that there was a significant difference between married and single young employees. Married couples tended to be financially better off compared to single young employees. According to Sweeny (2002), entering into marriage is related to an increase in economic well-being. Married couples typically manage their resources jointly, thus allowing them to adjust better to economic circumstances compared to singles (Brines & Joyner, 1999).

A one-way between-groups analysis of variance was conducted to explore financial well-being among the income groups. Income groups were divided into three based on monthly household income classification used in Malaysia in the 10th Malaysia Plan, which is low, middle and high (Group 1: less than RM1,500; Group 2: RM1,500 to RM3,500; Group 3: Above RM3,500). Table 4.4 reveals that there was a statistically significant difference at the $p<0.05$ level in financial well-being for the three income groups [$F(2,480)=12.810$,

TABLE 3
Marital Status Comparison for Financial Well-Being

Marital status	n	Mean	SD	<i>t</i>	Sig.
Married	335	73.003	14.11	1.974	0.04
Single	173	70.145	16.12		

*Significant $p<0.05$

TABLE 4
Income Group Comparison for Financial Well-being

Income group	n	Mean	SD	F	P
Low	57	65.92	19.764	12.810	0.000
Middle	179	69.52	13.633		
High	247	75.05	13.999		

*Significant $p < 0.05$

TABLE 5
Pearson's Correlation Coefficients Results

Variables	Pearson Correlation (<i>r</i>)	<i>p</i>
1. Financial literacy	0.205**	0.000
2. Type of money attitude		
a) Obsession	-0.072	0.107
b) Retention	0.151**	0.001
c) Inadequacy	0.001	0.989
d) Effort	0.330**	0.000
3. Financial strain	-0.409**	0.000
4. Financial capability	0.358**	0.000

Significant:

** $p < 0.01$

TABLE 6
Multiple Regression Results of Determinants of Financial Well-Being

Variable	b	Beta	t	Sig.
Constant	20.308		3.107	0.002
Gender (Male)	-3.363	-0.109	-3.059	0.002**
Marital status (Married)	1.33	0.042	1.187	0.236
Household income	2.662	0.122	3.249	0.001**
Money attitude (Retention)	0.789	0.097	2.721	0.007**
Money attitude (Effort)	1.123	0.218	5.866	0.000**
Financial literacy	0.26	0.095	2.508	0.012**
Financial capability	0.47	0.301	8.136	0.000**
Financial strain	-1.697	-0.379	-10.512	0.000**

R=.647; R²=.418; Adjusted R²=.408; F=42.199; Sig. F=.000

** $p < 0.01$

$p=0.001$). Post-hoc comparisons using the Tukey HSD test indicated that the mean score for Group 3 ($M=75.05$, $SD=13.99$) was significantly different from Group 1 ($M=65.92$, $SD=19.76$) and Group 2 ($M=69.52$, $SD=13.63$). Meanwhile, Group 1 ($M=65.92$, $SD=19.76$) did not differ significantly from Group 2 ($M=69.52$, $SD=13.63$). This shows that the respondents in the high-income group were more financially well off compared to the other groups. Incomes help people to meet their needs. People with greater incomes are more likely to be able to meet their needs such as healthy food, safety, health and comfortable housing, leading to subjective financial well-being compared to those with lower incomes.

The relationship between financial well-being and financial literacy, type of money attitude, financial strain and financial capability was investigated using Pearson's correlation coefficient. The results revealed a positive relationship between financial well-being and financial literacy [$r=0.205$, $p<0.01$], retention money attitude [$r=0.151$, $p<0.01$], effort money attitude [$r=0.330$, $p<0.01$] and financial capability [$r=0.358$, $p<0.01$]. However, there was a negative relationship between financial strain and financial well-being [$r=-0.565$, $p<0.01$].

Based on the multiple regression results in Table 6, eight variables explained 40.8% of the variance of financial well-being. This also suggests the potential of other factors explaining the financial well-being of the respondents. The Beta value in the Table

of Coefficient shows which variable makes the strongest unique contribution to explain the dependent variable while the significant value explains whether the variable makes a significant unique contribution to the prediction of dependent variable. From three demographic characteristics, two demographic characteristics were significant at the 0.01 level: gender and household income. However, marital status did not contribute to the variance. By comparing the beta coefficients among the two significant variables, household income had slightly higher influence on the financial well-being of young employees compared to gender with beta values of 0.122 and 0.109, respectively. From the results obtained, the total of five independent variables were also shown to be significant: financial literacy, effort-money attitude, retention-money attitude, financial capability and financial strain. Overall, financial strain was the greatest predictor of financial well-being among young employees (Beta=-0.379).

The results indicated that the male respondents showed more financial well-being compared to the female respondents. This is supported by Gottschalck (2008) who reported that women held lower levels of wealth and had significantly lower earnings compared to men. Furthermore, women may spend as many as five more years than men in retirement due to a longer life expectancy. Marital status did not make a unique contribution to financial well-being. It can be assumed that positive views and life satisfaction depend on

the concept of self-esteem and different perceptions of the individuals, regardless of whether they are married or single. It is proposed that overall life satisfaction comes from each individual's personal values, which are unique and different. Apart from that, household income also made a unique contribution to financial well-being. The positive correlation between income and financial well-being indicated that higher income could allow people to more comfortably meet their basic needs as well as to confer status advantages. The results also indicated that financial literacy, retention and effort money attitude and financial capability positively predicted financial well-being. The results further indicated that those with a higher level of financial literacy, positive money attitude and a higher level of financial capability had greater financial well-being. Individuals who had knowledge of the various aspects of finance, particularly in relation to their financial needs, were more likely to make the right decisions and be capable of using the skills to manage their personal finances. In addition, a positive attitude towards money such as retention and effort money attitude can help individuals to manage their finances through budgeting and intensifying their efforts to generate income and protect their future financial needs. Conversely, financial strain was found to be negatively related to financial well-being. Those who experienced problems related to lack of money for essential expenses reported lower levels of financial well-being.

CONCLUSION AND IMPLICATIONS

This study explored the determinants of perceived financial well-being among young employees. Multiple regression analysis was used to explore the factors contributing to financial well-being. The results of this study suggest several important conclusions. First, being financially capable is an indicator of financial well-being as financial capability will help young employees to keep track of their money so that they can make ends meet and be helped in making sound choices in the event of any circumstances or unexpected situations. Second, a positive attitude towards money helps individuals to be careful in spending their money through budgeting and planning for their future financial needs. Third, it is apparent that positive early consumer experiences improve young employees' financial literacy, which in turn has a significant effect on their financial management and in turn, increases their perceived level of financial well-being. Providing basic knowledge of personal finance to this group of young employees would seem to be an effective approach to educate them to become responsible and prudent consumers. The results also indicate that rising household income is associated with increasing financial well-being. A large number of studies have been conducted to see the relationship between subjective well-being and income (Rogers & DeBoer, 2001; Hamermesh, 2004). Access to greater economic resources infers higher living standards and well-being as people with

higher incomes are more able to meet their material aspirations and will feel better off (Easterlin, 2001). Most importantly, the negative effect of financial strain on financial well-being needs more attention. Financial difficulties can make people blame each other for their situation.

The findings of this study can serve as a guide to the government, in particular to the Economic Planning Unit (EPU), in setting economic policy. The findings indicate that the mean household monthly income of the respondents was RM4,937.66, much lower than the RM5,742 indicated by EPU in 2012. The findings also reveal that 11.8% of the respondents earned less than RM1,500 per month and almost half of the respondents said that their current income adequacy was enough to meet only their basic needs. Due to those circumstances, 6.7% of the respondents were unable to save money at all, as the income earned was only enough to meet their expenses for that particular month. The increasing cost of living in urban areas may further complicate matters for this group to survive, and this would affect their financial well-being in the long run, especially in life after retirement. Although more than half of the respondents were in the high-income group and earned more than RM3,500 a month, this value is seen as too low to be categorised as high-income as the cost of living is high, especially in Kuala Lumpur and Selangor. There are still a number of people who need more attention due to low income and circumstances not being in their favour. Therefore, the development of

an inclusive approach that will expand the ability of Malaysians to participate in and benefit from economic activity is needed.

It is important to promote financial education to young employees, as this initiative will provide the necessary knowledge, skills and tools for them to make informed decisions with confidence. Apart from that, this initiative may highlight the importance of financial literacy as living skills for young employees to educate them on how to develop and maintain healthy financial behaviour and habits for financial well-being. FOMCA, for instance, is one of the national non-governmental organisations (NGO) that can help to deliver financial education to young employees. Efforts to provide quality financial literacy to Malaysians can help to improve consumers' understanding of their financial well-being so that they can establish and achieve personal financial goals and build financial security.

Young employees who are in a moderate level of financial strain may have the tendency to fall into low or high level of financial strain if they do not overcome the problems that they face. These problems will not only affect their personal finances but may also affect their job productivity, as they will not be able to focus on their work. Due to this, employers may take the initiative to introduce financial counselling and education in the workplace. In fact, financial counselling and education for employees makes good financial sense for employers as well. This is because employees' financial

problems affect their job productivity and employers have to bear the cost of reduced productivity, absenteeism, rising health care costs or tardiness. As such, employer-sponsored workplace financial counselling and education can become a strong investment for the future. Good financial wellness programmes such as group seminars on appropriate financial topics or in-person programmes between employees and financial counsellors may help employees. Reduced financial strain may help employees to be more focussed at the workplace, thus benefiting employers.

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Emotional Intelligence – Universal or Culture Specific? An Analysis with Reference to the Indian Philosophical Text, the Bhagavad-Gita.

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ABSTRACT

Emotional Intelligence, perhaps one of the most popular and extensively researched constructs of the twentieth century does not need any introduction. Its importance and relevance in various fields has been scientifically researched and asserted. Yet, the cross-cultural relevance of the concept still remains an unexplored area. Emotions being predominantly culture specific, the applicability of the various tests proposed by the theorists across cultures raises pertinent questions. This paper, though does not go into the empirical study, rather restricts itself to a qualitative analysis of the ‘ability model’ proposed by Mayer and Salovey against the background of Indian culture through the Bhagavad-Gita. Also, it does not take the entire text of the Bhagavad-Gita, as it is beyond the scope and limit of this paper to do so. It draws attention to a few slokas in the text which throws open fresh prospects of research and an understanding of Emotional Intelligence in the east, specifically, India. It draws attention to the similarities and the contrasts between an emotionally intelligent person as surmised by Mayer and Salovey, and the ‘Sthithapragnya’ as described by Lord Krishna in the Bhagavad-Gita.

Keywords: Emotional intelligence; cross-cultural; Bhagavad-Gita; Sthithapragnya; ability model

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INTRODUCTION

Emotional intelligence (EI), perhaps one of the most popular and the most researched psychological constructs of the 21st century (Ashkanasy, 2003;), emphasises the role of the emotions in an individual’s success or failure in the workplace and in life. Popularised by Goleman (1995),

the concept of EI has inspired applied research in every field, be it management, academics, life sciences or psychology. Though there are many definitions and constructs that classify the skills pertaining to emotional intelligence, three models have been recognised as widely used and accepted (Sharma *et. al.* (2009; Spielberger, 2004), namely:

- Mayer and Salovey's 'Ability Model'
- Goleman's 'Competency model' and
- Bar-On's 'Trait model'.

One of the definitions of EI is, it is "... the ability to perceive accurately, appraise, and express emotion; the ability to access and/or generate feelings when they facilitate thought; the ability to understand emotion and emotional knowledge; and the ability to regulate emotions to promote emotional and intellectual growth" (Mayer & Salovey, 1997).

Mayer and Salovey's four-branch model of EI focused on emotional perception, emotional assimilation, understanding and management (Mayer, Salovey, & Caruso, 2004). The skills are assessed by the 'Multifactor Emotional Intelligence Scale' (MEIS). To date, this is the only model that takes on a purely cognitive approach. Goleman (1998) on the other hand pointed to emotional self-awareness, self-control, empathy, problem solving, conflict management, leadership etc. as the characteristics of an emotionally intelligent person. In contrast, Reuven Bar-On (2002) agreed that it referred to the qualities of emotional self-awareness, self-actualisation, interpersonal relationship,

reality testing, stress tolerance, optimism, happiness etc. as these decide the emotional intelligence of a person. The mixed ability model proposed by Reuven Bar-On emphasises how personality traits influence a person's general wellbeing while Goleman's model focuses on workplace success (Stys & Brown, 2004). Goleman's model is measured by the Emotional Competency Inventory (ECI) (Boyatzis *et. al.*, 2000) and Bar-On's model is assessed using the Emotional Quotient Inventory (EQ-i) (1997). As a fresh concept with only 20 years of history, the theoretical models have not concentrated much on the cross-cultural aspect of emotions (Sharma *et. al.*, 2009). Culture plays a significant role in deciding a person's response to any given situation and it is recognised that basic psychological processes depend on socio-cultural practices and meanings (Triandis, 2000). Culture has a crucial role to play in understanding and expressing emotions (Matsumoto *et. al.*, 2002; 2008). Broadly speaking, culture can be categorised as either collectivist or individualist (Srivastava *et. al.*, 2008). In a collectivist culture, individuals see themselves as interdependent with their groups (family, friends, society, tribe, country etc.), whereas in an individualist culture, people are independent and give more importance to personal goals and personal needs. Asian countries generally fall under the collectivist culture while North America, Australia and New Zealand, to name a few, are categorised under individualist culture. Explicit expression of strong feelings like

anger, love, frustration etc. are considered uncouth and are restrained in public in collectivistic cultures, but the same is considered essential in individualistic cultures. In other words, individualist cultures give more importance to self-interest, whereas collectivist cultures put group interest first. 'Self' is the key word, and it is inseparable from emotional intelligence (Gangopadhyay & Mandal, 2008). The word 'Self' has potentially different meanings for people of different cultures and thus, plays a crucial role in understanding and applying emotional intelligence across cultures. As this paper focuses particularly on Indian culture, the following section will briefly discuss the concept of 'Self' as understood in India compared with Western belief.

EMOTIONAL INTELLIGENCE IN THE INDIAN CULTURAL CONTEXT

Emotional intelligence is a concept that is not new to the Indian reader. Though there is hardly any serious research on EI from the Indian perspective (Sharma, 2012), anyone who has read ancient Indian literature will be aware that EI is embedded in every text. Indian philosophical tradition stresses on the powerful nature of emotions, which have to be harnessed for a harmonious life. References to the description and functions of the human mind can be found in the Rig Veda, Yajur Veda and the texts of Ayurveda. Patanjali, who is considered to be the 'Father of Indian Psychology', did a systematic, thorough research on the mysteries of the human mind, thousands

of years ahead of Western studies (Tattwamayananda, 1994). Though Indian philosophy has a religious strain which focuses or guides an individual in turning his mind to the Supreme Being, a careful study will reveal the fact that it is perfectly attuned to the down-to-earth needs of the present world as well (Engardio & McGregor, 2006). Hinduism is more a way of life than a religion and combines in it the fundamental principles of social, political and economic life.

The Concept of 'Self' in Western and Indian Philosophy

Before venturing further, a peek into the ideals of Indian philosophy, and a brief discussion of the understanding of the 'Self' as a Western concept and in Indian philosophy would be helpful to better appreciate this paper. Indian philosophy rests on three fundamental beliefs (Dasgupta, 1991) i.e. 'Karma', 'Atma' or the 'Soul' that is undestroyable and 'Mukti' or 'Salvation'. The theory of 'Karma' emphasises the responsibility of an individual in deciding his happiness and sorrow through his actions. Actions have the power of ordaining one's destiny, good or bad. It is also believed that the power of an individual's actions follows him through many births until he has experienced his due share of happiness and sorrow. Thus, the individual is impressed upon by society to choose a lifestyle that nurtures harmony and peace within himself. The second belief is that of the 'Atma' or the 'Soul' which takes on and discards many

bodies through the cycle of rebirths before it attains a state of bliss, merging with the Supreme Power in eternity. This merging of the 'Atma' with the Supreme Power is considered 'Mukti' or 'Salvation', towards which every individual trains his life. Since the individual's actions lead him or her through many births, he is taught to refrain from those emotions and desires that lead him to actions that in turn bind him. The 'Atma' or the 'Soul' is identified as the real 'Self' as opposed to the biological self in Indian philosophy. Krishna, in the Bhagavad-Gita describes this 'Self' as,

*Na jayate mriyate va kadacinnayam
bhutva bhavita van a bhuyah*

*Ajo nityah sasvato'yam purano na
hanyate hanyaamane sarire (In
Sanskrit)*

*This is never born, nor does it die. It
is not that, not having been, It again
comes into being. This is unborn,
eternal, changeless, ever-Itself. It is not
killed when the body is killed. (Swami
Swarupananda, 1996)*

(Bhagavad- Gita, Ch. II, Sloka 20)

The 'Self' takes as many rebirths as needed to negate the accumulated 'Karma' before merging with the Supreme Being in eternal peace and happiness. Thus, as an individual identifies the pain and misery of this materialistic world, he turns his contemplation into himself, seeking to understand his 'Self', which leads to his deliverance from suffering and misery.

The Western concept or understanding of the 'Self' has been influenced by several philosophers and psychologists

such as Descartes, Freud, Adler and Jung, among others. One can find a harmonious resonance of thought in Western ideologies, as in Indian philosophy, regarding the 'Self'. Several scholars from the West have clearly identified and differentiated between 'I' and 'Me', one being the subject and the other being the object (Spiro, 1993). To explain further, 'I' is identified as the 'self as knower' and 'Me' is the 'self as known'. To quote Erikson (1968):

*What the "I" reflects on when it sees or
contemplates the body, the personality,
and the roles to which it is attached for
life-not knowing where it was before
or will be after-are the various selves
which make up our composite Self.*

Shweder (1985) spoke about the 'I' as the 'observing ego', the "dynamic center of initiative and free will, works in concert with one's senses, reason, imagination, memory, and body." Though it can be seen that there is similarity in the Western and the Indian conception of 'Self', they do differ in perceiving or understanding this 'Self'. The Western and the Indian ideology of 'Self' converge as both see it as an entity, a homunculus within the individual's body. But the similarity ends there as different scholars and psychologists in the West try to perceive the 'Self' in different ways. Freud (1964) offered the model of 'Id', 'Ego' and the 'Super Ego' where 'Id' and 'Super Ego' stood for non-rational biological components of the individual and 'Ego' operated as the executor of his personality, the 'Self', which many theorists after Freud accepted and adhered

to. On the other hand, Horney (1950) opined that there was a 'real self' and an 'idealised self' within the individual, the 'real self' representing the unique force common to all, and the 'idealised self' being conceived out of social pressures and expectations. Similar to James (1981), Gordon Allport (1961) supported the concept of 'self as the knower' and 'self as an object'. It can be seen that the concept of 'Self' has undergone various definitions in the West as thinkers have tried to identify and understand it.

Now, to draw similarities between the Western and the Indian view (the term 'Eastern philosophy' has been avoided consciously, because the East has given rise to several other philosophies like Confucianism, Taoism, Buddhism etc., which has different ideologies and perceptions) of 'Self', the 'inner Self' or the 'Soul' is referred to with a capital 'S' to differentiate it from references to self as the physical being. It is interesting to note that even as the Western philosophers differentiated between the 'Self as the knower' and 'self as the known', the Indian philosophy also refers to them as "Kshetra" and 'Kshetragna'. 'Kshetra' is the body, the 'field' and 'Kshetragna' is the 'knower of the field' (Radhakrishnan, 2011). But the similarity ends there as the Western philosophical, anthropological or the psychological discussions on the 'Self' fail to define it in clear terms and it is often confused with the "... person, individual, personality, self-representation,..." and is

identified alike with the biological self by some and the transcendental self, the 'Soul', by some others (Spiro, 1993). There is no concrete demarcation or differentiation between the two, whereas Indian philosophy draws a clear line between the 'Kshetra' and the 'Kshetragna'. Krishna, in the thirteenth chapter of the Bhagavad-Gita, in slokas 5-11, defines the 'Kshetra' and in slokas 13-17 defines 'Kshetragna'. For instance, he says that 'Kshetra' is,

*mahabhutanyahankaro buddhiravyakta
meva ca
indriyani dasaikam ca panca
cendriyagocarah (In Sanskrit)*

*The five elements, the ego, the intellect,
the Unmanifest (Primordial Matter),
the ten organs (of perception and
action), the mind, the five objects of
sense (sound, touch, colour, taste and
smell) (Goyandka, 1996)*

(Bhagavad-Gita, Ch. XIII, Sloka, 5)

and 'Kshetragna' is,

*sarvatah panipadam tatsarvato'
ksisiromukham
sarvatah srutimalloke sarvamavrya
tisthati (In Sanskrit)*

*It has hands and feet on all sides, eyes,
head and mouth in all directions, and
ears all round; for it stands pervading
all in the universe.*

*sarvendriyagunabhasam sarvendriya
vivarjitam
asaktam sarvabhrccaiva nirgunam
gunabhoktr ca (In Sanskrit)*

Though perceiving all sense-objects It [sic] is, really speaking, devoid of all senses. Nay, though unattached, it is the sustainer of all nonetheless; and though attributeless, it is the quality enjoyer of qualities (the three modes of Prakriti).

*bahirantsca bhutanamacaram carameva
ca
siksmatvattadavijneyam durastham
cantike ca tat (In sanskrit)*

It exists without and within all beings, and constitutes the animate and inanimate creation as well. And by reason of its subtlety, It is incomprehensible; it is close at hand and stands afar too. (Goyandka, 1996)

(Bhagavad-Gita, Ch. XIII. Slokas 13, 14, 15)

The Indian philosophy speaks of the 'Self' as 'Brahman', the all-pervading force that is present in every individual, which has neither a beginning nor an end. As the Western world tries to comprehend the two different entities separately, Indian philosophy points out to the need to unite and converge the 'self as knower' and the 'self as known'. It speaks about the illusion of the individual in looking at them as two different entities. The 'Self as the Knower', the 'Brahman', is the real and the only one, a realisation of which leads to deliverance (Ho, 1995). "Man, the subject, should gain mastery over man, the object." (Radhakrishnan, 2011). This is the essence of Indian philosophy, gaining mastery over 'Self', which

delivers the individual from pain and suffering and reinstates him in eternal bliss.

Coming back to the focus of this paper, the 'Self', which the theorists of emotional intelligence refer to, is without doubt the 'self as the known', that which is identified by society as the socio-biological individual. Thus, when Mayer and Salovey speak about self-realisation, they are speaking about the 'self' in relation to the external world, that which is influenced by the external forces and not the 'inner self', the 'Self as the Knower'. On the other hand, the Bhagavad-Gita emphasises introspection, a journey towards understanding 'the inner Self', the 'Kshetragna', which helps an individual attain eternal bliss. Having clarified that, the natural question that arises is how an Indian philosophical text such as the Bhagavad-Gita can be used to understand emotional intelligence, or how any parallels can be drawn between the ideologies of the two.

My argument is that as an individual seeks to understand his 'inner Self', his clarity and wisdom in comprehending and understanding the external world becomes a natural outcome. As he realises himself, he also realises that those around him are of similar nature, and that they go through similar trials, and in understanding his own responses and reactions, opens up to the experiences of others as well. He will be able to empathise with them better as he identifies himself with them. As Mulla and Krishnan (2012) point out, when an individual becomes aware of the

‘Self’, which is divine in nature and is present in everyone, there is a “sense of connectedness with all beings.” It enables him to rise above petty differences of status and “creates a sense of oneness and or relatedness with others.” Further, a person who is Self-realised creates an atmosphere of peace and calm that is contagious, and eventually people around him experience the same tranquility. An incident quoted by Kavita Singh (2010) in her paper about the experience of James Dozier, a U.S Army General Brigadier who was kidnapped by a terrorist group illustrates this. Bringing to memory that emotions are contagious, he decided to keep calm although it was a difficult task, and was surprised to find that the kidnappers actually ‘caught’ the calmness he projected, and this literally saved his life.

I do not know if this can be proved empirically, as such experiences are personal and are based on trust and faith. But that is the basis of Indian philosophy, which emphasises realisation through self-experience. Each person has to search and experience the truth for himself. Recognising this characteristic of the Indian mind further helps in applying the concept of emotional intelligence in the Indian context. At present, this paper limits itself to comparing the modern theory of emotional intelligence as proposed by Salovey and Mayer, with the idea of emotional stability as expressed in the Bhagavad-Gita (a part of the great Indian epic ‘Mahabharata’), a text which has influenced people across cultures (Algeo,

2000). It mainly focuses on a few slokas from the second chapter of the Bhagavad-Gita, as it is beyond the scope of this paper to discuss all the 18 chapters.

Research in the generalisability of emotional intelligence constructs across cultures has been undertaken in recent years (Rajendran *et al.*, 2007). In the Indian subcontinent too, studies abound in adopting the concept of emotional intelligence in organisational set-ups (Narayanan & Krishnan, 2003; Punia, 2004; Singh, 2007; Ghosh, 2007; Imtiaz & Ahmed, 2009; Muniappan & Satpathy, 2010; Bamel *et al.*, 2011). This paper in particular was inspired by studies by Mulla and Krishnan (2007; 2008; 2011; 2012), who have examined the concept of ‘Karma Yoga’ as in the Bhagavad-Gita as complementary to emotional intelligence. This led to the search for similarities between the concept of emotional intelligence and emotional stability (Sthithapragnya), resulting in identifying the slokas that convey similar thoughts. But this is just the tip of the iceberg, with further studies in the same area to bring out a construct of emotional intelligence that would be universally applicable. It is my humble belief that the ‘Karma Yoga’ proposed by Lord Krishna is a universally applicable concept, which can be embraced and understood by people of all cultures. This paper is the first of a series which strives to identify a construct for EI based on ‘Nishkama Karma’ that can be applied to all cultures. Though it sounds eccentric, in a global set-up where individuals from

all over the world meet and work, or study in a particular organisation, when the need arises to judge their emotional competence, there needs to be a single construct that is valid and applicable cross culturally. Thus, this paper sets the ball rolling in identifying a unique, cross-culturally valid construct of EI through ‘Nishkama Karma’.

OBJECTIVE OF THIS STUDY

The objective of this study is to draw attention to the similarities and differences between an emotionally intelligent person as defined by the ‘ability model’ and a ‘Sthithapragnya’ as defined by Lord Krishna in the Bhagavad-Gita.

The Bhagavad-Gita

The Bhagavad-Gita (The Divine Song), considered to be the fifth Veda, is Lord Krishna’s moral guidance to Arjuna on the battlefield. It is considered to be the essence of the four Vedas (Rig, Yajur, Sama and Atharva) (Easwaran, 1985; Robinson, 2005). The Vedas are Hindu religious texts that include hymns, incantations, religious rituals and sacrificial rites (Goodall, 1996). The Bhagavad-Gita gives the core message of the Vedas in a pragmatic way, thus being a more practical document than the Vedas (Jeste & Vahia, 2008).

An illustration from Milton’s ‘Paradise Lost’ will help here.

“... Horror and doubt distract

His troubled thoughts, and from the bottom stir

The hell within him; for within him Hell

He brings, and round about him, nor from Hell

One step, no more than from Himself, can fly

By change of place....”

(Paradise Lost, Book IV, Lines 18-23)

As Satan flies out of hell to avenge himself, one wonders how he could fly away from hell. When God had banished him from heaven, how could he have come back? But does Satan escape Hell? Milton explains Satan’s curse beautifully – “The Hell within him; for within him Hell...” The real hell is within him, in his mind, his thoughts. Where can he fly away to, away from himself? Unless the change, the repentance comes from within, there is no escape. As Milton subtly points out to the power of mind over body, Krishna in Bhagavad-Gita shares about this same power. The background to the Bhagavad-Gita is the Kurukshetra war where Arjuna must fight his first cousins. Arjuna, the warrior nonpareil, loses his nerve and refuses to fight. His mind is a cauldron of emotions gripped with the moral dilemma of to do or not to do. Even as Arjuna struggles to accept the fact that he has to fight his own kin, his guru and his childhood friend, Krishna, admonishes him for his lack of mental strength and points out the supremacy of people who have absolute control over their mind, who are focused on their duty and are unperturbed by either pain or pleasure.

*yam hi na vyathayanthyethe purusham
purusharshabha*

samadhukha sukham dheeram

somruthathvaya kalpathe (In Sanskrit)

That calm man who is the same in pain and pleasure, whom these cannot disturb, alone is able, O great amongst men, to attain to immortality. (Swami Swarupananda, 1996).

(Bhagavad-Gita, Ch. II, Sloka 15)

Following this is an active, spontaneous conversation between Krishna and Arjuna, which throws light on the supremacy of knowledge, bhakthi (devotion) and selfless action. Krishna simplifies the philosophy of life as it can be understood and practised by even laymen who do not have any formal education.

Emotional Intelligence and the Bhagavad-Gita

The Mahabharata is the epic saga of conflict between the Kauravas and the Pandavas. It is a text that can be understood and interpreted at different levels. On the superficial level, it is about the clash for power. But, on a higher plane, it is about the war between 'Dharma' and 'Adharma', right and wrong. The opening verse of the Bhagavad-Gita begins as 'Dharmakshetre Kurukshetre': Dharmakshetre', where 'Dharma' was established and 'Kurukshetre', where the 'Kurus' fought. 'Kshetra', meaning 'field', can be understood at two levels: the physical topographical place where the war takes place and the 'mind' of every human being. The war at Kurukshetra can

be taken as symbolic of the struggle that every individual faces in varying degrees at various stages of his life.

The Pandavas having been stripped of their wealth and kingdom through guile and deceit are left with no option but to fight their own brothers and grandsire. The Pandava army rests its hopes on the valour of worthy Arjuna, whose military skills have no match. The war is about to begin and Arjuna asks Krishna (his divine charioteer) to take the chariot to a place from where he can see all those assembled against him in war. As he sees his gurus, Drona and Kripa, his beloved grandsire, Bhishma, and his brothers, the Kauravas, he falters and is gripped with misery. He refuses to fight, saying he does not see any gain or happiness in the kingdom he gains by killing his own brothers. The Kurukshetra war is thus synonymous with the complex circumstances the individual faces in life. The fear, anxiety, misgiving and desperation of the individual is symbolised by Arjuna's predicament. As Arjuna battles with his emotional turmoil, the reader gets an insight into an emotionally disturbed person's struggle for clarity of thought and action. Krishna's guidance to Arjuna gives a practical solution to emerge out of this struggle unscathed.

One can see striking similarities between Krishna's emotionally stable person (Sthithapragnya) and Mayer and Salovey's emotionally intelligent person. Mayer and Salovey's 'ability model' (2004) identifies four stages through which a person becomes emotionally intelligent:

- Emotional perception
- Emotional assimilation
- Emotional understanding, and
- Emotional management

The first step, emotional perception, is the ability to be self-aware of emotions and to express them accurately. When a person is aware of the emotions he is experiencing, he moves on to the next level i.e. emotional assimilation, which is to distinguish between the different emotions he is experiencing and also to identify those emotions that affect his thought process. This ability leads him to emotional understanding, the ability to understand complex emotions and also to recognise the transition from one emotion to another. With emotional understanding comes emotional management as he becomes adept at managing his emotions by connecting to or disconnecting from any emotion at any given situation. This gives him complete control over his impulses and he is thus able to think, analyse and behave rationally in any situation. The first two stages are when a person identifies and becomes aware of his own and others' emotions and the awareness leading to a better judgment of the situation he is in and its consequences. Though the Bhagavad-Gita does not speak of this fundamental requirement of emotional intelligence, it stresses on the effectiveness of being able to control and manage emotions; these are the third and fourth stages. Arjuna has already satisfied the preconditions as he is aware of his emotional turmoil and clearly spells out his predicament to Krishna. He

perfectly understands his misgivings and seeks Krishna's help to overcome them. The slokas (verses) 4 to 8 of the second chapter of the Bhagavad-Gita portray the anguish of Arjuna in his own words:

*karpnyadosopahatasvabhavah
prechami tvam dharmasammudhacetah
yacchreyah syanniscitam bruhi tanme
sisyate ham sadhi mam tvam
prapannam (In Sanskrit)*

*With my nature overpowered by
weak commiseration, with a mind in
confusion about duty, I supplicate
Thee. Say decidedly what is good for
me. I am Thy disciple. Instruct me who
have taken refuge in Thee. (Swami
Swarupananda, 1996)*

*na hi prapasyami mamapanudyadyacc
hokamucchosanamindriyanam
avapya bhumavasapatnamrddham
rajyam suranamapi cadhipatyam
(In Sanskrit)*

*I do not see anything to remove
this sorrow which blasts my senses,
even were I to obtain unrivalled and
flourishing dominion over the earth,
and mastery over the gods. (Swami
Swarupananda, 1996)*

(Bhagavad-Gita, Ch. II. Slokas 7, 8)

We clearly see that Arjuna has what we may call the qualifying qualities of an emotionally intelligent person i.e. emotional perception and assimilation. The precise words chosen by him effectively convey his state of mind. He says that his nature is overpowered by 'weak commiseration'. He

commiserates with himself for being in a place where he has to fight people who are dear to him. He feels pity for his cousins, who have brought their entire clan to this sorrowful state. But he also realises that this commiseration is a weak one, one that weakens and confuses him against doing or even deciding on what his duty is, and thus supplicates to Krishna to guide him, advise him on the right course of action. It is in response to this that Krishna discusses at length the need for emotional management. It is interesting to note at this juncture that Krishna does not merely stress on effective emotional management but first spells out the reasons that lead to emotional disturbances and then moves on to the ways of dealing with them. Krishna offers a systematic analysis of the problem at hand and a solution as well. Thus Krishna's advice becomes more practical. The course of action that he advises Arjuna is one that can be followed by anyone at any place. The guidance is universal in nature and holds meaning even to present-day life.

Tracing the root cause of all emotional turmoil, Krishna identifies desire and anger as the two vices that lead an individual to his downfall.

*dhyayato visayanpumsah sangastesupa
jayate
sangatsanjayate kamah kamatkrodho'
bhijayate (In Sanskrit)*

*Thinking of objects, attachment to them
is formed in a man. From attachment
longing, and from longing anger
grows.*

*krodhadbhavati sammohah sammohatsm
rtivibhtamah
smrtibhramsadbuddhinaso buddhinasat
pranasyati (in Sanskrit)*

*From anger comes delusion, and
from delusion loss of memory. From
loss of memory comes the ruin of
discrimination, and from the ruin of
discrimination, he perishes. (Swami
Swarupananda, 1996).*

(Bhagavad-Gita, Ch. II, Slokas 62, 63)

It is the strong desire for and attachment to worldly objects that drives an individual to his downfall. Desire when not satisfied leads to anger, which in turn leads to delusion. This further destroys the ability to discriminate, which leads to complete ruin. Examples of those who fell to disgrace because of their desire, abound: Macbeth, Dr. Faustus, Satan and Icarus, to name a few. Macbeth, a brave warrior charts his own doom as he is swayed by the desire of becoming the King. He has no compunction in murdering the unsuspecting King who visits his castle. Though he does ascend the throne it is one wrought with guilt and misgivings, and at the end Macbeth is actually happy to die in the battlefield. He feels relieved that he is delivered from a life of guilt. Dr. Faustus' blunder is no less as he willingly sells his soul to the devil for name and fame. The terrible consequence of his act is not realised by him until the end. When realisation dawns, it is too late. Satan falls to eternal doom as he is overcome by the desire to become God. Icarus' fall (literal and metaphorical)

is because of his desire to reach greater heights than he is actually capable of. Indian literature equally focuses on the great heroes who fell to disgrace because of their attachment and desire that lead to ruinous anger. To take an example from the great epic 'Ramayana', Ravana the demon king was a great scholar and a great devotee of Lord Shiva. He was well versed in the Vedas and was also a great astrologer. His expertise in statecraft was recognised even by his opponents, and Lord Rama instructs his brother Lakshmana to learn the art of statecraft from the dying emperor after the war. How could such an erudite, scholarly, wise emperor fail to defeat a motley army of monkeys? It was his lust and desire for Sita, Rama's wife, that leads him to his ruin. His desire blinded his wisdom. He lost his power of discrimination. He failed to realise that abducting another man's wife against her wishes was a great sin which would eventually destroy him and his kingdom. His power of reasoning vanishes as he is gripped with desire and lust. Thus, it becomes evident that desire leads a man to his ruin however great he might be. The lessons that can be taken from the life of these one-time heroes stress the need for overcoming desire, lust and anger. The Bhagavad-Gita thus moves a step forward in the theory of EI and outlines what leads to loss of discrimination, and cautions the individual.

The Bhagavad-Gita refers to the emotionally intelligent person as a 'Sthithapragnya' (the emotionally stable person). As Arjuna asks Krishna who a

sthithapragnya is, Krishna describes the nature and qualities of a sthithapragnya in detail.

*sthitaprajnasya ka bhasa
samadhisthaya kesava
sthitadhih kim prabhaseta kimasita
vrajeta kim (In Sanskrit)*

What, O Kesava, is the description of a man of steady wisdom, merged in Samadhi? How (on the other hand) does the man of steady wisdom speak, how sit, how walk?

(Swami Swarupananda, 1996).

(Bhagavad-Gita, Ch. II, Sloka 54)

Krishna answers him in twenty one slokas (55 – 72) discussing in detail the qualities of an emotionally stable person.

*duhkhesvanudvignamanah sukhesa
vigatasprahah
vitaragabhayakrodhah sthithadhirmani
rucyate (In Sanskrit)*

He whose mind is not shaken by adversity, who does not hanker after happiness, who has become free from affection, fear, and wrath, is indeed the Muni of steady wisdom.

*yah sarvatranabhisnehastattatprapya
subhasubham
nabhinandati na dvesti tasya prajna
pratisthita (In Sanskrit)*

He who is everywhere unattached, not pleased at receiving good, nor vexed at evil, his wisdom is fixed.

*yada samharate cayam kurmo 'nganiva
sarvasah*

indriyanindriyarthebhyastasya prajna pratiathita (In Sanskrit)

When also, like the tortoise drawing its limbs, he can completely withdraw the senses from their objects, then his wisdom becomes steady. (Swami Swarupananda, 1996).

(Bhagavad-Gita, Ch. II, Slokas 56, 57 & 58.)

A sthithapragnya, according to Krishna, is one who remains unperturbed in the face of calamity, and takes good or evil with equanimity. He is neither happy when something good happens, nor is he affected when things go against him. This does not mean that he lacks sensitivity. He has the ability to keep his emotions in check and the skill of withdrawing his feelings away from the object of pleasure or pain. Even as a tortoise withdraws its head and legs inside the protective cover of its shell when it faces danger, so does an emotionally stable person withdraw all his emotions and feelings within himself and remains unperturbed. He has the power to emotionally attach or detach from any situation, at his will. This is not far from what Mayer and Salovey list as the skills pertaining to the fourth branch of their 'ability model' (Salovey, Mayer, & Caruso, 2002).

- Ability to be open to feelings, both pleasant and unpleasant
- Ability to monitor and reflect on emotions
- Ability to engage, prolong or detach from an emotional state

- Ability to manage emotions in oneself, and the

- Ability to manage emotions in others

The difference between Krishna and the proponents of the theory of EI is that Krishna takes a more comprehensive view of the problem. He studies the cause, discusses the effect and also offers the means of encountering the problem successfully. Having identified the cause of all emotional distress, he identifies the qualities of an emotionally stable person and completes the circle by advocating the medicine for the ailment.

To achieve emotional stability, Krishna shows the path of 'Nishkama Karma': action with detachment to the outcome or result of the action. As seen earlier, emotional instability stems from attachment to and a longing for the desired object. So Krishna's advice is to detach oneself from the fruits of one's action.

*karmanyevadhikaraste ma phalesu kadacana
ma karmaphalaheturbhuma te sango 'stvakarmani (In Sanskrit)*

Thy right is to work only; but never to the fruits thereof. Be thou not the producer of the fruits of (thy) actions; neither let thy attachment be towards inaction.

*yogasthah kuru karmani sangam tyaktva dhananjaya
siddhyasiddhyoh samo bhutva samatvam yoga ucyate (In Sanskrit)*

Being steadfast in Yoga, o Dhananjaya, perform actions, abandoning attachment, remaining unconcerned

as regards success and failure. This evenness of mind (in regard to success and failure) is known as Yoga.

*durena hyavaram karma
buddhiyagaddhananjaya
buddhau saramanviccha krpanah
phalahetavah (In Sanskrit)*

Work (with desire) is verily far inferior to that performed with the mind undisturbed by thoughts of results. O Dhananjaya, seek refuge in this evenness of mind. Wretched are they who act for results.

*buddhiyukto jahatiha ubhe
sukrtaduskrite
tasmadyogaya yujyasva yogah
karmasu kausalam (In Sanskrit)*

Endued with this evenness of mind, one frees oneself in this life, alike from vice and virtue. Devote thyself, therefore, to this Yoga. Yoga is the dexterity of work.

*karmajam buddhiyukta hi phalam
tyaktva manisinah
janmabandhavinirmuktah padam
gacchantyanamayam (In Sanskrit)*

The wise, possessed of this evenness of mind, abandoning the fruits of their actions, freed for ever from the fetters of birth, go to that state which is beyond all evil. (Swami Swarupananda, 1996)

(Bhagavad-Gita, Ch. II, Slokas 47-51)

Krishna points out that action without desire, action that does not bind the doer with the outcome is the right kind of action. When an individual acts for the sake of

action because it is the right thing to do, and does not fear the result, then his mind remains unfettered. Taking the example of Arjuna himself, Arjuna was worried about fighting his cousins because he was worried about the outcome. He was upset because he found no gain or happiness in winning the war. He did not want to fight because there was no positive result for him at the end of the war. Winning he loses, losing he gains nothing. If on the other hand, Arjuna does not think or worry about what is to happen after the war, but proceeds with the fight because it is his duty as a kshatriya to fight when called upon, then there is no confusion or emotional turmoil. He does what has been expected of him, not what is convenient or productive. This ‘Nishkama Karma’ has a dual effect. It frees the doer from the emotional imbroglio of worrying about the outcome and also frees him from the responsibility of the outcome as well. It is a liberating feeling which annihilates any negative thoughts or emotions. When the mind is free from negative emotions, it calms down and a calm, tranquil mind is the fountain head of all things positive. It is with a stamp of authority that Krishna declares,

*prasade sarvaduḥkhanam
hanirasyopajayate
prasannacetaso hyasu buddhih
paryavatisthate (In Sanskrit)*

In tranquility, all sorrow is destroyed. For the intellect in him, who is tranquil minded is soon established in firmness. (Swami swarupananda, 1996).

(Bhagavad-Gita, Ch.II, Sloka 65).

This is the desired end towards which the proponents of emotional intelligence are working.

The above discussion clearly states the bright prospect of integrating emotional intelligence and emotional stability (Sthithapragnya) through 'Nishkama Karma'. Mulla and Krishnan (2007) pointed out in their research that 'Karma Yoga' and emotional intelligence are highly correlated. Several other studies have expressed belief that the 'ability model' of emotional intelligence can be effectively applied in the Indian context (Thingujam, 2002). Thus, it can be seen that parallels can be drawn between a Western concept of emotional intelligence and an Indian understanding of emotional stability. This leads us to future prospects of understanding and identifying similarities with other world cultures, which will enable a universal application of emotional intelligence.

CONCLUSION

The Bhagavad-Gita is a text that has influenced many thinkers from the East and the West alike. The lessons that can be taken from this divine exposition on the philosophy of life are boundless. Recent research has linked many concepts of management to the Bhagavad-Gita. As one commentator of the Bhagavad-Gita pointed out, it is a text that speaks of many things at different levels (Das, Sita pati). It is a 'complete' text – Purnam – as one says in Sanskrit. To quote the same pundit, "We can continue to discuss and inquire

about Bhagavadgita unlimitedly, and never find the end of its ability to produce the most profound realizations about life, the universe, and the purpose and the person behind them." This paper is but a drop in the ocean trying to find similarity of thought between the theory of EI and the Bhagavad-Gita. The prospects are innumerable for researchers to perfect the theory of emotional intelligence.

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Impact of Global and Chinese Cultural Values on Young People's Perceptions of Parenthood in Hong Kong, China

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ABSTRACT

Over the past several decades, fertility has declined almost everywhere in the world. In Hong Kong, young people's perceptions of parenthood seem to be changing rapidly in the pale of a competitive global economy. This paper addresses the views of young Chinese people in relation to parenthood in a society where East meets West. The study is a qualitative research with a cross-sectional design and a focus group approach. The aim is to explore the possible impact of global and Chinese cultural values on young people's perceptions of parenthood. Data was collected in six audiotaped focus group interviews with 40 young people aged 17 to 25. A mix of purposive and snowball sampling was used. The findings suggest that traditional cultural values such as family security and relationships, honouring of parents and elders and family loyalty are still strongly supported by many young adults. However, the sample youth was also influenced by global values such as freedom, personal goals, ambition, wealth, pleasure and a varied life. Many young people prefer to have children for reasons which seem to be linked to global values of individualism, liberalism and intrinsic rewards. Reasons of having children are less about continuing the family line but more as a means to maintain the marriage. There is also a trend of delayed parenthood. Some young people do not consider having children due to such reasons as personal development and structural factors as prolonged continuing education, long working hours, cross-border work and low salary. The insights from this study inform service providers, policy makers and interested parties who together can jointly map out appropriate youth and family interventions to assist young people in their transition to young adulthood.

Keywords: Chinese cultural value, global culture, parenthood, young people

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INTRODUCTION

We live in a global network today where information disseminates quickly and in unprecedented volumes. Some worry that the emergence of a global culture may weaken the strength of local customs and tradition. Globalisation may be a form of inevitable colonisation of world cultures in which the values, styles and outlooks of the western world are being spread aggressively to the extent that they smother local and national cultures (Falk, 1999). Non-Western countries tend to be influenced by the global culture in form of individualism, consumerism, keen competition and efficiency with the emphasis upon the new, the modern, the scientific and result-orientated (Pilkington & Johnson, 2003). Another view holds that some local cultural elements such as beliefs and values regarding social relationships and morality might resist global influence and would remain beyond the penetrative impact of globalisation. Inglehart and Baker (2000) note that multinational survey data indicate that while economic development is followed by increased global influence of values emphasising scientific rationality, individualism and secularism, local traditions that define personhood and sociality such as religion and cultural beliefs (e.g. Confucianism) can be relatively resistant to the effects of globalisation. Likewise, some scholars (Yoon, 2003; Santana, 2003) consider that input of global goods and services in East Asian countries can reinforce and reinvent traditional moral values in local communities rather than eclipse local culture.

GLOBAL CULTURE

Bond and King conducted a survey (1985) to understand Hong Kong Chinese people's responses to global culture. The survey found that about half of them indicated that they would try to preserve their Chinese identity by holding on to basic Chinese moral values such as filial piety and respect for those in legitimate authority. Hence, what we may be witnessing is not all pervasive global culture but rather, the varied fragmentation of cultural forms (Baudrillard, 1988). There is something of an adaptation process in which parts of the global culture impart their characteristics through incorporation within local culture. Old cultures of the past are changing, maintaining some of their old ways, but evolving to adapt to the technological challenges (Toffler, 1999; Leeder, 2004).

When discussing the impact of global value on parenthood, White (2003) examined the declining birth rates in Australia, as well as in many other Western industrialised countries. The decline in birth-rates is linked to young people's perception of global value of individualism expressed through prioritised personal career and financial goals and the need to establish a consolidated sense of self prior to partnering and parenting.

CHINESE CULTURAL VALUE

Apart from exploring the impact of global value on youth perception on parenthood, the paper also attempts to examine the influence of localised traditional Chinese values on young people. Hong Kong lies in

the far south of China. To grasp something of the local culture it is important to appreciate Chinese cultural values. Any discussion of Chinese social relationships soon encounters the term 'Confucianism', which is often used as a synonym for traditional Chinese culture (Ho, 1996; Stockman, 2000; Chow, 2001; Kwan *et al.*, 2003). China has often been seen as a peculiarly familial society and Confucian social theory places special emphasis on family relationships as the core of a stable and harmonious society (Baker, 1979; Lew, 1998). Marriage is considered to be a family rather than an individual matter. As for parenthood, to Confucians, offspring represent perpetuity of lineage and the ancestors' lives are consequently perceived to be immortal. Through reproduction, one not only passes along one's family name, but also one's blood, and hence life, to later generations. Therefore, anyone who severs the flow of continuity would be condemned as having committed the gravest sin, that of being unfilial (Ng, 2007). Thus, looking after one's children becomes a form of repayment to one's parents. In China, children were not cherished as individuals whose destiny was to fulfil their own unique potential, but were valued because they, and especially if they were sons, would produce sons, carry on the family name and provide for their parents in their old age and after death (Eastman, 1988).

However, these values have undergone substantial modification with industrialisation. The economic independence and formation of nuclear

families has affected how the new generation perceives and performs filial piety and childbearing. In addition, the functions of the family are diminishing in modern society. The family no longer functions as the provider of education, health care and moral and vocational training for its members. These functions have now largely been taken over by government and other institutions. Modern education tends to produce a generation which values achievement, independent thinking and behaviour and the making of decisions based on rational grounds. Increasing female participation in the labour market and the rise of women in the socioeconomic status has changed the traditional role of women both in family and in society (Aerts, 1993; Skolnick, 1993). Consequently, the new generation has substantially modified or changed how they perceive and perform Confucian values. Research has indicated that traditional values such as filial piety is on the decline or under transformation (Ng, 1991; Ho, 1996; Chow, 2001; Kwan *et al.*, 2003), which may be contingent and stem from a socio-economic structure and related attitudes and values (Lam, 2006).

PARENTHOOD

Over the past several decades, fertility has declined almost everywhere in the world. The decline in the fertility rate suggests that young adults in a time of global transition may have changed compared to the way earlier generations placed a value on parenthood. On parenthood, Ruddick

(1999) points out three broad concepts: First, parents tend to care for their children. Caring for children involves various activities such as attending to them, feeding them and protecting them. Second, parents raise their children and lastly, parents make and maintain a family. Family formation aspirations were found to be linked to experience in the family of origin, perceptions of work and gender (White, 2003). O’Laughlin and Anderson (2001) indicate that parents and those intending to have children agreed more strongly with intrinsic motivations and also endorsed more benefits for having children than did the unsure group. Taylor *et al.* (2007) found that children may be perceived as less central to marriage, but they are as important as ever to their parents. Plotnick (2007) found that adolescents with higher opportunity costs, as indicated by better grades and higher expectations for their schooling, expect and desire to marry and have children at older ages.

In Hong Kong, in past decades economic development was coupled by population growth. But now there is a downward trend. As a result of low fertility, the average household size was only 2.9 persons in 2012, declining from 3.7 persons in 1986 (Census and Statistics Department 2013(a)). The total fertility rate per woman was 1.285 in 2012 compared with 3 in the 1970s (Census and Statistics Department 2013(b)). In a study on family attitudes and values in Hong Kong, Chow and Lum (2008) found that family values and attitudes in Hong Kong have become

more heterogeneous over the last three decades. While the general public remained relatively traditional, they were becoming more receptive, both for themselves and for others, towards divorce, remarriage, cohabitation, pre-marital sex, childlessness and a less traditional gender role.

AIM OF STUDY

In the past decade or so in Hong Kong, there have been little empirical data and studies on parenthood (Hong Kong Federation of Youth Groups, 2005; Chow & Lum, 2008; Yip *et al.*, 2011). There are even fewer studies on youth perceptions of parenthood in a context of global and local influences in late modernity. This study helps by filling the gap the study is trying to address. Hence, this paper presents new data and analysis in the way today’s Hong Kong young adults perceive parenthood and manage their life transitions. The paper also presents an outline of major themes that may be of relevance to educators, social service providers and policy makers who together can jointly map out appropriate youth and family interventions to assist young people in their transition to young adulthood. As such, the study examines two research questions: First, what are the local or global values which may influence youth’s perceptions of parenthood? Second, what are the needs and problems that young people may encounter in respect of parenthood?

To conclude, the aim of this study was to explore the perceptions of Hong Kong Chinese young people on parenthood

in a context of global and local culture encounter with regard to parenthood. The influences in late modernity. The study following diagram shows the conceptual also sought to identify possible needs framework of the study: and problems that young people might

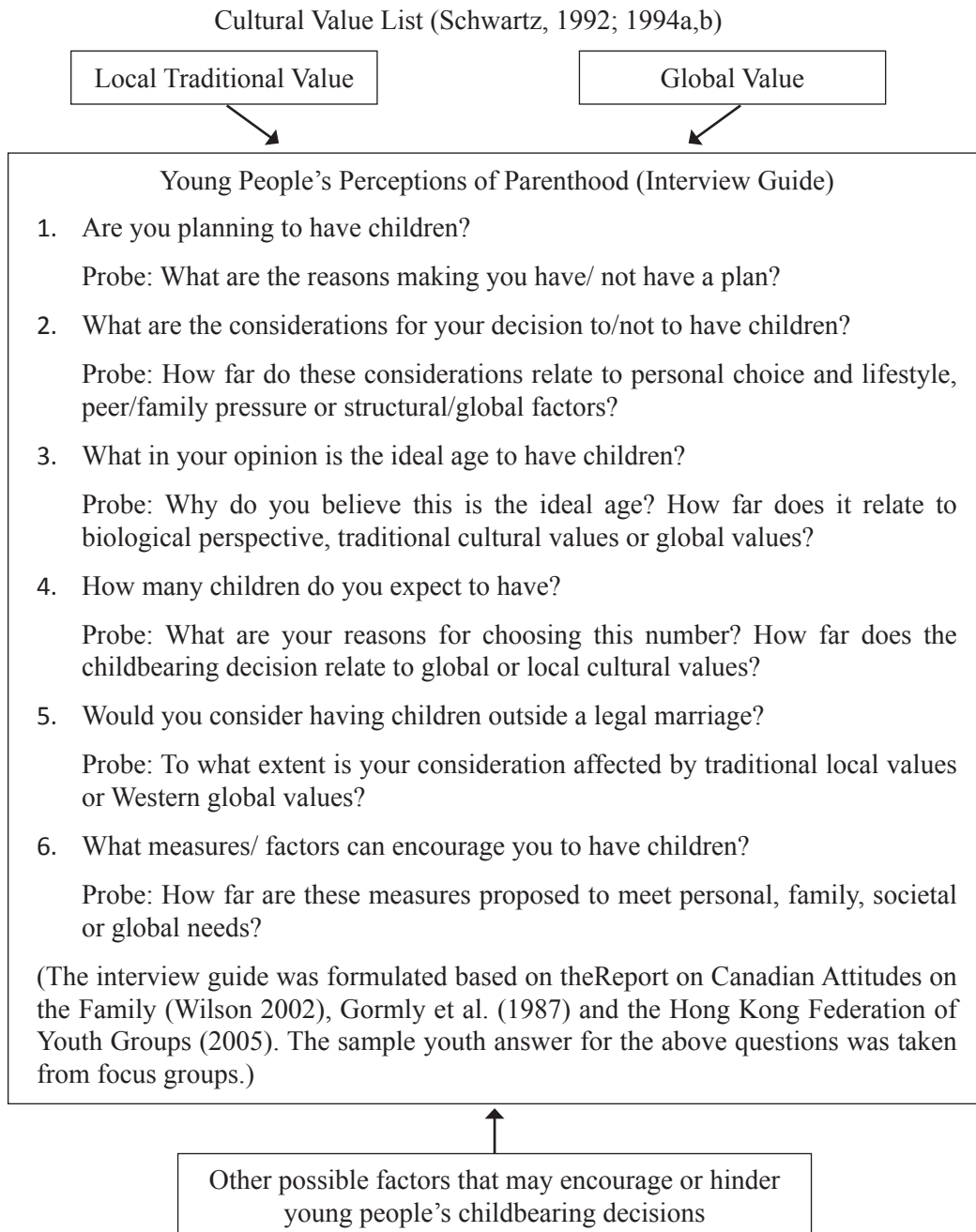


Diagram 1: Conceptual Framework

METHODOLOGY

In this study the researcher chose the methodology of critical realism (Bhaskar, 1989; Pawson & Tilley, 1997; Sayer, 1992, 2000). Taking the position of critical realist and using focus group interviews helped illuminate the underlying value systems of young people in a global and local context with regard to parenthood.

Research Method, Procedure and Analysis

The study design comprised a cross-sectional qualitative exploration of attitudes held by young people about parenthood in Hong Kong and utilised focus groups as the key research technique because this method is well-suited to stimulate new ideas and to examine the reasons and motives behind people’s perceptions (Edmunds, 2000; Hagan, 2006; Berg, 2007; Bryman, 2008). A guided checklist of themes for focus groups was adopted as the means for data collection (see Diagram 1). The researcher served as facilitator in the focus group discussion. Participants were asked to sign consent forms in which they stated their agreement to participate. All sessions were audio-recorded with consent from participants, transcribed verbatim, translated from Chinese to English and then coded to identify the main themes. The translation was verified by a university

linguistics teacher to yield transcripts agreed on by both the researcher and her university supervisor.

Providing a safe, comfortable and relaxing environment with soft drinks, the group participants worked together to share perceptions, experiences and insights over an average period of two hours, and during this period revealed much of their personal attitudes and values about the research topics. A structured approach was taken for the discussion in the first instance whereby an exercise was deployed at the outset to be discussed during the focus group session. Participants were asked to undertake an exercise to rate their opinion of value items on a 5-point scale of 1 (definitely opposed) to 5 (highly important). A 21-item cultural values schema was used and informed by the Schwartz Values Questionnaire (1992; 1994a,b). Schwartz claimed that values were an expression of and motivation for the fulfillment of basic human needs to sustain an individual’s biological, social well-being and functioning. Through extensive empirical research in 61 countries, the value items have the same meanings across cultures and are consistent and stable on the whole and in that sense, reliability is well attested. The translation of a value list was also verified by the university linguistics teacher and the university supervisor. The 21 items on the schema are shown in Table 1:-

TABLE 1
Cultural Value List (Schwartz 1992; 1994a, b)

Rating	Value description
	Pleasure (having as much fun as possible)
	Freedom (freedom of action and thought)

	Wealth (material possessions, money)
	Creativity (uniqueness, imagination)
	A spiritual life (emphasis on spiritual more than material matters)
	Meaning in life (a purpose in life)
	Respect for tradition (preservation of time-honoured customs)
	Family security & relationship (concern for family members)
	Social recognition (respect, approval by others)
	A varied life (filled with challenge, novelty and change)
	A world of cultural diversity (multicultural society)
	Independent (self-reliant, self-sufficient)
	Loyalty (faithful to family, friends, group)
	Ambition (hardworking, aspiring)
	Broadminded (tolerant to different values, ideas, beliefs)
	Honouring parents and elders (showing respect)
	Choosing and developing own goals (selecting own purpose)
	Capable (competent, effective, efficient)
	Enjoying life (enjoying life's pleasures)
	Responsible (dependable, reliable)
	Successful (achieving goals)

Participants were invited to first complete the value list (in less than 5 minutes) and to then share with the group their rating and choices with regard to the different items. Information from this exercise assisted both group members and the researcher. The exercise allowed the participants to develop a commitment to a particular set of value positions before the group discussion began. Information from this pre-group exercise helped the researcher to ensure that the event could draw out participants' stances and opinions on their value system (Wimmer & Dominick, 1987; Sussman *et al.*, 1991). Thereafter, the researcher managed the discussion based on an interview guide (see Diagram 1) to ask the young adults to discuss their approach to parenthood

in six dimensions: first, their plan to have children; second, their considerations in deciding whether to have children; third, what they believed was the ideal age at which to have children; fourth, number of children expected; fifth, if they would consider having children outside a legal marriage; and lastly, measures/factors that encouraged them to have children. These specific dimensions or themes of the interview guide were informed by the interviewing questions and definitions of the report on the Canadian Attitudes on the Family (Wilson, 2002), relevant attitude measures by Gormly *et al.* (1987) and the Hong Kong Federation of Youth Groups (2005). These interview questions are key areas concerning parenthood with probes that can facilitate young people to go into

detailed discussion and in-depth sharing on different childbearing decisions in a qualitative focus group approach. They can work together to share perceptions, experience, values and insights into these questions instead of only answering a questionnaire individually.

Thematic analysis was used in this study to seek qualitative insights into relation to the predetermined categories of discussion in a systematic and replicable manner. Overall, the thematic structure reflected the frequency of material that addressed global values, Chinese local values and parenthood.

Participants

Six focus groups comprising 40 young people aged 17-25 drawn from the Hong Kong Administrative Region were generated by a purposive sample and were identified through a snowball method. Among these were 23 male and 17 female

interviewees. Six focus group sessions with around 5-7 respondents each were conducted in the researcher’s office. Despite some limitations such as the lack of generalisability, purposive samples could help gain insight and understanding by hearing from youth coming from some very different walks of life. As such, the sample was purposive in that the researcher sought to generate a population that was differentiated in terms of gender, age-range, marital status, working status and educational attainment and drawn from three target regions of residence i.e. Hong Kong Island, the Kowloon Peninsula and the New Territories (see Table 2). These regions were chosen because they represent populations with varied socio-economic backgrounds and characteristics and were deemed likely to yield fresh insights. The composition of the six focus groups is set out below:

TABLE 2
Focus Group Composition

	Group 1		Group 2		Group 3			Group 4			Group 5			Group 6		
Focus for comparison	Gender		Age		Marital Status			Working Status			Education Attainment			Residence		
	M	F	17-21	18-25	married	single	cohabiting	working	studying	non-w & s	secondary school	undergraduate	postgraduate	Hong Kong Island	Kowloon	New Territories
	3	4	5	2	2	2	1	2	3	2	2	4	1	2	2	3
No. of participants	7		7		5			7			7			7		

Snowball sampling was another non-probability sampling strategy used in this research. It was effective to help the researcher locate subjects with certain attributes or characteristics necessary in the study. Clearly, such a technique could not possibly claim to produce a statistically representative sample. The researcher relied on her social network, for example, friends and friends of friends, students and graduate students as well as social contacts of these individuals to trace additional respondents.

Reliability and Validity

With regard to the issue of reliability, the researcher followed the conventional contrastive procedure of taking field notes as well as audio-taping and drafting the transcripts of the focus groups and comparing both sources to help ensure the reliability of the study. Moreover, the value list and the interview schedule had pre-testing before use. The researcher also took the findings of the focus groups back to the respondents being studied. After the respondents' verification on the findings, the validity of this study was ensured.

Ethical Considerations

As the research was conducted in Hong Kong, the study was bound by the Code of Practice for Registered Social Workers, which is monitored by the Hong Kong Social Workers Registration Board. All participants were given information forms and consent forms and were made aware that their participation was voluntary

and that non-participation would have no impact on their relationship with the researcher. The respondents were also guaranteed anonymity and were informed that all value list answers and tapes would be destroyed on completion of the study. Secure storage of all data was provided throughout the study.

FINDINGS AND DISCUSSION

The perceptions of parenthood among our sample from the current generation of young people in Hong Kong reflect a shift from traditional views, probably due to the changing socio-cultural environment and modernisation of Chinese society. Though traditional cultural values such as family security and relationships and family loyalty were still respected, the respondents tended to emphasise global values such as freedom, personal goals, wealth, ambition, pleasure and a varied life. At first glance, the shift from traditional views was obvious in the following themes: having children was less about continuing the family line and more about maintaining the marriage; reasons not to have children were due to issues such as personal development, long working hours and continuing education; more acceptance of out of wedlock birth under certain conditions; and the trend of delayed parenthood. Though the traditional Chinese family values, in particular, parenthood, was retained and the respondents generally anticipated having children, to a certain extent, these values were diluted by significant global and local changes. Major findings of the six focus

groups in relation to the core research topics are as follows:

Theme 1: Young People Have Diversified Preferences on Global or Cultural Values as Their Guiding Principles

Regarding global or cultural values, the participants of the six focus groups had diversified preferences. With regard to traditional cultural values, most of the respondents put emphasis on family security and relationships, respect for tradition, honouring of parents and elders and family loyalty. As for global values, they were more likely to emphasise freedom, personal goals, ambition, wealth, pleasure, life meaning, a spiritual life, a varied life, independence and responsibility. It appeared that the respondents had been influenced by both the global values of late modernity and Chinese culture as well. These results may relate to the specific socio-political background of Hong Kong. According to Kwok and Chan (2002), Hong Kong has been on the periphery of both the Chinese motherland and the British Empire for the last 150 years. Hong Kong was a place where the lines between Chinese and Western civilisations were blurred and intermingled.

To summarise, most of the youth in these focus groups seemed to be influenced considerably by liberalism, individualism, feminism and pluralism. They wished to choose their own lifestyles with more freedom, pleasure, pursuit of personal goals and a varied life. Yet, a minority treasured more traditional cultural values that focused on family security and relationship

and honouring parents and elders. Some younger people did not agree with the pursuit of wealth while others indicated that wealth was the most important to them. Their value preference varied in terms of gender, age, marital status, working status and educational attainment. In short there was no common cluster of values that spanned all groups.

Theme 2: Having Children for Its Intrinsic Value instead of Continuing the Family Lineage

Our sample of young people generally anticipated having children. The reasons for having children were to add to the variety and enjoyment of domestic arrangements and to make a marriage more durable. This might suggest that respondents did not have much confidence in marriage *per se* in a late modern world where individual goal setting and goal seeking placed a strain on emotional and domestic relationships between dyads and hence, children might help ‘thicken’ the ties and commitments of marriage. Other reasons were to satisfy a sense of biological imperative, to fulfil the wishes of both sets of parents, and to meet a wider sense of social expectation and to provide meaning and preoccupation within the domestic environment. Thus, apart from the influence of global values such as individualism, there was the impact of Chinese cultural values and the influence of this upon the perception of young adults on parenthood.

In traditional Chinese culture, having sons and grandsons is a highly regarded status and strongly related to

male preference; it is a means of gaining pride and happiness in later life. Sons and grandsons are considered the parents' and grandparents' fortune, whereas daughters are seen as the 'possession' of other families. The former are entitled to perpetuate the ancestral lineage while the latter are not (Lew, 1998). Interestingly, some of the older age group (22-25) with achievements in higher education (undergraduate or above) were more influenced by traditional values surrounding procreation. They tended to be influenced by Chinese notions of collectivism whereby childbirth was not a private matter but involved the expectation and interests of parents as well. They were of the view that childbirth was a social responsibility and a continuation of kinship. This finding was quite similar to the research by the Hong Kong Federation of Youth Groups (2005) and Chow and Lum (2008), both studies indicated that older respondents showed a stronger intention to have children.

Christopher, a 24-year old male Catholic, social work undergraduate:

I think childbirth is the continuation of kinship. It symbolises the sublimation of marital love.

Eunice, a 23-years old female undergraduate, considered childbirth a social responsibility:

I will take into account the financial resources. ... I think that it is a social responsibility. Besides, I would like to have children and grandchildren visiting me when I am old. I like the warm family atmosphere.

In contrast, the younger age group (17-21) considered that having children was less about continuing the family line but more as a means to maintain the marriage. This might suggest that the younger group had some doubts about contemporary marriage to sustain itself in a late modern world; they hoped that the triad of parents and child might sustain their commitment to marriage. Ho, a male undergraduate who was born in mainland China and who had immigrated to Hong Kong when he was a child shared this view:

I think that having children is conducive to maintain the marriage. Children can serve as a buffer whenever there are marital conflicts.

As to reasons for having children, there was not much difference between those working or studying. However, by comparison, male respondents tended to be more influenced by traditional values and aimed to fulfil the wishes of parents. Female respondents tended to be more influenced by individual life-style in that children would bring meaning and joy to their domestic world. Some respondents indicated that they hoped that their children would bring them both rewards and at some future point some support by way of filial obligation.

Bob, a 24-year old male with high school education, was a single child and worked as a beach life-guard:

The reason for having children is that they will support me when I'm old and cannot take care of myself.

Their comments generally suggested that they were on the one hand influenced by the traditional value of investing in children as a means to safeguard against an uncertain future in later years as well as by notions of individualism in that they expected children would fulfil their own private needs for stimulation, love and happiness.

Theme 3: Not Having Children due to Personal Development and Financial Difficulties

Some respondents did not wish to have children, and this was usually because they had other more pressing aims for personal development such as studying or career or earning money. Jennifer, a 20-year old undergraduate, did not intend to have children:

I don't want to have children because I have to give up my own personal time and this will hinder my further study and career path if I have a baby.

John, a 23-year old salesman, also rejected having children:

I've cross-border work and long working hours. It is difficult and incurs great responsibility to rear children. Having children has financial implications and I preferred to have pets instead.

It suggested that some might be much more influenced by global values to do with feminism and individualism whereby personal biographies were chosen that rejected the burden and bondage of parenthood. This finding has some correspondence with White's study (2003),

which argued that underlying young people's perceptions was the global value of individualism expressed through prioritised personal career and financial goals and the need to establish a consolidated sense of self prior to partnership and parenting. Also, in keenly competitive Hong Kong society, the urge for continuing education might further delay the timing of marriage and parenthood of young adults. Furthermore, Chow and Lum (2008) noted that long working hours, a crowded environment for family and children and lack of money were reasons for not having children; such reasons were also cited by focus group participants.

It is also relevant to note that the older age group (22-25) would consider factors such as fertility age, baby well-being and financial implications before deciding on having the first baby. By contrast, the younger age group did not refer to such planning and were more concerned with their current studies and personal development. Female respondents generally referred to the aspect of physical and emotional readiness to support the normal growth of the embryo. Male respondents by contrast placed emphasis on financial circumstances and family environment by way of planning for a family. Such gender differences in orientation would seem to suggest traditional cultural assumptions at play whereby a man is expected to put his focus on the public world while a woman focuses more on the private sphere. Such roles and assumptions, by no means clear cut, were nonetheless evident across the sample.

Theme 4: Less Support for Out-of-Wedlock Childbirth

In regard to out-of-wedlock childbirth, respondents seemed more likely to adhere to more traditional values. They regarded that it was irresponsible to have children out of wedlock particularly if the parents were not mature and did not know how to take care of their children. Anthony, a 25-year old computer programmer and May, a 17-year old secondary school student living in the New Territories, had similar views of not accepting out-of-wedlock childbirth:

I (Anthony) do not accept unwed mothers. I think that many unwed moms are not psychologically mature. This may affect the healthy development of children.

As in recent news, a teenage mom left her baby alone in a flat and then went to disco in Mainland China. As such, I (May) object to having baby without marriage. However, if the unwed mom decides to get married, I think this is OK. I think that childbirth should be considered after marriage. It is better to have planning.

This result corresponded with the findings of Chow and Lum (2008) and the Hong Kong Federation of Youth Groups (2005) whereby nearly 60% of their respective respondents did not accept having children out of wedlock. This view would seem to find support in the traditional Chinese value that procreation does not come without marriage.

Theme 5: Preference for Delayed Parenthood

Some respondents indicated that they would like to have a first child at the age of 30-35 and preferred two children, specifically one boy and one girl. Respondents aged 17-21 said that they would like to have two or more children. Hung, a 20-year-old undergraduate shared his view:

Because two or more children could learn how to share and respect each other. Single child might also be easily spoiled by parents.

Respondents aged 22-25 indicated that they would like to have two children, one boy and one girl. Lin, a 24-year-old postgraduate also preferred to have two children:

Because single child are easily spoiled by parents. In Chinese culture, the combination of Chinese characters of boy and girl forms the word of 'Good'. Hence it is a blessing to have one boy and one girl.

In Chinese culture, it is widely seen as a blessing to have one boy and one girl as children as 'boy' and 'girl' form the word 'good' in Chinese. Their comments more or less reflected the trend of contemporary Hong Kong society that young adults preferred the slogan 'Two is enough' to form a nuclear family. This is different from the traditional Chinese value that 'one should have as many children as he can' to extend his family line in a once rural society. These results correspond to the findings of the Hong Kong Federation of Youth Groups (2005) study that age 28

appeared to be the suitable time for those who intended to have children, while two children was the ideal family size. It also reflects the trend of delayed parenthood among the younger generation in Hong Kong.

Theme 6: Measures Encouraging Childbirth

As for measures to encourage childbirth, respondents indicated that economic, employment and social measures and incentives such as maternity and paternal leave, tax allowance, textbook allowance, milk powder subsidy and the provision of childcare services would influence young adults in their attitudes towards childbirth. In addition, the educational system and social environment such as job opportunities and legislation on a minimum wage in Hong Kong would also be factors to take into account. Their comments reflect that decisions about having children were not just a personal preference but related to socio-economic factors as well. Respondents at the secondary school level considered that the educational system would be a factor delaying their decision to have children. Danny, 17-year-old secondary school student had the following view:

If there is no good quality tertiary education in Hong Kong, our children cannot compete with others.

This was predictable given that they were still attempting to secure limited places at universities under keen competition and stressful public examinations. Education opportunities became the issue

of most concern for this coming cluster of undergraduates. Respondents currently in university were concerned more with career opportunities than with family building. Abby, a 23-year-old undergraduate had her worries on childbearing:

The Government should provide adequate job opportunities. If the unemployment rate is high, our children may not get the job. Even now in Hong Kong the youth salary is quite low. It's difficult to build up a new family and having children.

Respondents at postgraduate level considered that adequate tax allowances and child care services could encourage them to have a baby. Transition from student to independent adult parent was seen as likely in some indeterminate future for most of these respondents.

RECOMMENDATIONS

Hong Kong is facing the challenges of family change. Marriage and family are weakening as social institutions. Many young people are subject to the influences of both the global and local culture and values. Some respondents of this study did not wish to have children because of other aims related to personal development or because of other socioeconomic reasons such as long working hours, lack of money and a crowded environment. The measures for encouraging childbirth proposed by the respondents are also worth taking into consideration.

It is proposed that the Government should facilitate joint efforts among the public, private and non-government

sectors on ways to make Hong Kong a more family-friendly city. Good measures related to family building should be undertaken to make Hong Kong a place where childbearing and family building are supported. This study indicated that for many among those in the sample, traditional family values were not as powerful as for earlier generations. The Hong Kong government should examine the difficulties encountered by the younger generation. Family policies should be broad and flexible enough to cater for the needs of the younger generation.

Hence, the Government could promote family-friendly employment practices in the private and the public sectors in order to nurture a culture of mutual support and concern in the workplace. Indeed, the Government could set an example by implementing family-friendly employment practices such as a five-day work week, granting employees paid paternity leave, allowing employees to have home-based work, flexible work arrangements, job sharing and enhancing child-care services and facilities for employees. More generally, the adoption of benefits such as paternity leave, marriage leave, parental leave and compassionate leave could allow employees to fulfil family responsibilities. The promotion of flexible work arrangements such as a five-day work week, flexible working hours, home-based work, job sharing and a compressed work schedule would allow staff to juggle better the requirements of both family and employer.

The results of the study indicated that some young people have to work long hours or take up additional part-time work in order to make ends meet. In so doing, they stated that they would delay their plans for parenthood due to scarcity of time and money to engage in family building. The rising price of property is also a deterrent to family building as young couples cannot afford to rent or buy apartments in the city and often live with parents. The focus groups also revealed how some young people delay family plans to pursue further studies after work in order to make themselves more competitive in the labour market. There was also a tendency for some young people to work across the border in mainland China to take advantage of rapid economic development there. As such, the Government should consider promoting family-friendly measures or enacting legislation on standard working hours to ensure that employees can have time for family building and parenthood. Many young people have to find funds to pursue further study to enhance their employability. The Government could provide an education subsidy to help young people meet this financial burden and could extend the repayment period and lower the interest rate to relieve the financial burden of young graduates whose starting salaries are unlikely to be high. Moreover, the Government might consider building smaller units at affordable prices to meet young people's housing needs. Such considerations of locality and support may affect their plans to have children.

Lastly, as the focus group revealed, precarious employment and lower starting salaries have put many young people in disadvantaged positions and affected their intentions about family building and parenthood. The Government should consider initiating a comprehensive youth policy to address the problems faced by young people. In formulating this youth policy, it would be imperative to have young people directly participating as stakeholders in the discussion of policy options.

STUDY LIMITATIONS AND SUGGESTIONS FOR FURTHER RESEARCH

Although the findings shed light on the perceptions of parenthood among this sample of young people in Hong Kong and a shift from traditional views, the study has some limitations. Since this is a study on youth's perceptions on global values, local cultural values and parenthood, the focus group approach with a non-probability and purposive sample, which was identified through a snowball method, was used for this qualitative study. There is weak generalisation in qualitative analysis as data may be less representative. Despite its limitations, the study can provide a springboard for further research. With regard to further research, the initial findings of this research revealed that traditional values, such as those associated with the ideals of Confucianism, still have some influence among the sample in this study. However, in what precise domains of this tradition and to what degree young

adults agree with Confucian teachings need to be the subject of a random quantitative analysis in order to generate more reliable insight into its impact.

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Natural Ventilation Provisions in Terraced-House Designs in Hot-Humid Climates: Case of Putrajaya, Malaysia

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ABSTRACT

Due to the high risk of global warming from the increased level of energy consumption, energy sustainability is increasingly practised around the world especially in the residential sector. Attempts to save energy in hot-humid climates however, are mainly through improved mechanical cooling. Consequently, residential buildings are built to be air tight and they are provided with insufficient opening areas for natural ventilation which in turn, results in the deterioration of indoor air quality (IAQ). Previous studies on IAQ with respect to ventilation rates are mostly on indoor concentrations of contaminants and various diseases associated with them. Detailed studies on openings and their impact on delivered ventilation rates are still limited, particularly in hot-humid climates. This study investigates natural ventilation provisions in different house design types in Putrajaya, Malaysia with respect to the Uniform Building By-Law (UBBL) governing them. Five terrace house design types were selected, of which two were found to be non-compliant with UBBL 10% window area requirement. Simulations were conducted using the Integrated Environment Solution (IES<VE>) software and the results reveal that house types complying with the UBBL requirements exhibit higher ventilation rates and a longer duration of leaving windows open is found to improve ventilation rates. This paper informs regulatory stakeholders, designers and clients of the residential building sector of the impact of open designs on occupants' health and the importance of UBBL compliance and enforcement. This study further emphasises the need for occupants to increase the duration of leaving windows open and to embrace night ventilation as a means of improving natural ventilation in their homes.

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INTRODUCTION

Energy sustainability is one of the strategies aimed at tackling the issue of climate change. With the world's dependence on energy for everyday life, the rate of energy consumption was reported to be on a rapid increase, that is expected to reach 53% in the year 2035 (Smith *et al.*, 2011). Research findings revealed that 40% of energy use is accounted for in buildings and it is mostly for heating, cooling, lighting and operating electrical equipment (Santamouris, 2005; Chan *et al.*, 2009). For residential buildings in hot-humid climate region such as Malaysia, occupants were reported to depend highly on mechanical cooling technologies to achieve comfort (Kubota *et al.*, 2009). Consequently, the Malaysian residential sector is ranked third in the national list of electricity consumption (21.4%) after commercial sector (34.3%) and industrial sector (43.8%) (Malaysian Energy Commission, 2011). In line with this realisation, Kubota and Ahmad (2005) recommended for the number of air-conditioners owned by Malaysian households and the duration of air-conditioning operation to be greatly reduced. In addition, the need to further reduce energy consumption in the residential sector has resulted in houses being designed and built to be air tight to prevent leakage of cool draft through the building skin (Nielsen & Drivsholm, 2010; Lee *et al.*, 2012).

Air tightness in buildings potentially limits the free passage of air in and out of the indoor environment, causing a reduction in

ventilation rates (Nantka, 2006). Previous studies (Guo *et al.*, 2008; Zuraimi & Tham, 2008; Aizat *et al.*, 2009; Fisk *et al.*, 2009; Lee *et al.*, 2012; Sun & Sundell, 2013) have shown that this reduction in ventilation rates results in the deterioration of the indoor air quality (IAQ), which consequently leads to various health-related issues such as sick building syndrome, occurrence of asthma and other respiratory diseases. Marr *et al.* (2012) argued that ventilation rates could be affected by natural ventilation through window openings, and the level of the effect is determined by the provided window opening area, as well as the frequency of opening the windows. Yamamoto *et al.* (2010) expressed similar views when he asserted that natural ventilation through window openings and doors were more likely to increase the air-change rate (ACH) in residential buildings. However, he concluded that ACH could be reduced when air-conditioning is being used. Hence, it is sensible to suggest that window openings play an important role in improving the rate of ventilation, which can induce a significant effect on both air quality and thermal comfort in buildings (Daghigh, 2009; Kubota *et al.*, 2009; Lee *et al.*, 2012; Marr *et al.*, 2012).

Studies related to the impact of window openings on IAQ in terms of delivered ventilation rates for contaminants control have been conducted all over the world. For example, Lee *et al.* (2012) found that restricted ventilation during cooking activities had resulted in poor IAQ, with the average carbon dioxide (CO₂)

concentration greater than 1000ppm. Wong and Huang (2004) on the other hand, had measured the CO₂ level of residential bedrooms during sleeping hours and they had recorded a higher level of CO₂ concentration in air-conditioned bedrooms compared to bedrooms that were naturally-ventilated. A high level of indoor CO₂, as reported by Sekhar and Goh (2011) could result in interrupted sleep among residents. The high level of indoor contaminants could be associated with high level of outdoor contaminant concentrations coupled with high residential density (Zuraimi & Tham, 2008). These indoor contaminants can be reduced by increasing the ventilation rates through natural ventilation (Guo *et al.*, 2008; Zuraimi & Tham, 2008).

Series of investigations into the IAQ of residential buildings in hot-humid climate, particularly in Malaysia, has been conducted. For instance, Muhamad-darus *et al.* (2011) and Ahmed *et al.* (2004) studied naturally-ventilated Malaysian terrace houses and discovered the contributing factors of IAQ. These include the number of occupants, sizes of room, house design type, household activities, ventilation systems and the house location. Hassan and Ramli (2010) analysed the level of performance of natural ventilation in a traditional Malay house in Penang, Malaysia. The study showed that large window openings on the building walls facilitated high air intake into the house.

These studies further revealed the factors influencing IAQ in residential buildings and the varying levels of

contaminants between naturally and mechanically-ventilated buildings. However, it remains unclear whether the natural ventilation provisions (window openings) in Malaysian houses are sufficient for optimum ventilation rate. It is also unclear whether these houses are in compliance with the Uniform Building By-Laws (UBBL), 1984 (Laws of Malaysia, 2008). The By-Laws are sets of standardised building regulations for the whole of Malaysia and applicable to all local authorities and building professionals. Specifically, the UBBL law 39(1) states that: "Every room designed, adapted or used for residential...shall be provided with natural lighting and ventilation by means of one or more windows having a total area of not less than 10% of the clear floor area of such room and shall have openings capable of allowing a free uninterrupted passage of air not less than 5% of such floor area."

This paper aims to fill this gap by investigating natural ventilation provisions in residential buildings in the hot-humid climate of Malaysia, taking into account window openings in all living spaces under different house design types. The specific objectives of this paper are: 1) to identify natural ventilation provisions in different house design types; 2) to reveal the extent to which these provisions conform to the UBBL requirements; 3) to measure the natural ventilation rates of the selected house design types through computer simulations.

This paper intends to reveal the difference in the actual delivered ventilation

rates between residential buildings with UBBL compliant openings and those with non-compliant openings. It also intends to show the effect of opening windows for a longer period on indoor ventilation rates. It is anticipated that the results would facilitate cultural awareness and sensitivity among designers and building regulators in conforming to the law governing natural ventilation. Added to this, the results of this study could enlighten occupants on the importance of leaving windows open for a longer duration as a means of improving natural ventilation in their homes. This article first explains the method used in the study, followed by results and discussion. The paper concludes with some thoughts on the importance of sufficient openings for optimum natural ventilation and some recommendations for future research.

METHODOLOGY

The methodology used for this study was computer modelling, which mainly

involved a computer simulation process on case study houses. This was mainly done using the Integrated Environmental Solution (IES<VE>) software version 2012. A set of controllable input or independent variables were combined to produce an output variable also known as the dependent or response variable. The independent variables considered were “opening sizes” (UBBL and non-UBBL compliant) and “the duration of opening windows”, while the dependent or output variable was the “airflow in (in litres per seconds)” from which the ventilation rates were calculated. For this study, the results obtained for the ventilation rates are purely based on computer simulation.

This study focuses on terraced houses as statistics indicate that these houses are the largest housing type built in Malaysia (see Fig.1). Furthermore, natural ventilation in terraced houses is more restricted compared to other house types as window openings are limited to only

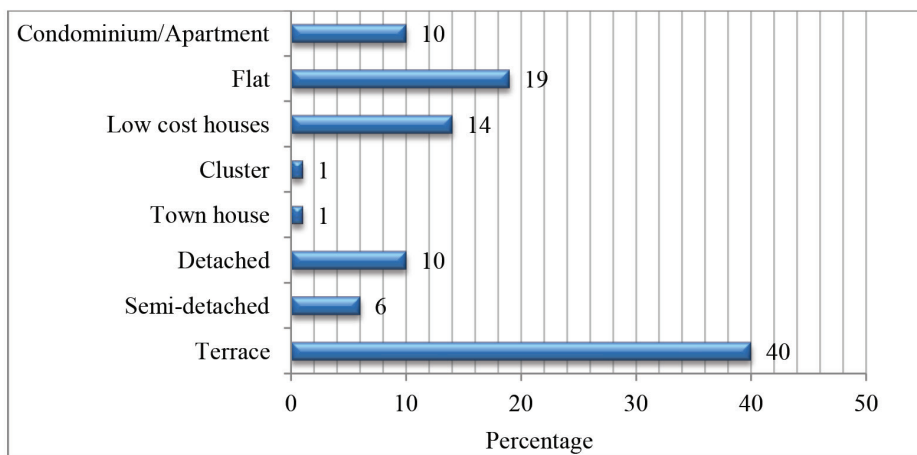


Fig. 1: Malaysian housing stock (SeoRyungJu and Bin Omar, 2011).

two external walls (with the exception of end units). The living spaces included in the study were living/dining room, kitchen and bedrooms as they are considered as the main occupied areas in a house.

Study Area

Being the new Federal Capital Territory of Malaysia, Putrajaya has residential zones that constitute the second largest major land use, thus making it suitable as the study area. Furthermore, houses in Putrajaya are mainly in the condition they were built in as the local authority places restrictions on renovating the properties for the purpose of maintaining the uniformity of the overall designs. This ensures that all units under each design type selected for the study have similar characteristics. Of the 14 residential precincts in Putrajaya, Precincts 11 and 14 are among those with the largest number of terraced housing units and designs. Terraced houses from these two precincts were therefore selected for the purpose of this study.

Sample Selection and Design Review

Site visits were conducted in both Precincts 11 and 14, where the main objective behind

the visit was to identify different terraced house designs with varying window types, sizes, patterns and locations within the house. During the visit, five distinct designs were identified and adopted as case studies for this study. These five distinct designs are P11A2 and P11A5 in Precinct 11 and P14B, P14E and P14F in Precinct 14. Fig.2 is a pictorial display of the five selected terraced houses design types, whereas their classification and total number of units are shown in Table 1.

All selected house design types were double-storey terraced houses and had a total number of four bedrooms. Living/dining room (with no partition separating the living and dining rooms), kitchen and bedroom 3 were located on the ground floor, while the master bedroom, bedroom 1 and bedroom 2 were on the first floor. Each unit of house types 1, 2, 3, 4 and 5 had a built up area of 105.16m², 93.94m², 153.30m², 129.93m² and 166.44m² respectively. All the house types had a floor-to-ceiling height of 3.30m for the ground floor and 3.10m for the first floor making a total of 6.40m. The total floor areas of the studied living spaces (living/dining room, master bedroom, bedroom 1, bedroom 2, bedroom 3 and kitchen) are shown in Table 2.



Fig.2: Five types of terraced house design.

TABLE 1
Design Classification of House Types and Their Total Number of Units

Precinct	Precinct 11		Precinct 14			
Design type	P11A2	P11A5	P14B	P14E	P14F	Total
Design classification	Type 1	Type 2	Type 3	Type 4	Type 5	
Total units	136	215	94	120	84	649

TABLE 2
Total Floor Area of Living Spaces in All House Design Types

	Type 1	Type 2	Type 3	Type 4	Type 5
Living spaces	Floor area (m ²)	Floor area (m ²)	Floor area (m ²)	Floor area (m ²)	Floor area (m ²)
Living/dining room	35.64	29.59	35.96	30.36	31.27
Master bedroom	13.65	19.49	20.83	12.87	18.65
Bedroom 1	17.16	12.14	16.21	12.12	15.8
Bedroom 2	12.96	13.83	11.64	12.83	16.56
Bedroom 3	9.56	4.99	8.91	7.48	7.38
Kitchen	12.1	8.93	12.98	11.12	12.55
Total	101.07	88.97	106.53	86.78	102.21

Among all of the house types, only type 5 had an internal courtyard included in its design. According to Sadafi *et al.* (2008), an internal courtyard helps to improve the ventilation of terrace houses as window openings facing the courtyard facilitate temperature differences between indoors and outdoors. With the exception of house type 5, all house types had balconies attached to the master bedroom on the first floor. The balcony in house type 5, however, was attached to the family area, which was also located on the first floor. The living spaces of all house types had casement window type of varying sizes; in some cases, awning window types were installed at the top of each casement. Apart from the architectural design, the difference between these house types was in the ratio of their window openings for ventilation provisions

and wall area, as required by the UBBL, (Laws of Malaysia, 2008) law 39(1).

Once all window types had been identified, windows were then grouped according to the living space and the house type to which they belonged. Then the total area of window opening (width x height) was calculated for each living space. The total area of living spaces of each house design type was also recorded. Consequently, the window/floor area percentage was calculated using the following formula:

$$\% \text{ window/floor area (\%)} = \frac{\text{window area (m}^2\text{)}}{\text{Floor area (m}^2\text{)}} \times 100 \dots (1)$$

Computer Simulation

To predict airflow and ventilation performance in buildings, the use of a suitable tool or model is essential.

Furthermore, the tool or model should be capable of giving a reasonably accurate prediction. Therefore, the study used the Integrated Environmental Solution (IES<VE>) software version 2012 as the modelling tool for simulating the airflow through each opening in all of the studied living spaces. Based on a research study conducted by Attia *et al.* (2009) and Behrendt *et al.* (2011), IES<VE> was selected as the most suitable simulation software after it was compared with other available software. Consequently, its validity was ascertained by Leng *et al.* (2012) after comparing results from a field study with simulation results from IES<VE> during a ventilation study. IES<VE> has been used in different studies (Mohammadi *et al.*, 2010; Sadrzadehrafiei *et al.*, 2011) for various environmental analyses. For the simulation to be carried out in this study, three sequential stages of procedures were performed to ensure the reliability of the results and these are explained below.

Stage 1: Geometry generation. The first stage was geometry generation, which involved creating the house geometry, assigning the site orientation and site location, and specifying the appropriate weather data. The design geometry of all five buildings were drawn in the “ModelIT” IES<VE> interface. All building components (e.g. openings, floors, partitions and roofs) were incorporated in the generated geometries to create the replicate of the real buildings as accurately as possible.

The data inputs for the present simulation in the “ModelIT” IES<VE>

interface include: site orientation, site location and weather data. The weather data in IES<VE> was assigned in the “APLocate” module located in the “ModelIT” IES<VE> interface. APLocate is the weather and site location editor of IES<VE>. From the APLocate interface, it was possible to choose a location from an extensive database and guidance was provided on how to define weather data for various locations.

Standard simulation weather files were sourced from various locations and converted into the standard FWT file format for IES<VE> database. Some of these files i.e. weather data for a period of over 30 years were obtained from the meteorological offices. For the purpose of this study, weather data from the Kuala Lumpur Subang weather station was selected as it is the closest weather station to the study area. The weather station has geographic coordinates that lie between latitude 3.12°N and longitude 101.55°E. Table 3 shows the weather data summary of Kuala Lumpur Subang specified in IES<VE> APLocate. This reveals that the highest temperature was witnessed in the month of March (35.1°C) and the lowest in the months of November and December (33.2°C).

Fig.3 presents the wind data obtained from IES<VE> APLocate. It indicates that the prevailing winds were from the North and Northeast and the lowest wind speed was between 0-3 m/s. Consequently, the generated geometries were orientated facing the North.

TABLE 3
Monthly Dry and Wet Bulb Temperature, Kuala Lumpur Subang (Integrated Environmental solution, 2012)

Months	Minimum dry bulb temperature (°C)	Maximum dry bulb temperature (°C)	Maximum wet bulb temperature (°C)
January	25.50	34.00	24.50
February	25.80	34.80	24.90
March	26.40	35.10	25.20
April	26.50	34.90	26.20
May	26.90	34.80	26.30
June	26.00	34.20	25.40
July	26.00	34.00	25.40
August	26.10	34.10	25.30
September	26.00	34.00	25.20
October	26.10	34.00	25.50
November	25.60	33.20	25.60
December	25.60	33.20	25.00
Mean	26.04	34.19	25.38

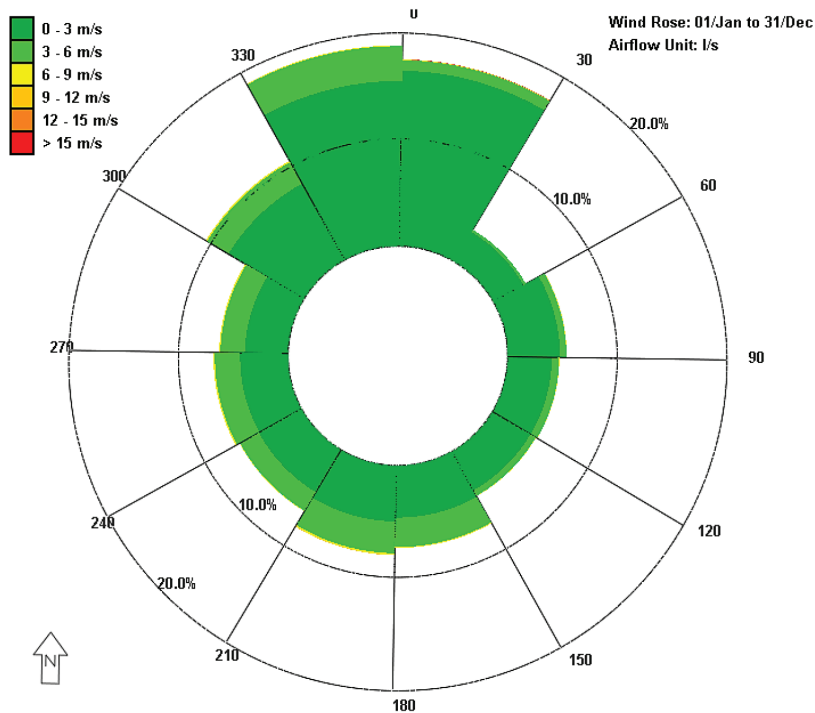


Fig.3: Wind rose, Kuala Lumpur Subang, Malaysia (Integrated Environmental solution, 2012).

Stage 2: Natural ventilation analysis.

In the second stage, natural ventilation analysis was performed in the Macroflo IES<VE> module. In this stage, opening characteristics i.e. opening types, opening category and opening angle and direction, were assigned in the MacroFlo ‘opening types manager’ interface. The duration for which the windows were left open was specified. Subsequently, the heating and cooling profiles in the ‘Building template manager’ were turned off to keep the simulation in full natural ventilation mode.

Stage 3: Running the simulation. Finally, the simulation was run in IES<VE> ApacheSim. Here, the mode of simulation, output parameters, the required space for the simulation and the duration (1 January to 31 December) were assigned. Among the many rows of units in each house design type, an intermediate house unit was selected to be simulated. For this study, two different simulations were performed: 1) simulating when the windows were left open during the daytime (6:00 AM to 10:00 PM every day), and 2) simulating when all windows were left open at all times (24 hours every day). This decision was informed by the survey results of Kubota and co-authors (Kubota & Ahmad, 2005; Kubota, 2006; Kubota *et al.*, 2009), who revealed that the majority of residential building occupants in Malaysia left their windows open mostly during the daytime (from morning to evening). These approaches were adopted in order to reveal the difference in air flow introduced by the openings under these two scenarios.

Result Viewer

The simulation results i.e. volume of air flow in (in litres per seconds) through each opening in all house types for the period of a year, were viewed from the Vista interface. The results were viewed in tabular form from the IES<VE> vista result viewer. The mean volume of air flow in (in litres per seconds) was then calculated using a Microsoft excel spread sheet. From this, the total volume of air in each living space was added up. Consequently, the air flow in (in cubic metre per hour) for each studied living space was calculated using the following formula:

$$\begin{aligned} \text{Air flow in cubic metre per hour (m}^3\text{/h)} \\ = \text{Air flow in litres per seconds (l/s) x} \\ 3.6\text{.....} \end{aligned} \tag{2}$$

Therefore, the Air Changes per hour (ACH) for each studied living space was calculated as:

$$\begin{aligned} \text{Air Changes per hour (ACH) = Air} \\ \text{flow in cubic meter per hour (m}^3\text{/h)} \\ / \text{Floor area in cubic meter (m}^3\text{)} \\ \text{.....} \end{aligned} \tag{3}$$

RESULTS

Design Review

From the five house types, eight typical window design types with varying sizes were identified (see Fig.4). These windows designs were categorised as casement, sliding and awning windows; hence, they were labelled ‘S’, ‘C’ and ‘A’ respectively (see Fig.4). Table 4 shows the window design, opening area and window/floor area percentage of the studied living spaces in each house type.

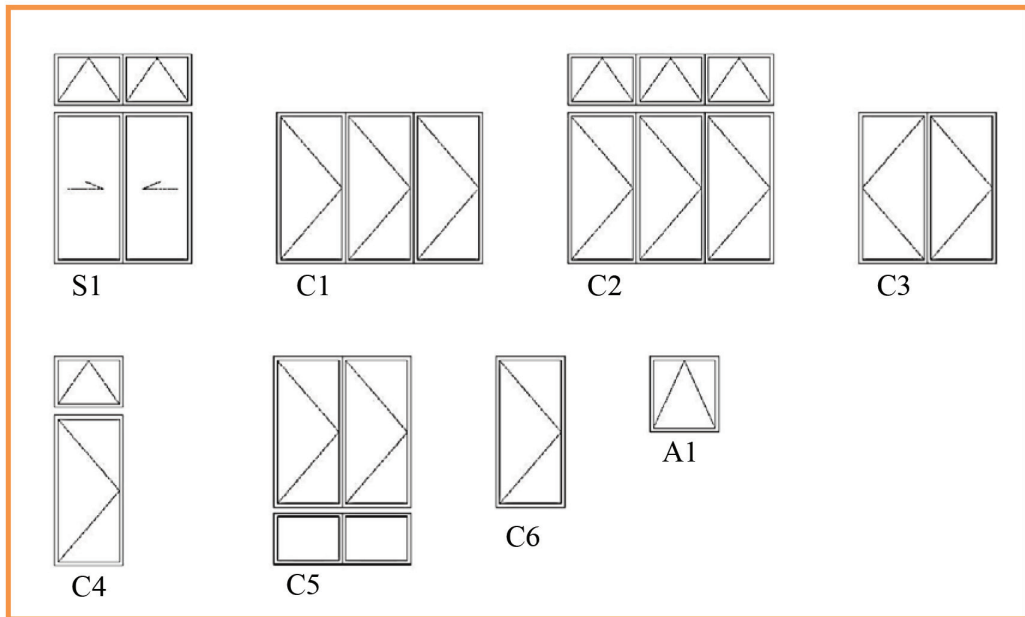


Fig.4: Eight typical window designs in all the house design types.

Table 4 clearly shows that house type 1 had the largest total window/floor area percentage (16.03%), followed by house type 5 (11.27%) and house type 3 (10.33%). The remaining two house types (2 and 4) have total window/floor area percentages of 8.50% and 9.06% respectively, which were lower than 10% UBBL minimum requirement. In line with these results, it can be observed that some living spaces were provided with window/area percentage of less than 10% minimum requirement. Five living spaces with the smallest window/floor area percentage were found in the living/dining room of house types 3 (2.00%) and 4 (3.56%), the kitchen of house type 2 (4.03%), the bedroom 3 of house type

5 (4.88%), and the living/dining room of house type 2 (5.00%). On the other hand, only house type 1 had opening sizes larger than the minimum requirement; however, no opening was provided in the kitchen space of this house type (only kitchen in end house units were provided with openings).

Table 4 also reveals that none of the house types was provided with unobstructed opening, with the exception of the living/dining room space in house type 5. Nevertheless, the unobstructed opening provided for this space was only 1.44m² or 4.61% of the living/dining room floor area, which is less than the UBBL minimum requirement of 5%.

TABLE 4
Window/Floor Area Percentage of the Studied Living Spaces in Each House Type

House types	Total living spaces (m ²)	Living/dining room	Master bedroom	Bedroom 1	Bedroom 2	Bedroom 3	Kitchen	Total m ² (%)
Type 1	101.07	Window types C2	C1	C1	C1	C2	-	-
	Provided opening area m ² (%)	3.78 (10.60)	3.78 (23.74)	2.16 (12.59)	2.70 (20.83)	3.78 (39.54)	-	16.20 (16.03)
	Unobstructed opening m ² (%)	-	-	-	-	-	-	-
Type 2	88.97	Window types C6	C3	C3	C3	C3	C6	-
	Provided opening area m ² (%)	1.44 (5.00)	1.80 (9.24)	1.44 (11.86)	1.44 (10.41)	1.44 (28.85)	0.36 (4.03)	7.56 (8.50)
	Unobstructed opening m ² (%)	-	-	-	-	-	-	-
Type 3	106.53	Window types C6	C1	C2	C2	C3	C6	-
	Provided opening area m ² (%)	0.72 (2.00)	2.7 (12.96)	2.7 (16.66)	1.8 (15.46)	1.44 (16.16)	1.44 (11.09)	11.00 (10.33)
	Unobstructed opening m ² (%)	-	-	-	-	-	-	-
Type 4	86.78	Window types C4	C5	C3	C3	C5	C6	-
	Provided opening area m ² (%)	1.08 (3.56)	1.80 (13.98)	1.44 (11.88)	1.44 (11.22)	0.90 (12.03)	1.2 (11.09)	7.86 (9.06)
	Unobstructed opening m ² (%)	-	-	-	-	-	-	-
Type 5	102.21	Window types C2 & C4	S1 & C3	S1	C1	A1	C4	-
	Provided opening area m ² (%)	3.60 (11.51)	2.70 (14.48)	1.80 (11.39)	2.16 (13.04)	0.36 (4.88)	0.90 (7.17)	11.52 (11.27)
	Unobstructed opening m ² (%)	1.44 (4.61)	-	-	-	-	-	1.44 (1.41)

Computer Simulation Results

From the results, the air change rate (ACH) for each room was calculated and the total ACH for all living spaces was deduced. Table 5 shows the results obtained when windows were left open at all times, whereas Table 6 shows the results obtained when windows were left open only during the day time (between 6:00 AM to 10:00 PM). Furthermore, Fig.5 shows the 3D images of the results generated from IES<VE> vistaPRO, the arrows in the figure indicate the volume of air flow in and out of openings in litres per second.

Results from Table 5 shows that house types with openings that are UBBL compliant (types 5, 1 and 3) exhibited higher ventilation rates (10.84, 10.47 and 6.15 ACH

respectively) compared to the remaining two house types. It was surprising to note that house type 5 with the highest ventilation rate of 10.84 ACH, had an internal courtyard and a small percentage of unobstructed openings. As far as individual spaces were concerned, as shown in Table 5, bedroom 3 in house type 1 recorded the highest ventilation rate (23.26 ACH), while the kitchen in house type 1 and living/dining room in house type 3 recorded the lowest ventilation rates (0.01 ACH and 1.39 ACH respectively).

When results from both Tables 5 and 6 were compared, it could be seen that the ACH values obtained when the windows were open at all times (Table 5) were higher than the ACH values obtained when windows were open only during the daytime (Table 6).

TABLE 5
Air Changes Rates (ACH) Values When Windows Were Left Open at All Times

Living spaces	Type 1	Type 2	Type 3	Type 4	Type 5
Living/dining room	7.96	1.65	1.39	2.79	11.54
Master bedroom	18.12	5.93	8.14	8.40	15.91
Bedroom 1	7.89	6.98	10.12	6.75	16.04
Bedroom 2	13.53	6.16	9.99	6.37	7.54
Bedroom 3	23.26	14.28	8.67	7.91	2.57
Kitchen	0.01	5.06	6.69	6.54	4.79
Total	10.47	5.03	6.15	5.58	10.84

TABLE 6
Air Changes Rates (ACH) Values When Windows Were Left Open Only During the Day Time (Between 6:00 AM to 10:00 PM)

Living spaces	Type 1	Type 2	Type 3	Type 4	Type 5
Living/dining room	5.23	1.07	0.91	1.79	8.72
Master bedroom	12.54	3.87	5.38	5.56	11.93
Bedroom 1	5.32	4.61	6.75	4.49	12.03
Bedroom 2	9.17	4.06	6.58	4.24	4.99
Bedroom 3	16.21	9.65	5.81	5.20	1.72
Kitchen	0.01	3.33	4.46	4.33	3.14
Total	7.11	3.31	4.08	3.68	7.97

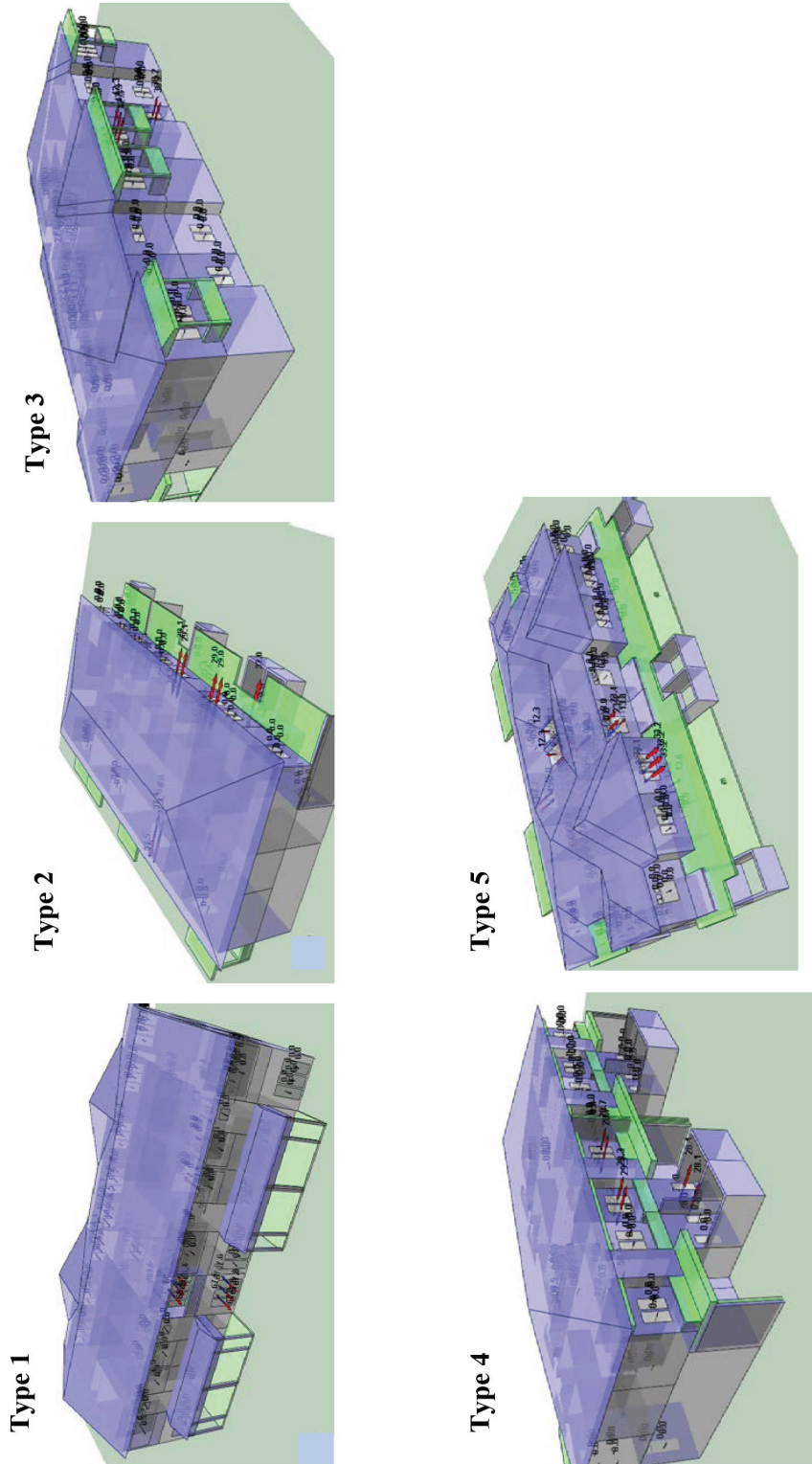


Fig.5: 3D images of the results generated from IES<VE> vistaPRO.

DISCUSSION

This study has revealed the natural ventilation provisions (i.e. window openings) and ACH of five selected terrace house design types, taking into account all living spaces, namely, living/dining room, master bedrooms, kitchen and other bedrooms. This study was conducted in order to fulfil three specific objectives which are: 1) to identify natural ventilation provisions in different house design types; 2) to reveal the extent to which these provisions conform to the UBBL requirements; 3) to measure the natural ventilation rates of the selected house design types through computer simulations.

After identifying the natural ventilation provisions in all the house types in order to achieve the first objective, the results showed that only three house design types (1, 3 and 5) were provided with the required window opening area. Surprisingly, all house design types had no unobstructed openings installed, except house type 5. Nevertheless, this provision was still below the 5% mandatory requirement. These findings are consistent with similar findings by Hanafiah (2005) and Ahmad *et al.* (2011), who revealed that the majority of Malaysia's residential buildings were provided with window openings that do not fulfil the UBBL requirements. With this, the extent to which the provided provisions for natural ventilation conform to the UBBL requirements was revealed.

It might be surprising how the building designs were approved in the first place when some do not comply with the UBBL

requirements. In the acquired submission drawings, all window sizes were indicated. These drawings showed that both the 10% and 5% UBBL requirements were adhered to, hence, explaining the approval granted by the local authority. However, this was not the case when seen from the actual completed buildings on site. Taking the issue of the 5% requirement for example, Fig.4 (See 'Result section') shows the different window types in the studied houses. It can be seen that some windows have 'awning' window types on top while some have 'fixed glasses' below. In the acquired submission drawings, these (awning window and fixed glass) were indicated as the provisions to comply with the 5% requirement. According to the UBBL, the 5% opening is expected to be unobstructed (left permanently open) but these openings (awning window) are in fact operable, meaning they cannot be left permanently open.

Expectedly, the sufficient provision of operable window area was reflected in the natural ventilation simulation results which fulfilled the study's third objective. House types provided with openings in accordance with or higher than UBBL 10% opening requirements were found to exhibit higher ventilation rates. This suggests that a larger opening area can potentially increase the ventilation rates of a space. This result is also echoed by Marr *et al.* (2012), who revealed that window opening, opening area and frequency of opening affect the rate of ventilation in a residential building. By the same token,

Hassan and Ramli (2010) argued that opening area on building walls should be maximised to create high air intake from outdoor into the indoor environment.

The non-conformity of the opening areas to the UBBL 10% requirement could be due to negligence on the part of building designers. However, the avoidance of 5% unobstructed requirements could be due to the rising attempt at increasing energy efficiency with the use of mechanical cooling in buildings. This is supported by the findings of Kubota and Ahmad (2005b), Kubota (2006) and Kubota *et al.* (2009), that the majority of occupants installed AC in their homes. Furthermore, Nielsen and Drivsholm (2010) and Lee *et al.* (2012) explained that increasing energy efficiency with the use of mechanical cooling has resulted in houses being built to be air tight to prevent leakage of cool draft through the building's skin. This (air tightness) would be an added advantage for those occupants who rely on AC as a means of achieving comfort in their homes. However, the rights of those occupants who rely solely on natural ventilation should not be denied.

Among all the house design types, house type 1 had the largest operable window/floor area percentage (16.03%), followed by house type 5 (11.27% + 1.41% unobstructed opening). However, house type 5 exhibited the highest ventilation rates due to the fact that this house type was designed with an internal courtyard. This evidence suggests that such design strategy in Malaysian terrace houses can improve natural ventilation rates. In

addition, simulation results showed that ventilation rates were higher when the windows were open at all times compared to when windows were left open only during the daytime. The evidence gathered here suggests that opening windows during both daytime and night time can potentially improve the ventilation rates of a space. In other words, the longer the duration of windows being left open, the higher the ACH delivered into a space. This finding reinforced the argument by Marr *et al.* (2012) that an increase in the frequency of opening windows in residential buildings will increase the rate of ventilation. According to Lee *et al.* (2012), this phenomenon leads to a healthy indoor environment.

Although having windows open during the day and at night is desirable, according to Rijal *et al.* (2007), Andersen *et al.* (2009) and Fabi *et al.* (2012), occupants are more likely to open their windows only during the daytime as the indoor temperature gets hot due to high outdoor temperature. Occupants should therefore be encouraged to open their windows during the night as well because at this period of time, the outdoor temperature is much lower than indoor temperature. According to Kubota *et al.* (2009), night ventilation reduces both indoor air temperature and nocturnal air temperature by 2.5°C and 2.0°C respectively. Hence, it is sensible to suggest that opening windows during the night to let in cool outdoor breeze is more effective than opening windows only during daytime in order to

improve ventilation rate. However, results from Kubota and Ahmad (2005) indicate that insects and security issues are the major reasons why occupants of terraced houses do not open their windows during the night.

CONCLUSION AND RECOMMENDATIONS

In this paper, the natural ventilation provisions of living spaces in five selected terrace house design types in Precincts 11 and 14, Putrajaya were investigated to see whether these provisions are compliant with the UBBL requirements. Furthermore, computer simulations using the IES software were conducted to find out the delivered ventilation rates through each opening type. Eight window types were identified in all the house types; these window types varied in their sizes, patterns and locations within the house. In revealing the extent to which these window types conform to the UBBL requirements in respect to their opening area, two out of the five terraced house types have operable opening areas that are not in accordance with the law requirement of 10%. In addition, all house types totally ignore the requirement of 5% fixed opening. Further analysis into the performance of the natural ventilation provisions shows that house types with openings that are UBBL compliant turned out to exhibit higher ventilation rates than house types with non-compliant openings. More importantly, it turned out that a house type with an internal courtyard and installed with both

fixed openings and operable (with sizes that are in accordance with UBBL) had the highest ventilation rate.

Hence, larger opening areas as well as longer duration of opening windows contributed to higher ventilation rates, which in turn led to a healthy indoor environment. A large opening area as stipulated in the UBBL (both 10% window area and 5% uninterrupted fixed area) are essential for efficient exchange of air from outdoor to the internal environment. In addition, ventilation rates supplied into a space can further be improved if occupants utilise window openings not only during the daytime but also at night.

It is recommended that future housing designs should incorporate maximum use of wall area to provide window openings that are large enough to admit considerable amount of air needed for adequate ventilation. However, in order to achieve maximum compliance to the stated by-law governing the opening areas, the by-laws should be strictly enforced by the government agencies on builders and designers during both design and construction stages. Furthermore, since insects and security are the major reasons for not opening windows at night, it is recommended for devices such as iron grilles and insect nettings to be incorporated within the opening space without jeopardising the flow of air in and out of the indoor environment.

Findings in this paper have implications for the regulatory stakeholders, designers and the clients of residential building sector

in three ways: 1) they increase awareness of the importance of unobstructed opening designs on the quality of indoor environment and health of occupants; 2) they emphasise the need to increase the duration of opening windows and to embrace night ventilation as a means of improving natural ventilation in homes; and 3) they highlight the need for an effective enforcement of UBBL compliance for the purpose of building approvals.

As this research is only based on five different terraced house design types in Putrajaya, a more comprehensive study is recommended to assess the general ventilation provisions in the Malaysian housing sector as a whole. Since the results are purely based on computer simulation, it is highly recommended for physical measurements to be conducted to validate the results of this study. Future work should be done to include residential natural ventilation improvement that will incorporate other architectural features and environmental factors.

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Visitors' Satisfaction of Visit and the Economic Impacts of Perceptions of Ecotourism Development Support in Alamout Area, Iran

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ABSTRACT

Economic impacts are the main factor in developing sustainable ecotourism. They provide alternatives for the local community to support their lives in addition to traditional farming. Several research studies have focused on local perceptions upon tourism development impacts, but visitors' opinions have received less consideration. This study, therefore, is focused on visitors' perceptions and their intention to support ecotourism development in the Alamout area in Iran. A survey was conducted to assess the visitors' perception, intention to revisit and their support for ecotourism development. The structural equation modelling was developed by using AMOS to analyse the data. The result of the study indicates that "Create jobs", "Economic benefits to residents" and "Employment opportunity" were the high agreed positive economic impacts while "Increase the real estate prices", "Attract non-local investors" and "Increase in the price of goods" were the high negative perceived impacts from visitors' view. Results of the confirmatory factor analysis confirmed that visitors who perceived negative economic impacts were less likely to revisit or recommend the area.

Keywords: Ecotourism sustainable development, visitors' perception, Alamout, Structural Equation Modelling (SEM)

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INTRODUCTION

The last barometer of the United Nation World Tourism Organization (UNWTO) expressed that international tourist arrivals had grown by 5% in 2013, which is the fourth year running from 2010

(UNWTO, 2014). The tourism industry is one of the fastest growing, with reference to commercialisation of human need for leisure.

Tourism, as a temporary short-term movement of people to destinations outside the places where they normally live and work, would not successfully develop unless it was considered a main pillar of sustainability. The World Tourism Organization describes sustainable tourism as an industry that meets the needs of current tourists and host populations, while enhancing opportunities for the future (WTO, 2010). As Mr. Ban Ki-moon, UN secretary general said on World Tourism Day 2012:

“One of the world’s largest economic sectors, tourism, is especially well-placed to promote environmental sustainability, green growth and our struggle against climate change through its relationship with energy.”

Some researchers explained ecotourism as a sustainable tourism model that generates acceptable incomes and employment opportunities for local communities, while providing the tangible economic aspect of conservation by general decline in farming activities, offering educational awareness of nature and providing diverse cultural experiences (Wunder, 2000; Palmer, 2006; Fung & Wong, 2007; Stronza, 2007; Libosada Jr, 2009; Pfueller *et al.*, 2011).

Resource, community and tourism are three elements of ecotourism. The relationship between these elements causes ecotourism success or failure (Ross & Wall, 1999). Each component has a stakeholder.

Visitors are considered one of the main stakeholders in the area of ecotourism (Tsaur *et al.*, 2006), with an effective role in the industry growth and improvement. Their satisfaction resulting from visitation of ecotourism sites and later revisiting the area and recommending the site to others are tools for the sustainable development of ecotourism in an area. Recent studies found that ecotourism developers and entrepreneurs need innovativeness and creativity as it is a fast growing industry that supports different visitors (Asadi & Kohan, 2011; Selby *et al.*, 2011).

The economic impacts of tourism development were investigated in several studies (Jurowski *et al.*, 1997; Yoon *et al.*, 2001; Gursoy *et al.*, 2002; Sirakaya *et al.*, 2002; Andereck *et al.*, 2005; Nunkoo & Ramkissoon, 2011a; Nunkoo & Gursoy, 2012). Most of these studies explored the perception of local or host communities towards tourism or ecotourism development, but a few researchers consider visitor attitudes (Arabatzis & Grigoroudis, 2010; López-Mosquera & Sánchez, 2011) or include both visitors and locals in the study (Hearne & Santos, 2005). Byrd *et al.* (2009) suggested that community planners and management organisations need to communicate with the visitors as well as local communities to deal with different perceptions and needs of each group. From another point of view, studies mostly focused on the impacts effect on the quality of life rather than intention to support ecotourism development.

Many researchers have focused on the beliefs or perception of local people

towards ecotourism development (Harrill, 2004; Lepp, 2007; Zamani-Farahani & Musa, 2008; Gursoy *et al.*, 2010). Dyer *et al.* (2007) in their proposed model of residents' perception of a coast in Australia, indicated that the perceived positive economic impact factor had the largest influence on residents' support for further tourism development. However, very little research involves visitors attitudes (Buckley, 2004; Arabatzis & Grigoroudis, 2010).

Iran, as one of the earliest civilisations of the world, has lots of natural, historical and environmental potential for ecotourism development. Many people from cities spend their holidays in natural areas just to enjoy the landscape.

Based on the Strategic Development Plan, Alamout area is considered one of the priorities for the development of tourism in the Qazvin province (Qazvin Government, 2010). In the cultural sector of this plan, heritage conservation is emphasised by improvement in Alamout native celebrations such as harvesting of horticultural crops (hazelnuts, cherries and blueberries). There are also discussions for strengthening of the Alamout Cultural Heritage Base (ACHB), registration of Cultural Landscape of Alamout in the United Nations Educational,

Scientific and Cultural Organization (UNESCO) and promotion of local industries such as weaving rugs through education and investment support (Qazvin Government, 2013).

However, there are some limitations and barriers to developing ecotourism. One of the most critical problems is lack of information on visitors' attitude, their behaviour and needs. This kind of information could create better understanding for the managers of an area to develop ecotourism in a sustainable way. In the case of Iran, there is a dearth of adequate data to show visitor perceptions of ecotourism impacts, their intention to revisit and their support for ecotourism development.

This study focused on visitor support of ecotourism development by investigating two main questions. The first was whether there was a relationship between visitor perception of the economic impact of ecotourism development and their intention to revisit the area and their satisfaction of visit. The second was the extent of visitor perceptions of economic impacts that could affect their support for ecotourism development. The detailed hypothesis model of this study is illustrated in Fig.1.

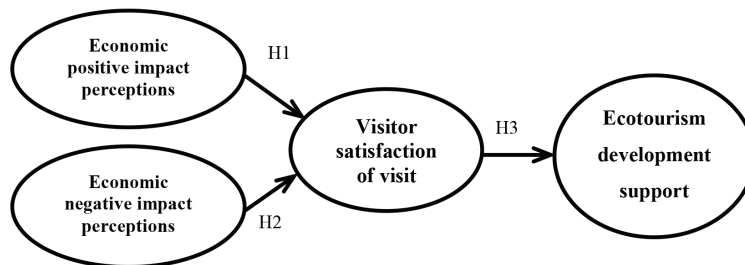


Fig.1: Hypothesis model.

LITERATURE REVIEW

Economic Impacts

Economic impacts are directly related to the life of the local people and provide great effect on ecotourism growth or decay in the area. Many researchers have attempted to find these impacts and lots of items have been derived from the literature. A description of positive and negative perceptions of ecotourism development and its economic impacts are expressed in the following paragraphs.

Ecotourism development could bring more positive economic impacts to an area. These impacts are mostly related to economic benefits from visitors to the residents of the local community (Yoon *et al.*, 2001; Tsaour *et al.*, 2006; Byrd *et al.*, 2009; Andereck & Nyaupane, 2011). However, there are some negative impacts such as increase in prices of goods, services and real estate (Pizam, 1978; Perdue *et al.*, 1990; Yoon *et al.*, 2001; Haley *et al.*, 2005; Nunkoo & Ramkissoon, 2011a, 2011b; Nunkoo & Gursoy, 2012).

Several studies have attempted to explain how ecotourism development affects new job creation (Pizam, 1978; Yoon *et al.*, 2001; Huh & Vogt, 2007; Byrd *et al.*, 2009; Andereck & Nyaupane, 2011). For instance, Nunkoo and Gursoy (2012) found that tourism development produces new occupations that are different from traditional resource-based industries of locals. From another point of view, the presence of visitors in the area can increase employment opportunity in both existing and newly created jobs (Pizam, 1978;

Haley *et al.*, 2005; Choi & Sirakaya, 2006; Lai & Nepal, 2006; Tsaour *et al.*, 2006; Byrd *et al.*, 2009; Nunkoo & Ramkissoon, 2011a; Nunkoo & Gursoy, 2012). In their study, Andereck and Nyaupane (2011) confirmed that employment had a strong effect on personal benefits from tourism for the residents of Arizona.

Some researchers have confirmed that ecotourism development can raise the income level of residents (Pizam, 1978; Tsaour *et al.*, 2006; Byrd *et al.*, 2009; Nunkoo & Gursoy, 2012). These studies explained that tourism activities generated more profits for the local communities. Other studies also have found that ecotourism development directly affected the local life and increased the host community standard of living (Pizam, 1978; Yoon *et al.*, 2001; Andereck & Nyaupane, 2011; Nunkoo & Ramkissoon, 2011a, 2011b; Nunkoo & Gursoy, 2012).

Some other studies emphasised that tourism development could induce more economic investment (Nunkoo & Gursoy, 2012; Nunkoo & Ramkissoon, 2011a; Yoon *et al.*, 2001). Dyer *et al.* (2007) pointed out that 88.6% of respondents in the Sunshine Coast, Queensland, Australia agreed tourism would attract more investment in the community. However, if only non-local investors are attracted to the area it can cause negative impacts on the local communities (Choi & Sirakaya, 2006; Nunkoo & Ramkissoon, 2011a).

Discussions with top managers of the area emphasised local natural products which could affect the economic impacts of

ecotourism development. These products consisted of a wide range of goods from natural honey to felting (Choobak, 2011). Similarly, local products and services were considered in Wood's (2002) study as some of the improvement efforts made for community entrepreneurial involvement in ecotourism. Therefore, a new item, "improves the local natural products" was introduced and added to the questionnaire.

Intention and Support

As explained by Fishbein and Ajzen (1975), intention to perform a behaviour is a result of positive perception or attitude towards it. In other words, attitude has an influence on the intention to perform behaviour and in the end, influences actual behaviour. The theory of reasoned action (RA) and the theory of planned behaviour (TBH) define the relation between intention and action. Based on these theories, the degree of intention to involve in activity is an index for taking an action directly (Montano & Kasprzyk, 2008).

However, the social exchange theory (SET) explains why people are willing to take an action. Andereck *et al.* (2005) proposed that SET could describe resident support of tourism development based on their investigation of the advantages and disadvantages. Other researchers found that local communities express a more positive attitude towards tourism when they receive some kind of benefits from it (Harrill, 2004; Byrd *et al.*, 2009; Nunkoo & Ramkissoon, 2011a). Visitors' behavioural attitudes are crucial to the

sustainable tourism destination as they provide the main source of income to the local community by using local products and services (Sievänen *et al.*, 2011).

From the other point of view, visitor satisfaction is a critical aspect of sustainable ecotourism. Satisfied visitors are the engine of ecotourism development (Ayotte, 2009; Arabatzis & Grigoroudis, 2010). Satisfaction implies the feelings of a person in a particular situation or attitude towards various factors that affect the situation (Wixom & Todd, 2005). Taplin (2013) explained that visitors' overall satisfaction is typically measured with Likert scale measures that express their agreement through "satisfied" or "pleased" statements. He suggested that the response to this overall satisfaction is made by making virtual comparisons between visitors' expectations. Brida *et al.* (2012) argued that visitors' intention to return and recommend are positively affected by visitors' overall satisfaction in the cruise sector. In a case study of a heritage site in Taiwan, "I enjoyed my visit" and "I will recommend the site" were identified as critical features for predicting visitors' intention to revisit the site (Wang *et al.*, 2010). Meanwhile, a study on rural areas in North Dakota by Phillips *et al.* (2013) applied "intent to return" and "make recommendations to others" in order to derive visitors' behaviours in relation with destination image and overall satisfaction.

Several studies have been carried out to find support for tourism development. They used variables such as facilities (for

example; access road, camping area) social and cultural attractions (such as handicrafts museum, local festivals) (Jurowski *et al.*, 1997; Yoon *et al.*, 2001). Others focused on necessity of community organisations' role in future planning for tourism growth

(McGehee & Andereck, 2004; Choi & Murray, 2010). However, these studies were focused on the point of view of local communities rather than on that of visitors. A summary of intention and support items are presented in Table 1.

TABLE 1
Items for Intention and Support

Items for visitor satisfaction
I intend to revisit the Alamout area.
I will travel to Alamout during the next year.
I will recommend visiting the Alamout area to my friends and relatives.
I am satisfied with my trip to this area.
Items for visitor support of ecotourism development
Tourism organisations of Iran should plan and manage the growth of ecotourism in the area.
I support establishing a museum, handicraft exhibitions and traditional festivals for ecotourism development in the area.
Ecotourism development has a vital role in the future of the community.
I support establishing and supplying infrastructure (road, drinking water,..) for ecotourism development in the area.

Adapted from (Arabatzis & Grigoroudis, 2010; Jurowski & Gursoy, 2004; McGehee & Andereck, 2004; Weaver & Lawton, 2011)

METHODOLOGY

In this study, the economic impacts items were derived from the literature in order to find appropriate items for the area (Pizam, 1978; Tsaur *et al.*, 2006; Dyer *et al.*, 2007; Byrd *et al.*, 2009; Andereck & Nyaupane, 2011; Nunkoo & Gursoy, 2012). Then, discussion sessions were conducted with top managers of organisations dealing with ecotourism development both directly or indirectly. Finally, those impacts that were more suitable for the area were selected and involved in the survey.

Later, a questionnaire was designed in three parts for the data collection: (i) the visitors' perceptions of economic impacts of ecotourism development in the area, (ii) the intention to revisit and visitors' support for ecotourism development, and (iii) to collect demographic data. A summary of the methodology is depicted in Fig.2.

Structural equation modelling (SEM) was used to find the relationships between the items and their high level latent variables using the AMOS statistical package.

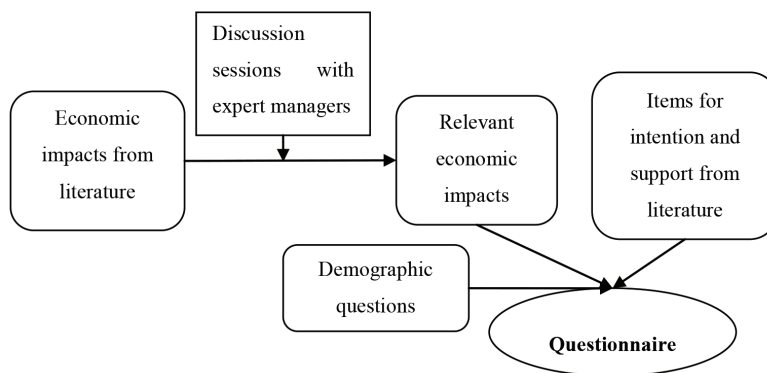


Fig.2: Summary of methodology.

Sampling Method

To select a reasonable sample size Hair *et al.* (1995; 2006) claimed that the acceptable ratio of respondents to the estimated parameter should be 1:5. In the main study, which this paper was a part of that, there were 42 variables, so the minimum number of samples was 210. A total of 250 questionnaires were distributed to the visitors in order to ensure adequacy of the completed survey. The survey was conducted during June to September 2011, which included the peak tourist season in the area. In order to collect normal random data, the sampling method was designed as below.

The average numbers of total visitors to Alamout castle were 99,373 people per year,

with most of them visiting the area during the first six months of the year (ACHB, 2010). Therefore, on the first and third Friday and fourth Tuesday of each summer month, questionnaires were given randomly to each fifth visitor at the entrances of Alamout castle and Ovan Lake. The completed forms were collected at the exit.

Study Area

Alamout is located in the north east part of Qazvin province, Iran. The area is well-known for historical castles and beautiful natural landscapes. This study focused on four famous sites: Alamout castle, Ovan lake, Zarabad bleeding tree and Andej valley.

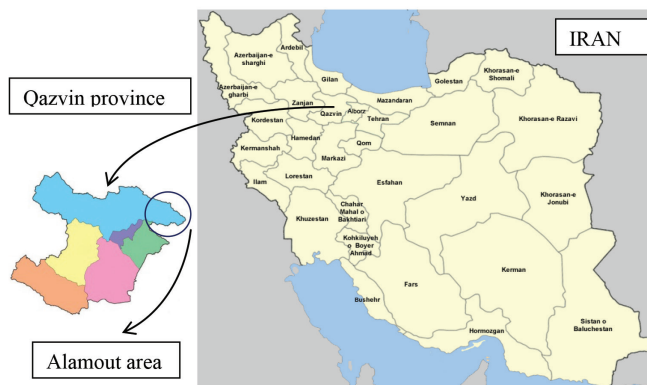


Fig.3: Qazvin province and Alamout location in Iran.

RESULTS AND DISCUSSION

Response Distribution

Nearly one third of the 236 visitors who filled up the questionnaire were female (31.4%) while 68.6% were male. The mean of respondents' age was 36, while the youngest was 11 and the oldest was 87 years old. The majority of the respondents were married (68.8%) while 31.2% were single.

The economic impacts of ecotourism development that were included in this study involved 12 items: seven positive and 5 negative impacts. Descriptive results indicated that the respondents were almost equally agreed with regards to ecotourism's economic positive impacts and its negative impacts. However, for a few items such as "Encourage the import of non-local products" visitors who responded to this question were more likely to choose neutral, due to uncertainty or lack of information about the item.

Among positive impacts, the majority of respondents perceived that ecotourism development created more jobs, brought economic benefits and generated employment opportunity for the residents. A total of 96.2%, 95.3% and 93.6% of the respondents agreed with these three items, respectively. These items had a direct effect on the economy of local community. Visitors considered new job opportunities, such as providing accommodation and food for tourists or tour guide services, as most important impacts of ecotourism development in the area. However, the current occupation of locals, such as farming and gardening would also improve and bring more benefits during tourist high seasons when they intended to buy local products.

Most respondents agreed or strongly agreed that ecotourism development had a positive economic impact based on "Attract economic investment", "Raise the resident income level" and "Increase the level of resident's living" with a total of 92.4%, 87.7% and 82.2%, respectively. The statement related to "Improve natural local products", which was confirmed during the expert managers' discussion, also had the support of 78.4% of the respondents.

Negative economic impacts were shown to have a complex mix of high agree and disagree items. While the majority of respondents were selecting agree or strongly agree for "Increase the real estate prices" (90.3%), their response to food shortage expressed greater disagreement. The visitors highly perceived that ecotourism development would "Attract non-local investors" and "Increase in the price of goods" with a total of 85.6% and 71.2%, respectively.

Some of the items were neither agreed nor disagreed and respondents preferred to select neutral for them. A total of 58.5% of respondents selected disagree or strongly disagree for "Inadequate food resources". The last negative economic item was "Encourage the import of non-local products", for which nearly half of the respondents (46.2%) selected neutral due to uncertainty about agreeing or disagreeing with this impact.

Visitors' intention was defined by four items and the item that was most agreed was "Recommend to family and friends" (89.8% agreement), followed by "Tend to visit again" and "Satisfy with my

trip” which 82.2% and 77.5% of visitors agreeing and strongly agreeing. In other words, visitors were more likely to revisit and recommend the Alamout area.

In the support section, visitors highly supported “establishing infrastructure” with 75.8% agreeing and strongly agreeing. They also highly agreed with “establishing local museum and festivals” (65.3%). The next two items were accepted by more than half of the respondents; “Tourism organisation plans” and “have a vital role in future” received 64.4% and 63.1% agreement, respectively. Table 2 provides the results of visitors' mean and standard

deviation score for ecotourism economic positive and negative impacts, intention and support.

Analysis of Structural Model

For each of the above mentioned factors, the first order of confirmatory factor analysis was conducted and items with factor loading less than 0.30 were removed (Jöreskog, 1993; Yoon *et al.*, 2001)2001 to achieve acceptable model fit indices. After this process, five positive and two negative economic impacts and three items for each of the satisfaction and support factors remained. Fig.4 shows the structural model and related correlation and fit indices.

TABLE 2
Measurement Items for Variables

Factors and Items	Mean	Standard Deviation
Positive economic impact perception		
1 Creates a variety of jobs for local people	4.3390	0.5939
2 Brings economic benefits to the residents	4.3305	0.6595
3 Creates employment opportunities for local people	4.2627	0.6514
4 Attracts more economic investment	4.1695	0.6162
5 Increases the standard of living in local community	4.0890	0.7913
6 Raises the residents' income level	4.1186	0.6545
7 Improves the local natural products	3.9619	0.9101
Negative economic impact perception		
1 Increases in the price of goods and services	3.8008	0.9623
2 Leads to inadequate food resources	2.9873	1.1687
3 Increases the real estate prices	4.1483	0.7432
4 Attracts non-local investors	4.0551	0.7781
5 Encourages the import of non-local products	3.3729	0.9340
Satisfaction of visit		
1 Tend to revisit	4.0551	0.8411
2 Travel again in one year	3.1949	1.1166
3 Recommend to family and friends	4.2839	0.7662
4 Overall satisfied	4.0424	0.8838
Support for Ecotourism development		
1 Tourism organisations of Iran should plan and manage for the growth of Ecotourism	3.8008	0.9711
2 I support establishing a museum, handicraft exhibition and traditional festivals for ecotourism development	3.7331	0.9635
3 Ecotourism development has a vital role in the future of the community	3.6907	0.9001
4 I support establishing and supplying infrastructure (road, drinking water,..) for ecotourism development	3.9788	0.9291

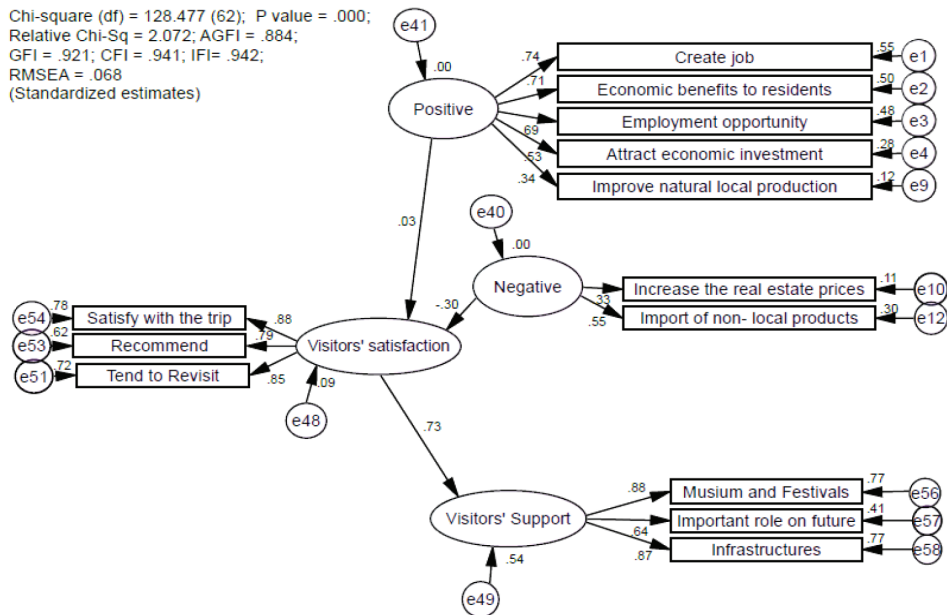


Fig.4: Structural model for visitors’ perception, satisfaction of visit and support for ecotourism development.

As can be seen from Fig.4, there was a significant negative relationship between visitors’ negative economic impact perceptions and their satisfaction of visit ($\beta=-0.30$, $p=0.05$). There was also a weak positive relationship between visitors’ positive economic impact perceptions and their visit satisfaction. However this relationship is not statistically significant ($\beta=0.03$, $p=0.735$). The relationship between visit satisfaction and support for ecotourism development was strongly positive and statistically significant ($\beta=0.73$, $p=0.000$).

CONCLUSION AND SUGGESTIONS

Economic impacts were directly affected by locals’ job occasion and income level. Visitors expressed that creating job and employment opportunity, which can

generate economic benefits to residents, were the highest perceived economic impacts of ecotourism development in the Alamout area. These items were confirmed in several studies, which are discussed in the literature review. For instance, in his recent study, Lee (2012) pointed out that tourism-related employment for local residents generated benefits and as a result, local residents would be more likely to support sustainable tourism development.

As mentioned earlier, “Improve natural local products” such as pure natural honey, special black cherry and hazelnut and local dairy was highlighted by managers during discussion. The majority of visitors agreed with this item. The area of Alamout is well-known for tasty fruit such as cherry and hazelnut and local dairy products such as butter and cheese. The visitors

were agreed that ecotourism development would promote local natural products. This improvement would increase the income and living level of residents. The results of the study by Nicholas (2010) also confirmed that most visitors agreed that purchasing local products and services was very important.

The results showed that respondents were highly concerned about increasing the price of land and houses in the area. This scenario occurred in other tourist areas in Iran, for example, the increased attention to build a villa in the mountain area in North of Iran has led to accelerated growth of land and property prices (Jahan Aray, 2013). This trend of changing agricultural land to residential areas has changed the way of life of locals as well. Locals prefer to earn money by selling their agricultural lands to non-local investors rather than retaining the land for cultivation and gardening. This in turn has caused a reduction in agricultural products (Mashregh, 2014). The balance between visitors' demands and the need to conserve local culture is an important issue to consider in planning ecotourism development in the area.

Referring to the study questions, the results of the structural models pointed out that visitors' negative perception of ecotourism development economic impacts would affect their intention to revisit and recommend the area. On the other hand, visitors were less likely to revisit or recommend the area to others when they had a negative perception of ecotourism development impacts.

Visitors to the Alamout area expressed their high support of ecotourism development. They indicated their agreement with improving infrastructure (such as road and accommodation) and establishing a museum and performing festivals. They believed that ecotourism has a vital role in the future and therefore, tourism organisations should plan for ecotourism development.

Based on the findings of this study, the authors suggest that ecotourism development in the Alamout area should consider:

- (a) local products as a great potential to improve the economy of the local community
- (b) monitoring and controlling of the price of land and houses
- (c) visitors' concerns and interests for developing ecotourism
- (d) establishing an attractive museum to promote small local industries

A possible limitation of this study may have been the social desirability concept. The respondents tried to express more acceptable behaviour while they were under observation and therefore responses may have been biased towards socially acceptable results.

This study was done in the primary stage of ecotourism development in the area. A suggestion for future studies would be to conduct a comparison of visitor satisfaction of visit and intention of support in further developing stages.

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Credibility at Stake: Seeking the Truth in Ian McEwan's Atonement

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ABSTRACT

Ian McEwan is one of the modernist writers who utilises new and uncommon ways of narrating. We find him dealing with history, wars and social themes, all knitted together in a manoeuvring way. The unreliable narrator, a technique he employs, is an innovation first seen in the modern era in Wayne C. Booth's 'The Rhetoric of Fiction' in 1961. McEwan's employment of this technique is an issue needing further analysis. In 'Atonement', his character Briony, who is still a child, narrates parts of the novel but her narration is questioned, for she might not be truthful or honest. Her being unreliable adds much to the novel and affects the fates of her sister Cecelia and the latter's lover, Robbie. It is not only a matter of telling the story, it also interferes in the discourse of the action and propels the events in a different direction. As a result, it seems dubious to give the role of talking to a character (Briony) to narrate and cope with events, and so her telling is questioned to a certain extent because the events she narrates are deceitful on the one hand, while on the other, she is too young and hard to be trusted. The present paper attempts to read 'Atonement' from a new perspective and show what is meant by an unreliable narrator and how this technique is employed. How significant is the technique in terms of recounting the events in a piece of fiction? This paper illustrates the significance of the aforementioned technique, which adds new understanding to the reading of McEwan's 'Atonement'.

Keywords: 'Atonement', credibility, Ian McEwan, narrative technique, unreliable narrator

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INTRODUCTION

The technique of narration is a vital element that heightens the success or failure of a literary work. Consequently, it is the writer's task to target a successful outcome, and this is mainly attained via the

ways employed to convey meaning to the reader. Hence, it is a matter of both using words and how they are used, and in which ways. Since words are available to any person, communicating them to the hearer or reader is a practice that elevates a work and gives it its fame and label.

Sometimes, writers use first- or third-person narration and employ what might be called the ‘unreliable narrator’ technique in their fiction with certain aims in mind. The unreliable narrator is a technique first discussed in the 20th century by the American theorist Wayne Booth (1983) in his masterpiece ‘The Rhetoric of Fiction’, in which he presents, defines and shows the validity and significance of this newly rediscovered technique because it has roots in the 18th century. Booth discusses this issue extensively, stating: “For lack of better terms, I have called a narrator reliable when he speaks for or acts in accordance with the norms of the work (which is to say, the implied author’s norms), unreliable when he does not” (pp.158–159). That is, every literary work has an intended voice under the surface which represents the implied author, who in turn represents the real author. In the course of events, the writer intentionally creates this atmosphere of struggle between the implied author, who usually personifies the natural and acceptable flow of events, and the narrator, who tries to market his version. In this sense, a narrator who complies with the implied author is considered reliable and the one who does not is unreliable.

When the narrator does not comply with the rules and norms of the implied author, then he is unreliable. That is, when we find certain claims or acts that do not comply with the current of events or work against the characters, and this can be felt, then we question the narrator’s credibility; the writer can communicate to us that this narrator is reliable, or not, in many ways that will be described later.

Before delving into the category of unreliable narrator, we should consider other types of narrator who share some qualities with the unreliable narrator. The ‘inconscience’ (unconscious) narrator, according to Booth, is one who is mistaken or believes himself to have characteristics that the author abstains from granting him (p.151). Another kind incorporated by Booth is the ‘untrustworthy’ narrator, who has a great effect on the work he relays, which consequently leads to its transformation. The last kind is the fallible narrator, which will be discussed later. All these variations have a degree of unreliability although each one has a distinctive characteristic that is decided by the literary text according to which it is categorised.

Because of the confusion generated over the un(reliable) narrator, the implied author and the fallible narrator, we will try to consider some pertinent definitions of these terms. Before doing so, we should credit the technique of ‘unreliable narrator’ not to Booth, but to his compatriot Charles Brockden Brown (1771–1820), who is considered to be one of the first American

writers to discover, but not coin or theorise, the term (Gray, 2004, p.97). Edward Quinn (2006), in 'Dictionary of the Literary and Thematic Terms', says that a reliable narrator is defined as one whose accounts do not raise the suspicions of the reader, while an unreliable one may be suspect for many reasons e.g. the lack of sophistication and/or sanity (p.279).

David Lodge (1993), in 'The Art of Fiction', argues that unreliable narrators are invariably invented characters who belong to the stories they tell. The unreliable narrator is a contradiction in terms and can only exist in a deviant and experimental text (p.154). Many critics have their own perspective of the unreliable narrator as a technique, but in the end they come to the same conclusion. In 'Dictionary of Narratology', Gerald Prince (1987) defines the term as a narrator "whose norms and behaviours are not in accordance with the implied author's norms" i.e. a narrator whose values, judgements, moral sense and taste diverge from those of the implied author (p.101).

Other critics, like Monika Flaudernik (2009), claim that there are some cases in which narrators do not aim to be unreliable; rather, they are put in a particular situation because of their distorted view of things. There are other cases in which the narrator is too naive or simple-minded to have the ability to describe accurately what happens (2007, p.161), like the case of Briony Tallis in Ian McEwan's 'Atonement' (2002).

The views of critics vary concerning the reasons why writers employ unreliable

narrators. What significance might this technique add to the literary canon? Lodge refers to the reasons underlying employing this technique, contending that the point of using it is to reveal a gap between what is real and what is hidden by revealing people's ability to distort or conceal the truth (1993, p.155). The reasons for unreliability may also include the narrator's short-sightedness, limited knowledge or personal involvement. Such narrators may incorporate false accounts through their unreliable reporting of facts, which is what happens in the course of 'Atonement', in that Briony reports the false facts that sent Robbie to prison and his death later. Unreliable evaluation leads to misinterpretation of what is there, like the library scene in 'Atonement', and we will look at this in more detail later.

Sometimes unreliable narration is noticed through the writer's intention and will to direct the reader and his attention towards false narration, especially in first-person narration, says Monika Flaudernik, such as seen in many short stories by Edgar Allan Poe. In these cases, narrators cast suspicion upon themselves by constantly claiming to tell the truth, the whole truth and nothing but the truth (2009, p.28). That the reader should infer unreliability in a text is made clear through syntactic indications, such as "incomplete sentences, exclamations, interjections, hesitations, and motivated repetitions" (Phelan & Rabinowitz, 2005, p.104). These indications are stylistic expressions of subjectivity that clearly refer to a high level of emotional

involvement. Henceforth, they supply the reader with adequate clues and signs to process the narration as unreliable along the axis of facts, events or that of knowledge and perception.

Depending on intuitive judgement is another way to determine unreliability because of the availability of a wide range of signals that help the reader to gauge the narrator's credibility. Such expressions and sentences are adopted and thought of as something that might be considered untrue. Thus, the narrating of the text is to be questioned because it could be unreliable and narrators sometimes diverge from telling what is instructed by the implied author, which is what Seymour Chatman confirms by saying that the divergence of the values of the narrator from those of the implied author is what really constitutes unreliable narration. The reader becomes suspicious of what is said because the norms of the work conflict with the narrator's presentation, and so we doubt his/her sincerity or competence to give the "true version" (1978, p.149). Hence, we can say that the reader has to go on a journey to discover the true, though fictional, 'facts'. This journey involves

what the implied author intends to say and the reader's attempt to understand what is being said. By the same token, we find interference from the unreliable narrator, which can be traced and discovered by the reader, no one else. Fig.1 represents such a journey.

It is the reader's responsibility then to infer what is wrong and what is right, and this can easily be achieved via the techniques offered by the writer to warn the reader about being misled. From Fig.1, we can see that a mutual understanding must be achieved between the implied author and the reader. There are messages conveyed between them that reveal the narrator's unreliability and deception.

In 'The Rhetoric of Fiction', Booth alludes to an implied author even before theorising what constitutes an 'unreliable narrator'. A relationship between the two is revealed, requiring the reader to perceive and understand the hidden meaning of the unreliable narrator by reading between the lines to arrive at the implied author's intentions. According to Booth, the implied author is the real author's 'second self', who appears in the novel and is an interpretation, an implicit one, linked to the

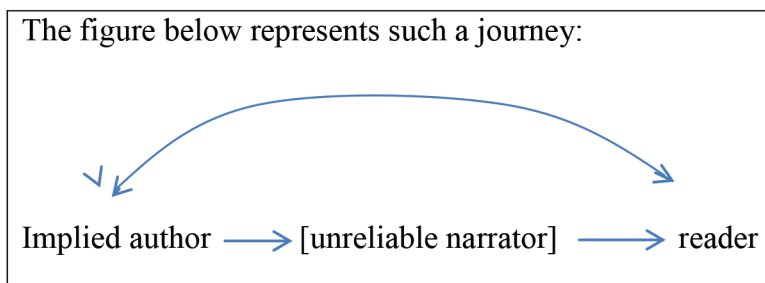


Fig. 1: Discourse or medium of narration.

real author behind the scenes (p.151). The implied author is usually different from the real man/woman who writes the novel, whom Booth calls the flesh-and-blood author while he/she is different from the narrator.

Peter Rawlings (2006), in 'American Theorists of the Novel', refers to the real relationship between implied author and reader, saying that the former communicates with the latter, even though it seems like a "séance at times"; and in some novels we find the implied author leading the reader by the hand and accompanying him through the maze of the story (p.65). He is thus not neutral if siding with the reader and saving him from the plotting of the unreliable narrator. According to Phelan and Rabinowitz, the implied author is not a product or structure of the text but rather the agent who can be held responsible for generating the text and bringing it into being (2005, p.99).

In accordance with the above, we think that the implied author is a kind of a creation incorporated by the writer and reader as well. It cannot be created solely by the writer, neither can it be developed by the reader acting alone. The reader helps a lot in constructing the implied author's existence through his awareness of the tools employed by the writer to bring the implied author into being. If we encounter a simple-minded or inexperienced reader e.g. a young reader who does not read much, who perhaps normally only reads newspaper articles, this kind of reader would never be able to sense that there

is unreliable narration going on, and consequently would be blind to the presence of an implied author lurking in the text in his hands. Thus we agree with Booth that the implied author is an invention by what he terms the 'blood-and-flesh author', but we think that what the latter creates could not be activated without the awareness and consciousness of the reader.

UNRELIABILITY OR FALLIBILITY?

When talking about unreliability, a new term appears, namely, fallibility. To be fallible is to make a mistake, albeit unintentionally. Fallibility appears as a result of a certain natural defect in one's character. Consequently, it means an imperfection or shortcoming, or simply a failure. Fallibility is misconceived of sometimes and considered equal to unreliability, though it is only a side-effect of unreliability in comparison with untrustworthiness or 'inconscience', to use Booth's terminology. In this regard, to be unreliable means to do harm to other characters, as in the case of Briony, while being fallible is unintentional and innocent, as in the case of Huck Finn in Twain's 'Huckleberry Finn' or Quentin Compson in 'The Sound and the Fury'. According to Booth, fallible characters are those who have a limited view of events, short-sightedness and an inability to comprehend the world of the novel in accordance with the omniscient narrator's ideals.

Often, fallible narrators do not report narrative events reliably, since they are mistaken in their judgements or perceptions,

which could be biased. According to Olsen, this kind of narrator's perception can perhaps be impaired because of their being a child, having a limited education or little experience. Consider, for example, Huck Finn or Marlow in Joseph Conrad's 'Lord Jim, whose reports seem insufficient because their source of information is biased and incomplete (p.101). Opposite to fallible 'inconscience' or untrustworthy narrators, we encounter the truly unreliable narrator as represented by the character of Briony in McEwan's 'Atonement', as will be shown in the following pages.

UNRELIABILITY IN 'ATONEMENT'

'Atonement' is a highly appreciated work of fiction written by Ian McEwan. The text is a mosaic of techniques, themes, history and literary style. Historically speaking, 'Atonement' follows, in certain respects, the style of Virginia Woolf and D. H. Lawrence, especially in its second half. We find McEwan dragging the reader, as in Woolf and Lawrence, to the past in the 1940s of the last century and the battles in England and France. He opens the novel with the Tallis family where the hero Robbie, the son of the Tallis' cleaning lady, was present as an educated person provided for by Mr. Tallis. Cecelia Tallis, who took her education with Robbie, never hid her animosity and irreconcilable attraction, which was strengthened later. Cecelia's sister, Briony, interferes in this relationship and incriminates Robbie whether deliberately or not, in an act of violence against her cousin Lola Quincey,

who has come recently to their estate. After being jailed for this alleged crime, Robbie is released conditionally to join the army and he dies there away from his beloved Cecelia, who has found her solace in a nurse vocation and dies in the blitz. Briony sends Robbie and her sister to their deaths and destroys their relationship. Trying to atone for her motiveless crime, she later scripts the whole story and fictionalises a meeting between the lovers at the end. Briony's unreliability in narration and actions are evident in this novel.

Briony Tallis is a young girl of thirteen. She has a critical eye and has proven her talent as a mature person since an early age. Now she is a writer, a *dramatist*, who can write, act and do many things. On the first page of 'Atonement', Briony is introduced as the writer of 'The Trails of Arabella', a well-written play that her mother describes as "stupendous" (p.4). She is shown to be a mature person with many abilities and a developed mentality. Her brilliance and ripe character are demonstrated not only in her having written a play, though her aim in writing it is a very mature one. The play is meant to be presented in front of her brother, to celebrate his return, "provoke his admiration and guide him away from his careless succession of girlfriends, towards the right form of wife" (p.4). Nevertheless, she can be considered naïve or simple-minded in certain instances because of her misinterpretation of subsequent scenes.

Briony's reliability as a narrator in this article is questionable. Some critics or readers might excuse Briony and describe

her as a fallible narrator. But, she might be considered unreliable, which is what we support, in her narration due to her youth, naivety and simple-mindedness. In addition, an element of jealousy from her sister Cecelia might be considered as well. All these elements together can easily blind a person and propel him to act in a way different from what the implied author plans or expects, which consequently produces unreliable narration. Booth equates fallible narrators to 'inconscience' ones, but this cannot be applied to Briony's character. Even though they have the same age, Twain's unreliable (fallible) narrator Huck Finn cannot be compared to Briony because, despite Huck being smart and likeable, says Olsen, his perceptions are mistaken due to his youth, his ignorance of facts, his superstitions and his literal understanding of shallow moral norms (p.102). To determine a narrator's fallibility, we as readers should enquire into the extent to which the narrator misunderstands the information he receives, and notice if the narrator makes mistakes regularly.

Briony's unreliability can be easily traced in her fictionalising the scenes and accepting what she visualises as real facts. Through her we learn how it is easy to turn the confusing actions into real facts and believe in it. Her imaginations reach the peak when she interprets the fountain scene in which Robbie and her sister Cecelia are both present. When the couple meet at the fountain, Robbie mistakenly breaks the vase Cecelia was carrying and a fragment falls into the basin of the fountain. Cecelia

strips off her clothes and goes in to bring up that broken piece. Briony's misconception of the event leads her to think of this situation in a totally different way and far from reality. She narrates "at his [Robbie's] insistence she was removing her clothes, and at such speed ... what strange power did he have over her? Blackmail? Threats?" (p.36). In fact, it is not Robbie's effect or threat that pushes Cecelia to remove her clothes, it was her own will as the implied author confirms in a different place "... well, she would show him then. She kicked off her sandals, unbuttoned her blouse and removed it, unfastened her skirt and stepped out of it and went to the basin wall" (p.28). Hence, the different versions of Briony's narration and that of the implied author reveal Briony's unreliability in this scene early in the novel.

Untrustworthy narrators often contradict themselves constantly or declare their insanity later. In this case, it is the reader's job to do more questioning in order to make sure that this narrator is untrustworthy. Briony could, in some scenes, be labelled as untrustworthy, according to Booth's definition. After declaring that Robbie is the rapist and when she is interrogated by the police officer, her untrustworthiness clearly surfaces:

"You saw him then."

"I know it was him."

"Let's forget what you know. You're saying you saw him."

"Yes, I saw him." (p.169).

This contradiction or hesitation proves her to be untrustworthy. Her being

uncertain over seeing Robbie, or not, as the rapist rings a bell in the mind of the reader and only adds to the suspicion urging the reader to stop, re-evaluate and judge again if this is really what happened, or if there might be another version of the story.

However, Olsen thinks that it is possible for narrators to move from being untrustworthy to fallible in the course of the narration, as this transition applies to all narrators traditionally labelled unreliable (p.104), although this shift does not occur in Briony's case as she moves from being untrustworthy to unreliable in the course of the novel.

Lola Quincy is Briony's cousin, whose rape proves Briony to be an unreliable narrator who changes the course of events in the novel by inventing new destinies for the lovers Robbie and Briony's sister, Cecelia. The implied author is strongly present in Lola's rape scene, trying to offer the reader the correct version of the story rather than Briony's attempt to criminalise Robbie with her false account. In this scene she is neither fallible nor untrustworthy, because she has no certainty that the rapist is Robbie. After the act of rape, Briony is the first person on the scene, with Lola saying, "now the *figure* reappeared [my italics]" (p.154). What she saw is just a "figure", as yet undefined. And she "heard his footsteps" (p.155), assuring herself that these footsteps were Robbie's and no one else. Her blurred vision and disturbed state lead her consequently to the misconception of considering Robbie as the rapist even though she has no real evidence. These

contextual signs are deliberately employed by the implied author to help the assumed reader get a clear version of the story.

Briony tries hard to promote her belief that Robbie is the attacker by depending on previous events that she has misinterpreted. Due to her naivety or jealousy, she builds her account on false evidences she visualises as in the rape scene, which is defined by Eva Mauter (2004), a critic, as "Briony's crime" (p.34). She starts interrogating Lola with questions she has already prepared answers for: "who was it" (p.155); and at the same time she answers, "I saw him" (156), and confirms this twice. Syntactic indications, as mentioned earlier, refer to unreliability, like "motivated repetitions" (Phelan & Rabinowitz 2005, p.104), and this is clearly present in Briony's expressions. In this scene, Briony assumes, though it is not confirmed, by asking Lola "it was him, wasn't it?" (p.155); then she makes her final judgement, "it was Robbie" (p.156). She convinces herself gradually, first with the figure, then with his steps; after that she confirms her having seen him until, in the end, she confirms the name. She is sure about this fact and the complexity of the situation; and the impossibility of disproving her makes it worse because there is no other witness to the rape, only her foggy misinterpretation.

Briony's unreliability is debateable to a certain extent, it would be unjust to incriminate her as a deliberate falsifier of events with cruel intentions. The implied author portrays her as old enough to act as a mother figure to Lola in her distress. She

addresses Lola, who has been hurt by her two brothers on a previous occasion, saying “[T]hey just don’t understand ... They’re just little kids” (p.111). Her rationality and mature behaviour reveal her as an adult who can discern what is wrong and right very clearly. But we should emphasise that her misreading of the scenes, and her deliberate scripting of Robbie as the rapist without being conscious of the catastrophic consequences of her claims can also suggest naïveté rather than planned malice.

Briony’s unreliability begins early, at the very beginning of the blossoming relationship between Robbie and Cecelia. Robbie, feeling affection for Cecelia, is motivated to write a love letter, which he sends through Briony; unfortunately, a draft letter is sent, in which Robbie has written vulgar words. Booth talks about unreliability when narrating falsehoods, and we would add that unreliability can be in the form of acts, not just words. Briony is considered unreliable when opening the letter she is supposed to deliver faithfully to her sister; but the reverse happens when she opens the letter, reads it and develops a view of Robbie as a “maniac”.

Later, Briony sees Robbie and Cecelia in an intimate situation in the library, and here she accuses Robbie of raping her sister. This is described from her belief in its being a real act of rape: “she [Briony] saw them, dark shapes in the furthest corner ... his left hand was behind her neck gripping her hair, and with his right he held her forearm which was raised in protest, or self-defence” (p.116). This is how events

are portrayed in Briony’s view, as an attack on Cecelia. Whereas, according to the implied author’s description in another scene, we witness them consummating their love affair, which really is a true event.

Based on her wrong impression, she starts to see Robbie as “a villain in the form of an old family friend” (p.148), whom she confirms to be a “maniac” in her speech to Lola. She declares to Lola that it was Robbie “attacking my sister” (pp.156–157), and this is why she insists that it is Robbie who raped Lola and not any other person, like Marshal or Danny Herdsman, as Cecelia interprets later. She invents the lie and believes it, and according to her thinking, determines reality. In comparison with William Faulkner’s unreliable narrator Quentin Compson, Briony takes the lead. Quentin declares to his father, “I have committed incest, father” (*Sound and Fury*, 1981, p.74), and keeps repeating this; later he says, “I have committed incest ... it was not Dalton Ames” (p.76). Quentin, we are sure, has not committed the act, but because of his love for his sister, Caddy, and his obsession with her virginity, he claims this in order to shoulder the responsibility on one side, and to save the family honour on another. Quentin is very different from Briony, who is only being described as a ‘fallible’ narrator because of his disturbed state.

Briony’s blurred vision and misreading of the scene, is emphasised when she is interrogated by the police officer who comes to arrest the rapist. In reply to his questions, she answers falsely:

“You saw him.”
“I know it was him.”
“Let’s forget what you know. You’re saying you saw him?”
“Yes I saw him.”
“Just as you see me?”
“Yes.”
“You saw him with your own eyes?”
“Yes. I saw him. I saw him.” (p.169)

Even though she is not sure of the attacker’s identity, Briony fakes the story to convince the policemen of Robbie’s guilt and send him to jail, based on her misinterpretation of the event.

The implied author works hard to indicate the correct version of the story to the reader, especially after the rape scene and the two children’s escape from home. The binary image created here is of positive/negative, whereby Robbie is portrayed as a good individual who sets out looking for the children at night and brings them back clinging onto him while the negative image is associated with Briony, who erroneously accuses the Christ figure, a saviour, of rape while he was nowhere near the rape scene. It is easy then to decide that Briony is a true unreliable narrator.

Later, the novel reveals Robbie’s conditional release from prison to join the war and fight in France, where he gets sick and dies. Cecelia is a nurse treating wounded soldiers and she too dies in a raid during the blitz. In the last part of the novel, entitled ‘London, 1999’, we come to understand that we have read a story within a story in which Briony plays the role of a trickster. Briony is now seventy-three years

old, sick, and about to die; she fictionalises a meeting between Robbie and Cecelia, who are already dead, simply to atone for her misdeeds; and thus she proves herself unreliable yet again. Confirming this, at the very end of the novel, the narrator writes, “That Paul Marshal, Lola Quincey, and she, Briony Tallis, had conspired with silence and falsehood to send an innocent man to jail? But the words that had convicted him had been her very own” (p.306).

CONCLUSION

In McEwan’s ‘Atonement’, the reader can easily notice that the discourse is divided into two strands. There is Briony, who recounts misleading events through the lies she tells. Then there is the implied author and his attempt to clarify things whenever the narration goes wrong by providing clues that indicate Briony’s unreliability. Describing Briony’s role as an unreliable narrator is somehow debatable, because the narrative is not written in the first person, but it is confirmed that almost all of the narration is told from her perspective whereby she proves herself unreliable within an internal frame. Meanwhile the external frame appears in the last part, ‘London, 1999’, when she declares herself to be the aged version of young Briony and thus unreliable within the external frame of the story too. Besides, her fluctuations and supposedly rounded character, that changes over time from being ‘untrustworthy’ to acting as a totally unreliable narrator, are clearly revealed through her narration.

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The Role of Bottom-Up vs. Top-Down Learning on the Interleaving Effect in Category Induction

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ABSTRACT

Interleaving has been shown to promote inductive category learning compared to massing. Interleaved presentation allows for the identification of features that are different between categories, thus enhancing discrimination learning of categories, whereas massed presentation promotes identification of features that are common among stimuli from the same category. Previous studies that found the interleaving effect employed the “bottom-up” learning approach (i.e. learning through exposure to exemplars) to inductive category learning. It is not known whether the same effects of interleaving can be observed in category induction using the top-down learning approach (i.e. learning when explicit information about the categories and the experimental procedures involved is given in advance). Thus, it would be interesting to compare “bottom-up learning” and “top-down learning” of categories. Using paintings from several artists, the present study investigated the effect of “bottom-up” learning (i.e. learning through exposure to exemplars) versus “top-down” learning of categories. One hundred and twenty undergraduate students participated in the present study, which used a 2 (Presentation style: Massed vs. Interleaved) x 2 (Learning type: Bottom-up vs. Top-down) mixed-factorial design. Consistent with previous findings, the benefits of interleaving were achieved using the “bottom-up” condition, while the current study also achieved some positive outcomes using the “top-down” condition. However, no significant effect of learning type was found, which indicates that performance in both groups did not differ significantly. Participants in both learning conditions perceived massing to be more helpful to learning than interleaving although their actual performance showed the opposite.

Keywords: Interleaving effect, inductive learning, category learning, category induction, bottom-up learning, top-down learning

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INTRODUCTION

Inductive learning is commonly referred to as the process of learning by examples, during which one makes an inductive inference of a general conclusion from the observed examples. This particular form of learning is often associated with the more general, common definition of induction. In their influential book on induction, Holland, Holyoak, Nisbett and Thagard (1986) defined induction as “all inferential processes that take place in the face of uncertainty” (p.1). Induction is used in everyday life, for instance, to make predictions and choices based on observation or provided facts. Induction is also utilised to discover something new. For example, in science, induction is the basic procedure followed to make scientific discoveries, and this is achieved by making systematic observations, which can include observations of a real event or phenomenon and observations from laboratory experiments.

Recently, the interleaving effect has become the subject of interest among cognitive and educational psychologists with a growing number of researchers documenting the benefits of the interleaving effect in inductive learning, in particular, category learning (i.e. Kornell & Bjork, 2008; Vlach, Sandhofer, & Kornell, 2008; Kornell, Castel, Eich, & Bjork, 2010; Wahlheim, Dunlosky, & Jacoby, 2011; Zulkipli, Kang & Pashler, 2012; McLean, Burt & Bath, 2012). The interleaving effect refers to situations in which memory for categories or concepts is enhanced when

exemplars from a particular category are juxtaposed or interleaved with exemplars from other categories, rather than when the exemplars from several categories are massed throughout.

In category learning, induction is the kind of reasoning that one uses when drawing conclusions about the category in general (Murphy, 2002). For instance, a typical experiment that examines an interleaving effect in category learning began with a study phase, during which participants were presented with exemplars from several categories. Some of the categories were interleaved, that is, exemplars from several categories were presented with lapses in time, by incorporating them with exemplars from other categories (e.g. Kornell & Bjork, 2008; Kornell *et al.*, 2010). On the other hand, others are massed i.e. exemplars from several categories were presented contiguously. Later, in the test phase, each participant’s category induction was tested. This is accomplished (using corrective feedback) by asking each participant to classify individual exemplars into one of the contrasting categories (Bruner, Goodnow, & Austin, 1956; Posner & Keele, 1968; 1970; Medin & Schaffer, 1978). This type of experimental task is a form of discrimination learning (Clapper, 2007) and it is often referred to as classification learning in the category learning literature.

A few earlier studies showed that massing facilitates induction (e.g. Gagne, 1950; Kurtz & Hovland, 1956; Whitman & Garner, 1963). Nevertheless, there is

growing evidence from recent research suggesting that interleaving results in superior learning of categories and concepts (i.e. Kornell & Bjork, 2008; Vlach *et al.*, 2008; Kornell *et al.*, 2010; ahlheim *et al.*, 2011; Kang & Pashler, 2012; WZulkiply *et al.*, 2012, Zulkiply & Burt, 2013a). Stimuli used in investigating the interleaving effect in category learning research have included numerous materials such as paintings from several artists (e.g. Kornell & Bjork, 2008, Kornell *et al.*, 2010; Kang & Pashler, 2012), different categories of bird families (e.g. Wahlheim *et al.*, 2011), textual materials (Zulkiply *et al.*, 2012) and different categories of novel objects that were constructed from arts and craft supplies and objects from hardware stores (e.g. Vlach *et al.*, 2008). In addition, the interleaving effect has been found in the short-term retention condition (e.g. Kornell & Bjork, 2008; Vlach *et al.*, 2008; Kornell *et al.*, 2010; Wahlheim *et al.*, 2011) and in the long-term retention condition (e.g. Zulkiply & Burt, 2013b).

Despite the fact that there is growing evidence in the existing literature that induction profits from interleaving (rather than massing) in category learning, the effect of interleaving on “bottom-up” versus “top-down” learning of categories is not clear. Thus, it would be interesting to compare “bottom-up learning” and “top-down learning” of categories. In “bottom-up” learning, the “big picture” (the explicit information and process involved) is not given in advance to the learners at the beginning of the study

session, thus requiring them to learn the information in a logical manner and then construct knowledge from the basics to obtain the “big picture”. In contrast, in “top-down” learning the “big picture” is provided first. In the present study context, “bottom-up” learning of categories referred to learning through exposure to exemplars as in induction, whereas “top-down” learning referred to learning when explicit information about the categories and the details of what was involved in the experiment (process) were given to students prior to giving them the exemplars.

Previous studies that confirmed the benefits of the interleaving effect in induction category learning have employed “bottom-up” learning, where students learnt the categories before they started the study phase, solely by exposure to exemplars and without receiving explicit information about the categories (i.e. the types of category and the process involved) (Kornell & Bjork, 2008; Vlach *et al.*, 2008; Kornell *et al.*, 2010; Wahlheim *et al.*, 2011; Zulkiply *et al.*, 2012). The effect of interleaving on “top-down” learning of categories is unknown, thus it will be interesting to discover whether the benefits of interleaving in induction category learning using “top-down” learning will be upheld. The latter method may be more efficient because of the clarity of the explicit knowledge provided in the instructions given at the beginning of the learning process. It has been argued that both bottom-up (perceptually driven) and top-down (conceptually driven) are processes

involved in adult categorisation (French, Mareschal, Mermillod, & Quinn, 2004), and that they are deeply intertwined, thus isolating and studying them independently are not easy to perform (Goldstone & Barsalou, 1998). In the present study design, the variable learning type (bottom-up vs. top-down) was a between-subjects factor, thus it was possible to examine the two processes independently, particularly to investigate which process was most effective in promoting inductive category learning. Furthermore, since the learning of any possible sets of categories could be done implicitly (bottom-up) or explicitly (top-down) as in the present study, it is beneficial to understand how each process (bottom-up vs. top-down) affects the interleaving and massing categories and to examine which one of the two presentation types (interleaved vs. massed) facilitates better learning of categories.

The main objective of the present study was to examine the effect of “bottom-up” versus “top-down” learning of categories on the interleaving effect. The present study focused on the following research question, “What effect does ‘bottom-up’ versus ‘top-down’ learning of exemplars have on the interleaving effect?” Category learning is a common and essential approach used in many subjects taught at school, college and university. Inductive learning is one of the many means that can be used to teach and learn categories; thus, it would be worthwhile to understand how “bottom-up” versus “top-down” learning affects inductive learning or category

learning under massed and interleaved learning conditions. The findings from the present study could advance knowledge of the interleaving effect in induction category learning as well as contribute to the theoretical foundations of the effect of interleaving on inductive learning, particularly in the issue of “bottom-up” versus “top-down” learning of categories. In addition, previous studies that used a “bottom-up” learning approach (e.g. Kornell & Bjork, 2008; Kornell *et al.*, 2010; Zulkiply *et al.*, 2012; Zulkiply & Burt, 2013a) found that although participants’ performance was superior in the interleaved condition, the majority of subjects perceived that massing was the more effective presentation style which had aided them in the learning process. The present study investigated whether the same judgement pattern existed in the “top-down” learning condition.

METHOD

The present experiment examined the effect of “bottom-up” versus “top-down” learning of exemplars on the interleaving effect.

Participants and Design

The participants were 120 undergraduate students (78 females, 42 males). The experiment used a 2 (Presentation style: Massed vs. Interleaved) x 2 (Learning type: Bottom-up vs. Top-down) mixed-factorial design. Learning type was varied between-subjects, while presentation style was varied within-subjects.

Materials

The materials used in this experiment were taken from the Kornell and Bjork (2008) study and consisted of 120 paintings showing skyscapes or landscapes from 12 different artists: Judy Hawkins, George Wexler, Yie Mei, Bruno Pessani, Georges Braque, Philip Juras, Georges Seurat, Marilyn Mylrea, Ron Schlorff, Ciprian Stratulat, Ryan Lewis and Henri-Edmond Cross. As noted, 72 paintings were used in the presentation/study phase (six paintings per artist), and the paintings were arranged in 12 learning blocks (six blocks of massed presentation, six blocks of interleaved presentation). The order of the blocks was MIIMMIIMMIIM (M for massed; I for interleaved). Another 48 paintings were used in the test phase (four paintings per artist). The paintings were in the format of JPEG files and were resized to fit into a 17 cm x 27 cm rectangle on the computer screen.

Procedure

Participants were randomly assigned to either the “bottom-up” learning condition or the “top-down” learning condition. The experimental manipulation had four steps: presentation (study) phase, distractor task phase, test phase and question phase. In the presentation phase, participants were asked to study the 72 paintings by the 12 artists. Each painting was shown on a computer screen for 3 seconds, with the last name of the artist displayed underneath. In addition to this brief instruction, participants in the “top-down” learning condition were

given additional information in advance i.e. before they started to learn the paintings. This information included the name of the 12 artists, the fact that the artists had distinctive painting styles and the remaining experimental procedures that they would be undergoing next. In particular, when participants studied the paintings, they were asked to learn to associate each artist with his/her picture, based on the artists’ style. They were also told that they would be given a test later, in which their induction would be assessed on a series of novel paintings by the 12 artists they had learnt in the study phase. They were further informed that in the test phase, for each trial they would be asked to click their computer mouse on one of 13 buttons provided (12 of the buttons were labelled with the name of the artists and one was labelled “I don’t know”). Participants were also informed that some of the artists were going to be “Massed” (whereby all paintings by an artist were presented consecutively), and that some of the artists were going to be “Interleaved” (whereby paintings by an artist were interleaved/juxtaposed with other artists’ paintings), and finally, at the end of the experiment, that they would be asked to indicate which condition they thought provided the most assistance to their learning (i.e. massed presentation or interleaved presentation). This detailed information was not given in advance to the participants in the “bottom-up” learning condition.

After the study phase was concluded, participants in both learning conditions

were asked to complete a distractor task, during which they were asked to count backwards by 3s starting from 715, for 15 seconds, while typing the numbers in the designated box on the computer screen.

In the test phase, the 48 new paintings by the artists (four new paintings by each of the 12 artists) were presented in a fixed order across all participants. Participants were shown one painting at a time on the computer screen, with the same 13 buttons below the painting, and were required to identify the artist. Participants responded according to who they thought had created each painting by clicking the computer mouse on the corresponding artist's button or if unknown, clicking on the "I don't know" button. Feedback was

given immediately after each response. If participants responded correctly, the word 'correct' would appear on the computer screen. If they responded incorrectly, the correct artist's name would be displayed. Participants completed the test phase at their own pace. After the test phase, participants were informed of the meaning of the terms 'massed' and 'interleaved' via a description displayed on the computer screen. They were then asked the following question: 'Which option do you think helped you learn more?' and were provided with three possible answers: 'massed', 'about the same', or 'spaced'. The question phase ended the experimental manipulation. No time limit was applied to the response stage in the experiment.

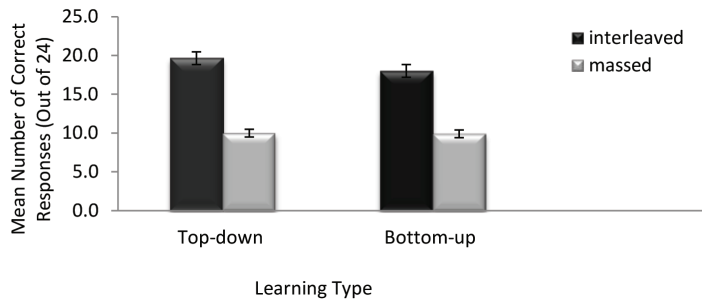


Fig. 1: Mean number of artists selected correctly. Results are arranged by presentation style (interleaved or massed) and learning condition (top-down or bottom-up). Error bars represent standard errors.



Fig.2: Number of participants who judged massing to be more effective than, equally effective as or less effective than interleaving in the "bottom-up" learning condition.

Interleaving Effect in Category Learning

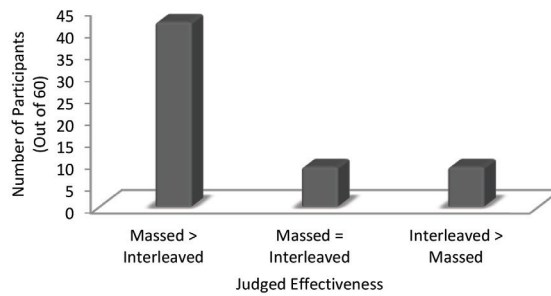


Fig.3: Number of participants who judged massing to be more effective than, equally effective as or less effective than interleaving in the “top-down” learning condition.

RESULTS

The data from the experiment were analysed using a two-way mixed ANOVA statistical test. As shown in Fig.1, there was a significant effect of presentation style, $F(1,118)=87.88$, $p<0.001$, $\eta^2=0.43$ indicating that interleaved presentations resulted in more learning than massed presentations regardless of the learning type factor, that is, whether the participants studied in the “bottom-up” or the “top-down” learning condition. However, the main effect of learning type (“bottom-up” or the “top-down”) was not significant, $F(1,118)=0.48$, $p=0.49$, suggesting that there is no significant difference in performance between the two learning conditions. Additionally, the interaction between presentation style and learning type was not significant, $F(1,118)=0.77$, $p=8.38$, suggesting that the benefit of interleaving was equivalent in both learning conditions (i.e. the benefit of interleaving was not dependent on whether the participants had participated in the “bottom up” condition or the “top-down” condition).

With regards to participants’ judgement of which study presentation helped them

learn more, a similar preference for massed presentation was expressed in both learning conditions when, in reality, interleaving was actually more effective for the majority of them (see Fig.1). A one-way Chi-square analysis was conducted to compare the proportion of participants who judged massed to be more useful with the proportion of participants preferring interleaved and the proportion judging that the two conditions contributed equally in helping them to learn more during the study phase. As predicted, the result for the “bottom-up” learning condition was consistent with previous findings (e.g. Kornell & Bjork, 2008; Kornell *et al.*, 2010), $\chi^2(2,N=60)=7.70$, $p=0.042$. In terms of judged effectiveness, of a total of 60 participants, a majority of 39 (65%) claimed that massed presentation was better, 15 (25%) preferred interleaved while six (10%) judged that both massed and interleaved presentations contributed equally to their learning during the learning phase, regardless of their performance under the two conditions i.e. massed and interleaved (see Fig.2). In terms of actual effectiveness, 42 (70%) of participants

performed better in the interleaved condition, 12 (20%) performed better in the massed condition while 6 (10%) performed equally in the two conditions.

In the “top-down” learning condition, a similar pattern of judgement was observed, $\chi^2(2, N=60)=4.43, p=0.023$. In terms of judged effectiveness, of a total of 60 participants, a majority of 42 (70%) participants claimed massed was more effective, nine (15%) claimed interleaved and another nine (15%) judged the two conditions to be equally effective regardless of their performance in the two conditions i.e. massed and interleaved (as shown in Figure 3). In terms of actual effectiveness, 45 (75%) of the participants performed better in the interleaved condition, 12 (20%) performed better in the massed condition and three (5%) performed equally in the two conditions. The massed presentation of categories (as compared to the interleaved presentation) may be perceived as being easier by the participants because it created a sense of familiarity for each category, which later guided them to conclude that massed presentation was more helpful (Zulkiply & Burt, 2013a). It can be argued that the impressions, intuitions and feelings that guide us are not always justified and we are often confident even when we are wrong (Kahneman, 2011).

DISCUSSION

Parallel with the findings from past studies (e.g., Kornell & Bjork, 2008; Kornell *et al.*, 2010; Zulkiply *et al.*, 2012), the present study denoted the benefits of the interleaved

presentation of categories in the “bottom-up” learning condition. Interestingly, the benefits of interleaving were also observed in the “top-down” learning condition i.e. participants correctly classified more novel paintings from the artist categories that were presented in the interleaved manner during the study or presentation phase when compared to the novel paintings from the artist categories that were massed.

The superior performance in the interleaved condition over the massed condition could be caused by a number of factors. The primary factor concerned the role of interleaving itself in enhancing discrimination learning (e.g. Kornell & Bjork, 2008; Zulkiply & Burt, 2013a). In an interleaved presentation, exemplars of several categories were mixed, in particular the exemplars from a particular category were juxtaposed with exemplars from other categories. This type of presentation allows paintings from several different artists to be displayed on the computer screen sequentially, giving the participants an opportunity to compare and contrast the paintings that are different, based on the different styles of the artists and thereby fostering discrimination learning. It is argued that the interleaved presentation encouraged the capturing of points of contrast among exemplars from several categories, thus highlighting these differences and making them noticeable (e.g. Goldstone, 2003; Carvalho & Goldstone 2012; Kang & Pashler, 2012). On the other hand, the massed presentation promoted the recognition of features that

were characteristic among exemplars within a single category (Carvalho & Goldstone, 2012).

It is also suggested that the benefits of the interleaving effect in induction category learning is attributable to the advantage received by the interleaved exemplars in terms of attention. Previous studies highlighted the role of allocating one's attention during category learning (Nosofsky, 1986; Kruschke, 1992; Minda & Smith, 2002; Love, Medin, & Gureckis, 2004). The mixing of exemplars of several categories as in the interleaved presentation might have made the learning of the categories more difficult for the participants compared to the massed presentation of exemplars by categories, by affecting the amount of attention given to interleaved and massed exemplars. It is argued that interleaved exemplars received more attention and were processed more deeply than massed exemplars. Exemplars that are presented massed by categories are likely to create a sense of familiarity in participants, thus reducing the amount of attention participants pay to them, which possibly might have impeded learning (e.g. Wahlheim *et al.*, 2011; Zulkiply & Burt, 2013a).

In terms of the effect of learning type, performance in the "top-down" learning condition was not significantly different from performance in the "bottom-up" condition. It seems that clarity of the explicit knowledge in the instructions provided to the participants in the "top-down" condition, and the assumed benefit

of these in terms of preparedness for the experiment to follow were not found to be significantly helpful in the present category induction experiment. Nevertheless, a slightly better learning for the interleaved categories in the "top-down" condition ($M=20.8$) compared to the "bottom-up" condition ($M=19.1$), as depicted by the mean test accuracy for the two learning conditions, suggested that participants in the "top-down" condition perhaps gained little benefit from using that particular learning condition. As noted, in the "top-down" condition, participants were given the name of the 12 artists and were told that the artists had distinctive painting styles. Had the explicit information included an example of a painting from each of the artists, the performance in the "top-down" condition may have been improved. Consequently, it would be interesting to examine the effect of the different levels of "top-down" instruction (e.g. deep vs. superficial) on the interleaving effect in category induction. A slightly lower performance in the "bottom-up" condition compared to the "top-down" condition in the current category induction experiment seems to suggest that in category induction, "bottom-up" learning may have resulted in the learning of the categories being more difficult due to the unavailability of the crucial explicit information about the categories and other processes involved in the experiment. On the other hand, it is also possible that it caused participants to generate more mental effort during the learning process. Though it is not significantly evident in the

present study, there is a likelihood that in some situations, the difficulty introduced by the “bottom-up” learning, particularly in the category induction experiment, contributed to producing better learning and understanding of the different categories. This issue warrants further investigation.

CONCLUSION

The findings of the present study could provide insight to educators on factors that should be considered in designing and developing a systematic approach to enhance category learning in students. Earlier it was thought that “top-down” learning may be more efficient than “bottom-up” learning because the clarity of the explicit knowledge provided in the instructions given at the beginning of the learning process is likely to be of advantage; however, the present study indicated that “bottom-up” learning could provide similar results; thus, the potential benefits that induction from exemplars could offer should not be overlooked. “Bottom-up” learning from exemplars may be difficult, perhaps because of the unavailability of the systematic and explicit definitions of the ‘to-be-learnt’ categories which help to facilitate induction from examples. Consequently, it may require substantially more mental effort during the learning process, and this kind of learning experience can sometimes produce an equivalent level of category understanding (as compared to “top-down” learning), particularly when using relatively small

sample sized categories, as evident in the present study, which used a sample of 12 artists only. Educators may want to incorporate either a “top-down” learning method or a “bottom-up” learning method in teaching small-range categories.

Along these lines, it would be interesting to look into issues that might affect the choice of instructional technique (e.g. When is it best to use “bottom-up” induction or a “top-down” learning approach?). The “bottom-up” learning approach may perhaps work better for small-ranged categories, whereas a “top-down” learning approach may be more effective when the categories are more numerous. It is also possible that both approaches are beneficial in certain situations, and if this is the case, perhaps the best way is to find a balance between these two approaches and create a hybrid approach based on best practices from both strategies. It would be interesting to examine these issues in future research.

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International Tourism Market Analysis in the Greater Mekong Sub-Region: A Panel Data Approach

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ABSTRACT

The Greater Mekong Sub-Region (GMS) is regarded as a single tourism market. This paper investigates international tourist visits to the GMS. We employ the panel data approach by using data from the GMS countries and their four major source countries i.e. Japan, Malaysia, China and Korea. The study concludes that capital investment is the most important factor for international tourism supply while income level is the most important factor for international tourism demand. Hence, we suggest that GMS countries should offer tourists a unique experience by presenting nature tourism and ecotourism. They can focus on attracting higher-income international tourist groups to improve their tourism markets and increase their competitiveness in tourism in order to achieve a sustainable single tourism market.

Keywords: International tourism market, simultaneous equations, regional tourism

INTRODUCTION

The Greater Mekong Sub-Region (GMS) is the Mekong River basin area. It includes Cambodia, the Yunnan and Guangxi Provinces of the People's Republic of China, Lao People's Democratic Republic (Lao

PDR), Myanmar, Thailand and Vietnam. The total population is about 260 million and is spread over an area of 2.3 million square kilometres. Overall, this region is a group of developing countries.

The tourism industry is important to the economic growth of this region. During the period 2006-2011, tourism contributed more than 10% of the national gross domestic product (GDP) in Thailand, Lao PDR and Vietnam and 22% in Cambodia. The average GDP contribution of the tourism sector in the GMS was 15.7% (Table 1).

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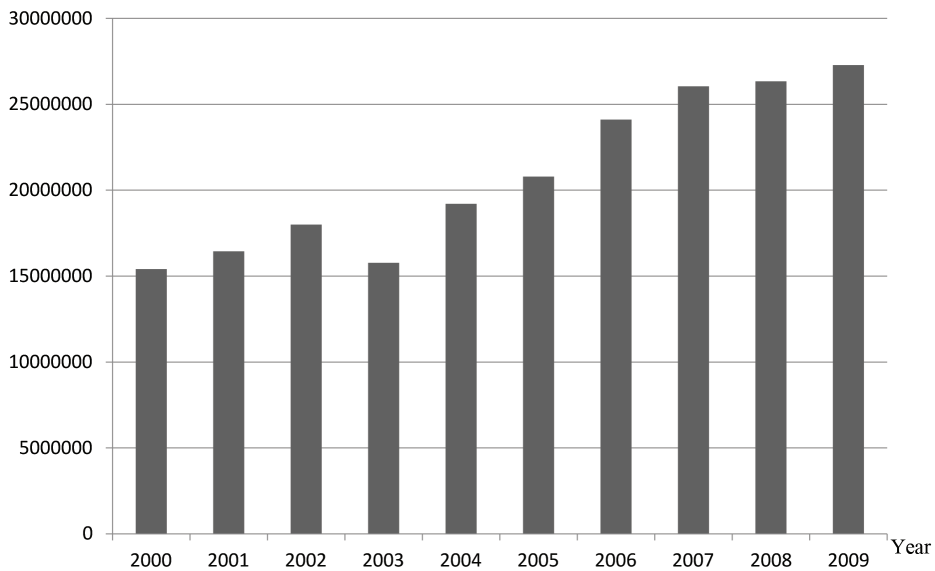
TABLE 1
Tourism Contribution as a Percentage of GDP

Countries	2006	2007	2008	2009	2010	2011	Average
Cambodia	23.7	24.6	21.4	20.4	20.3	22.1	22.1
Lao PDR	12.3	13.0	13.7	13.2	13.3	18.1	13.9
Myanmar	3.8	3.7	3.6	3.7	3.5	3.1	3.6
Thailand	16.7	16.4	16.7	15.7	14.7	16.3	16.1
Vietnam	12.9	8.0	11.1	10.9	9.3	11.8	10.7
GMS average	16.4	15.5	15.7	15.1	14.4	17.1	15.7

Note: The Yunnan and Guangxi provinces of China are not included

Source: World Travel and Tourism Council (2012)

Number of international tourists



Source: Mekong Tourism Coordinating office (2013)

Fig.1: Total number of international tourist arrivals to the GMS (2000-2009).

The international tourism market in the GMS is expanding because the number of international tourist arrivals to GMS is gradually increasing. Fig.1 shows the number of visitors to GMS increasing over the years from 15.4 million people in 2000 to 27.3 million people in 2009. However, in May 2003, the severe acute respiratory syndrome (SARS), which spread in the

region, affected the number of international tourists visiting the GMS. However, there has been a recovery in 2004.

The Travel and Tourism Competitiveness Index (TTCI) 2013 ranked Thailand and Vietnam at 43th and 80th respectively in the world (Blanke & Chiesa, 2013). Moreover, the European Council on Tourism and Trade announced

Lao PDR as the world’s best tourist destination for 2013 (EUCIR-EUROPE, 2013). These indicators show that the GMS is a potential tourism region for travellers around the world.

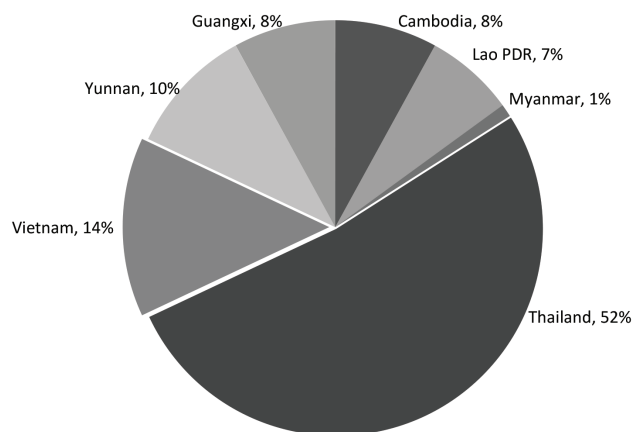
Furthermore, Table 2 shows that there was a good balance of tourism demand in the GMS with the top 10 markets contributing 54% of the region’s 22 million visitors. The Mekong Tourism Coordinating Office (2008) reported that Japan is the

top tourism spending market and provides the most visitors to the GMS at nearly 8% of total tourism demand. Other markets that are recognised as major sources of international tourists are Malaysia, China and Korea. Fig.2 shows the market share of international tourist arrivals to the GMS in 2009. Thailand remains the major international tourist destination with a market share of 52%. Vietnam is the second most popular destination in the region.

TABLE 2
Top Ten Source Market of International Tourist Arrivals to GMS in 2006

Rank	Country	Number of arrivals	Total arrivals (%)
1	Japan	1,754,176	7.9
2	Malaysia	1,734,027	7.8
3	China	1,584,590	7.1
4	Korea	1,548,343	6.9
5	USA	1,041,468	4.7
6	UK	1,018,219	4.6
7	Thailand	936,013	4.2
8	Singapore	882,581	4.0
9	Australia	803,087	3.6
10	Taiwan	791,476	3.5
Total		12,093,980	54.3

Source: Mekong Tourism Coordinating Office (2008)



Source: Mekong Tourism Coordinating Office (2013)

Fig.2: Market share of international tourist arrivals to GMS in 2009.

Tourism products differ from other products in that tourism supply cannot be examined prior to purchase, cannot be stored and involves the element of travel. It is useful to consider tourism supply because it is not a single industry but a collection of interrelated industries and markets (Sinclair *et al.*, 2006: p.22). Some studies have not analysed the complexities of tourism factors that affect tourism supply, but they have taken into account the developing economics concepts, theories and methods that focus on the tourism industry and tourism supply (Stabler *et al.*, 2010: p. 58). On the other hand, Dwyer and Forsyth (1994) and Zhang and Jensen (2007) studied international tourism flows in the supply side. Every country realises that development in tourism infrastructure supports service sector expansion. Therefore, tourism supply plays a major role in tourism market development.

Tourism demand models and estimation rely heavily on secondary data and can be divided broadly into two categories: non-causal time series models and causal econometric approaches (Lee & Chang, 2008). In particular, the ordinary least square (OLS) method has been widely used in estimation. However, estimation by OLS that is based on non-static data can lead to the serious problem of spurious regression. On the other hand, many studies in the 2000s such as Narayan (2002) and Choyakh (2009) considered the co-integration methodology.

There have been few studies on tourism demand in the GMS. The studies focused on Thailand (Chiboonsri *et al.*, 2010; Kripornsak, 2011) and Lao PDR (Phakdisoth & Kim, 2007) but not on other GMS countries. Furthermore, previous studies examined tourism demand in various countries but did not examine tourism supply. The expansion of the international tourism market is affected by both supply and demand factors. Moreover, study of the international tourism market as a whole region has never been conducted. Hence, this paper aims to fill the gap by examining supply and demand in the international tourism market in the GMS as one market by employing the panel data approach.

This study involves the analysis of factors affecting the international tourism market in the GMS to determine the relationships between international tourism supply and demand with some economic variables. The findings will be useful for policy decision-making in tourism marketing and development.

While the GMS consists of seven markets (five countries and two provinces of China), the scope of this paper concentrates only on five countries (Thailand, Lao PDR, Myanmar, Cambodia and Vietnam) because China is one of the major source countries whose people visits the GMS, and the five countries in the GMS collected tourist data from China without separating them into provinces. Therefore, this paper does not include Yunnan and Guangxi. The next

section describes the tourism development programme in the GMS; section 3 describes the data and methodology; section 4 presents the empirical results and section 5 concludes the paper.

TOURISM DEVELOPMENT PROGRAMME IN THE GMS

Economic development programme in the GMS aims to promote sustainable economic growth and development among the GMS countries by strengthening socio-economic cooperation with 11 flagship programmes (UN-ESCAP, 2008). The GMS tourism development programme is one of the 11 flagship programmes. It is a cooperation in tourism that aims to develop and promote the “Mekong as a single destination”. GMS tourism development was introduced in 1992 by the member countries with the assistance of the Asian Development Bank (ADB). It focuses on economic integration in the tourism sector among the GMS countries. The six countries entered into a programme of economic integration designed to enhance economic cooperation among the countries.

The idea of the GMS as a single tourism destination means treating the international tourism markets in the GMS countries as one market. The aim of a single tourism destination is to sustain and deepen economic cooperation and integration among the GMS countries in order to face developmental challenges together and realise the common vision of

an integrated, harmonious and prosperous sub-region (Greater Mekong Sub-Region Organisation, 2012).

Since 1993, the GMS’s tourism economic cooperation has been coordinated by the Tourism Working Group formed by representatives of the national tourism organisations with the Agency for Coordinating Mekong Tourism Activities (AMTA) as its secretariat. The Mekong Tourism Coordination Office (MTCO), formerly known as AMTA, provides a sustained organisational capacity to address tourism issues at the sub-regional level. It is also supporting the region as a single tourism destination by promoting “Mekong Brand Tourism” (Asian Development Bank, 2005a). The “Mekong Brand” is to show incomparable beauty, diversity and spirit and bring to people a better quality of life and to increase the popularity of the gateways and tourist hubs to link the region into priority tourist zones (Asian Development Bank, 2006).

In addition, a tourism development strategy was launched in 2005. There are seven core programmes as listed in Table 3. Although the GMS countries are poor in terms of infrastructure and lack of investment, members are developing many development projects, offering many tourism products and launching many tourism strategies to promote their international tourism market.

DATA AND THE ECONOMETRIC MODEL

Data

Generally, the characteristics of the international tourism market have not been directly defined. However, in the tradition of economics, supply and demand for a commodity is the way to discuss market equilibrium (Tribe, 1995, pp. 125-127). Therefore, the basic economics theory of demand and supply can be applied to the international tourism market as well. The international tourism market comprises international tourism supply and demand.

The data of this study were derived from five GMS countries i.e. Thailand, Myanmar, Vietnam, Lao PDR, Cambodia while the four major source countries comprised Japan, Malaysia, Korea and China. The data were annual data. The sample period was from 2000 to 2011. The details of variables and data sources are as follows:

Supply. International tourism supply.

Tourism supply is a composite product involving transport, accommodation, catering, natural resources, entertainment and other facilities and services, such as shops and banks, travel agents and tour operators (Sinclair & Stabler, 1997: p.58). Both theoretical and empirical research on the supply side of tourism markets is scant (Crouch, 1994).

Generally, in the empirical tourism literature, supply is assumed to be perfectly elastic (Bonhem *et al.*, 2009). Therefore, Qu *et al.* (2002); Tsai *et al.* (2006) and Bonhem *et al.* (2009) estimated the supply

elasticity of hotel services to tourism supply. However, international tourism supply or the capacity for international tourists should focus on commodities as products because commodities fit the concept of the supply-side definition of Smith (1988a). Therefore, the quantity data of tourism supply can be based on the number of airline seats available for analysis because it is a tourism product commodity (Smith, 1998b, pp. 31-52). The expansion of transport passenger capacity is directly related to tourism because Prideaux (2000) found that the transport system plays a role in the tourist destination. Moreover, Albatae and Bel (2010) confirmed that tourism is an enhancing factor in urban public transport supply.

In this paper, we focus on the number of airline seats available because air transportation services represent one of the important components of visitor expenditure in the GMS whereas the number of passengers by road and water transportation is difficult to be measured. It is possible to obtain reliable data on the capacity of passenger air carriers. Hence, the number of airline seats available is used to indicate the supply of tourism with data being provided by the World Bank.

Tourism price. According to most empirical tourism literature, supply is assumed to be perfectly elastic. Tsai *et al.* (2006) and Bonham *et al.* (2009) estimated the supply and demand elasticity of the accommodation market by using hotel room prices. Tsai (2006) and Bonham *et al.* (2009) used a simultaneous framework in

the analysis. They employed the price of hotel rooms as a factor to determine tourism supply. They found that room pricing had a relationship with visitor accommodation. Hence, tourism price was an important factor of tourism supply.

Regarding the tourism price variable, Witt and Martin (1987) used relative prices by employing the consumer price index (CPI) as a proxy of the cost of travel to the destination and the cost of living for tourists at the destination, adjusted by the exchange rate. This approach was supported by Crouch (1994) and Morley (1994). Therefore, the use of CPI is widely justified on the grounds of international tourism demand factors. However, Zhang and Jensen (2007) also used tourism price in determining the international tourism supply. This paper proxied the tourism price by using CPI adjusted by the nominal exchange rate (ER). The tourism price (RP) was then given by

$$RP_{it} = \frac{CPI_{At}}{CPI_{it}} ER_{it} \quad (1)$$

where CPI_{it} is the consumer price index of the country i ($i = 1, 2, \dots, 4$; Japan, Malaysia, China and Korea), CPI_{At} is the consumer price index of the country A in GMS ($A =$ Cambodia, Lao PDR, Myanmar, Thailand and Vietnam), ER_{it} is the ratio of the nominal exchange rate of country i to nominal exchange rate of country A and t is the time factor. CPI was collected from the World Bank and the nominal exchange rate was provided by the International Monetary Fund (IMF).

Capital investment in the tourism sector. Many countries have invested in hotel facilities and tourism infrastructure to support tourism sector expansion. Better and more hotels, restaurants, airports, roads, transportation etc. will attract more tourists to the country. Hence, investment is an important factor contributing to tourism supply especially for the GMS countries, where existing tourism facilities cannot meet the requirements of tourism demand. Dwyer and Forsyth (1994) found that foreign investment in tourism plays a positive role in attracting international tourism flows and expenditure to the destination countries.

Nevertheless, the capital investment factor seems to be suitably measured by capital investment in the tourism sector and consists of both domestic and foreign capital investments in the tourism sector rather than foreign investment in tourism. In addition, capital investment in the tourism sector has not been used in international tourism supply research. Therefore, capital investment in the tourism sector is employed as one of the factors in the international supply model to analyse the international tourism market in this research. The data are drawn from the World Tourism Council.

Trade openness. Zhang and Jensen (2007) offered the trade openness variable to estimate international tourism flows in the supply side following international trade flow theory. The increasing quantity of tourism business, particularly in destinations where the economy is greatly driven by international business such as

Thailand, could be determined by business activity at the destination and its economic partners. Trade openness is measured as total exports plus total imports divided by the country's GDP. Zhang and Jensen (2007) found that trade openness is positive and is a significant explanatory variable on tourism supply. Total exports, total imports and GDP data in each GMS country are provided by the World Bank.

Demand. International tourism demand. The number of international tourist arrivals is employed as the quantity of international tourism demand. The numbers of international tourist arrivals are collected from the Ministry of Tourism of Cambodia, the Lao National Tourism Administration, the Ministry of Hotels and Tourism of Myanmar, the Ministry of Tourism and Sports of Thailand and the Vietnam National Administration of Tourism of Vietnam.

Tourism price. The tourism price of demand factor is used, and is similar to the tourism price of international tourism supply.

Income level. The income level is a significant factor to determine leisure spending consumption and has an important place in the domestic budget. There are many studies which have confirmed that the income factor is related to tourism demand, such as Narayan (2002) who estimated the demand for tourism in Fiji. Ouerfelli (2008) and Choyakh (2009) investigated tourism demand of European tourists in Tunisia. The results showed that the

income of tourists in their home countries is positively related to international tourist demand.

Kripornsak (2011) found that the income elasticity of demand for tourism is positive and affects international tourism demand in Thailand for all 10 major tourist origins. It is elastic for rich countries and inelastic for neighbouring countries. Moreover, Chaiboonsri *et al.* (2010) reported that faster income growth for tourists from Malaysia, Japan, Korea, China, Singapore and Taiwan has a positive impact on international tourist arrivals to Thailand. Hence, the income of international tourists is used to explain and determine tourism demand functions.

Generally, the income factor is used as the main factor that affects international tourism demand. This factor is suitably measured by the disposable income level. However, due to data unavailability, real GDP per capita is used to measure the income variable in this study. Data are collected from the World Bank.

Substitute tourism price. Many research studies employed substitute tourism price as a factor in tourism demand. Choyakh (2009) found that substitute tourism price had a negative relationship with international tourist arrivals in Tunisia. Kripornsak (2011) found a significant impact of substitute tourism prices between Thailand and Malaysia and Thailand and Singapore for 10 tourist origins. It was found that Malaysia and Singapore can be either competitive or complementary destinations for the international tourists of Thailand.

For the international tourism market in the GMS, Thailand and Vietnam are two major destinations for international tourists. Therefore, Thailand is selected as the main competitor to the other GMS countries, while Vietnam is the main competitor to Thailand. A proxy for substitute tourism price in these two countries was used, which is the CPI of Thailand and Vietnam, adjusted by nominal exchange rate. The substitute tourism price was as follows:

$$SP_{it} = \frac{CPI_{St}}{CPI_{it}} ER_{iSt} \quad (2)$$

where i is source countries i , CPI_{St} is the consumer price index of country S ($S =$ Thailand, Vietnam), CPI_{it} is the consumer price index of the source countries i (home country), t is the time factor and ER_{iSt} is the ratio of the nominal exchange rate of country i to nominal exchange rate of country S .

For example, the substitute tourism price of Japan when Japanese tourists visit Cambodia (Thailand is a competitor of Cambodia) was calculated as

$$SP_{Japan} = \frac{CPI_{Thailand}}{CPI_{Japan}} \times \frac{Japanese\ Yen / USD}{Thai\ Bath / USD} \quad (3)$$

The sources of these data were similar to the tourism price.

Non-economic factors. There are many non-economic and qualitative factors that may influence the demand for international tourism, such as external shocks, marketing

policy, political instability and other variables that depend on the knowledge of tourists. Zhang *et al.* (2009) used dummy variables for the Asian financial crisis, special promotional campaigns, severe acute respiratory syndrome (SARS) and ‘tsunami’ to estimate a travel demand model in Thailand. The results showed that the travel demand of international tourists to Thailand could be explained by the Asian financial crisis and SARS. Moreover, Kuo *et al.* (2008) investigated the impacts of infectious diseases including avian flu and SARS on international tourist arrivals in Asian countries. The empirical results indicated that SARS had a significant impact but not avian flu. This result is similar to Cheng (2012) because the number of Japanese and Taiwanese tourist arrivals to Hong Kong approximately decreased 20% and 40% during the SARS period respectively.

The Asian Development Bank (2005b) reported that the outbreak of SARS in 2003 in Asia, especially in the GMS, brought fear and uncertainty. The number of international tourists visiting the GMS decreased dramatically by about 12.4% from 2002 to 2003 (see Fig.1). Hence, SARS was an important non-economic factor that affected tourism demand in the GMS tourism market. For this reason, we use SARS as a dummy variable to determine the impact of qualitative factors in the analysis.

Econometric Model

The aim of this paper was to investigate factors that affect the international tourism

market of the four major source countries (Japan, Malaysia, China and Korea) visiting the GMS as a whole region. The model for the international tourism market in the GMS includes the relationships of international tourism demand and supply in a simultaneous equation model (SEM) with a panel data approach¹. The international tourism market model for country A (A = Cambodia, Lao PDR, Myanmar, Thailand and Vietnam) can be written as follows:

$$LQS_{Ait} = \alpha_{1A} + \beta_1 LRP_{Ait} + \beta_2 LCP_{Ait} + \beta_3 LTP_{Ait} + u_{1Ait} \quad (4)$$

$$LQD_{Ait} = \alpha_{2A} + \beta_4 LRP_{Ait} + \beta_5 LGD_{Ait} + \beta_6 LSP_{Ait} + \beta_7 SARS_{Ait} + u_{2Ait} \quad (5)$$

$$LQS_{Ait} = LQD_{Ait} \quad (6)$$

$i = 1, \dots, 4; t = 1, \dots, 12$

Where

LQS_{Ait} = Natural log of number of airline seats available for country A at time t

LRP_{Ait} = Natural log of tourism price of country i in country A at time t

LCP_{Ait} = Natural log of capital investment in tourism sector in US dollars of country A at time t

LTP_{Ait} = Natural log of trade openness of country A at time t

LQD_{Ait} = Natural log of number of international tourist arrivals from country i to country A at time t

$LGDP_{Ait}$ = Natural log of gross domestic product per capita of country i in US dollars at time t (at the base year 2005)

LSP_{Ait} = Natural log of substitute tourism price of country i in country A at time t

i. For Thailand, the substitute tourism price of countries i is Vietnam

ii. For other GMS countries, the substitute tourism price of countries i is Thailand

$SARS_{Ait}$ = Dummy variable to capture the effect of SARS, taking the value 1 if $t = 2003, 2004$ and 0 otherwise

u_{1Ait} and u_{2Ait} = error components

Equation (6) presents the equilibrium of tourism supply and demand for international tourists from country i visiting the GMS. The quantity of tourism supply for tourists from country A was more than the quantity of tourism demand for tourists from country i visiting the GMS. The SEM of the international tourism market was similar to the equilibria of hotel (Qu *et al.*, 2002; Tsai, 2006) and the national outdoor recreation markets (Cordell & Bergstrom, 1991).

This paper allowed for the existence of individual effects that were potentially correlated with the right-hand side of the regression, such that

$$u_{1Ait} = \mu_{1Ai} + V_{1Ait} \quad (7)$$

$$u_{2Ait} = \mu_{2Ai} + V_{2Ait} \quad (8)$$

¹Based on Conway and Kniesner (1994); Baltagi (2005); Koutroumpis (2009); Hsu *et al.* (2011); Huang and Xie, (2013), we used the one-way error component in this study.

Here, μ_{1Ai} and μ_{2Ai} are the unobserved country-specific effects that vary across countries in the GMS but are fixed within countries over time (μ_{1Ai} and μ_{2Ai} have no t subscript because they do not change over time). V_{1Ait} and V_{2Ait} are the white noise error terms. From equations (4) and (5), the expected signs for coefficients of explanatory variables are $\beta_1, \beta_2, \beta_3, \beta_5 > 0$ and $\beta_4, \beta_6, \beta_7 < 0$.

The basic approach to estimate SEM with panel data involves two steps: (1) to eliminate the unobserved effects from the equations of interest using the fixed effects transformation method or the first differencing method; (2) to find instrumental variables for the endogenous variables in the transformed equation (Wooldridge, 2003, pp. 520-521).

Because the unobserved effects (μ_{1Ai} and μ_{2Ai}) from equations (7) and (8) were potentially correlated with all explanatory variables in equations (4) and (5), the error terms (v_{1Ait} and v_{2Ait}) in equation (7) and (8) were assumed to be uncorrelated with the explanatory variables in both equations. However, the composite errors, ($\mu_{1Ai} + v_{1Ait}$) and ($\mu_{2Ai} + v_{2Ait}$) were potentially correlated with all explanatory variables. Hence, the unobserved effects from equations (7) and (8) for SEM estimation needed to be eliminated (Wooldridge, 2003: p. 448).

Generally, the fixed effect model allows the unobserved effects (μ_{1Ai} and μ_{2Ai}) to correlate with the explanatory variables whereas the random effect model assumes that the unobserved effects (μ_{1Ai} and μ_{2Ai}) are randomly drawn from a larger population

(Gujarati, 2002, p. 650). Moreover, if N (the number of cross-sectional units) is small and T (the number of time series data) is large, the parameters estimated by the fixed effect model and the random effect model are not different. Hence, the fixed effect model is preferable to the random effect model (Judge *et al.*, 1985, pp. 544-547) in the empirical studies.

In conclusion, the unobserved effects of the international tourism market model in equations (7) and (8) can be eliminated by fixed effects transformation (FE) and first differencing (FD) methods. FE and FD have different efficiency properties in the presence of serial correlation and different probability limits in the panel data model (Wooldridge, 2003, p. 448). Hence, we employed both methods as a first step to eliminate the unobserved effects. The second step was to estimate instrument variables using the Two-Stage Least Square (2SLS) method.

ESTIMATION RESULTS

Tables 3-7 report the estimation results of both the 2SLS-fixed effect transformation (FE) and the 2SLS-first differencing (FD) transformation method. The estimation results of 2SLS-FE and 2SLS-FD were different. The 2SLS-FE results were selected because (1) the F -statistics were statistically significant for all the equations at a 1% level of significance. (2) the \bar{R}^2 was higher at more than 63% and (3) the sign of the coefficients for the explanatory factors were the same as the expected sign. Thus, the fixed effect transformation estimators were more robust than the first

differencing transformation estimators. Hence, we focussed on reporting the estimation results by FE.

Table 3 shows the estimation result of the international tourism market in Cambodia. It was found that the tourism supply for international tourists was significantly and positively related to

capital investment in the tourism sector. However, tourism price and trade openness were not statistically significant. Moreover, the tourism demand of international tourists visiting Cambodia was significantly negatively related to tourism price and positively related to income and substitute tourism price. In contrast, SARS was not statistically significant.

TABLE 3
Estimation Result of the International Tourism Market in Cambodia

Variable	Fixed effects (2SLS)	First difference (2SLS)
Cambodia tourism supply for international tourists: Dependent variable = <i>LQS</i>		
Constant	3.7527*** (2.8958)	0.0276 (1.218)
<i>LRP</i>	0.1385 (0.4148)	-0.1160 (-0.3106)
<i>LCP</i>	0.4234*** (6.0057)	0.0447 (0.1824)
<i>LTP</i>	0.5734 (1.1477)	1.3155** (2.5837)
<i>R</i> ²	0.7481	0.2125
F-statistics	21.25 ***	2.8993**
Durbin-Watson	1.7085	2.5865
Tourism demand of international tourists to Cambodia: Dependent variable = <i>LQD</i>		
Constant	-22.2289*** (-2.8186)	0.1093 (1.5800)
<i>LRP</i>	-10.0282*** (-3.2075)	-12.6537 (-1.5551)
<i>LGDP</i>	2.0251*** (8.2089)	-2.2931 (-0.6379)
<i>LSP</i>	9.8875*** (2.9418)	12.6374 (1.5121)
<i>SARS</i>	-0.0807 (-0.6679)	0.1027 (0.9136)
<i>R</i> ²	0.8288	-1.6308
F-statistics	31.7217***	2.3806
Durbin-Watson	1.4538	2.3120

Note: t-statistics are in parentheses. *** and ** denote significant at 1 and 5 percent levels respectively.

TABLE 4
Estimation Result of International Tourism Market in Lao PDR

Variable	Fixed effects (2SLS)	First difference (2SLS)
Lao PDR tourism supply for international tourists: Dependent variable = <i>LQS</i>		
Constant	6.1770*** (9.3757)	-0.0077 (-0.3500)
<i>LRP</i>	-0.2978 (-1.5111)	-0.4769 (-1.9926)
<i>LCP</i>	0.4058*** (9.3471)	0.5110*** (2.7199)
<i>LTP</i>	1.6994*** (8.2239)	1.9367*** (6.6634)
R^2	0.9121	0.5606
F-statistics	70.1151***	16.5234***
Durbin-Watson	1.70644	2.7523
Tourism demand of international tourists to Lao PDR: Dependent variable = <i>LQD</i>		
Constant	16.8004*** (3.3353)	0.0515 (1.3412)
<i>LRP</i>	5.7266*** (5.9632)	-3.5668 (-1.3350)
<i>LGDP</i>	0.9826*** (3.3497)	1.2540 (1.1183)
<i>LSP</i>	-6.1444** (-4.8842)	3.5726 (1.3970)
<i>SARS</i>	-0.0075 (-0.1519)	-0.1241** (-2.3170)
R^2	0.9521	0.1570
F-statistics	106.0620***	4.5565
Durbin-Watson	1.4934	1.7031

Note: t-statistics are in parentheses. *** and ** denote significant at 1 and 5 percent levels respectively.

With regard to the estimation results for the Lao PDR tourism market, Table 4 shows the tourism supply for international tourists was significantly positively related to capital investment in the tourism sector and trade openness. However, tourism price was not statistically significant. It is surprising that tourism price was positively related to the tourism demand of international tourists visiting Lao PDR, which infers that the tourism product

in Lao PDR was not a normal good for international tourists. This finding is similar to Narayan's (2002); he found that tourism price has a positive relationship with demand for international tourism in Fiji. Moreover, income was also positively related to tourism demand, which was consistent with other countries. In contrast, tourism demand was negatively related to substitute tourism price but SARS was not statistically significant.

TABLE 5
Estimation Result of International Tourism Market in Myanmar

Variable	Fixed effects (2SLS)	First difference (2SLS)
Myanmar tourism supply for international tourists: Dependent variable = <i>LQS</i>		
Constant	4.0930 (1.7407)	-0.0112 (-0.2337)
<i>LRP</i>	0.5269 (1.3731)	0.4484*** (3.1588)
<i>LCP</i>	-0.8415*** (-2.9751)	-0.5053 (-1.0627)
<i>LTP</i>	-2.8861*** (-2.4042)	-2.7808** (-2.0483)
R^2	0.5814	0.3878
F-statistics	7.1926	7.7087***
Durbin-Watson	2.7016	2.6317
Tourism demand of international tourists to Myanmar: Dependent variable = <i>LQD</i>		
Constant	-0.8659 (-0.5229)	0.0880 (1.2749)
<i>LRP</i>	-0.2496** (-2.6090)	-1.2315 (-1.2340)
<i>LGDP</i>	1.8037*** (14.4179)	1.2118*** (2.9283)
<i>LSP</i>	-0.0418 (-0.3124)	0.6620 (0.6398)
<i>SARS</i>	-0.0098 (-0.3124)	0.1104 (1.0594)
R^2	0.9315	0.3162
F-statistics	80.5303***	4.6097***
Durbin-Watson	0.9649	2.0130

Note: *t*-statistics are in parentheses. *** and ** denote significant at 1 and 5 percent levels respectively.

TABLE 6
Estimation Result of International Tourism Market in Thailand

Variable	Fixed effects (2SLS)	First difference (2SLS)
Thailand tourism supply for international tourists: Dependent variable = LQS		
Constant	6.5311*** (14.2244)	0.0069 (0.6654)
LRP	0.0580 (0.7023)	-0.0045 (-0.1664)
LCP	0.0960*** (2.9464)	-0.0024 (-0.0193)
LTP	0.3414** (2.9464)	0.1112 (0.3793)
R^2	0.6341	0.0138
F-statistics	11.3726***	0.2126
Durbin-Watson	3.0124	3.5679
Tourism demand of international tourists to Thailand: Dependent variable = LQD		
Constant	-4.5732 (-0.9749)	0.0133 (0.3153)
LRP	3.3156*** (2.0701)	5.2820 (0.4626)
$LGDP$	0.6048*** (3.1830)	0.4604 (0.3608)
LSP	-3.4266** (-2.4907)	-4.8389 (-0.4874)
$SARS$	-0.0249 (-0.7491)	-0.0039 (-0.0459)
R^2	0.7653	-0.1326
F-statistics	26.5178	1.7044
Durbin-Watson	1.1757	1.7037

Note: *t*-statistics are in parentheses. *** and ** denote significant at 1 and 5 percent levels respectively.

The estimation result of the international tourism market in Myanmar is reported in Table 5. It shows that the tourism supply for international tourists was significantly negatively related to capital investment in the tourism sector and trade openness. However, tourism price was

not statistically significant. On the other hand, the demand of international tourists visiting Myanmar was negatively related to tourism price and positively related to income. In contrast, substitute tourism price and SARS was not statistically significant.

TABLE 7
Estimation Result of International Tourist Market in Vietnam

Variable	Fixed effects (2SLS)	First difference (2SLS)
Vietnam tourism supply for international tourists: Dependent variable = <i>LQS</i>		
Constant	3.9437*** (8.1092)	0.0531*** (9.8715)
<i>LRP</i>	0.3472*** (3.4050)	-0.0041 (-0.1022)
<i>LCP</i>	0.5193*** (2.7304)	0.1545 (1.9375)
<i>LTP</i>	0.0029 (0.0027)	-0.2545 (-0.9690)
R^2	0.8488	0.6514
F-statistics	37.6123***	24.9061***
Durbin-Watson	0.8818	2.4686
Tourism demand of international tourists to Vietnam: Dependent variable = <i>LQD</i>		
Constant	-10.6319** (-2.1741)	0.0849*** (3.0480)
<i>LRP</i>	-4.0833** (-2.3666)	-2.7412** (-2.6003)
<i>LGDP</i>	0.8679*** (7.1344)	-0.7068 (-0.8609)
<i>LSP</i>	4.4216** (2.4796)	2.2653 (2.0112)
<i>SARS</i>	-0.0557 (-0.8368)	0.0012 (0.0283)
R^2	0.8620	0.1337
F-statistics	29.8423***	3.1795**
Durbin-Watson	1.0791	1.7289

Note: t-statistics are in parentheses. *** and ** denote significant at 1 and 5 percent levels respectively.

Table 6 shows that the tourism supply for international tourists in Thailand is significantly positively related to capital investment in the tourism sector and trade openness. However, tourism price is not statistically significant. With regard to the estimation result of international tourism demand in Thailand, tourism price was positively related to the tourism demand

of international tourists visiting Thailand. Therefore, the tourism product in Thailand was not a normal good for international tourists. Moreover, income was also positively related to tourism demand, which is consistent with the other countries. In contrast, tourism demand was negatively related to substitute tourism price and SARS was not statistically significant.

The supply to international tourists in Vietnam is positively related to tourism price and capital investment in the tourism sector. However, trade openness in the model is not statistically significant. Furthermore, the demand of international tourists visiting Vietnam is negatively related to tourism price and positively related to income. In addition, tourism demand is negatively related to substitute tourism price but SARS is not statistically significant (see Table 7).

In summary, for tourism supply, capital investment in the tourism sector has a significant positive effect in all GMS countries except Myanmar. Trade openness has a significant positive effect for Lao PDR and Thailand while it is negatively related to the tourism supply of Myanmar. Tourism price is positively related to tourism supply in Vietnam. On the other hand, income has a significant positive effect for all GMS countries in terms of tourism demand. Tourism price is negatively related to international tourism demand in Cambodia and Vietnam, but is the reverse for international tourists in Lao PDR and Thailand. Substitute tourism price has a negative relationship in Thailand but has positive relationship for Cambodia, Lao PDR and Vietnam. Moreover, SARS is not statistically significant.

CONCLUSION AND POLICY IMPLICATIONS

This paper investigates the factors that affect the international tourism market in each GMS country and as a whole region.

A SEM with panel data was employed to analyse international tourism demand and supply of its four major source countries. The main findings of this study are as follows.

First, for the international tourism supply of the GMS, capital investment in the tourism sector has a significant positive effect in all GMS countries except Myanmar. This could be due to the capital investment in the tourism sector in Myanmar being greater than air transportation expansion. Moreover, trade openness is positively related to Lao PDR and Thailand while it is negatively related to Myanmar. This infers that trade openness in Myanmar is gradually expanding but is not enough for the air transportation capacity in the country. The tourism price factor of tourism supply is only positively related in Vietnam. This result is consistent with Zhang and Jensen (2007) who found that tourism price has a positive relationship with international tourism flows in the supply side for OECD countries.

Second, consistent with previous studies (Chaiboonsri *et al.*, 2010; Kripornsak, 2011), income in the country of origin offers a robust explanation for tourism demand. This means that tourism products are normal goods because tourism demand increases less than proportionally as income level rises (Bull, 1991, pp. 36-37). Therefore, this paper confirms that the tourism product in the GMS is a normal good because the income level factor is positively related to international tourism demand, and the income elasticity of all

countries in GMS is less than 1% except in Myanmar because the income elasticity of Myanmar is positively related to international tourism demand by more than 1.8%. This means that the tourism product in Myanmar is a luxury good.

Third, international tourism demand in Cambodia and Vietnam is negatively related to the tourism price factor, which is consistent with demand theory. However, we found a reverse situation for international tourists in Lao PDR and Thailand. This infers that high tourism prices are not likely to discourage international tourists from visiting Lao PDR and Thailand because international tourists normally book their travel in advance. Hence, they cannot control their tourism expenditure during the tourism period. Nevertheless, this result is consistent with Narayan (2002) who found that tourism price has a positive relationship with demand for international tourism in Fiji.

Moreover, international tourism demand in Cambodia, Lao PDR and Vietnam is positively related to the substitute tourism price factor. However, it has a negative relationship in Thailand. Therefore, we can conclude that Thailand is a competitor for international tourists visiting Lao PDR, Cambodia and Vietnam. In contrast, Vietnam is a complementary destination for international tourists because international tourism demand in Thailand is negatively related to the substitute tourism price factor. In addition, SARS is not a significant factor in this analysis.

For policy implications, capital investment is a common determinant for international tourism supply and remains important for enriching the tourism sector in GMS countries, the countries should offer tourists a unique experience by presenting nature tourism, ecotourism, rural tourism and so on; such tourism development may not require huge capital investment. Income level is an important factor for international tourism demand in the GMS. GMS countries should focus on attracting higher income groups to direct their tourism markets towards a sustainable single tourism market. On the other hand, GMS countries should increase their competitiveness on tourism, the possibility of "neighbourhood effects" can also be explored. For example, visitors to Thailand could also visit neighbouring countries like Myanmar, Laos and Cambodia in the same package tour and as a result, competition could turn into cooperation through positive spill-over effects. These steps would enhance cooperation in the tourism sector among GMS countries in order to achieve the facilitation of intra-GMS travel and to support the GMS countries as complementary markets in a single market.

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Melancholic Mem in *the Third Life of Grange Copeland*

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ABSTRACT

Julia Kristeva's notion of the melancholic subject deals with the subject's sense of loss in the absence of the unnameable Thing. As a result of melancholia, the melancholic subject is a stranger to his mother tongue and cannot express his feelings through language; therefore, he cannot communicate with others. Using this framework, this article focuses on Alice Walker's *The Third Life of Grange Copeland* in light of Julia Kristeva's melancholic subject. In this novel, Mem is tormented, both physically and psychologically, by her husband. As a result of her loss of a mother figure and husband's affection, she falls into melancholia. This article sheds light on how Mem's loss of a mother figure and lack of love from her husband leads her to melancholia and how she reacts to the physical and psychological pressures she must confront.

Keywords: Julia Kristeva, melancholic subject, Alice Walker, *The Third Life of Grange Copeland*, sense of loss

INTRODUCTION

The Third Life of Grange Copeland (1970) highlights black characters' entrapment in a racist society. Racism influences the male characters both physically and

psychologically, and as a result of racial pressure, the male characters' relationships with their wives and children fail. As these black men are marginalised in society and are supposed to obey their white masters, they in turn impose these pressures on their family members; therefore, family relationships become distorted. "Walker centers on the male characters' distorted identity due to socioeconomic discomfort coupled with racial underpinnings" (Lare-Assogba, 2011, p. 38). In this novel,

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“Brownfield is a terrifying example of how the south can physically enslave and spiritually cripple black people” (Butler, 1988, p. 196). Moreover, this novel portrays how in those moments when “the black man is bruised and dehumanized by the dominant and social structure, he, in turn, maims and beats his wife, who is loyal and submissive, and mistreats his children” (Hogue, 1985, p. 56). Moreover, this novel is also an escapist novel, as men seek respite from their dependence on white landlords and women want to escape abusive husbands and fathers (Pifer, 1998, p. 21).

To demonstrate his power, Brownfield, the black male character, starts to question the female characters’ capabilities and, step by step, begins to belittle his wife. Alice Walker believes that although this novel centres on Grange and his son, “it is the women and how they are treated that colors everything” (O’Brian, 1973, p. 197). This novel indicates women’s struggle for “self-determination economically, intellectually and artistically among the African-American women characters and their control over the male that actually dominates the novel” (Hall, 1990, p. 14). The following discussion will focus on Mem, one of the repressed female characters in the novel, who is tormented, both physically and psychologically, by her husband, Brownfield. As a result of this physical and mental pressure, Mem, an educated, pretty and confident woman, turns into an ordinary person reduced to skin and bones, prone to question herself. The following discussion will apply Julia

Kristeva’s concept of the melancholic subject to *The Third Life of Grange Copeland* in order to explore Mem’s melancholia.

MELANCHOLIA

Language and identity have been main topics of research in recent years. Different critics, such as Foucault (1990), Derrida (1998) and Kristeva (1984), have focused on language and its effect on identity formation, which is the main objective of psychoanalysis. In some cases, however, the subject is unable to form her identity as the result of a feeling of loss within herself. Throughout life, a person can undergo various losses, but the main question is what has been lost, and thus different critics in various fields have studied this mourning that leads to problems with identity formation. The reason for this sense of loss is melancholia. It has been studied from a range of different perspectives, including Freudian psychoanalysis, Aristotelian philosophy and Kristevan literature. But why does this topic fascinate so many great minds and, moreover, why have so many texts been devoted to it? From ancient times to the modern era, different philosophers, literary figures and psychoanalysts have devoted much of their time to discussing melancholia and its causes. What I try to show in the following pages is how to apply Julia Kristeva’s concept of the melancholic subject to Walker’s *The Third Life of Grange Copeland*.

As aforementioned, throughout the long history of the study of melancholia,

melancholia has been variously presented and widely disputed in its degree of seriousness and level of importance. The earliest critical discussions concerning melancholia can be traced back to before the nineteenth century, when different philosophers viewed melancholia as depression, a state of insanity or a mental disorder. In the beginning, some critics like Avicenna and Galen considered melancholia to be an imbalance of black bile (Radden, ix, x). In addition, Teresa of Avila considered it to be the devil's work, rather than a form of mental distress (Radden, 9). Not only demonic forces but also astrological effects have been regarded as the cause of melancholia. The people who believed in astrological influence thought that a child who was born under the influence of the planet Saturn would be prone to melancholia. Although the causes of melancholia vary depending on different philosophers' perspectives, there are two main states of fear and sadness that all definitions of melancholia share and see as symptoms.

In addition to the above, based on Aristotle's *Problems*, melancholia is often associated with an intellectual and creative mind (Kristeva, 1992, 6-7). Therefore, a genius is more susceptible to melancholia. In the view of other philosophers like Benjamin Rush, it is better for people to keep themselves busy and active in order not to become melancholic. One should, however, notice that there is a difference between being active and labouring under

meaningless oppression; as such, more women have fallen into melancholia as they do not have meaningful work but have rather been oppressed by the social system.

Later, Sigmund Freud offered his explanation of the melancholic subject in *Mourning and Melancholia* (1917). Based on Freud's ideas, mourning and melancholia result from loss. The melancholic subject feels a sense of loss towards something to which they have libidinal attachment. Mourning and melancholia are considered to be a response to loss, but while mourning is a normal response, and it ends after a period, melancholia is abnormal as it does not have a specific time duration. As a result, the mourning person is able to make progress in life after mourning their loss. During mourning, the subject goes through a process of ego formation, whereas in melancholia the subject cannot exist and lives in a state of psychological stagnation. Freud defines melancholia as "an object-choice, an attachment of the libido to a particular person, [who] at one time existed", but this object-relationship is broken and as a result the subject faces a loss of ego (Freud 249).

Julia Kristeva, when discussing the melancholic subject, is influenced by Freud's theory of loss (1917). In her theory, she focuses on self-identity and the connection between narcissism and melancholia. Kristeva mentions that she will "speak of depression and melancholia without always distinguishing the particularities of the two ailments but keeping in mind their common structure"

(Kristeva, 1980, 10–11). Moreover, she claims that depression is the hidden “face of narcissus, the face that is to bear him away into death, but of which he is unaware while he admires himself in mirage” (ibid., 5). In fact, Kristeva believes that melancholia is both a self-identity disorder and a sense of loss.

[An] abyss of sorrow, a noncommunicable grief that at times, and often on a long-term basis, lays claims upon us to the extent of having us lose all interest in words, actions, and even life itself. (Kristeva, 1980, 3)

When a child mourns for the loss of the Thing, he cannot use language and, as Kristeva holds, “the collapse of the symbolic is a tell-tale sign of melancholia” (Sabo, 2010, p. 57). In the absence of the Thing, he feels loss and cannot share this feeling with others. The melancholic subject expresses how “‘I’ isolate myself from the world, ‘I’ withdraw into my sadness, ‘I’ do not speak, ‘I’ cry. ‘I’ kill myself” (Kristeva, 2000, 47). Even though the melancholic subject speaks, he is a stranger to his mother tongue. In Kristeva’s words, “the depressed speak of nothing, they have nothing to speak of: glued to the Thing, they are without objects” (Kristeva, 1980, 51). The melancholic subject’s sentences are ungrammatical, repetitious and monotonous. The melancholic subject can bring his mother back through the use of language; and if the child cannot enter the symbolic realm, he will have a heterogeneous subjectivity rather than a unified one.

As a result, he becomes an “I” through language. In fact, a traumatic separation from object of love is the necessary foundation of human identity. As a product of individuation, this crisis is in essence individual and is therefore timeless and unrecorded in the history. (Iannetta, 2002, pp. 194–195)

The melancholic writer attempts to enter the symbolic realm and name the lost object that he mourns; and as a result of this naming he is able to share his sense of loss with other people and express his sadness. However, Kristeva holds that the writer should have experience of loss in order to be able to express it in his writing. Only the melancholic subject who has experienced melancholia can reflect it in her text; and Alice Walker, as her biography shows, is a melancholic subject. During her childhood, Walker played with her brothers and, on one occasion, one of them accidentally shot her in the eye and she was blinded in it. She thought that she had become ugly with 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 victim of 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 then on, she started reading stories and writing poetry. After graduating from high school, having earned a scholarship, she went to Spelman College. At college, she unwittingly became pregnant, and this led to depression. As a result, she considered committing suicide; however, her friends found a doctor who did an abortion for her and saved her life. In 1965, in Mississippi, she met Melvyn Rosena Leventhan, a Jewish lawyer, and two years later they married. Their marriage surprised people 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 so much so 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).

She writes about her trauma within her texts in order to heal herself, and *The Third Life of Grange Copeland* is one of the texts in which she highlights her trauma. *The Third Life of Grange Copeland* has been analysed from different perspectives, such as Stephanie La’Chelle Hall’s master’s thesis, *African-American Women and Their Endeavor for Self-Determination in Alice Walker’s Novels*, “*The Third Life of Grange*

Copeland”, “*Meridian*”, and “*The Color Purple*”, which reveals how women intend to gain self-determination. Alice Walker’s female characters fight for their economic, intellectual and artistic rights, and in *The Third Life of Grange Copeland*, these female characters’ “control over the male actually dominates the novel” (14). Hall’s dissertation focuses on Alice Walker’s *The Third Life of Grange Copeland* and *The Color Purple*. She applies Barbara Christian and Mari Evans’ feminist theories to these texts in order to indicate the methods via which women achieve self-determination in a patriarchal society. This study is, however, limited in that it does not focus on women’s psychological problems and their methods to address these problems and then find a voice to fight for their rights. My study aims to fill the gaps in Hall’s dissertation (1990).

Moreover, Linda Elena Opyr in her doctoral thesis *The Black Woman in the Novels of Alice Walker and Toni Morrison* explores the depiction of black women in selected novels by those writers. She emphasises the influence of racial and gender discrimination on black female characters. Moreover, she focuses on how black women’s relationships with other characters can influence those women. Walker’s female characters struggle for their physical and psychological survival (36). Opyr selected Alice Walker’s *The Third Life of Grange Copeland*, *Meridian* and *The Color Purple* to indicate the influence of discrimination on the black female characters. Opyr tries to show that

black women are under pressure within both black and white communities. But she does not focus on their melancholia, which is the topic of the current paper.

Melissa Sue Smoak in her master's thesis *The Melancholic Subject: Exploring Loss and Relationships in African American and Asian American Fiction* (2014) focuses on how oppression contributes to characters' psychological problems. One of the selected novels is Walker's *The Third Life of Grange Copeland*. In her master's thesis, Smoak mainly focuses on the effect of racism on black characters and how they see themselves. Smoak applies Freud's theory of mourning and melancholia to focus on the characters' melancholia.

In a similar work, Leigh Anne Duck focuses on melancholia in her article entitled "Listening to melancholia: Alice Walker's *Meridian*". Duck also addresses the issue of racism, its effects and approaches to overcome it. This article indicates how characters question their past and learn from their painful experiences. As far as the literature review is concerned, most previous studies on Alice Walker's novels have focused on racism as the main reason for characters' melancholy. But the current article will focus on how different losses affect Mem and lead her to melancholia. As Mem loses different things in her life, she undergoes melancholia; however, one should notice that patriarchy and racism exacerbate her situation.

The term patriarchy originates from a Greek word meaning "father of the race". When the male head of a family rules over

the family or overall power is in men's hands, one can refer to this as patriarchy. In the selected novel, Mem's spirit is crushed by Brownfield's treatment of her.

In addition to patriarchy, Mem's psyche is shattered as racism dominates the society. Racism occurs when different races are ranked as superior and inferior to each other. In this novel, the whites consider themselves superior to the blacks. The blacks work in sharecropping fields, and they are slaves. Mem and her children are workers in the fields, they suffer a lot and earn little. In the following, *The Third Life of Grange Copeland* will be analysed in light of Julia Kristeva's concept of the melancholic subject in order to explore Mem's melancholia mainly based on the different losses she faces.

DISCUSSION

In *The Third Life of Grange Copeland*, Walker mainly discusses the effects of racism on black people and how it leads them into melancholia. The following discussion will examine how Brownfield has melancholic moods, not only as a result of his father's abandonment of the family but also as the effect of a white racist society, and how he seeks to put all these pressures onto Mem's shoulders, which leads to her melancholia.

Brownfield's narrative concentrates all that is negative about southern culture: he is cruelly victimized by the extreme racism and portrayal of the Georgia backwoods world in which he is born and raised. As his name clearly

suggests, his is a case of blighted growth; he is a person who has been physically and emotionally withered by the nearly pathological environment which surrounds him. (Butler, 1988, p. 196)

Brownfield suffers in white racist society as a result of the whites' unjust and belittling behaviour. He could not mature as a man as he did not have any father figure to follow, and because the white racist society emasculated him. Therefore, his life is affected by the negative effects of white racist segregation and sharecropping. As he feels frustrated and powerless in this society, he turns to violence and domination to show his power over his wife and daughters. One should, however, note that the main discussion in this section will deal with Mem's melancholia as a result of her repressed sexuality and inexpressible sense of loss, which will be approached based on Kristeva's melancholic subject. In fact, "within the set of relations established in the texts, we see images of the black woman – as someone who is battered, abused, scared psychologically" (Hogue, 1985, p. 50), and so this study will focus on Mem as one of these battered women.

As aforementioned, in *The Third Life of Grange Copeland*, Alice Walker emphasises the negative effects of racism on black people's lives. As a result of the inequality between blacks and whites in society, black people cannot achieve their goals. They always dream their dreams, but they never come true. The same frustration with unfulfilled desires affects

Brownfield. "His dreams to go North, to see the world, to give Mem even the smallest things she wanted from life died early" (Walker, 1988, p. 73). Brownfield feels depressed as he perceives there will be no improvement in his life until there is an end to the racist society. Through the pathological environment which surrounds Brownfield, he feels he has withered, both physically and psychologically (Butler, 1988, p. 196). Therefore, he prefers to abandon his dreams, but he feels a lack of fulfilment regarding the dreams in his life, and he mourns this loss.

In addition to racism, Brownfield is melancholic as a result of his father's absence too.

Brownfield felt he had been abandoned by Grange's desertion to whatever wolves would take him; not at the time of his leaving, nor while Brownfield was living at the Dew Drop Inn. (Walker, 1988, p. 93)

Although Grange, Brownfield's father, was a victim of racism too, his bad decision to abandon his family and move north affects all the members of his family psychologically. As Brownfield feels he was abandoned by his father, he always feels this absence in his life. The melancholic subject will ask, "father, why have you deserted me?" (Kristeva, 1980, p. 133), and here Brownfield is a melancholic character who suffers from his father's abandonment. Although he never confesses his need for a father, the memory of his father's abandonment indicates this emotion clearly enough.

After his marriage, as Brownfield cannot support his family in the racist society, he starts to treat his wife and his daughters harshly in order to stop them nagging him about their situation. As a result of this harsh behaviour Mem becomes a melancholic subject. "From a plump woman she became skinny. To Brownfield she didn't look like a woman at all. Even her wonderful breasts dried up and shrank; her hair fell out" (Walker, 1988, p. 77). Through Mem's transformation from plump girl to thin woman, one can perceive the devastating effects of white racism and patriarchy on blacks, especially black women. As a result of racism, Brownfield is dehumanised. He behaves like the animals in the house and hits out at Mem for no reason. That is why Mem changes from a pretty happy woman into a melancholic woman who does not care about her appearance or health. In addition, she cannot talk about her miserable situation to anyone; and, in fact, she does not have anyone to support her in tough situations.

Besides her husband's mistreatment of her, Mem is tired of moving from one place to another.

Each time she stepped into a new place, with its new, and usually bigger rat holes, she wept. Each time she had to clean cow manure out of a room to make it habitable for her children, she looked as if she had been dealt with a blow. Each time she was forced to live in a house that was enclosed in a pasture with cows and animals eager to eat her flowers before they were

planted, she became like a woman walking through a dream, but a woman who had forgotten what it is to wake up. (Walker, 1988, p. 78)

She should clean this new dirty place, which is a kind of nightmare for her, and when she makes the place habitable, she is forced to move out yet again. All these moves torture her throughout her life and stop her enjoying herself. She feels the lack of a permanent home in her life, a place where she can live contentedly with her family. "Women need to feel secure, reassured of love and buttressed by the comfort of home" (Greer, 2008, p. 271), but Mem is deprived of a comfortable house and thus feels depressed. This lack of a permanent place leads her into an "abyss of sorrow, a noncommunicable grief" (Kristeva, 1980, p. 3).

In order to rid herself of this itinerant lifestyle, she finds a house in town; but after a while she loses her job and cannot afford the rent. Then, Brownfield starts bothering her again. Every day she looks for a job, but she cannot find one, and so "the children took their cue from her silence" (Walker 1988, p. 138). Mem keeps silent as she cannot express her helpless hopeless situation. As Mem is a melancholic subject, she "sinks into mutism" (Kristeva, 1980, 43). She cannot share her sense of misery at not finding any sort of job to support her family; she cannot put it into words.

In addition to all her misery, Mem does not receive any support from anyone, as she has even lost the love of her mother, who considered Mem to be her love

opponent. In this bad situation she has no one to help her. "She wanted to leave him, but there was no place to go. She had no one but Josie and Josie despised her" (Walker, 1988, p. 77). She was abandoned by the people she knew. As a melancholic subject, she is unable to express her sense of loss to others, and it is here that Mem's situation is at its worst as she does not have any companion with whom she can talk and unburden her miseries.

In addition to the loss of a mother figure and of the houses she cleaned and took care of for a long time, the loss of not being loved by her husband only worsens Mem's situation. "Loveless marriage is anathema to our culture, and a life without love is unthinkable" (Greer, 2008, p. 222). Mem is trapped within a loveless marriage and does not have anyone to help her escape from this situation. Moreover, Brownfield takes advantage of Mem's physical body to weaken her, and then profits from her weakness. As he cannot provide a comfortable life for his family and Mem can do the things at which he failed, he abuses Mem's body. "Her body would do to her what he could not, without the support of his former bravado. The swelling of the womb, again and again pushing the backbone inward, the belly outward" (Walker, 1988, p. 133). By becoming pregnant time and again, Mem's body becomes weak and she is no longer able to work. Unwanted pregnancies destroy a woman's body and Brownfield inflicts this on Mem in order to degrade and dishearten her. Brownfield even addresses

Mem on this subject and declares, "you thought I fucked you 'cause I wanted it? Josie better than you ever been. Your trouble is you just never learned how not to git pregnant. How long did you think you could keep going with your belly full of childrens?" (Walker, 1988, p. 141). Greer believes that "no men who think really deeply about women retain a high opinion of them; men either despise women or they have never thought seriously about them" (Walker, 1988, p.119). He does not make love to her because he loves her, but he does make her pregnant as he intends to abuse her body. He considers Mem to be a womb and sees just one part of her body; and he seeks to weaken her through her womb, and this thought of being abused by her husband makes Mem melancholic. In fact, the "female body is considered as a sexual object", and here Mem's body is abused by Brownfield (Greer, 2008, p. 17). Moreover, impregnation breaks down a woman's self-sufficiency (Greer, 2008, p. 275), and Mem is unable to work or do the household chores as a result of her pregnancies which weaken her and destroy her self-confidence.

Besides Mem, who is dissatisfied with her house, her daughters "Daphne and Ornette found J. L.'s house unbearable and complained all the time with their eyes" (Walker, 1988, p. 145). They do not express their sense of a lack of comfort in words but their eyes display their melancholia. Although "Ruth was less stricken by the move ... she knew it made her mother unhappy and therefore hated it" (Walker,

1988, p. 145). All the members of the family feel a sense of loss over the comfortable life they had in town when they move to J. L.'s house, but they do not share this feeling as they consider it something private and inexpressible. Even Mem mourns "over losing the 'decent house'" (Walker, 1988, p.148). She mourns the loss of the house as she believes that, in losing a decent house, her daughters have lost a proper and successful future. As soon as they move to J. L.'s house, Brownfield changes from a civilised man into an animal, as he waited for years to torture Mem for renting the house in town without his approval; and as a result, he thinks that Mem questioned his manhood by not consulting him about the house rental.

In the end, as Mem could tolerate no more suffering, she moves towards her husband who holds a gun in his hand. She does not care about dying as she does not have any energy remaining to resist her husband's stubborn animalistic behaviour. In Kristeva's opinion, the melancholic subject does not care about life (Kristeva, 1980, 189); here, for Mem as a melancholic subject, life has lost all meaning in Brownfield's house and so it is not important to her if she loses her life. "Mem's speech progressively loses its strength and resilience, failing ultimately to protect her from the force of the surrounding, environment conditioned largely by Brownfield's willfulness" (O'Mason, 1985, p. 300). "Mem looked up at the porch and called a greeting. It was a cheerful greeting, although she

sounded very tired, tired and out of breath. Brownfield began to curse and came and stood on the steps until Mem got within the circle of the light. Then he aimed the gun with drunken accuracy right into her face and fired" (Walker, 1988, p. 161). Although her behaviour is suicidal, even in the moment of her death she faces it proudly and courageously. The fact is that she was trapped in the wrong marriage. As Brownfield observes the growth of Mem's inner strength, he ends her life.

CONCLUSION

In *The Third Life of Grange Copeland*, Alice Walker focuses on how a racist society breaks black people's psyche and affects their family relationships. In this novel, Brownfield torments his wife and daughters as he cannot resist the whites' power. In order to prove his manhood, he puts his family members under pressure, which leads to their melancholia. As a victim of racism and a patriarchal society, Mem loses her life, as she can no longer tolerate any more humiliation in Brownfield's house. She was a happy girl, but she was turned into a melancholic woman trapped in a wrong marriage with Brownfield. She cannot express her sense of loss to anyone, as her husband is harsh and ignorant and she does not have any other support. As life becomes meaningless in her eyes, she commits suicide by moving towards her husband who is holding a gun in his hand, and thus ends her miserable life.

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The Effects of an Informal Values Education Programme on the Development of the Concept of Responsibilities among 5th Grade Students from Ethnic Minority Groups in Vietnam

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ABSTRACT

This study investigated the effect of an informal values education programme on the development of concept of responsibilities among 5th grade students from ethnic minority groups in Vietnam. For this purpose, 38 students from an experimental group received a values education intervention, while 38 students from a control group did not. The intervention programme was adapted into the Vietnam culture in general and into the Vietnam ethnic minority groups' characteristics in particular. The pre-test and post-test of both groups were evaluated using a questionnaire that measured children's concept of responsibilities designed for the purposes of the study. Findings showed significant differences between the pre-test and post-test for the experimental group on the specified variables but not for the control group. Based on the results, an informal values education programme that has been culturally adapted is therefore suggested to make a positive impact on the development of concept of responsibilities among 5th grade students from the ethnic minority groups in Vietnam.

Keywords: Responsibility, moral education, values education.

INTRODUCTION

Formal Values Education Programme for Children in Vietnam

Nowadays, at all levels of the Vietnamese education system, moral education is incorporated in the formal curriculum and taught as a single subject of study besides other subjects (Duong, 2000; Doan, 2005; Vo, 2005; Hoan, 2006; Long, Anh, & Hien,

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2007). Each level has particular goals: Moral education in primary school concentrates on character and personality building, while the focus of syllabuses in secondary school is on citizenship education, emphasising the notion of developing a socialist citizen (Hao, 1992; Hoan, 2006). The ideas of inculcating socialist thoughts and socialist principles are as important as building intellectual ability in higher education. Consequently, Marxist sciences and Ho Chi Minh's thoughts are compulsory taught courses in the undergraduate and postgraduate curriculum (Doan, 2005).

Chapter One, Article 20 of Vietnamese Education Law indicates that moral education in the primary school mainly focuses on building character and personality for children, which aims "to teach students to respect, love and show good behavior towards grandparents, parents, teachers, older people; to love brothers, sisters, and friends; to be sincere, confident, eager to learn, and be appreciative of nature's beauty" [Socialist Republic of Vietnam - Ministry of Education and Training (SRV-MOET), 2004b]. From Grades 1 to 5 at the primary level, the syllabus of moral education was designed with different topics for each grade. Ethics lessons are usually taught separately using pictures, games, storytelling, rhythm and rhymes. There are always comprehension questions followed by inference questions at the end of each lesson. The contents of the lessons focus on one of the following five aspects: (1) matters relating to self, character and personality; (2) relationship of

self to other people; (3) matters relating to nature; (4) matters relating to national identity and love for nation; and (5) matters related to community and society (Doan, 2005).

In Vietnam, the poor quality and inappropriate methods of moral education might increase social problems and decrease morality among young people (Nguyen, 2005). Perhaps, moral education in the formal curriculum has poor content and boring teaching method, and has been mistakenly replaced by political and legal teaching; therefore, it has very little impact on the development of personality, character and morality of students (Duong, 2000). Consequently, the goals of moral education are not easily achieved, as expected in the Education Law (Socialist Republic of Vietnam - Ministry of Education and Training (SRV-MOET), 2004a). Key social values are gradually deteriorating among the young generation, and this is a major concern of Vietnamese educators today (Vo, 2005).

"Values education" and "moral education" can be used interchangeably in this article. They can be defined as "the aspect of the educational practice which entails that moral or political values as well as norms, dispositions, and skills grounded in those values are mediated to or developing among students" (Thornberg, 2008, p. 52).

The Need to Have an Informal Education in Teaching and Learning Values for Primary Students in Vietnam

There are two general approaches described in the literature of values education

(Halstead, 1996; Solomon, Watson, & Battistich, 2001). The traditional approach uses direct teaching, exhortation, rewards and punishments as the way adults transmit the morals of society to children to help them become conforming and nice people (Durkheim, 1961, 2002). The second approach is more progressive or constructivist which “emphasizes children’s active construction of moral meaning and development of a personal commitment to principles of fairness and concern for the welfare of others through processes of social interaction and moral discourse” (Solomon *et al.*, 2001, p. 573). Typical methods of this approach are based on reasoning and explanations, deliberative discussion upon moral dilemmas, and participation in decision-making processes.

According to Sanger and Osguthorpe (2005), this distinction between the traditional approach and the constructivist approach implies that there are educational programmes or approaches that can fall in between them. Thus, the third approach called the critical approach is introduced. In this approach, the major concentration is on the moral influence in school, in the practice of school discipline and in hidden curriculum that has far-reaching effects without being directly noticed (Giroux & Penna, 1983). In other words, how value education can take place in everyday life in school is the main question. An ethnographic study by Jackson, Boostrom, and Hansen (1993) found that the moral life of classrooms was expressed as two dimensions: promoting moral instruction and encouraging moral

behaviour by deliberate attempts, such as classroom discussions about moral issues, posters with moral messages on the classroom wall, and spontaneous moral comments on students’ behaviour, as well as moral practice by activities that can embody morality such as classroom rules and regulations, and by embedding morality in the content and structures of curriculum.

According to Soriano, Franco, and Sleeter (2011), values must become part of a process of living and awareness so that they can become integrated and effective in regulating behaviour when a link between cognitive reflection on values and effect is established. Hence, the content of value education must not be transmitted directly as well as standard values should not be based on a system of unmodifiable social norms that regulate personal and social life. Value education must address a connecting process of the person’s configuration and his/her own system of personalised values that carry feelings and have been adopted and lived by that person. In other words, participants are not passive recipients in values education, and because values are not learned, they have to be key actors in their own process of discovering, living and internalising values.

Values education in an informal context reveals several advantages over formal education (Reyes, 1999):

- (1) Because of the lack of the compulsory which is emphasised in formal education, informal education can eliminate the negative connotations of imposed learning.

- (2) There is usually a closer contact between participants in informal education than in formal education, thus it is easier to bring into education process the chance to start from the situation and needs of these participants or to generate opportunities providing a space for significant learning.
- (3) The role of the person who directs intervention in informal education is more like a facilitator than an instructor.
- (4) An active, participative methodology that encourages greater involvement of the participants is usually applied in informal education.

In the modernisation context of Vietnam society today, family bonds become less solid because both parents work outside the house (Vo, 2005). In nuclear families, this situation is especially obvious when children are sent to school from a very young age and have to spend most of their time at school. The education for children depends completely on their teachers' responsibilities and practices. In addition, young Vietnamese also start searching for their own identity by imitating the image of models, singers, movie stars and artists, which only promote luxurious, material life and earthly values (Doan, 2005). Moreover, most primary schools in remote and highland areas have difficulties in practicing value education, mainly in delivering value education lectures in classroom. According to Hoan (2006), culture and school curriculum

must reflect the values of the country and each province, especially the specific characteristics of each ethnic minority group. In spite of this, the Vietnam Socialist Party and Government have paid more attention to and made more efforts in improving the quality of value education in primary schools to meet the requirements of comprehensive personal development of students (Hao, 1992, 2009). This also highlights the need to change the method of values education in primary school in these regions focusing on informal teaching and learning values for primary students from ethnic minority groups in Vietnam so as to help them develop the concept of responsibilities (Doan, 2005; Hoan, 2006).

Nowadays, educators in Vietnam are seeking an informal values education that is suitable for 5th grade students from the ethnic minority groups in remote and highland regions. The programme the researchers designed was inspired by the hypothesis of Hao (1992) who proposed the education theory: "Values education for primary school students – it means organizing the real-life in educative environment at school for children". Social construction in everyday life is composed of knowledge, rules, values, practices, and habits, and is maintained by the social interactions and the sharing of language among the actors (Berger & Luckmann, 1967). In addition, although children are considered subject to many sets of power relations from parents, teachers and elders, are allowed to have only few decision-making rights (James, Jenks, & Prout, 2001), and they are not just

passive recipients but also active subjects in their own socialising process. Thus, they are constrained by structure, and are active agents in and upon this structure at the same time (Prout & James, 1997; Corsaro, 2005). Thus, identity, social life, and morality are only established within social and cultural processes, and are constructed and reconstructed in day-to-day social interactions (Atkinson & Housley, 2003).

Hao (1992) was the first Vietnamese psychologist to bring all these ideas to apply to Vietnam's values education. A broad interactionist and social constructivist perspective (Berger & Luckmann, 1967; James *et al.*, 2001; Atkinson & Housley, 2003; Corsaro, 2005; Iscan, 2011) must be used as a theoretical framework in organising the real-life educative environment at school for children's values education (Thornberg, 2008; Hao, 2009; Soriano *et al.*, 2011). That is the right direction because it matches the current level of psychological development of primary school students. However, the problem is the effects of that value education projects will be hard to gain without clearly determining specific activities in the sequential stages of students' development (Hao, 1992). Thus, a new educational perspective has led the values education process to be integrated in the organisation of daily life at school for children. Ethics, value orientation and concept of responsibilities of students are formed and expressed through their behaviour, attitude, and activities in daily life in educative environment at school

(Hao, 1992, 2009). So, educators can identify and adjust appropriate impacts of values education in day-to-day interactions between teachers and students and between students and students.

Value education for primary school students involves different types of activities such as studying, playing, involving in extracurricular activities and Children's Organisation or Youth Organisation, and visits, as well as simple activities such as eating, sleeping, or taking care of personal hygiene. It is worth noting that while organising various kinds of activities for primary school students, educators should lead the organisation, concentrating on providing knowledge about norms, value systems and stimulating students to experience the value system in order to internalise it.

RESEARCH METHOD

Participants

Two groups children were selected by using non-probability convenience sampling from a total of 300 5th grade minority students from one primary school in Vietnam. The school in this study was a primary school in a remote region of Dak Lak – a mountainous province at Highland Central of Vietnam. The percentage of children from ethnic minority groups in this primary school was 93%. A total of 38 students from one class were assigned to the experimental group, while 38 students from another class were assigned to the control group. This random assignment process could help eliminate extraneous variables. The age of the respondents was

11, and slightly more than half of them were girls (51.1% female for the experimental group and 50.3% for the control group).

Procedure

The findings from our previous study (Quyên, Zaharim, Hao, & Son, 2013) showed that the concept of responsibilities among 5th grade students from ethnic minority is weaker than that of peer partners from the ethnic majority group and this difference is statistically significant. Thus, an informal values education programme was especially designed in order to help improving the concept of responsibilities for children from ethnic minority groups. This informal values education programme was designed based on the psychological characteristics of children from ethnic minority groups (they are usually shy and less confident when joining social activities). This programme encourages them to positively participate in school activities and improve the concepts of values and responsibilities themselves.

A questionnaire was given to both the control group and the experimental group for the pre-test. The programme for the experimental group was conducted for 3 months, but not for the control group. After the intervention was completed, the same questionnaire was given to the control and experimental groups for post-test.

An informal value education programme was designed as an integrated programme, focusing mainly on developing values and responsibilities suitable for elementary school students.

This programme was designed to suit psychological and physiological development of 5th grade children, so it would have comprehensive impacts on cognition, emotion and behaviour of the children. The programme was designed based on the value education's stages (Soriano *et al.*, 2011). A value education should include three stages: creative perception of reality which elicits emotions and feelings, forming personal options by critical interiorisation, and personal change and real commitment by action and expression. The programme should also integrate an informal value education into daily environment of school (Thornberg, 2008; Hao, 1992, 2009; Iscan, 2011; Soriano *et al.*, 2011).

The main purpose of the informal value education programme was to encourage children to take part in various interesting educational activities that would have natural effects on the development of their values and concept of responsibilities. Thus, in such a way, the students would not need to follow strict schedules and rules of educational institutions. The intervention programme was carried out by adding more activities into the general activity programme of the Ho Chi Minh Youth Organisation in primary schools in Vietnam. Teachers and leaders were trained carefully by the researchers before they led the programme. The programme was then delivered by teachers and the leader of Ho Chi Minh Youth Organisation in the primary school in such a manner that the students could freely and easily communicate with them.

This programme incorporated the observation of responsibilities and the real experiences of what contribute to making good children in the family, good students at school and good children in society. Therefore, incorporating themes that contribute to developing the concept of responsibilities is an essential task.

The value education programme that the 5th grade student participants underwent in this study was composed of four units.

Unit 1: "Literacy space: A story for every day"

Purpose: The vivid content of morality tales fostered awareness of the requirements and standards of behaviour, as well as the characteristics needed in primary school students. At the same time, rich images and emotional contents of the stories could help students experience emotional vibration. The ideas exchanged between the story teller and students after the stories enabled students to select values by themselves in order to improve their responsibilities concept.

Time: Every day, choosing and telling a story in 15 minutes before class time.

Location: The classroom.

Procedure:

- 1) Students sat around the teacher, listened to stories from the teacher that included value orientation contents for elementary students. Topics included

"good children in the family", "good students in school" and "good children in society" ("Uncle Ho's good children") such as: loving the country, loving people, bravery, honesty, humility, obedience, being filial, and so on.

- 2) After listening to the story, the teacher posed some questions to encourage children to think and share their thoughts, ideas, feelings or comments on the meaning of the story with the teacher. Based on that process, the teacher would strengthen the accuracy of the students' norm concepts of students and helped them experience the norms and values included in the stories'.

Unit 2: Extracurricular activities for primary students at school

Purpose: Extracurricular activities were organised as recreational activities that had high educative impacts on children's responsibilities concept through learning by playing. Through problem solving that was incorporated in the topics of "good children in the family", "good students in school" and "good children in society" ("Uncle Ho's good children"), the teacher stimulated children to think, evaluate, and reveal their choices of values and their responsibility concept. Based on these, the teacher helped students to consolidate the

correct value choice or adjust the incorrect value choice which was not consistent with the standard values required at their age.

Time: Once a week during school.

Location: In the classroom or in physical education room.

Procedure:

Students were divided into small groups, with each group competing against others in solving problematic situations.

The teacher raised problematic situations and asked the groups to discuss and find solutions. Children in each group discussed together, shared ideas and came to a consensus. After that, each group, in turn, introduced one presenter who then delivered the solutions on behalf of each group.

The teacher gave comments on the solutions of each group, thereby reinforcing the correct solutions, adding ideas for incomplete solutions or adjusting incorrect solutions in order to help students form suitable value orientation and responsibility concept.

Unit 3: Games and dancing or singing groups

Purpose: This activity was especially consistent with the psychological characteristics of students from ethnic minority groups: they love to join cultural entertainments. By joining such activities, they could overcome their shyness, feel more confident in building value system and appropriate

responsibilities concept for themselves through lively and fun songs, dances and games.

Time: Four sessions were held each month in school for Children's Organisation and children's teams.

Location: In the classroom or the school grounds.

Procedure:

The teacher introduced new songs, dances and games and helped students practise them. Games, dances, songs were selected by topic, such as pride in the homeland and country, loving teachers, friendship, school, family and so on.

Children sang, danced and played games in big groups. While they were singing, dancing and playing, the teacher or instructor talked to them about the meaning of the songs, dances, and games, hence incorporating values into educational contents and contributing suitable values and responsibility concept for the children.

Unit 4: "Corner of beautiful words"

Purpose: Folk verses and proverbs are treasures of knowledge and education about ethical standards of the previous generations that have been passed down to the next generation. They consist of short sentences with catchy tunes and are easy to remember so they should become education instruments that are extremely useful in forming values orientation for children. Moreover, all the ethnic groups in

Vietnam have proverbs and folk verses. Collecting folk verses and proverbs of all ethnic groups and displaying them in the “corner of beautiful words” would help to close the gap between ethnic groups and strengthen the sense of solidarity in the children.

Procedure:

Students collected folk verses and proverbs of the ethnic majority and minority groups that had educational contents or value orientations, presented them on paper and then hanged them on the class walls. The papers were displayed visibly and beautifully and were updated weekly.

Measurement

The questionnaire was constructed based on the literature on children’s moral vales (Doan, 2005; Quyen, Zaharim, Hao, & Son, 2013). This questionnaire had three dimensions: “good children in the family”, “good students in school”, “good children in society” (“Uncle Ho’s good children”) and was suitable for 5th grade students (see Table 1.). Each dimension included questions in the form of situations with three given options that expressed and revealed children’s concept of responsibilities in their value orientation. Students were asked to choose the option which reflected the action they took in real life.

TABLE 1
The Concept of Responsibilities for Children

Dimension	Responsibilities
1. “Good children in the family”	Being filial Being obedient Loving other younger children Respecting and being polite to older people Helping family to do appropriate work
2. “Good students in school”	Honest in studying Independent in studying Serious during lessons Respecting teachers Being in solidarity with friends Following the rules of the school and class
3. “Good children in society” (“Uncle Ho’s good children”)	Loving the country Protecting the environment Loving the people Loving to work Being modest, honest, brave and virtuous Keeping personal hygiene

These dimensions had acceptable reliability coefficients: $\alpha = 0.76$ for “good children in the family”, $\alpha = 0.74$ for “good students in school” and $\alpha = 0.77$ for “good children in society” (“Uncle Ho’s good children”). Each situation or question

was given 3 choices corresponding to the levels: Weak = 1, Medium = 2, Good = 3. The option “other comments” was treated as an alternate value (Missing value) - the intangible value for statistical calculations.

The data were evaluated as follows: For the average degree of orientation for the group of values, the values were classified according to the following: Mean <1.50 - Weak; $1.50 \leq \text{Mean} \leq 2.50$ - Medium; Mean > 2.50 - Good. Paired-sample t-test was used to classify the significant differences between pre-test and post-test, therefore, there was no need to apply Bonferroni adjustment. SPSS version 16.0 was used for the statistical analyses in this study.

RESULTS

The concept of responsibilities about “good children in the family”

The comparison of the concept of responsibilities about “Good children in the family” of 5th grade students from ethnic minority groups in Vietnam before and after the implementation of the informal value education programme is shown in Table 2. In order to find out any significant pre-test–post-test differences between the control and the experimental groups, a statistical analysis was performed with Student’s paired-sample t-test.

Table 2 shows no statistically significant differences for the control group between the pre-test scores and post-test scores in any of the variables. However, statistically significant differences were found for the experimental group in all the dimensions of “good children in the family”: being filial ($t(37) = 1.10; p < .05$), being obedient ($t(37) = 4.42; p = .001$), loving other younger children ($t(37) = 5.34; p = .001$),

respecting and being polite ($t(36) = 2.37; p < .001$), and helping family ($t(36) = .374; p < .05$).

The concept of responsibilities about “good students in school”

Table 3 presents the comparison for the concept of responsibilities about “good students in school” of 5th grade students from the ethnic minority groups in Vietnam before and after the implementation of the informal value education programme.

Statistically significant differences were found between the pre-test scores and the post-test scores for the experimental group in various dimensions of “good students in school”: honest in studying ($t(36) = 2.59; p = .001$), independent in studying ($t(37) = 9.41; p < .005$), serious during lessons ($t(36) = 2.74; p < .05$), being in solidarity with friends ($t(34) = 2.96; p < .05$), and following the rules of school and class ($t(35) = 1.22; p < .05$). Nonetheless, there was no significant difference in respecting teachers before and after the programme ($t(35) = 1.44; p > .05$) (see Table 3). A statistical analysis was also performed with Student’s paired-sample t-test to find out whether there were any significant differences between the pre-test and post-test scores in the control group but no significant differences were found for the control group on any of the variables evaluated.

TABLE 2
The Concept of Responsibilities about “Good Children in the Family” Before and After the Implementation of the Informal Values Education Programme

Responsibility	Control			Experimental		
	Pre-test	Post-test	<i>t(p)</i>	Pre-test	Post-test	<i>t(p)</i>
	Mean (SD)	Mean (SD)		Mean (SD)	Mean (SD)	
Being filial	2.92 (.273)	2.89 (.413)	1.71 (.096)	2.84 (.370)	2.92 (.273)	1.10 (.024*)
Being obedient	2.97 (.162)	2.86 (.431)	2.74 (.661)	2.92 (2.27)	2.95 (.226)	4.42 (.001***)
Loving other younger children	2.82 (.563)	2.92 (.359)	0.94 (.353)	2.68 (.702)	2.76 (.634)	5.34 (.001***)
Respecting and being polite to older people	2.97 (.162)	2.86 (.419)	1.43 (.160)	2.89 (.311)	2.89 (.311)	2.37 (.000****)
Helping family	2.97 (.120)	2.97 (.164)	1.00 (.324)	2.92 (.359)	2.95 (.226)	.374 (.011*)

Note. **p* < .05; ***p* < .005; ****p* = .001; *****p* < .001

TABLE 3
The Concept of Responsibilities about “Good Students in School” Before and After the Implementation of the Informal Values Education Programme

Responsibility	Control			Experimental		
	Pre-test	Post-test	<i>t(p)</i>	Pre-test	Post-test	<i>t(p)</i>
	Mean (SD)	Mean (SD)		Mean (SD)	Mean (SD)	
Honest in studying	2.94 (.597)	2.98 (.487)	1.23 (.225)	2.37 (.852)	2.42 (.826)	2.59 (.001***)
Independent in studying	2.91 (.226)	2.95 (.122)	1.43 (.160)	2.79 (.622)	2.89 (.388)	9.41 (.003**)
Serious during lessons	2.86 (.164)	2.95 (.329)	3.44 (.661)	2.87 (.475)	2.89 (.311)	2.74 (.006*)
Respecting teachers	2.86 (.167)	2.94 (.333)	1.36 (.183)	2.74 (.644)	2.74 (.644)	1.44 (1.27)
Being in solidarity with friends	2.87 (.355)	2.80 (.531)	4.63 (.535)	2.47 (.797)	2.61 (.595)	2.96 (.043*)
Following the rules of school, class	2.94 (.232)	2.89 (.398)	8.13 (.422)	2.76 (.590)	2.89 (.388)	1.22 (.030*)

Note. **p* < .05; ***p* < .005; ****p* = .001; *****p* < .001

The concept of responsibilities about “good children in society” (“Uncle Ho’s good children”)

Results on the concept of responsibilities about “Uncle Ho’s Good Children” (“Good

Children in Society”) for 5th grade students from ethnic minority groups in Vietnam before and after the implementation of the informal values education programme are shown in Table 4.

TABLE 4
The Concept of Responsibilities about “Uncle Ho’s Good Children” (“Good Children in Society”) Before and After the Implementation of the Informal Values Education Programme

Responsibility	Control			Experimental		
	Pre-test	Post-test	<i>t(p)</i>	Pre-test	Post-test	<i>t(p)</i>
	Mean (<i>SD</i>)	Mean (<i>SD</i>)		Mean (<i>SD</i>)	Mean (<i>SD</i>)	
Loving the country	2.89 (.453)	2.99 (.162)	1.71 (.096)	2.89 (.388)	2.89 (.311)	3.10 (.000****)
Protecting the environment	3.00 (.000)	2.89 (.453)	1.43 (1.60)	2.66 (.627)	2.79 (.528)	.927 (.041*)
Loving the people	2.87 (.343)	2.61 (.495)	2.69 (4.10)	2.47 (687)	2.58 (.642)	6.81 (.000****)
Loving to work	2.92 (.273)	2.82 (.457)	1.16 (2.54)	2.79 (474)	2.84 (.437)	5.72 (.001****)
Being modest, honest, brave and virtuous	2.95 (.324)	2.97 (.367)	.274 (7.86)	2.82 (.512)	2.89 (.453)	6.83 (.019)
Keeping personal hygiene	2.97 (.367)	2.82 (.457)	1.47 (3.16)	2.68 (.574)	2.76 (.542)	5.52 (.001****)

Note. **p* < .05; ***p* < .005; ****p* = .001; *****p* < .001

TABLE 5
The Concept of Responsibilities among 5th Grade Students from Ethnic Minority Groups in Vietnam Before and After the Implementation of the Informal Values Education Programme

Dimensions	Control			Experimental		
	Pre-test	Post-test	<i>t(p)</i>	Pre-test	Post-test	<i>t(p)</i>
	Mean (<i>SD</i>)	Mean (<i>SD</i>)		Mean (<i>SD</i>)	Mean (<i>SD</i>)	
Good Children in the Family	2.94 (.124)	2.86 (.195)	1.932 (2.61)	2.85 (.221)	2.89 (.172)	1.34 (.001****)
Good Students in School	2.99 (.153)	2.96 (.196)	1.975 (3.96)	2.67 (.371)	2.70 (.368)	4.67 (.043*)
Uncle Ho’s Good Children (Good children in society)	2.93 (.176)	2.85 (.233)	1.625 (1.13)	2.72 (.353)	2.79 (.304)	7.96 (.035*)
Overall	2.97 (.105)	2.89 (.156)	2.603 (5.73)	2.75 (.233)	2.80 (.247)	6.94 (.034*)

Note. **p* < .05; ***p* < .005; ****p* = .001; *****p* < .001

As shown in Table 4, significant differences between the pre-test and post-test scores were found for the experimental group in all dimensions of “good children in society” (“Uncle Ho’s good children”): loving the country (*t*(37) = 5.89; *p* < .001), protecting the environment (*t*(37) = 2.41; *p* < .05), loving the people (*t*(37) = 5.51; *p* < .001), loving to work (*t*(37) = 5.48; *p* < .001), being modest, honest, brave

and virtuous ($t(37) = 6.78; p < .001$), and keeping personal hygiene ($t(37) = 3.59; p < .005$). Nonetheless, no statistically significant differences were found between the pre-test and post-test scores in the dimensions of “good children in society” (Uncle Ho’s good children) for the control group.

Results on the general comparison of the concept of responsibilities between the control group and the experimental group for the 5th grade students from ethnic minority groups in Vietnam before and after the implementation of the informal value education are shown in Table 5. The differences between the pre-test and post-test scores were assessed in the experimental group on all the dimensions that evaluated Good Children in the Family ($t(37) = 1.34; p = .001$), Good Students in School ($t(37) = 4.67; p < .05$), Uncle Ho’s Good Children (Good children in society) ($t(37) = 7.96; p < .05$), as well as on the overall three dimensions ($t(37) = 6.94; p < .05$), but no significant differences were found in the control group.

DISCUSSION AND CONCLUSION

Among the 17 responsibilities, only one responsibility had no significant differences between the pre-test and post-test scores in the experimental group; i.e. respecting teachers. Why did the concept of 5th students in the experimental group on this responsibility show no significant improvement? We believe that this study confirms the strong effects of the traditional factors in Vietnamese education on citizens. In almost all primary schools in

Vietnam, the phrase, “Tien hoc le, hau hoc van” (Learn the moral principles first, then learn the knowledge), is typically displayed in a large red banner at the main entrance and this slogan plays an important role in moral teaching and learning in school. This Chinese-Vietnamese saying implicitly means that the very first thing which should be learnt in school is proper manners in human relations, while knowledge and language are secondary (Doan, 2005). In addition, the Vietnamese culture strongly believes that teachers are more important than parents in educating children, and that the more parents and their children respect teachers, the better chance for the children to improve. In short, there was no improvement on the responsibility “respecting teachers” because teachers are already highly respected by children.

The results show that the informal value education programme gave rise to significant differences in the experimental group in almost all concepts of responsibilities. Therefore, the informal value education programme is suitable for working with the 5th grade ethnic minority students. It is suggested that, some adaptations on the part of the school “Literacy space: a story for every day”; “Extracurricular activities for primary students at school with various values education topics”; “Games and dancing or singing groups by topics such as pride in homeland and country, loving teachers, friendship, school, family and so on”; “Corner of beautiful words” could possibly be incorporated into the curriculum in the primary schools.

In Vietnam today, there are two different systems of morality: the traditional morality and socialist morality. While the traditional morality is transmitted through informal channels such as family socialisation and daily interactions, the socialist morality is enforced through the formal channels of the national education curriculum. However, it is still a real challenge for the Vietnamese educational system to find a suitable and effective method of moral education in order to cope with the complexity of a fast-changing society (Doan, 2005). Moreover, the increase in new social problems (divorce, child abuse, drug addiction, power abuse and corrupt governance), people are worried and they question the role and outcomes of moral education in the formal curriculum. Although the values of traditional morality are still held in high esteem by the public and are expected to have an increasing role in the formal curriculum (Doan, 2005; Duong, 2000; Nguyen, 2005), the need to find a new method for moral education so that moral teaching and learning will deal closely with students' daily life is becoming more urgent.

Through 4 units: "Literacy space: a story for every day"; "Extracurricular activities for primary students at school with various values education topics"; "Games and dancing or singing groups by topics of such as pride in homeland and country, loving teachers, friendship, school, family and so on"; "Corner of beautiful words", the informal values education programme used has created better moral

transmission in two dimensions: promoting moral instruction and encouraging moral behaviour by deliberate attempts and moral practice. This informal value education also helps establish a link between cognitive reflection on values and effect so that values can become part of the process of living and awareness and can become integrated and effective in regulating behaviour. By transmitting the content of value education indirectly and addressing a connecting process of the person's configuration and their own system of personalised values, this informal value education encourages the participants to become positive recipients of values education and key actors in their own process of discovering, living and internalising values (Hao, 1992; Jackson *et al.*, 1993; Soriano *et al.*, 2011). One of the most important advantages of this informal values education is that it is designed to help primary school students from the ethnic minority groups to overcome their shyness and become more active in learning. "Learning by playing and playing for learning" is the natural and effective way for teaching and learning not only values but also science for children (Hao, 1992; Thornberg, 2008).

Including informal values education programme in the school curriculum would help 5th grade students from the ethnic minority groups to see school differently, not as a source of stress and far from their interest. In addition, value orientation and the concept of students' responsibilities are formed and expressed through their behaviour, attitude and activities in daily

life at school, so that informal education has a great impact in bringing value education into the day-to-day interactions between teachers and students and between students. Hence, the process of developing the concept of responsibilities in the 5th grade students from the ethnic minority groups in Vietnam would happen more naturally and effectively.

The limitations of the present study should be highlighted. Social desirability might have influenced the children's responses while answering the questionnaire. Children had to answer "what will you do?" in each of the situations given. They might have been confused about what they really did and what the society expected them to do. They might also know the expected and right things to do but they might not do them in real situations. Therefore, some children might have answered the questions based on what they were taught in order to meet societal expectations, while others might have answered based on what they really did. Future research should include more objective measures of the moral thought and behaviour, apart from exploring the concept of responsibilities among children. All in all, exploring children's moral thought and behaviour can help determine the impacts of experimental programmes on children's values-related behaviour.

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Al-Wasatiyyah and Some of its Implications for Islamic Built Environment

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ABSTRACT

This paper discusses the concept of al-wasatiyyah and some of its implications for correctly perceiving the phenomenon of Islamic built environment. The paper concludes that although those implications are rather indirect and implicit in nature, the relationship between the two, i.e. al-wasatiyyah and Islamic built environment, is very strong and reciprocal. Since they have much in common, and since they exert a considerable influence on each other's ultimate actualisation, the concepts of al-wasatiyyah and Islamic built environment should be brought much closer to each other in reviving and unifying the Muslim community. The discussion in this paper focuses on the universality and flexibility of Islamic built environment; how a delicate balance between the form and function in Islamic built environment ought to be established; and avoiding vices, which are most often associated with built environment and which are caused by extravagant and excessive tendencies. The nature of the paper is conceptual rather than empirical, featuring a qualitative methodology that combines the descriptive and analytical methods.

Keywords: Al-wasatiyyah, Islamic built environment, Prophet Muhammad (pbuh), universality, form, function

INTRODUCTION

Islam is often misunderstood not only by non-Muslims, but also by Muslims themselves. This in turn leads to various

misunderstandings and falling-outs not only between Muslims and non-Muslims, but also among Muslims themselves. Various approaches have been proposed to improve the situation. One of the most recent ones focuses on reinvigorating the concept of al-wasatiyyah with all its dimensions on account of its centrality in the Islamic message. (Qaradawi, 2010; Wan Norhasniah, 2013) The move is utterly

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justified, and if properly planned and executed, its eventual impact on a global stage is expected by all. This is so because there is no segment of Islamic culture and civilisation that is not influenced, directly or indirectly, by the strength and scope of al-wasatiyyah. The realm of Islamic built environment is no exception, as this paper is going to demonstrate.

Because this is mainly a theoretical study based on a non-empirical approach, the methodology adopted is a qualitative one featuring a combination of the descriptive and analytical methods. As a result, the first thing discussed is the concept of al-wasatiyyah as enshrined in the original sources of Islam and the Islamic tradition. Next, three main dimensions of Islamic built environment, where the notion of al-wasatiyyah in that particular context is most evidently manifested, are dwelt on. Those Islamic built environment dimensions represent a direct upshot of Muslims' comprehension of the same Islamic original sources and their application in time and space. Thus, a number of converging points between al-wasatiyyah and Islamic built environment, both of which originate from the identical heavenly sources, are presented and analysed. Correspondingly, a brief and comparative overview of some divergent perceptions of Islamic built environment, those which downplay or completely dispense with its al-wasatiyyah disposition, is at the end also given.

THE CONCEPT OF AL-WASATIYYAH

The term al-wasatiyyah is derived from an Arabic word "wasat" which means middle, fair, just, moderate, milieu and setting. The word in its different forms is used in several contexts in the Qur'an, with all the word forms revolving around similar linguistic meanings. Allah says:

"Thus, have We made of you an Ummah (Community) justly balanced (wasatan), that ye might be witnesses over the nations, and the Messenger a witness over yourselves..." (al-Baqarah 143).

Also: *"The best of them (awsatuhum) said: Did I not say to you, Why do you not glorify (Allah)?" (al-Qalam 28)*

"Be guardians of your prayers, and of the midmost (wusta) prayer; and stand up with devotion to Allah." (al-Baqarah 238)

"And penetrate forthwith into the midst (wasatna) (of the foe) en masse." (al-'Adiyat 5)

And: *"...So its expiation is the feeding of ten poor men out of the middling (awsat) (food) you feed your families with..." (al-Ma'idah 89)*

However, the first verse and its messages signify a perspective that is principally used for advancing the nucleus of the al-wasatiyyah (moderation) paradigm. Accordingly, when Allah describes Muslims as "ummatan wasatan" (justly balanced ummah), the impression thus conveyed is that Islam is a religion of

peace, moderation and impartiality, not of extremism, prejudice and intolerance. An ummah and its cultures and civilisation, which have been established and moulded by the vitality of Islam, are to be adorned with the same attributes and traits. Moreover, Islam is a religion of amity, justice, harmony and moderation with the Creator, self, people and at once with the built and natural environments. These ideals of total balance and equilibrium are to be promulgated and practiced at each and every tier of Muslim existence – including built environment – without compromising on honesty, integrity and truth. Indeed, this dimension of Islam is critical because so long as there is no peace, harmony or justice with God, there could be no peace, harmony or justice with self either. Surely, so long as there is no peace, justice or harmony with God and self, there could be no amity, harmony or fairness with people either, and with the rest of the constituents of the intricate web of creation.

Al-wasatiyyah, it goes without saying, is multidimensional (Asad, 1980). It is corporeal, psychological, intellectual and spiritual. It is at once a philosophy and a way of life. It is comprehensive, in that it integrates and balances the requisites and delights of this world and the Hereafter, as well as of the physical and spiritual domains of existence. It is universal in that it affects the total wellbeing firstly of Muslims and then of all people and indeed of all animate and inanimate beings. Al-wasatiyyah, thus, is a Muslim identity. So important is al-wasatiyyah in Islam that it is almost

synonymous with everything that carries the adjective “Islamic”. It is because of this that for Sheikh Yusuf Qaradawi (<http://www.suhaibwebb.com/islam-studies/the-30-principles-of-wasatiyyah/>, accessed on 2013, Jun 12) the first principle of moderate and justly balanced thought is “a complete and comprehensive understanding of Islam, which is characterised as being a creed and a way, knowledge and action, worship and interaction, culture and character, truth and strength, an invitation and political engagement, religion and reality, civilisation and a nation.”

In the same vein, according to Mohd Kamal Hassan (<http://www.iium.edu.my/irrie/11/info/Sample-3.pdf>, accessed on 2013, Jun 12), another implication of the notion of al-wasatiyyah for contemporary Muslim society includes balancing between the permanent principles of Islamic law and the changing conditions of the time; the coupling of religious duty with social reality; engaging in dialogue and coexistence with other people, and practising tolerance with those who differ; as well as presenting Islam as a balanced, integrated civilisational mission for the revival, liberation and unification of the *ummah*.

In agreement with a divine decree, the Muslim ummah charged with the morals and quintessence of al-wasatiyyah are destined to serve as a role model for other nations and communities, confidently leading and guiding them through life’s challenges, trials and mysteries. This is so on account of an established historical

truth that all man-generated life systems, ideologies and ‘solutions’ in the absence of legitimate revealed truth and direction gradually fade away as soon as they come to civilisation’s fore, except the revelation inspired and guided life system, ideology and ‘solution’ of Islam. The justly balanced Muslim ummah, characterised as truthful, altruistic, cultured and sophisticated, is thus to serve as a witness over others, to selflessly intervene in the cause of peace and justice and to function as mankind’s ultimate source of optimism, luminosity and hope. Hence, following the pronouncement in the first of the five above-quoted Qur’anic verses that Muslims are “*ummatah wasatan*” (justly balanced ummah), Allah proclaims next that such is the case so “that ye might be witnesses over the nations”.

Furthermore, the subsequent words of Allah in the same verse, “and the Messenger a witness over yourselves”, emphatically implies that to Muslims in their whole *al-wasatiyyah* enterprise, Prophet Muhammad (pbuh) and the revealed Word constitute the supreme point of reference as well as the infinite sources of inspiration, zeal and legitimacy. Were it not for the Prophet (pbuh) and the revealed guidance, Muslims and their civilisational representation would have been stripped of their intrinsic perpetual potency, light, honour and purity. Their and their civilisation’s fate would eventually have become similar to the fate of the rest of mankind’s ephemeral civilisational endeavours and experiments. It follows that

what Muslims are expected to be to others in the physical world is what the Prophet (pbuh) is to them in both the physical and metaphysical worlds.

THE UNIVERSALITY OF ISLAMIC BUILT ENVIRONMENT

Islam is a universal religion (*al-Hujurat* 13; *Saba’* 28; *al-An’am* 38); so is the built environment of its peoples because Islamic built environment functions as a framework for the Islamic lifestyle. Indeed, universal, righteous and justly balanced is every segment of Islamic eclectic civilisation of which Islamic built environment is an integral part. Moreover, the relationship between *al-wasatiyyah* – as an overarching quality of the Islamic message within whose orb such fundamental Islamic notions as justice, excellence, goodness, balance and moderation reside and operate – and Islamic built environment is very solid and reciprocal. The reason for that is the verity that while *al-wasatiyyah* signifies both a comprehensive and complete Muslim thought and lifestyle, Islamic built environment, on the other hand, exists in order to enclose, or frame, and to facilitate and promote such a lifestyle. The philosophical dimension of Islamic built environment, furthermore, runs parallel to and eventually absorbs the thrusts of virtually all qualities and aspects of *al-wasatiyyah*. At the core of Islam, Islamic built environment and *al-wasatiyyah*, therefore, stand such concepts as One God, the finality of the religion of Islam and

Muhammad's prophethood, the equality and unity of mankind, moderation and even inclusivism (al-Baqarah 143; al-Anbiya' 92; al-Ahzab 40; al-Nahl 90).

As once revealed to Prophet Muhammad (pbuh), the principal and most immediate concern of Islam was not building pursuits as such. (Al-Samahudi, 1997) Islam felt that the most pressing issue was to correct people's perception of life, the world, nature, civilisation and man: his role and position on earth, for if these are perverted, people's perception of and approach to building would be perverted and corrupted as well. Similarly, if these issues are properly grasped and honoured, people's perception of and approach to building would be apt and inspired as well. For this reason, for example, does the Qur'an speak not only about faith but also about building and development when referring to some of the ancient civilisations, such as that of the 'Ad, Thamud, Pharaohs and the children of Israel. The Qur'an thus wishes to explicate some of the detriments that human society is bound to put up with on the physical plane of civilisation as soon as the divinely prescribed worldview is forsaken and other alternatives become sought instead.

The message meant to be thus communicated is that the major and most urgent task of the followers of Islam is to strive to understand, accept as true, apply and further advance the message of Islam by all the rightful means. However, as for the building systems, styles and techniques that they meanwhile may evolve, as part of life's essential affairs, it at the end of the day does

not matter what they shall be as long as they stem from the body of Islamic teachings and norms, conform to the tawhidic worldview and are subject to the realisation of the objectives that man is asked to accomplish on earth. By the same token, it does not matter whether such systems, styles and techniques are developed solely by Muslims or, after having been duly refined and corrected, are totally or partly imported from other cultures and civilisations. In other words, Muslims are advised to attend to the root cause, which is the actualisation and translation of the word of God on life, which will gradually but inevitably lead to a desired goal, which is the creation of Islamic civilisation with all its segments including Islamic built environment, for the latter is both the ground and container for the former's realisation. At any rate, the whole exercise must be seen as aiming as much at the enriching and enhancing of the building technology and expertise of Muslims as at the constituting and intensifying of the all-inclusive Islamisation process which Muslims had embarked on since the earliest days of revelation.

Just like the religion of Islam, Islamic built environment is not confined to an ethnic group, historic episode or a geographical region. It is not governed by a restricted perception or an outlook, nor is it locked up in a style and a set of rigid methods and techniques. Islamic built environment is open to all people to enrich and enhance it through their various styles, methods and techniques and to enjoy its many benefits. Islamic built environment is

a global phenomenon with an outlook that not only makes use of but also transcends the experiences and ideas of this world. It is a phenomenon with a universal appeal and meaning. It is a product of an interplay between the absolute or permanent and the relative or temporary realities i.e. between the Islamic beliefs that give Islamic built environment its quintessence and those corporeal elements that give it its form. Islamic built environment is a symbiosis between a global religion and life in its totality. It is a union between the material and spiritual spheres, and between the heavens and the earth. Islamic built environment cherishes its perpetual heavenly spirit and identity without ever compromising them. At the same time, however, it is ever ready to welcome any contribution by anyone, even non-Muslims, so that the former is made even more conspicuous and its impact further enhanced.

That is why while spreading Islam to the world, Muslims never hesitated to avail themselves of the existing types of built environment. The only thing that needed their most immediate attention, and so correction, were those aspects of architecture that were closely associated with faithlessness and idol worship. With the processes of Islamising people's minds, attitudes and systems of living, another process, that of Islamizing architecture, went on concurrently, albeit with less dynamism and less dramatic effects as the former. This was so because once the former in its capacity as a cause took place, the latter in its capacity as an effect

spontaneously came about. In so doing, the existing indigenous building styles, technologies and engineering were not only fully respected but also adopted as the best way for conducting building activities now under the aegis of Islam and Muslims. As a result, local building materials, expertise and draftsmen were widely employed.

This was utterly a natural course of action and fully in line with the nature of Islam and its universal as well as *al-wasatiyyah* mission. By no means is it fair to accuse especially the first Muslims of blindly borrowing from or imitating others while embarking on building activities, in the sense that they failed or, at best, were embarrassingly slow in initiating some completely novel and unprecedented styles in architecture. In contrast, it would be strange, embarrassing and repressive if Muslims upon subjecting a territory to the authority of Islam set out to annul and eradicate those indigenous traditions and life systems that people evolved over centuries as most effective in their living conditions and which did not oppose any of the Islamic teachings. Thus, such traditions and life systems were kept intact. In demonstrating this Islamic principle, while settling themselves in newly conquered territories, Muslims went so far as to convert a number of churches and temples into mosques with minimal or no significant structural alterations, and employ non-Muslims in their own building initiatives. Indeed, the entire activity of integrating other people's contributions while evolving the identity of Islamic built

environment is rather to be understood as witnessing the Islamic concepts of universality, moderation (al-wasatiyyah), finality of Prophet Muhammad's message and unity in diversity, being at work and producing some tangible results, while fully conforming to the dictates of the normative Islamisation code. It, moreover, was a powerful demonstration of the central Islamic tenets of integrity, egalitarianism, justice and balance. As Titus Burckhardt (1976) remarked, "art never creates ex nihilo (from nothingness). Its originality lies in the synthesis of pre-existing elements. Thus, the sacred architecture of Islam was born on the day when success was achieved in creating, not new forms of pillars and arches, but a new kind of space conformable to Islamic worship."

It is true that in terms of built environment Muslims were by far inferior to their Persian and Byzantine counterparts in the newly acquired territories. However, to compete with and eventually overshadow them in that regard was not on the list of the immediate priorities of Muslims. What was on the list was how to conquer the people's hearts with the new Islamic spirit which, in turn, would subject the existing built environment to the new living paradigm. Once injected with the new life-force, the same built environment was bound to be elevated to new levels starting from where it already was. That is exactly what soon came to pass. Other people's indigenous architectural legacies, once purified if such was necessary, were seen as an asset and not a liability, as a help and not an

obstruction. They were used as a vehicle for expressing Islamic built environment. Hence, apart from identifying the genuine built environment of Muslims as "Islamic", it is also appropriate to add an indication of a geographical region or an ethnic group that added an extra flavour to what Islamic built environment actually is. Hence, it can rightly be said "Islamic Umayyad built environment", "Islamic Abbasid built environment", "Islamic Turkish built environment", "Islamic Iranian built environment", "Islamic Malay built environment" etc. In this type of appellation, the notion of universalism in Islamic built environment is not meant to be downgraded or violated. On the contrary, however, it is duly acknowledged and highlighted. The Islamic ideas of moderation, justice and unity in diversity are clearly spelt out too. No architectural expression is firstly indigenous and secondly Islamic. Islam is Islamic built environment's soul. Indigenous components can have no more than some bearing on shaping the form of Islamic built environment, whereas its essence remains forever the same. Even though limited, the influence of indigenous components in Islamic built environment is still overseen by and is fully submissive to the Islamic ideology.

STRIKING A BALANCE BETWEEN FORM AND FUNCTION IN ISLAMIC BUILT ENVIRONMENT

Islamic built environment is a type of built environment whose functions and, to a lesser extent, form, are inspired primarily

by Islam. Islamic built environment is a framework for the implementation of Islam. It facilitates, fosters and stimulates the 'ibadah (worship) activities of Muslims, which, in turn, account for every moment of their earthly lives. Islamic built environment only can come into existence under the aegis of the Islamic perceptions of God, man, nature, life, death and the Hereafter. Thus, Islamic built environment would be the facilities and, at the same time, a physical locus of the actualisation of the Islamic message. Practically, Islamic built environment represents the religion of Islam that has been translated into reality at the hands of Muslims. It also represents the identity of Islamic justly balanced culture and civilisation.

Ibn Abdun, an Andalusian judge from the 12th century, is reported to have said, as quoted by Stefano Bianca (2000): "As far as architecture is concerned, it is the haven where man's spirit, soul and body find refuge and shelter." In other words, built environment is a container of people's lives.

Also, Ibn Qutayba, a Muslim scholar of the 9th century, compared the house, as quoted by Afif Bahnassi (<http://www.isesco.org.ma/pub/Eng/Islarch/P2.htm>, accessed on 2013, Jun 12), to a shirt, saying that just as the shirt should fit its owner, the house too should suit its dwellers. That is to say, the aesthetic and utilitarian ends of the house must correspond to the needs and capabilities of its users. The two must perfectly suit each other.

Central to Islamic built environment is function with all of its dimensions: corporeal, cerebral and spiritual. The form divorced from function is inconsequential. This, however, by no means implies that the form plays no role in Islamic built environment. It does play a prominent role, but its relevance is a supportive one supplementing and enhancing function. The form is important, but in terms of value and substance it always comes second to function and its wide scope. There must exist the closest and subtly balanced relationship between the ideals that underpin the form of buildings and the ideals that underpin their function, with which the users of buildings must be at ease. A rift, or a conflict, between the two is bound to lead to a conflict of some far-reaching psychological proportions in the users of buildings. This way, the roles of the form become equivalent to the roles of function.

Islamic built environment exists because of the existence of Islam. (Hakim, 1988; Akbar, 1988; Al-Hathloul, 1996) Moreover, in so many ways it serves the noble goals of Islam. Islamic built environment serves Muslims too, in that it aids them to carry out successfully their vicegerency (khilafah) mission on earth. Islamic built environment aims to help, rather than obstruct, Muslims in fulfilling that for which they have been created. Islamic built environment is Islam-manifested. Islamic built environment, Islam and Muslims are inseparable. Islamic built environment originated with

the advent of Islam on the world scene. It never existed before, even though the peoples that became instrumental in moulding and perpetuating its conspicuous identity lived where they were for centuries before embracing Islam and possessed the cultures and civilisations of their own. Indeed, studying Islamic built environment by no means can be separated from the total framework of Islam: its genesis, history, ethos, worldview, doctrines, laws and practices. While exemplifying Islamic beliefs and teachings through the hierarchy of its diverse roles and functions, Islamic built environment evolved a unique soul. Such a soul is best recognised and appreciated only by those whose own lives are inspired and guided by the same sources as is Islamic architecture. (Afif Bahnassi, <http://www.isesco.org.ma/pub/Eng/Islarch/P2.htm>, accessed on 2013, Jun 12).

Due to this, Alfred Frazer, as reported by M. A. J. Beg (1981), said about the fundamental nature of Islamic architecture: “The architecture of Islam is the expression of a religion and its view of the world rather than that of a particular people or political or economic system.”

In the same vein, Titus Burckhardt (1976) also wrote that it is not surprising, nor strange, that the most outward manifestation of Islam as a religion and civilisation reflects in its own fashion what is most inward in it. The same author further remarked: “If one were to reply to the question ‘what is Islam?’ by simply pointing to one of the masterpieces

of Islamic art such as, for example, the Mosque of Cordova, or that of Ibn Tulun in Cairo, or one of the madrasahs in Samarqand....that reply, summary as it is, would be nonetheless valid, for the art of Islam expresses what its name indicates, and it does so without ambiguity.”

Islamic built environment means a process that starts from making an intention, continues with the planning, designing and building stages and ends with achieving the net results and how people make use of and benefit from them. Islamic built environment is a fine blend of all these stages, which are interlaced with the thread of the same Islamic worldview and Islamic value system. It is almost impossible to single out a tier in the process and regard it as being more important than the rest. It is because of this conspicuous spiritual character of Islamic built environment, coupled with both its educational and societal roles, that the scholars of Islam never shied away from keenly addressing a number of issues pertaining to various dimensions of residential, mosque and communal architecture within the scope of Islamic jurisprudence (*fiqh islami*) (Al-Hathloul, 2002; Hakim, 1988). The relevant issues are discussed under different headings such as: legal rulings in connection with neighbours and neighbourhoods (*ahkam al-jiwar*), reconciliation (*al-sulh*) between immediate neighbours and all the people in a neighbourhood, people’s individual and collective rights, prohibition of inflicting harm (*darar*), legal rulings pertaining to

building (ahkam al-bina'), and public services and facilities (al-marafiq). All these issues undoubtedly play a significant role in shaping the identity of Islamic built environment. They are either directly or indirectly related to conceiving, designing, forming and using Islamic built environment. Since architecture is people's art greatly influencing their moods and the day-to-day life engagements, the same issues concerning architecture are studied as part of the exhaustive encyclopaedic works on Islamic jurisprudence (fiqh islami).

Islamic built environment accepts no rigidity, formalism and literal symbolism, especially in relation to its structural domains. What makes a built environment Islamic are some invisible aspects of buildings, which may or may not completely translate themselves into the physical plane of built environment. (Bianca, 2000; Akbar, 1988) The substance of Islamic built environment is always the same, due to the permanence of the philosophy and cosmic values that gave rise to it. What changes are the ways and means with which people internalise and put into operation such philosophy and values to their own natural and man-generated circumstances. Such changes or developments could simply be regarded as most practical 'solutions' to the challenges people face.

Islamic built environment thus promotes unity in diversity, that is, the unity of message and purpose, and the diversity of styles, methods and solutions.

(Al-Faruqi, 1985; Al-Hathloul, 1996) The identity and vocabulary of Islamic built environment evolved as a means for the fulfilment of the concerns of Muslim societies. Islamic built environment was never an end in itself. It was the container of Islamic culture and civilisation reflecting the cultural identity and the level of the creative and aesthetic consciousness of Muslims. Built environment, in general, should always be in service to people. It is never to be the other way round, that is to say that architecture should evolve into a hobby or an adventure in the process imposing itself on society while forsaking, or taking lightly, people's identities, cultures and the demands of their daily struggles. Built environment, first and foremost, should remain associated with functionality. It should not deviate from its authentic character and stray into the world of excessive invention and abstraction.

AVOIDING VICIES IN BUILT ENVIRONMENT

Due to the striking character of Islamic built environment and the character of the values and beliefs that it epitomises, one must not be so obsessed with the matter of building that some of the vices most commonly committed in building, such as wasting, exercising and promoting haughtiness, mutual envy and rivalry in building, corruption, cheating, environmental destruction etc. may possibly be committed, even relatively. People ought to observe moderation, limitations, personal and societal needs, and of course, the utility of

whatever they erect. Via its status, function and maintenance, built environment is to be an asset to the community rather than a liability. Built environment is to represent a balance between aspirations, needs, means and capabilities. All forms of extravagance and excessiveness are to be purged. The second caliph, Umar b. al-Khattab, was asked by the Muslims of Kufah and Basrah, after they had built them and settled there in the wake of the conquest, to allow them to use stones rather than reeds when erecting houses, for they were more durable and less susceptible to fire and other destructive environmental factors. Because their demand was reasonable and justified, 'Umar allowed them but cautioned not to be carried away: "Do, but no one should build more than three houses. Do not vie with each other in building. Adhere to the sunnah and you will remain in power." In addition, he ordered them not to build buildings higher than was proper. Asked what "proper" was, he replied: "What does not lead you to wastefulness and does not take you away from purposeful moderation" (Al-Tabari, 1977).

Building is but one of the noble means by which the noblest goals are attained; it is an instrument, a carrier of the spiritual, not a goal in itself. People are not to build more than what they really need for the reason that every building activity will be harmful to its executor on the Day of Judgment, unless carried out due to a real necessity i.e. to meet a need, as proclaimed by the Prophet (pbuh) (Sunan Abi Dawud, tradition No.

4559). The Prophet (pbuh) announced this on seeing a dome imposingly surmounting a house in Madinah.

The Prophet (pbuh) is also reported to have said that the most unprofitable thing that eats up the wealth of a believer is building. How true, especially if the benefits, both material and spiritual, of erected buildings are not maximised! One's wealth constitutes a major portion of what one has been assigned of this fleeting world, which is to be meticulously managed for the benefits of both worlds. Both wealth and built environment are to be perceived only as means; neither one represents an end in itself. If one possesses a positive perception about wealth and the notion of creating buildings, which, in fact, reflects one's positive total worldview, one is then able to recognise that whatever wealth he has been granted is sufficient for him. He will, furthermore, easily understand how much and what type of built environment he needs so that the execution of his divinely inspired life engagements is supported and facilitated. Hence, a believer will always be content with unassuming buildings, above all if they are private ones, thus allowing him to make use of his wealth for some other wholesome purposes, both personal and communal. This way, restraining tendencies towards the crimes of wastefulness, greed, jealousy, ill feeling, haughtiness and so forth, in a person will become a much easier proposition. It goes without saying, therefore, that the biggest fault, as well as loss, is that one exhausts all the resources and amenities that God

has bestowed upon him for the momentary joy and pleasures of this world, while procuring nothing, or very little, for the Hereafter. Definitely, true believers are immune to this agonising scenario.

If adulterated by jahiliyyah (ignorance) elements, the idea of building may in the long run prove disastrous even for the future of the Muslim community as a whole. The reason for this is that under some unfavourable circumstances not only will the issue of building and its splendid goals be then garbled, but also will people start drifting away, little by little, from purposeful moderation in the end becoming liable to warp even the character and role of their very existence on earth. No sooner does this come about than breeding the causes, which the Prophet (pbuh) had singled out as responsible for every upcoming cultural and civilisational slump of the Muslims, happens next. The causes highlighted by the Prophet (pbuh) are: exaggerated love of this world and having aversion to death (Sunan Abi Dawud, tradition No. 4284). Truly, the more people fritter away their time, energy and resources on buildings, the greater affection do they develop for the results of their work and this world in general, and the more they are attached to this world, the 'farther' and more detested death and the Hereafter appear. 'The dwellings in which you delight' has been referred to in the Qur'an (*al-Tawbah* 24) as one of the potential hindrances to Allah's cause, in that man's heart is prone to clinging to it in this world together with wealth and

prosperity, commerce and kith and kin. If it be that any of these turns out to be a hindrance "...then wait until Allah brings about His decision: and Allah guides not the rebellious" (*al-Tawbah* 24).

Against the background of these damaging vices often committed in the field of building, sometimes unconsciously and under the influence of popular and widespread dissolute trends, though, must we view every tradition of the Prophet (pbuh), as well as the sayings and practices of his nearest companions, wherein some aspects of building are at a first glance denounced.

The most conventional evil committed perhaps most often in building is wastefulness, although it is so much abhorrent that after explicitly forbidding extravagance, spendthrifts are described by the Qur'an as brothers of Satan (*al-Isra'* 27). The Prophet (pbuh) is reported to have advised his companions to enjoy this world's rightful delights so long as they were free from extravagance and conceit (Sunan Ibn Majah, tradition No. 3595). He also said on seeing Sa'd b. Abi Waqqas taking ablution: "Why this wastefulness, O Sa'd?" Asked whether even in ablution wastefulness could be perpetrated, the Prophet (pbuh) retorted: "Yes, even if you are (standing) at a flowing stream" (Sunan Ibn Majah, tradition No. 418, 419).

Next, people's haughtiness is often a reason for building. In Islam, this vice, no matter how insignificant and for what reasons it may be committed, is unconditionally rejected. It is associated

with Satan, who basically for that nature of his was of those who reject Faith (al-Baqarah 34). The Prophet (pbuh) once said: “He in whose heart a mustard seed’s weight of arrogance is found will be thrown on his face into Hellfire” (Musnad Ahmad b. Hanbal, tradition No. 6719).

Also: “He who dies free from three things: arrogance, malignancy (*ghulul*) and debt, shall enter Paradise.” (Sunan al-Tirmidhi, tradition No. 1497)

The Qur’an often refers to ‘Ad, the people of the prophet Hud, in order to teach us some valuable lessons regarding building, in particular, and dealing with this world, in general. ‘Ad are said to have been materialists feeling quite secure in their fortresses and resources, and believing only in brute force when dealing with those who came within their power. They were accused, among other things, of excessively priding themselves on show and parade, building palatial monuments on every high place in order to amuse themselves and impelling others to hold them and their material prosperity in awe and utmost respect (al-Shu’ara’ 123-140). When the prophet Hud came to them with Allah’s message and clear signs, they ridiculed and rebuffed them, so God destroyed them by a furious wind, exceedingly violent.

Finally, as a consequence of this approach by many an individual to the subject of building, whereby a propensity to show off and display haughtiness is harboured, the tendency towards vying with each other in erecting private monumental edifices inevitably ensues.

So damaging is this evil that it easily turns into a pervasive social disease. Moreover, if aided by other similar factors such as greed, self-centredness, corruption, fraudulence, dishonesty and so forth, it has the potential to evolve so far as to become an integral part of the boundless chaos that will herald the imminence of the Day of Judgment. Thus, the Prophet (pbuh) has proclaimed that one of the signs of the approaching of the Day of Judgment would be when people start vying in boasting with one another in erecting buildings (Sahih al-Bukhari, tradition No. 6588).

When a delegation from the al-Azd tribe came to the Prophet (pbuh), he advised them among other things not to build that which they would not occupy (utilise), and not to compete in that which they soon would leave (Ibn Kathir, 1985).

Nevertheless, before rivalry in building, coupled with other grave transgressions, becomes a lucid sign of the Day of Judgment’s proximity, the same vice will represent one of the root causes of disunity, decadence and intellectual impotence of the Muslims, exactly as their Lord has cautioned them: “*And obey Allah and His Messenger; and fall into no disputes, lest ye lose heart and your power depart; and be patient and persevering: for Allah is with those who patiently persevere*” (al-Anfal 46).

Lastly, protecting and peacefully coexisting with the natural environment while creating a built environment is paramount in Islam. Inflicting harm on the environment is a sin whose severity

corresponds to the harm caused. So significant is man's relationship with the environment in Islam that in some instances such a relationship can take precedence over other deeds of man, placing him then on the highest or dragging him to the lowest. This is so because according to Islam, man is a vicegerent on earth, or steward, or manager of creation. The environment is part of God's creation too. Its role is two-fold: to worship its Creator (in ways suitable to it) and to be of service to man, so that man can smoothly and undeterred carry out his honourable task of vicegerency.

Man's rights over the environment are rights of sustainable use based on moderation, balance and conservation. The rights of the environment over man, on the other hand, are that it be safe from every misuse, mistreatment and destruction. Greed, extravagance and waste are considered a tyranny against nature and a transgression of those rights (Abd-al-Hamid, 1997).

Islam teaches, furthermore, that nature's resources and forces are gifts granted by God to man. "The gift, however, is not transfer of title. Man is permitted to use the gift for the given purpose, but the owner is and always remains Almighty God" (al-Faruqi, 1995).

ISLAMIC BUILT ENVIRONMENT BETWEEN SOME OF ITS POTENTIAL EXTREMITIES

The essence of the implications of the concept of al-wasatiyyah for Islamic built environment could be summarised in the

words of Prophet Muhammad (pbuh) that there should be neither inflicting nor returning of harm (*la darar wa la dirar*) (Sunan Ibn Majah, tradition No. 2331), as well as in the words of the Qur'an that, apart from the physical foundations, buildings ought to be established on the metaphysical foundations of piety (*al-taqwa*) and God's good pleasure (*al-ridwan*) as well (*al-Tawbah* 109). Indeed, it was due to this that Koca Mimar Sinan (Crane & Akin, 2006), the chief architect of the Ottoman golden age, called architecture an "estimable calling" and then said that whosoever wanted to practice it correctly must be, first of all, righteous and pious.

Thus, the unity of Islamic architecture and the whole orb of Islamic built environment, and their harmony within themselves and with their surroundings and users, signify to Isma'il al-Faruqi (1981) a facet of unity of the Muslim community (*ummah*) under Islam. "It did not exist before Islam, when architectural styles differed widely. It came to exist with Islam, when Islamic characteristics began to dominate the architectural styles of Muslims, allowing a number of variants on non-essential matters to accommodate indigenous climatic or inherited features" (al-Faruqi, 1981).

Prophet Muhammad (pbuh) as well as many subsequent Muslim communities throughout the long and colourful history of Islam and its peoples have in practical terms demonstrated the strong relationship between al-wasatiyyah and Islamic built environment. Both history and the

numerous residues of the Muslim built environment legacies, still dotting a great many territories of the Muslim world, are witnesses to this truth. However, following the gradual weakening and ultimate collapse of Islamic civilisation, the truth in question was repeatedly distorted at the hands of many people and for various reasons.

Therefore, for example, Islamic built environment was repeatedly seen by many scholars, Muslims and non-Muslims alike, as one concerned primarily about its functionality at the expense of its form (al-Faruqi, 1970; Grube, 1987). Its symbolic importance, too, has been often exaggerated at the expense of its actual roles and purpose (Ardalan & Bakhtiar, 1973; Burckhardt, 1976; Dickie, 1987; Nasr, 1987). Similarly, too much emphasis on the notions of the sheer form of Islamic built environment, the evolution of its physical vocabulary in relation to the built environments of other cultures and civilisations, as well as the many other implications of the time and space factors, overshadowed greatly the spiritual, universal and pragmatic character of Islamic built environment (Grabar, 1987; Creswell, 1989; Hillenbrand, 1994).

In the same vein, furthermore, Islamic built environment is at times viewed and appreciated through the prism of imperial institutional buildings only, such as royal palaces, mosques, mausoleums and gardens. Scores of such structures accounted for mere icons and monuments, and so, the spiritual authenticity of some of them, especially in the case of massive

tombs and memorials, is repeatedly questioned. In the process of venerating those structures, the significance of many remarkable communal buildings, public facilities and amenities, as well as private houses, comprising the greater part of genuine Islamic built environment built and utilised by the majority of people, is relegated to the second tier of architectural importance.

In most of the above-mentioned studies, the authors' discussions excessively focus on certain geographical, socio-political, technical or cultural aspects of Islamic built environment, to the point that a perceptive reader inevitably starts feeling that the real character of the Islamic built environment phenomenon, one way or another, has been rather localised, privatised, downgraded and even de-spiritualised. Its multidimensionality and fluidity were replaced with one-dimensionality and rigidity, and its perfectly harmonised and unified realm rendered compartmentalised, and the objectives and purpose of some of its constituents compromised (al-Faruqi, 1981; Bahnassi, 1991; Omer, 2009; Ben-Hamouche, 2010).

CONCLUSION

There is a close and long-term symbiosis between a range of direct and indirect meanings and values entailed in the concept of al-wasatiyyah and the meanings and values which Islamic built environment represents and stands for. Partly due to that relationship, Islamic built environment is universal, all-inclusive, flexible,

unrestricted and fluid. It is not concerned about the form or the artistic dimension of buildings only. Islamic built environment signifies a process where all the phases and aspects are equally important. It is almost impossible to identify a phase or an aspect in that process and consider it more important than the others. The Islamic built environment process starts with having a proper understanding and vision which leads to making a right intention. It continues with the planning, designing and building stages, and ends with attaining the net results and how people make use of and benefit from them. Islamic built environment is a fine blend of all these factors which are interwoven with the thread of the belief system, principles, teachings and values of Islam.

It goes without saying, therefore, that without Islam there can be no Islamic built environment. Likewise, without true Muslims who in their thoughts, actions and words epitomise the total message of Islam, there can be no Islamic built environment either. Islamic built environment is a framework for the implementation of Islam, a framework which exists in order to facilitate, encourage and promote such an implementation. Hence, no properly perceiving, creating, comprehending, studying or even using Islamic built environment can be possible in isolation from the total framework of Islam: its comprehensive worldview, ethos, doctrines, laws, practices, genesis and history. Any attempt or method that defies this rational principle is bound to end up in a failure

generating in the process sets of errors and misconceptions. Indeed, the existing studies on Islamic built environment, by Muslim and non-Muslim scholars alike, and the ways in which Islamic built environment is taught and practised today, are the best testimony to the confusion that surrounds the theme of Islamic built environment, as both a concept and sensory reality.

Prior to the colonisation era, Islamic built environment was an integral and spontaneous segment of the Islamic reality, just like any other cultural and civilisational aspect of Islam as an all-inclusive divine inspiration and guidance. People did not even bother to call it as such (raging debates as to the meaning of “Islamic” and “Muslim” built environment and their similarities and differences, denote a novel phenomenon). Islamic built environment, or the ways people perceived, planned, designed, built and used buildings, was regarded as an indispensable part of an Islamic lifestyle that the Islamic perceptions of life and its myriad of conceptual and sensory realities have been shaping for centuries. Truly, Islamic ways of designing and making buildings were seen as that lifestyle itself which in art, planning and architecture took on some of the most expressive forms. The world of Islamic built environment was both the solemn identity and testimony of Islam and the true record of the life of Muslims and their civilisational awareness and achievements.

However, following the painful colonisation era and its equally painful aftermath, Islamic built environment,

just like a majority of the components of Islamic culture and civilisation, was both distorted and virtually lost. Now when the Muslims are increasingly experiencing an Islamisation awakening, the topic of Islamic built environment is being gradually resurrected too. Although the process is very sluggish, there are many signs on the horizon that inspire, encourage and breed confidence.

Reviving Islamic built environment is an extremely serious and demanding task. It requires major contributions and high-spirited concerted efforts of many parties from across the wide spectrum of society: government, educators, practitioners, professional bodies, NGOs, members of the business community, students and the general public. Certainly, relevant governmental departments, colleges and universities, private built environment firms and institutions are identified as the most relevant agencies and their people as the most important protagonists in spearheading and managing the Islamisation of built environment project. The responsibilities of these parties are the

biggest on account of their roles in society. It follows that in case of failure, especially if such happens due to deliberate mediocrity, lack of interest and apathy, their share of blame will be the biggest one as well.

Finally, it is observable that today the concept of al-wasatiyyah is being more and more resurrected and propagated as an answer to many Muslim contemporary cultural and civilisational conundrums. Indeed, since the two, al-wasatiyyah and the identity of Islamic built environment, have much in common, and since they exert a considerable influence on each other's ultimate actualisation – regardless of which is the cause and which the effect – the two should be brought much closer to each other in reviving, liberating and unifying the Muslim community. That was always the case in the past when the identity of Islamic built environment was evolving and was sustained, and so has got to be the case today in every forthcoming foremost, inclusive and earnest Muslim revivification enterprise.

REFERENCES



Fig. 1: Remains of *Quwwat al-Islam* Mosque in New Delhi, India. Materials from 27 Hindu and Jain temples, which were mainly abandoned or unutilised, were used for constructing the mosque.



Fig.2: The Great Umayyad Mosque in Damascus, Syria.

At the site of the Mosque, there was a temple in both the Aramaean and Roman eras. The place was later converted into a church dedicated to St John the Baptist in the Byzantine era. Following the arrival of Muslims, the church was eventually adopted and modified as a mosque.



Fig.3: Traditional Malay houses are an excellent example of sustainable, simple-yet-refined and “moderate” Islamic built environment.



Fig.4: Shalimar Gardens in Lahore, Pakistan.



Fig.5: All buildings in the city of San'a, Yemen, are subjected to the same decorative philosophy.



Fig.6: The interior of a caravanserai in Kashan, Iran. A number of social, economic, environmental and religious requirements have been answered by the form and function of the building.



Fig.7: The Taj Mahal in Agra, India, is regarded as one of the best gifts of Islamic art and architecture to the world. However, the building is just a mausoleum and memorial, extravagantly built. As such, it stands at odds with some fundamental teachings and values of Islam.

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Effects of Resort Service Quality, Location Quality and Environmental Practices on the Loyalty of Guests within the Malaysian Ecotourism Industry

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ABSTRACT

This research investigated the effects of resort service quality, location quality and environmental practices on the loyalty of guests. Data were collected from 529 guests of river and lake resorts in Peninsular Malaysia. Partial least square technique was used in analysing the data. Results indicate that guest loyalty is affected by the quality of service and location of resorts, as well as their environmental practices. These results suggest that well-trained staff, prompt service and sufficient information on the tourism attributes of the resort are crucial to providing guests with high-quality service. The findings are useful for policymakers and resort managers in terms of enhancing the understanding of the combined effects of resort service quality, location quality and environmental practices on guest loyalty. With regard to its theoretical contribution, this study has extended the previous research on the effects of environmental practices on customers' decisions by advancing the understanding of the relationship between resort environmental practices and guest loyalty.

Keywords: Service Quality, Location Quality, Environmental Practices, Loyalty

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INTRODUCTION

The customer retention capacity of service providers in the hospitality industry is vital to their success. This study highlighted service quality (Lee *et al.*, 2003; Kandampully & Suhartanto, 2003) and location quality (Hillery *et al.*, 2001; Rigall-I-Torrent *et al.*, 2011) as important

factors in the hotel sector. A strong focus on these factors has created loyal customers, thus inducing a sustainable competitive advantage. Nevertheless, hotels cannot rely any further solely on the benefits of service and location quality because the rules of competition have changed (Hawkins & Lamoureux, 2001; Page & Dowling, 2002). Moreover, the pressure for adopting environmentally friendly practices has increased as well (Chan & Wong, 2006).

Hotels and resorts are the major contributors in the hospitality industry in terms of their strong environmental impacts. Consumers are progressively becoming more acutely aware of the environmental damages caused by harmful business activities (Manaktola & Jauhari, 2007). The industry activities that negatively affect the natural environment have been mitigated by the adoption of environmental practices within the hospitality industry. As the demand for environmental practices in the tourism industry continues to increase (Hawkins & Lamoureux, 2001; Sharpley, 2001; Page & Dowling, 2002), the hotel selection of tourists will be influenced by the types of environmental policies that are enforced by hotels. The decisions of tourists will also be made on the basis of whether or not hotels have undertaken steps to reduce their negative effects on the environment (Millar & Baloglu, 2011).

The current paper contributes to the literature in several aspects. First, it analyses the effects of environmental practices on customers' decisions within the context of the ecotourism industry; this

aspect contrasts with that of majority of the previous studies which have only examined manufacturing firms (Grimmer & Bingham, 2013; Borin *et al.*, 2013). The activities of service organisations have a less visible effect on the environment compared with manufacturing firms, thus explaining the lack of substantial investigation into this subject (Bowen, 2000; Budeanu, 2005). Service organisations are often referred to as 'the silent destroyers of the environment' (Mensah & Blankson, 2013; p. 1212), and their impact on the environment has received considerably less attention. Second, with regard to environmental variables, majority of the previous studies measured environmental practice based on environmental performance (e.g., emission reduction). This paper uses a different approach in that it seeks to use the degree to which organisations have implemented diverse environmental practices to measure their environmental adeptness. Third, previous studies have investigated customers' attitudes towards environmental conventions within the hospitality industry (Clarke, 2001; Dalton *et al.*, 2008), whereas a common attitude towards a product or a service is inadequate to predict behaviour (Fishbein & Ajzen, 2010). Moreover, previous research has established a positive relationship between customers' loyalty and the financial performance of an organization (Lee *et al.*, 2000; Keisidou *et al.*, 2013; Nayebzadeh *et al.*, 2013). Hence, the evaluation of the potential drivers of guest loyalty is a more relevant undertaking (Anderson *et al.*, 1994; Brady *et al.*, 2002).

Previous studies have only investigated the effects of service quality, location quality and environmental practices on customers' attitudes rather than on customers' loyalty (Manaktola & Jauhari, 2007; Ladhari, 2009; Han *et al.*, 2010).

In marketing literature, consumer loyalty - defined as repeat purchases or positive word of mouth to other people - is one of the critical indicators used to measure the success of marketing strategy (Flavian *et al.*, 2001). Similarly, guests' loyalty in hospitality industry refers to repeat visits, longer stay or recommending the hotel to friends or relatives is considered as one of the driving forces for success in the competitive market (Yoon & Uysal, 2005).

This study aims to investigate the effects of service quality, location quality and environmental practices on the loyalty of resort guests. An understanding of the determinants of guest loyalty is essential for resort managers to enhance guests' loyalty. Additionally, success in enhancing the guests' loyalty may improve the resort's financial performance.

SERVICE QUALITY

Among the management dimensions of industry-leading service companies, service quality appears to be the most sustainable basis for distinction (Zeithaml & Binter, 1996); meanwhile, balancing customer satisfaction and value (Parasuraman, 1997), pushing market share and profitability and developing appropriate strategies (Gronroos, 2000) have become crucially important. Researchers and organisations

alike have concluded that customers critically assess the standards of service provided; thus, whether or not customers approve the type and level of service of a firm will directly affects its profit (Zeithaml, 2000). One of the key factors that the hospitality industry acknowledges is its capacity to control the quality of service provided to customers, which adds value to products and therefore ensures customers' loyalty (Lee *et al.*, 2003). By contrast, some hotels lower their prices in an attempt to increase their market share, but they risk creating a negative effect on their medium- and long-term profitability (Ernst & Young, 1996). As a result, customers' loyalty can be linked more to quality of service rather than to price when a hotel seeks to differentiate itself from its competitors (Kandampully & Suhartanto, 2000, 2003). Thus, the following hypothesis is proposed:

H1: The quality of service provided by river and lake resorts directly affects guest loyalty.

LOCATION QUALITY

Several studies (for instance, Dokmeci & Balta, 1999; Begin, 2000; Urtasun & Gutierrez, 2006) have emphasised the importance of location in the hotel site selection decision of tourists. The specific products the hotel offers and its location equally affect the holiday enjoyment of tourists (Rigall-I-Torrent *et al.*, 2011). An attractive hotel location (usually due to its rich biological and/or cultural values) will increase the popularity of the hotel (Hillery

et al., 2001). Similarly, a convenient location and the overall quality of service determine the enjoyment level of guests (Rivers *et al.*, 1991). Compared with other businesses, the hotel sector relies heavily on location, thus placing it in a unique situation (Nozar, 2001). Huybers and Bennet (2000) indicated that potential overseas holidaymakers are willing to pay a premium price to visit destinations with a high level of environmental quality. Therefore, the present study posits the following hypothesis:

H2: Resort's location quality has a positive influence on guest's loyalty.

RESORT ENVIRONMENTAL PRACTICE

Implementing environmental practices allows for product differentiation in the hotel sector. For example, a hotel that improves its pollution levels will most likely increase demand from environmentally sensitive tourists (Chan & Wong, 2006). Resort managers have had to adapt to the tastes and preferences of ever-demanding tourists who expect hotels to demonstrate a greater respect for the environment while delivering a sound product. The World Tourism Organisation (1998) states that guests' perceptions about the level of the standard of service provided by hotels are affected by several factors including the state of environmental conservation. Thus, hotels that apply effective environmental management will improve guests' opinions about the environmental quality of the

hotel and the vacation industry product as a whole (Kirk, 1998; Chan & Wong, 2006); such an approach is more effective than merely providing a pleasant location and obtaining distinction badges (i.e., eco-labels).

Although selecting a green hotel may be more costly, an increasing number of customers are willing to pay more for environmentally friendly products and services (Han *et al.*, 2009). Industry professionals have responded to this trend by catering to the new and growing demands of environmentally conscious tourists. For instance, several hotels provide private tours of their environmental practices (e.g., water sewage management) to encourage visitors to return to the hotel in the future and recommend it to their friends. The expected and preferred outcome is that more business is brought to the hotel (Han & Kim, 2010). Numerous studies have discussed the importance of environmental practices in the hospitality industry and how hotels implement such practices; nevertheless, research into the effects of environmental practices on guests' loyalty remains scarce. Therefore, the following hypothesis is proposed:

H3: Resort environmental practices have a positive influence on guests' loyalty.

MODEL CONCEPTUALISATION

In the behaviourism domain, behaviour is believed to be affected by biological influence through 'instinctive forces' or 'drives' that function outside conscious

thought (Arnold & Randall, 2010); theories of this type are referred to as behavioural learning theories. Behavioural learning is defined as a process in which the experience of the environment induces a relative change in behaviour. Behavioural learning theories could be highly useful in explaining how and why resort service quality, location quality and environmental practices affect guest loyalty.

Stimulus–response theory (Bagozzi, 1986) is a behavioural learning theory that assumes the introduction of a stimulus that subsequently elicits a response. Consequently, the present study drawing on this theory investigated the effects of stimuli, such as resort location quality,

resort service quality and environmental practices (independent variables), on guests' loyalty (dependent variable) (Fig.1). These then form the objectives of the study. Guests' loyalty is considered a dependent variable, given that the results of the previous research have indicated that loyal consumers spend more than non-loyal ones (Ganesh *et al.*, 2000). Loyal consumers also serve as organisation promoters through positive word-of-mouth and their involvement in decision-making processes and volunteer activities (Zeithaml *et al.*, 1996; Kyle *et al.*, 2005). In the long run, these steadfast patrons cost the organisation less, saving it from the need to recruit new fans of its product (Bolton *et al.*, 2000).

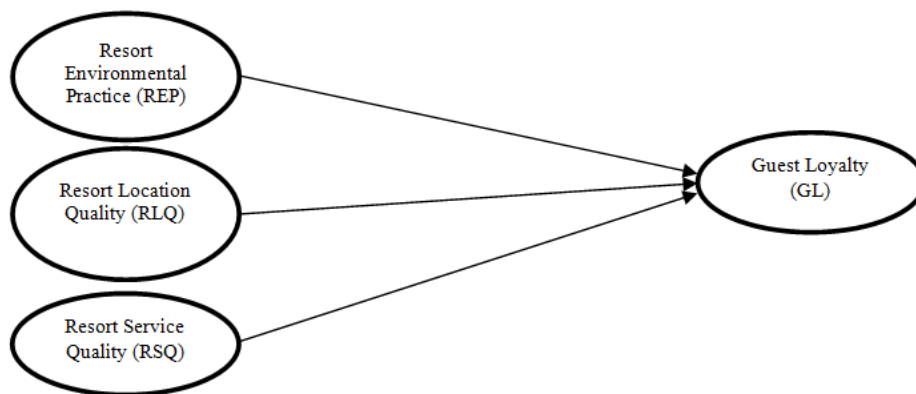


Fig.1: Conceptual Framework

METHODOLOGY

The present study employed a quantitative survey that incorporated a structured questionnaire. The questions in the questionnaire were adapted from Bedi (2010), Yusof *et al.* (2014), Sloan *et al.* (2009), Kandampully and Hu (2007), and

were self-constructed (Appendix I). Given the presence of some self-constructed question items in the questionnaire, a pilot study was conducted for an exploratory factor analysis, as suggested by Child (1990), to explore the possible underlying factor structure. The principal component

method with varimax rotation was applied in the current study. A total of 159 respondents participated in the pilot study. According to Igbaria (1995), the rule for identifying and interpreting unique factors requires that each item should load 0.50 or greater on one factor, whereas the other factor should load 0.35 or lower. Based on this rule, three question items were removed due to their low factor loadings (the eliminated items appear in italics in Appendix I). The population for this study consisted of all of the guests of river and lake resorts in Peninsular Malaysia. River and lake resorts refer to river or lake based resorts (Marcouiller *et al.*, 2004). In another words, the resorts are located beside a lake or a river. The sampling frame was drawn from the list of resorts in the accommodation list provided by Tourism Malaysia (2013); these resorts are nature-dependent tourist lodges that fit the philosophy and principles of ecotourism (Russell *et al.*, 1995). Thus, the resorts must fulfil the following ecotourism criteria: (i) located in an undisturbed natural area (Ceballos-Lscurain, 1987), (ii) provide ecotourism-related activities, such as studying, admiring and enjoying the scenery, flora and fauna, and (iii) provide products, services and activities that allow guests to appreciate, participate in and be aware of the natural environment (Ziffer, 1989). In the current study, 58 resorts satisfied the ecotourism criteria. To gain access to the resorts and secure their participation, telephone calls were made, followed by a visit to meet with the resort management.

From this meeting, the number of rooms, maximum capacity of guests that the resort can accommodate, average occupancy rate and size of resort staff were obtained. Only 38 resorts agreed to participate in the study. The questionnaires were successfully distributed to 800 guests of 38 resorts, and a total of 576 respondents returned the questionnaires. Out of 576 questionnaires, 47 responses were discarded because of incompletely answered questionnaires. Thus, a total of 529 questionnaires were used in the data analysis, yielding a usable response rate of 66.13%.

This study applied the partial least squares (PLS) technique using Smart PLS 2.0 (Beta) M3 (Ringle *et al.*, 2005). Subsequently, nonparametric bootstrapping was applied (Efron & Tibshirani, 1993; Wetzels *et al.*, 2009) with 5,000 replications, as suggested by Hair *et al.* (2013). This technique was used due to its appropriateness to the exploratory nature of the present study, in which some of the hypothesised relationships between the variables have not been previously tested. The required sample size for the study depended on the number of variables and the statistical technique to be used. Barclay *et al.* (1995) developed an often cited criterion that has also been postulated by Chin (1998), that is, the number of predictors in the multiple regression models will determine the sample size. Consequently, the current research identified (a) the largest number of formative indicators, (b) the largest number of independent variables, and (c)

the maximum of both numbers in (a) and (b) multiplied by 10 to obtain the minimum sample size. Guests' loyalty obtained the largest number of predictors (3); thus, a sample size of 529 proved to be more than sufficient.

RESULTS

The Sample

Male respondents comprised 61.9% of the sample, whereas female respondents accounted for 38.1% (Table 1). A total of 192 (36.7%) respondents belonged to the age group of less than 20 years, followed by 174 (33.3%) respondents within the age group of 20 to 29 years, 82 (15.7%) respondents within the age

group of 30 to 39 years, and 75 (14.3%) respondents within the age group of 40 years and above. In terms of nationality, Malaysian respondents comprised 92.4% of the sample, with the ethnic Malay respondents (86.3%) dominated the survey. The educational level of the respondents in descending order is as follows: secondary (51.8%), tertiary (46.5%) and primary (1.5%). During their resort visit, the respondents were accompanied by their family (44.8%) and friends/colleagues (22.4%); meanwhile, 18.5% of the respondents visited the resort as couples, and only 1.9% of the respondents visited alone. Most of the respondents (67.1%) were first-time visitors to the particular resort.

TABLE 1
Profile of the Respondents

Demographic Factors	Description	Frequency	Percentage (%)
Gender	Male	326	61.9
	Female	201	38.1
Age	Less than 20 years old	192	36.7
	20 – 29 years old	174	33.3
	30 – 39 years old	82	15.7
	Above 40 years old	75	14.3
Nationality	Malaysian	485	92.4
	Others	40	7.6
Ethnic	Malay	454	86.3
	Chinese	30	5.7
	Indian	9	1.7
Education	Other	33	6.3
	Primary	8	1.5
	Secondary	271	51.8
	Tertiary	243	46.5
	Others	1	0.2
Accompany	Family	324	44.8
	Couple	94	18.0
	Friends/ Colleagues	117	22.4
	Alone	10	1.9
Number of visit	Others	67	12.8
	1 time	347	67.1
	2 Times	74	14.3
	More than 3 times	96	18.6

Common Method Variance

Podsakoff and Organ (1986) stated that the common method bias is troublesome when a single underlying factor comprises the majority of the explained variance. The results of un-rotated factor analysis in the current study indicated that the first factor accounted for only 24.10% of the total 64.05% variance, suggesting that common method bias was not a serious problem in this study.

Measurement Model Results

The first step in PLS involves establishing the reliability and validity of the measurement model. All of the constructs in this study were operationalised in a reflective mode, thus rendering reliability and validity as appropriate criteria (Hair *et al.*, 2013). To ensure that the manifest variables measured what they were intended to measure, the reliability (loading) of each

indicator was considered. Hair *et al.* (2010) suggested that the items with loadings of at least 0.6 should be accepted. The loadings associated with each scale were all greater than 0.6 (ranging from 0.664 to 0.909); hence, individual item reliability was acceptable, and no items were dropped.

Construct internal consistency was assessed using composite internal scale reliability, which is similar to Cronbach's alpha. All four measures satisfied the guideline proposed by Hair *et al.* (2010) that the internal consistency should be at least 0.7 (Table 2). Internal consistency can also be evaluated using the average variance extracted (AVE), which is a measure of variance accounted for by the underlying construct. All the constructs in this study had an AVE of at least 0.5, satisfying the recommendation of Fornell and Larcker (1981) and further supported the internal consistency.

TABLE 2
Measurement Model Evaluation.

Constructs	Number of Items	Factor loadings	CR	AVE
Service Quality (SQ)	3	0.852 - 0.909	0.913	0.777
Location Quality (LQ)	3	0.768 - 0.848	0.848	0.650
Resort Environmental Practice (REP)	6	0.664 - 0.753	0.867	0.520
Guest Loyalty	5	0.789 - 0.884	0.920	0.698

CR= Composite Reliability; AVE= Average Variance Extracted

Discriminant validity refers to the extent to which a particular construct is different from other constructs. One criterion of discriminant validity is that a construct should share more variance with its measures than with all other constructs

(Hulland, 1999). Following Chin (2010), the square root of the AVE was measured for each construct to assess the discriminant validity (Table 3). These square roots were greater than the correlations between constructs, confirming the discriminant

validity (Henseler, 2009). Another method for judging discriminant validity is to assess the cross-loading (Chin, 1998). Each indicator should load higher on its associated latent variable than on any other latent variables (Hair *et al.*, 2013). The examination of these loadings exhibited

sufficient discriminant validity. Given the preceding analysis, the scales used in this study demonstrated sufficient evidence of uni-dimensionality, internal consistency and convergent and discriminant validity to be included in the structural model.

TABLE 3
Discriminant Validity Coefficients

	Mean	Std. error	SQ	LQ	REP	GL
SQ	4.473	0.958	0.882			
LQ	5.060	0.789	0.496	0.814		
REP	4.691	0.795	0.454	0.522	0.721	
GL	4.313	1.046	0.562	0.559	0.483	0.836

Assessment of the Structural Model

The measurement model yielded satisfactory results; thus, this study consequently evaluated the structural model to confirm the relationships between the constructs using the PLS method. The illustrative ability of the research model was examined in terms of the portion of variance that it explained. The results suggested that the model is capable of explaining 44.0% of the variance in the loyalty of resort guests. Stone (1974) and Geisser (1975) developed predictive relevance that the researchers have recently started to include in addition to estimating the magnitude of R² as an additional method for assessing model fitness. This technique demonstrates the capability of the model to predict the manifest indicators of each latent construct. Stone–Geisser Q² (cross-validated redundancy) was computed to

examine the predictive relevance using a blindfold procedure in PLS. Following the guidelines suggested by Chin (2010), a Q² value greater than zero implies that the model has predictive relevance. In this study, a value of 0.299 was obtained, which is far greater than zero.

In this study, non-parametric bootstrapping (Efron & Tibshirani, 1993; Wetzels *et al.*, 2009) was applied with 5,000 replications to test the structural model. The implications and relative force of the direct effects specified by the research model were evaluated (Table 4). The results indicated that the effects of resort service quality ($\beta = 0.332$, $p < 0.001$), location quality ($\beta = 0.304$, $p < 0.001$) and environmental practices ($\beta = 0.173$, $p < 0.001$) on guest loyalty were notable and positive. Thus, all the hypotheses were supported.

TABLE 4
Path coefficient and hypothesis testing

Hypothesis	Relationships	Path Coefficient	Std. Error	t-value	Decision
H1	SQ -> GL	0.332	0.047	7.107***	Supported
H2	LQ -> GL	0.304	0.048	6.362***	Supported
H3	REP -> GL	0.173	0.048	3.588***	Supported

Note: ***p<0.001

DISCUSSION AND IMPLICATIONS

The hospitality industry affects nature at large (Budeanu, 2005), while improperly managed hospitality activities can easily bring negative effects to the environment. Resorts consume a significant amount of natural resources found in the areas in which they are built; thus, these holiday businesses directly affect the sustainability of the areas in which they are built (Scanlon, 2007). The present study investigated the effects of resort service quality, location quality and environmental practices on guests' loyalty.

The direct link between resort service quality and guests' loyalty is consistent with the results of previous research by Lee *et al.* (2003), and Kandampully and Suhartanto (2000, 2003). Recruiting and hiring the most suitable staff members, as well as training them to become friendly, providing prompt service and acquiring sufficient information on the tourism area of the resort ensure high-quality service that guests seek. The results suggested that in addition to resort service quality, a pleasant resort location is an influential determinant of guest loyalty. This finding further confirmed and expanded the findings of Chan and Wong (2006) that guest behaviour is significantly

affected by pleasant hotel location and services. Considering the fact that changing the resort location is impossible, the resort management should provide services (i.e., free returned transfer services from the airport to the resort and from the resort to tourist attractions) to offset the negative effects of an unpleasant resort location.

The findings of this study highlighted the significance of resort environmental practices on guests' loyalty in addition to resort service and location quality. Moreover, the findings suggested that the resort managers should be genuinely involved in environmentally friendly programmes because this practice could potentially enhance the public reputation of the resort. In this sense, resorts that improve their environmental practices gain competitive advantage in two ways. First, hotels will likely achieve guests' loyalty. Second, they could reduce their costs and increase their revenue by adopting environmental management practices that generate increased performance levels. Therefore, the results of this study indicated that in addition to resort service quality and location quality (Chan & Wong, 2006), environmental practices of resorts are an important issue that resort managers should regard as urgent to maintain the

competitiveness of the resort. The results of the current study may be of interest to policy makers, particularly in the aspect of providing resort managers with training and knowledge about the importance of service quality and environmental practices.

Moreover, the findings provide practical implications for policymakers and resort managers in terms of enhancing the understanding relative and combined effects of resort service quality, location quality and environmental practices on guests' loyalty, thereby facilitating their promotion of the attractiveness of lake and river destinations nationally and internationally. With regard to its theoretical contribution, this study has extended the previous research on the effects of environmental practices on customers' decisions and provided significant potential by advancing the understanding of the link between environmental practices of resorts and guest loyalty. To the best of our knowledge, our work is the first study to conduct such a theoretical and empirical examination in the context of the ecotourism industry.

CONCLUSION

Service and location are the factors that allowed for the differentiation among the resorts previously (Chan & Wong, 2006). As guests' expectations continuously increase, resort managers should constantly improve the services to obtain guests' satisfaction and enable the resort to compete in the competitive market. Given the growing tourists' demand for environmental practices (Hawkins & Lamoureux, 2001;

Sharpley, 2001 Page & Dowling, 2002), the present study investigated the effects of resort service quality, location quality and environmental practices on guests' loyalty. Above all, the findings supported all the hypotheses postulated in this study.

Similar to other studies, this study has several limitations which provide directions for future research. First, the study tested and verified the hypotheses with a questionnaire survey. It is important to note that this approach only provides the cross-sectional aspect of the study. Thus, the results of the survey are influenced by the fact that the dynamic changes in tourists' attitudes and behaviours are unobservable in this study. A longitudinal study that examines the relationships for an extended period should be attempted to obtain more precise results. Second, the population for this study was specific to only guests of river and lake resorts. Consequently, hotels in the urban area that intend to apply the results of this study should be more conscious of the variation in the environmental concerns of guests of these types of hotels. Finally, this study was conducted in the resorts located in Malaysia. This aspect raises the issue of applicability of the findings in other Asian countries such as Indonesia. Therefore, research in other countries can contribute to the generalisability of the findings of this study. Other important issues that should be considered in future research are the effects of guests' loyalty on the financial performance of the resort because of the capacity of guests' loyalty to improve such performance, as well as the effects of the other factors such as price on guests' loyalty.

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Appendix I: Questionnaire Items

Constructs	Items	Source
Resort Service Quality	The resort staff is friendly.	Bedi (2010); Yusof et al. (2014)
	The resort provides prompt service.	
	The overall service quality of resort is satisfactory.	
Resort Location Quality	This resort is located in a scenic place.	Self-Constructed
	This resort's physical environment is very relaxing.	
	<i>The journey to this resort is enjoyable.</i>	
Resort Environmental Practice (REP)	This resort is easy to access.	Sloan et al. (2009)
	This resort uses low-energy consumption devices.	
	This resort uses movement sensitive lighting.	
	This resort uses water-saving devices.	
	This resort uses recycled materials.	
Tourists' Loyalty (TL)	This resort encourages guests to conserve the environment.	Kandampully & Hu (2007)
	This resort development is integrated with its natural environment.	
	If possible, I intend to stay longer in this resort.	
	If I travel to this area, I intend to stay in this resort again.	
	I would highly recommend this resort to my friends and family.	
	If I travel to this area, I would NOT switch to other resort.	
I would NOT switch to other resort even if they offered me a better rate or discount on their services.		

Developing and Validating a Critical Pedagogy Questionnaire for ESP Teachers

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ABSTRACT

Critical pedagogy has gained significance by the development of educational ideals, seeking equality at different levels of society (Freire, 1973). It has found its way into ELT in recent years. Since ELT practices are coupled with methodology courses in which different methods of teaching and learning are explained, teachers have become familiar with different methods and techniques of teaching, enabling them to take advantage of various trends in education. But it seems that ESP has not benefitted that much from insights gained into critical pedagogy because some of the ESP professors are those whose academic studies are not in ELT. Since, in Iran, the fields of study, other than ELT, do not take full advantage of English methodology courses, they seem not to be aware of innovations in English teaching. Thus, the development of a CP questionnaire for ESP context seems necessary. This paper reports the steps that were taken in developing and validating a critical pedagogy questionnaire for ESP context. In order to validate the questionnaire, 123 respondents were asked to answer the items. Three main sources of evidence were drawn upon to support the credibility of the questionnaires: reliability, content and construct validity. Opinions from a group of experts and a pilot study guaranteed the content validity of the questionnaire, respectively. Furthermore, Principal Component Analysis was used to measure the construct validity of the questionnaire, which resulted in the items loading under five major subcomponents. The reliability coefficient was also calculated for all five subcomponents, using Cronbach's alpha. The results of the study showed that this questionnaire could be a valid and reliable instrument for examining the criticality of ESP

teachers. The questionnaire may be used in studies aiming to examine whether Iranian ESP teachers' practices, in particular, are consistent with the principles of critical pedagogy. Furthermore, the extracted components can be useful guidelines

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to increase the understanding of ESP practitioners of the principles of critical pedagogy.

Keywords: Critical pedagogy, English for specific purposes, questionnaire development, validity, reliability

INTRODUCTION

Language teaching has experienced the wax and wane of methods with the advent of Grammar Translation Method in 1900. Methods have replaced one another due to different reasons. In some cases, the theoretical foundations on which they were constructed were undermined. A good example is Chomsky's challenging behaviouristic and structuralistic views in favour of Transformational Grammar, which in turn replaced Audio Lingual Method with Cognitive methods such as the Silent Way. In some other cases, the methods were way beyond practicality (e.g. Suggestopedia), which brought them to a dead end. This swing of pendulum, to borrow Brown's (2007) term, ended in post-method era, when the uniqueness of methods was considered as a major factor deterring teachers from using a prefabricated fixed method in different classroom contexts (Kumaravadivelu, 2003).

A new trend which has been publicised by the scholars of the field calls for criticality on the part of language teachers. This trend rooted in the top-down criticism (Richards & Rodgers, 2001) set sails against the so-called methods used in the educational systems, in which power is disseminated

from the policy makers to material developers and, finally, to the teachers. Therefore, teachers are deemed to be sheer implementers of what is dictated to them. However, nowadays, critical pedagogy (henceforth CP) is considered a practice that tries to emancipate both learners and teachers from the power relations prevalent in the society and educational system (Freire, 1973). Teachers are expected to be critical of their own teaching, educational system, syllabus and whatever relates to their experience of language teaching. As such, CP is assumed to facilitate the situation for individuals to share their own critical views about the educational context (Thousand *et al.*, 1999).

Like general language teaching, English for Specific Purposes (henceforth ESP) can be influenced by innovations in teaching and learning approaches such as CP. ESP, as one of the branches of English as a foreign or second language, is designed for a special group of people who aspire to work in a special context (Hutchison & Waters, 1987). In other words, ESP courses are developed to teach a specific area of technical English to people with different needs and objectives majoring in different fields. In the early seventies, many attempts were made to design courses of ESP (e.g. Swales, 1971; Pratt, 1973; Selinker & Trimble, 1976; Munby, 1978). ESP is generally based on the assumption that if language learners' needs could be accurately specified, then this identification can be used as the point of departure to decide on the content

of a language programme intended to address these needs (Munby, 1978). Such interpretations were widespread in the 1970s and 1980s when needs analysis in ESP contexts was becoming prevalent in language teaching.

Rodgers (1969) proposed that the nature of such courses be learner-centred because they target the needs of learners who try to learn English used in their specific fields. However, as Hutchinson and Waters (1991) pointed out, the concept of learner-centredness is to some extent misleading as it implies that the only individuals who are important in the learning process are learners. Hutchinson and Waters (1991) believed that learners together with teachers and all those who are somehow involved in teaching and learning are essential elements of an educational system, and thus it is wise to replace learner-centredness with learning-centredness.

Learning-centred approaches as such call for an individualistic view where all the individuals including teachers and students are conferred a sense of freedom to negotiate their needs with other stakeholders, which challenges the top-down procedures in education. In top-down criticism as proposed by Richards and Rodgers (2001), the policy makers and material developers dictate what is to be done by teachers and students. Using a critical view challenges such top-down procedures and consequently leads to a real learning-centred approach.

In ESP courses the needs of the learners are of great significance. It can be related to critical views in language teaching, where the individuals' views and beliefs are pivotal in decision making about the educational system. A key principle in CP is paying attention to learners' needs. The type of needs analysis proposed by proponents of CP is different from the traditional needs analysis typical of ESP courses today in which requirements of learners are presented in textbooks by material developers. The kind of needs analysis that is in accordance with the principles of CP calls for criticality of teachers and students. In other words, teachers should not merely teach what they receive from material developers but they should try to localise the textbooks according to their immediate context of teaching. On the other hand, students should be empowered to critically read the textbooks presented to them, and to have the opportunity to make informed decisions about what and how to learn. Thus, it is wise to see if the new trends in English language teaching such as CP are applied in ESP courses as well.

Considering critical pedagogy seems to be necessary for ESP teachers as globalisation has opened new job and trading experiences for learners and this may lead to increasing proliferation of the ESP texts. If teachers are not aware of the ideology hidden in the texts, they will not be able to prevent students from absorbing those new views. In other words, the material developers tend to inject their cultural and ideological views into the

books they write. The teachers in other countries, as consumers of these materials, should adopt a critical view and clarify the ideological beliefs concealed in the texts. This makes the development of CP questionnaire for ESP contexts necessary. The aim of this study is to develop a questionnaire for critical pedagogy and validate it in ESP context.

REVIEW OF LITERATURE

Critical Pedagogy

English Language Teaching (ELT), which is clearly an international phenomenon, brings about many life chances such as opportunities for economic success and social status for learners. In philosophy, ELT suffers from a kind of imbalance, willing to over-concentrate on linguistic theory and forget about educational theory (Pennycook, 1990b). Most ELT practitioners suppose that knowledge, like language, is natural and consists of a set of facts so that it can be taught with no problem and since knowledge is not separable from education, transmitting these facts is referred to as educating individuals. This view is what made various figures such as Pennycook (1990a), Ivanic (1990) and Apple (1982) to start critiquing ELT as being one-dimensional in that it is dedicated to transmitting some predetermined facts and ideas to passive learners. In this regard, ELT is void of any element of personal or social transformation (Pennycook, 1990a). Freire (1973) is the other figure whose critiques against the so-called 'banking model of education' paved the way for

the entrance of CP in the field of ELT. The banking model is typical of behaviourism, a school of thought still dominant in most institutes and universities. The banking model is a traditional model of education in which teachers are believed to be the only possessors of true knowledge. They impose their ideas and beliefs on students; therefore, critical thinking has no role in such classrooms. Within this model, students are assumed to be void of any useful knowledge and are, therefore, passive receivers of knowledge. Students are to memorise basic facts and prepackaged knowledge. However, Freire (1968) believed that students should not be seen as empty "accounts" to be filled in by teachers. He argues that in this model, there is no place for critical consciousness and students are not allowed to think for themselves (Freire, 1973). Lack of critical and social awareness, critical thinking and creativity in education makes some scholars such as Freire (1968) and Shor (1992) speak of a new tradition i.e. CP in the field of education, in general, and ELT, in particular.

CP, as an approach to language teaching and learning, is mostly concerned with transforming power relations that bring about the oppression of people (Kincheloe, 2005). CP seeks to educate all people regardless of their gender, class, race etc. Through CP students learn to think critically and develop a critical consciousness that allows them to uncover the realities that improve their life conditions and build a just and equitable society (Freire, 1973).

In other words, the conventional power relationships in society are challenged by teachers and students to bring equality and impartiality to the teaching context, so that the differences in social classes, genders and race are minimised, if not neutralised.

CP has its roots in the critical theory typical of the Frankfurt School (Pinar & Bowers, 1992). The scholars of the Frankfurt school of thought are supporters of Marxists whose principal figure, Karl Marx, spoke of the everlasting conflict between the oppressed and the oppressors. Emerging from the heart of critical theory, the concept of CP is mostly related to the works of scholars such as Freire (1973), Giroux (1994), Shor (1992), McLaren (1998) and Kincheloe (2008). According to Shor (1992), there should be a reciprocal relationship between teachers and students. The responsibility of a critical teacher is to elicit what students know, speak, experience and feel in order to create a “critical paradigm” that respects the experiences and languages of students (Shor, 1992). Kincheloe (2005) stated that both teachers and students who bring their experiences to the classroom are responsible for providing “texts and their themes”. As Giroux (1994) pointed out, students should be active participants who, together with the teachers, modify the curriculum when necessary.

Besides the aforementioned critiques against the passivity of students in ELT classrooms, there is another critique directed towards ELT by critical pedagogues. ELT is widening the notion

of linguistic imperialism by transferring cultural norms and English ideology through the texts used for teaching to foreigners. In order to surmount this problem, CP attempts to respect local culture and ideology and replace them with the imported culture. Thus, localisation seems to play a crucial role in attempts to bring justice to the classroom context and build up a democratic environment for the learners.

Background of ESP

While many scholars and researchers have defined ESP, one of the most straightforward definitions is the one given by Hutchinson and Waters (1987). They identified ESP as an approach to language teaching in which all decisions as to content and method are based on the learner’s reason for learning. The English that is taught in such classes is thus related to a special group of people who aim to work in a special context.

With the emergence of the critical movements in teaching and learning, all emphasising a great change in the role that teachers play in the process of student learning, many scholars of the field have started to talk about the teachers’ role in classrooms. Since the focus of this study is on ESP teachers, some of the views on the ESP teacher’s role are presented here.

Robinson (1991) believed that the term “ESP practitioner” is used to refer to ESP teachers since they have a variety of simultaneous roles—researchers, course designers, material writers, testers,

along with being classroom teachers. He emphasised that ESP practitioners should be trained in such a way that they become able to describe language, to teach language and to design language courses. Moreover, Robinson (1991) stated that ESP practitioners, unlike EGP (English for General Purposes) teachers, need some technical knowledge related to the specific courses they teach.

Flowerdew and Peacock (2001) contended that the role of ESP teachers was not the same all around the world. Their roles vary based on the type of course, syllabus and the part of world ESP courses are taught in. In Robinson's (1991) eye, ESP was said to follow a pluralistic view since many approaches are simultaneously being followed around the world today.

According to Richards and Rodgers (2001), ESP teachers should not present the same activities in different ESP classes. In other words, since different ESP classes are not the same in terms of students' needs, fields of study and consequently, purpose of learning, teachers should provide different classes with a variety of tasks and teaching activities suitable for the related learning context.

Critical Perspectives on ESP

The early days of ESP focused more on the linguistic features that were used in university textbooks. However, Hyland (2007) maintained that social awareness, an important issue in CP, should also be considered in teaching ESP courses. He believed that the role of the ideologies hidden in the ESP texts should be

examined critically so that their negative effects are neutralised. Thus, in teaching such courses, one should consider the social inequalities and the beliefs that are explicitly or implicitly conveyed through the texts. Hyland (2000) mentioned that "recent studies have turned to examine the ideological impact of expert discourses, the social distribution of valued literacies, access to prestigious genres, and the ways control of specialized discourses are related to status and credibility". Phillipson (1992) argued that marketing language that is somehow the basis for ESP courses would both threaten the local cultures and publicise the sociopolitical elites of the West. What Phillipson asserted highlights the importance of localisation, one of the crucial principles of CP, which calls for the incorporation of immediate student and teacher cultures and beliefs into ESP textbooks. Pennycook (1997) also maintained that ESP teachers should not fully subscribe to the global demands of business and should try to challenge the language used in the texts and try to surface the inequalities found in the business and texts reflecting them. Elsewhere, Benesch (2001) claimed that the unjust power relations in the materials and books presented to the students should be reconsidered. The role of the teacher and student is therefore to change the power relations hidden in the materials rather than asking for mere conformity.

Benesch (2001) stated that the development of the critical theory and critical approaches to pedagogy posed some

challenges for ESP courses. She challenged the role of traditional needs analysis, which underlies ESP courses. In traditional needs analysis, the areas that are helpful to the students are found; however, critical needs analysis is said to be different, where the students and teachers are supposed to be aware of the unequal power relations found in the texts. Therefore, in this type of needs analysis, the students and teachers should adopt a critical view to modify the text so that their own ideological and sociocultural views are incorporated in the materials. Current ESP courses are thus criticised for asking the learners and teachers to conform to the concepts presented in the ESP books rather than providing a context for students and teachers to critically examine the book content.

Masters (1998) believed that although the focus of ESP courses was to be on the specific discourse, it had changed towards a comprehensive teaching of English, which is both for special and general purposes. Therefore, ESP is going to continue the dominance of English in the world. Masters (1998) argued that while the main purpose of ESP was to help students access better job opportunities, it might prove counterproductive by maintaining the imbalance in the power relationships by injecting the dominance of one culture or language over those of other nations. This implies that ESP courses should consider students' and teachers' immediate educational context, and in so doing, a critical approach to teaching may prove helpful.

In the context of Iran, there are very few studies investigating the effect of CP on ESP courses. The study conducted by Alibakhshi and Padiz (2011) is an example of such research movements. Through a qualitative study, they attempted to critically view ESP teaching and testing in Iran. They found that teaching and testing ESP in Iran do not reflect innovations in teaching and learning. Therefore, they offered some suggestions to improve ESP teaching and testing.

Considering the effective role that CP can play in teaching and learning practices, it seems that there is a need to increase the number of studies conducted in the field. Because of the dearth of studies investigating the permeation of CP in ESP courses, the present researchers tried to develop a CP questionnaire aimed at determining whether ESP professors in Iranian universities incorporated principles of CP in their classrooms.

Despite the theoretical works on ESP history and development and the role of ESP teachers, to the best of the researchers' knowledge, there is no recent work on the incorporation of principles of critical pedagogy in teaching ESP. Thus, this study was an attempt to develop and validate a CP questionnaire for ESP teachers.

METHODOLOGY

Participants

The data were collected from four groups of participants: 10 expert judges whose judgments established the content validity of the questionnaires, four professors

as preliminary respondents, 35 ESP teachers who filled the questionnaires for the purpose of a pilot study and 123 ESP teachers who answered the final version of the questionnaire.

Developing the Questionnaire

The researchers started to develop the CP questionnaire by first reviewing the literature related to the concepts of CP and ESP. Based on the literature reviews and the interviews with 10 ELT teachers, all of whom had the experience of teaching ESP courses, the original item pool was developed. The first draft of the questionnaire consisted of 75 items. A group of experts consisting of 10 TEFL teachers were asked to review and comment on the items. Considering the experts' comments, the number of items was reduced to 46 after several revisions. The next step was a pilot study that again resulted in the elimination and re-wording of some of the items. This time the items were reduced to 40. One hundred and twenty-three respondents were asked to answer this 40-item questionnaire by selecting between five choices (*completely agree to completely disagree*) that best described their views about teaching and education. To assure that the data collection procedure yielded accurate data (Shohamy *et al.*, 1989), reliability was established as well. To calculate reliability, Cronbach's alpha index was used. Factor analysis was also performed to decide on the construct validity of the questionnaire.

RESULTS AND DISCUSSION

In order to provide evidence for the validity of the questionnaire, three main pieces of information are presented below. First, an expert group was asked to confirm the pertinence of the items to critical pedagogy. Then the reliability of the questionnaire was estimated using Cronbach's alpha and its construct validity was calculated using Principal Component Analysis.

Item-Relatedness

A group of expert TEFL teachers were asked to determine whether the items included in the first draft of the questionnaire developed by the researchers were suitable for measuring critical pedagogy. Before preparing the questionnaire items, the researcher asked a group of experts to express their opinions about the main areas to be covered. The expert group included 10 TEFL professors, all of whom had the experience of teaching ESP courses. After the preparation of the first draft of the questionnaire, expert judges were asked to peruse the 75-item questionnaire to judge its content validity. The researchers decided to eliminate those items which attained under 70% agreement and keep those with 70% agreement or higher. Some of the items achieved low consensus because of their wordiness, which were either excluded or revised. Dornyei (2003) points out that questionnaire items should be terse and should rarely be more than 20 words. The expert group also pinpointed the repetitive items. For example, it was recognised that two of the items were the same, as reported below:

- *In my class, students' viewpoints are highlighted.*
- *I pay attention to my students' views and try to appreciate them.*

Therefore, the researchers decided to omit the second item. Some of the items were rephrased as they were double-barrelled. A double-barrelled item asks two questions simultaneously in one item while it needs only a single answer. The original phrasing of one of the items in the questionnaire was, '*I elicit students' opinions about the curriculum and my method of teaching*'. This item asks for two things, curriculum and teacher's method of teaching. Therefore, it is not clear if the respondents agree with one of them and disagree with the other. Even if the respondents provide an answer, it is not known which part of the item they are considering. Thus this item was revised to '*I elicit students' opinions about the curriculum*'. A number of items were removed since they were unrelated to the realm of CP, according to the judges. As an example, an item (*I try to work collaboratively with subject matter teachers*) was omitted due to its being distant from the main principles of CP. After the first revision, the items were reduced to 46.

Then the questionnaire was piloted in two phases. First, four ESP teachers were asked to answer the remaining 46 items. Regarding Domyei's (2003) suggestion, the researchers

were present while these four participants were answering the items so that they could recognise the potential problems faced while answering. Some of the items were modified in this phase. For example, an item read, "*I believe that education is a political action*" was changed to "*I consider political issues as an effective factor in organising the materials in my classes.*"

Subsequently, 35 ESP teachers were asked to fill out the questionnaire and answer an open-ended item which asked for their comments about the questionnaire and its items. The respondents' comments in this phase reduced the number of items to 40. This 40-item questionnaire was discussed again with the expert group and was then finalised.

Reliability

One hundred and twenty-three participants answered this 40-item questionnaire. The reliability of the questionnaire was measured using Cronbach's alpha ($r=0.835$). Checking the table for the contribution of each item to reliability showed that the deletion of Items 24 and 34 had increased the reliability by 0.3, which was quite a high figure. Surprisingly enough, these two items were shown to be highly related to two other items in the correlation matrix table showing the relationship between the items, which made the researchers delete these two items.

TABLE 1
Reliability of CP Questionnaire

Cronbach's Alpha	Cronbach's Alpha Based on Standardised Items	N of Items
.835	.842	40

TABLE 2
Item-Total Statistics

	Scale Mean if Item Deleted	Scale Variance if Item Deleted	Corrected Item-Total Correlation	Squared Multiple Correlation	Cronbach's Alpha if Item Deleted
Q 24	41.18	22.085	.711	.573	.864
Q 34	41.47	21.337	.746	.692	.879

TABLE 3
KMO and Bartlett's Test

Kaiser-Meyer-Olkin Measure of Sampling Adequacy.	.67
Bartlett's Test of Sphericity Sig.	.000

TABLE 4
Reliability of CP Questionnaire

Component	1	2	3	4	5	
Dimension 0	1	1.000	.160	-.079	.147	.182
	2	.160	1.000	-.031	.134	.066
	3	-.079	-.031	1.000	.004	.001
	4	.147	.134	.004	1.000	.055
	5	.182	.066	.001	.055	1.000

Extraction Method: Principal Component Analysis.
Rotation Method: Oblimin with Kaiser Normalisation.

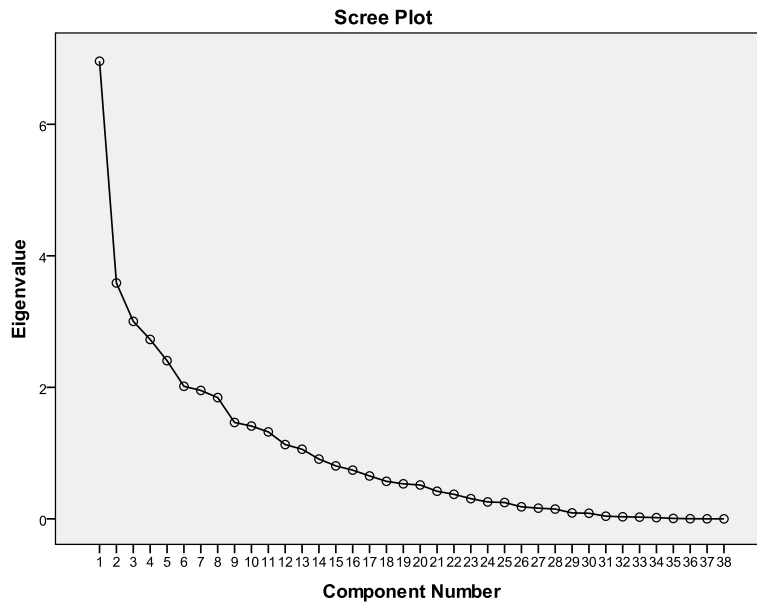


Fig.1: Scree plot for the components of CP questionnaire.

Construct Validity

The Principal Component Analysis was run in order to extract the underlying factors of the questionnaire. However, the first step to be taken before embarking on analysing the data with Principal Component Analysis was to recognise if the data were suitable for factor analysis. KMO (Kaiser Meyer Alkin, used to assess the suitability of data for factor analysis) and Barlett's test of sphericity were used in order to determine the appropriateness of the data. KMO for the questionnaire was measured to be 0.67, which is higher than 0.6 as the cut-point (Pallant, 2007) for this criterion. Moreover, Barlett's test of sphericity was shown to be significant at $p \leq 0.05$. These two pieces of evidence show that the data were suitable for factor analysis.

In order to see how many components should be extracted from the questionnaire, the Eigen values, scree plot and the parallel analysis table were checked. However, Eigen value checking (Keiser's criterion), which asks for the values above 1, is said to be strict and only applicable in cases where there are fewer than 30 variables and a large number of participants (Stevens, 2012). Thus, only the scree plot and parallel analysis table were used. The scree plot showed a break after the fifth component, which signified that five factors could be kept for the study.

Furthermore, Mont Carlo PCA for parallel analysis was used to compare the Eigen values produced with factor analysis with those produced by Mont Carlo PCA software. As long as the Eigen values for

each component were larger than those produced by this software, they were kept in the analysis. Parallel analysis showed that keeping seven factors could be logical. In order to opt for either five or seven factors, a table of pattern matrix was checked. This table showed that most variables were loaded under the first five factors, with less than three variables under the rest of the components. This showed that five factors could be kept for analysing the data.

Therefore, the same procedure for Principal Component Analysis was used for maintaining five factors. First the table showing the correlation matrix was checked to see if Varimax or Oblimin rotation was suitable for this study. As the correlation among the five components was low, similar solutions from Varimax and Oblimin rotation could be obtained (Pallant, 2007), thus Oblimin rotation was used here.

The results of the Principal Component Analysis indicated that five factors could be produced out of the questionnaire. The five components were named based on the shared concepts in the items loaded under each, and are duplicated below.

Factor 1 (Critical Thinking): 18, 6, 17, 32, 36, 40, 29, 4, 16, 8

Factor 2 (Curriculum): 39, 37, 1, 5, 14, 31, 35

Factor 3 (Learning-centeredness): 20, 21, 22, 7, 26, 23, 28

Factor 4 (Sociopolitical issues): 9, 10, 11, 12, 13, 38, 2

Factor 5 (Gender): 3, 25, 30

Item 24 and 34 were eliminated before embarking on rotating the variables. The reason was that these variables had a high relationship (around 0.7) with another item of the questionnaire. Pallant (2007) suggested that such items should be deleted so that the KMO index is increased to a more appropriate level. Moreover, these two items were reported to be problematic for the reliability of the total questionnaire. Therefore, these items were deleted from the variables on which the factor analysis was run. After rotating the components, some of the items were decided to be deleted. Item 27, 15, 33 and 19 were discarded to come up with a 34-item questionnaire. The justifications, which are provided here for the deletion of the items, were based on the output for the Principal Component Analysis. In other words, these items were eliminated from the study due to their problematic nature in the process of factor analysis. These justifications should not be construed as articles of faith, rather as the reasoning the researchers could propose for their elimination. The eliminated items and possible reasons for their problematic loadings are reproduced below.

Item 27: If students argue against what is presented in the book, I will accept it.

Although this item seems to check the level of critical thinking of the teacher, it is somehow vague for the respondents. Does it mean that the teacher will accept whatever arguments provided by students? Does it mean that only the sensible arguments are welcome? Since the *if clause* did not show

what kind of argument was meant, was it possible that wrong loading could have its root in imprecise wording? Moreover, the above-mentioned item was loaded under sociopolitical issues as well as critical thinking. As a conjecture, the item could be said to be related to material developers and the teacher's reaction towards them. As material developers are higher level stockholders in the education system, this item can be said to be in one sense or another related to the sociopolitical issues. Since the item was loaded under two factors, the researchers decided to eliminate it from the questionnaire.

Item 15: Gender difference affects my students' scores.

Item 15 refers to the role of gender equality in critical pedagogy. Some teachers may be aware of the gender differences, hence, they may not apply this knowledge in their teaching. Moreover, this item seems to be a little deep when it is well focused. If the teacher is aware of the differences, and accordingly treats them differently, it might go against the equality proposed in critical pedagogy. In effect, gender differences should be eliminated and females and males treated equally. The other item deleted after PCA was Item 33.

Item 33: I push students into answer by giving them some hints instead of providing them with the right answer.

Although Item 33 seems to be related to growing critical thinking in students, it was not loaded under any of the factors.

The justification for the elimination of this item may be that merely providing students with hints does not mean that the teacher is critical. The hint providers might be more critical compared to those who provide their students with prepackaged knowledge, but the teacher may insist on his understanding of the course material or direct them to what he would like them to answer by providing them with special and directed hints. Item 19 was not loaded under any of the factors, although it was supposed to be related to sociopolitical components.

Item 19: *I consider classroom interactions to be helpful in improving the society.*

The reason may lie in the ambiguity of the words *interactions* and *improve*. Classroom interaction may be too broad a term, ranging from pedagogical to social interactions. Moreover, the phrase *improving the society* may not be that clear for the respondents as it may refer to educational, cultural or even social promotion.

Reliability of the Subscales

It is advised to apply reliability for different factors included in the questionnaire (Field, 2009). The reliability for each of the subscales is reported here. The reliability of *Critical Thinking* is 0.79 as calculated by Cronbach's alpha. However, for the rest of components, the mean inter-item correlation is used. The reason is that as Pallant (2007) suggested for the scales with fewer than 10 items, it was not possible to

come up with a decent reliability level, and thus mean inter-item correlation was used. Briggs and Cheek (1986, cited in Pallant, 2007) recommended an optimal range for the inter-item correlation of 0.2 to 0.4. The mean inter item correlation for Curriculum, Learning-centeredness, Sociopolitical Issues and Gender are 0.25, 0.32, 0.26 and 0.37, respectively.

Factors of the Questionnaire

As mentioned above, five factors were extracted out of the questionnaire (see Appendix B). In this part, the reason behind naming each factor is mentioned. Moreover, a brief discussion of each, together with their relationship with CP, is presented.

Factor 1: Critical thinking. This factor was decided to be named *critical thinking*, one of the basic principles of CP, as the items in this component focused mostly on the views and beliefs of students and teachers that help them to be critical of their own and others' activities. In other words, the items in this component show that teachers and students are not exasperated by one another's comments and views.

The items under this factor focused on appreciation of students' views and teachers' self-criticality as to how to improve their performance. For example, item 4 read, "*I welcome students' comments about the exam items they sit for in the following sessions*", which asked for student viewpoints about assessment. They also consider enabling students and making them independent individuals. An

example is item 34 which read, “*I make my students to take responsibility for their learning*”. The agreement with these items can be a positive point showing that ESP teachers respect their students’ viewpoints and are critical of themselves. Jones (2012) maintained that critical thinking emerged as a consequence of critical pedagogy and could help enable learners to see the world as it is. According to Burbules and Berk (1999), the aim of education generally is to increase critical thinking. Seigel (1988) also stressed that critical thinking was interrelated with the idea of rationality, and developing rationality was seen as a major aim of education. Therefore, the critical thinking component may be the most important element of critical pedagogy and as was observed, 10 out of 34 items were loaded under this factor (see page 18).

Factor 2: Curriculum. The second component was *Curriculum* as the seven items in this part were about the syllabus and materials used in the classroom. Two examples of the items loaded under this factor were:

- 14. *In designing ESP curriculum, I consider the needs of students.*
- 27. *I help students produce their own learning materials.*

As can be seen, these two items asked for the teachers’ opinion of syllabus and materials to be used in the classroom principles of CP, in the way to eradicate the traditional views of education, are permeated into the practice of curriculum developers. Rashidi and Safari (2011) stated that, based on CP, the main factors

involved in materials development are the programme, teacher, learner, content and pedagogical factors. According to the principles of CP, materials used in classrooms in general and in ESP classrooms in particular, should have specific features such as being developed according to the needs of students, considering views of both students and teachers in their development, and not being imposed by material developers in a top-down fashion (Nunan, 1999).

Factor 3: Learning-centredness. This component is called *Learning-centredness* as the seven items in this component concentrated on how to adjust teaching for the students so that the pedagogy will be more fruitful. The examples for the items loaded under this factor were as follows:

- 18. *I use methods and techniques that are adapted to diverse learners.*
- 19. *I use varied strategies and methods to answer students’ questions.*

These two items focused on the students’ view and the way their differences should be considered.

One of the factors that is of paramount importance in the realm of CP is to trust students and let them become independent individuals who can craft their own knowledge. This way, teachers can empower students to apply their knowledge in contexts out of classroom (Brown, 2007). This view also made the banking model of education prevalent in most institutes and universities under question. According to Kanpol (1998), critical pedagogy requires

teachers to understand that the teacher is no longer the only “authority” in the classroom; rather, teachers and students are expected to share knowledge and learn from each other.

Using different techniques to answer questions is a kind of creativity that is favoured by most teachers. As English may prove boring if taught mechanically, fun and creativity introduced by teachers may be important for providing a stress-free context to aid student learning. Moreover, a teacher who treats weak and excellent students differently and has different expectations from them is aware of the fact that not all students are the same, and in a real student-centred context, teaching should be based on students’ abilities. That is why the items under this factor focused on the atmosphere of the class and on heeding the differences among students. Robinson (1991) believed that flexibility on the part of an ESP teacher and his ability to cope with different groups of students is one of the most important issues in ESP teaching.

Factor 4: Sociopolitical issues. Seven items were loaded under this factor, most of which shared socio-cultural and political issues. Social, cultural and political issues surrounding education need to be paid attention to according to critical pedagogues as these issues are not separated from education. Two examples of the items in this category were:

2. *In my class, language of the ESP books leads to a change in my students’ culture.*

9. *Education helps broadening my students’ views of reality.*

10. *I structure the course materials in a way that empowers individuals to make social changes.*

Item 2 considered the social aspect of learning while the two other examples (Items 9 and 10) related more to the political aspect of learning. According to Kincheloe (2008), students and teachers must pay attention to the politics that surrounds education and should be completely aware of them. They bring their own political notions into the classroom. He believed that even the way students are taught and what they are taught is politically influenced. Therefore, it can be concluded that sociopolitical issues remarkably influence the policies governing educational systems. Teachers and students are believed to bring with them their political view and social status, which may in turn affect their attitudes and behaviour in the classroom. The items under this factor examine if teachers see themselves as an authority, and are affected by the social and political issues governing the educational system.

Factor 5: Gender. The three items loaded under the gender component are all about student gender. Gender issues are but one of the principles of CP, arguing that male and female students should be equal in their learning opportunities and they both should have equal rights to speak and share ideas. Two examples for the items loaded under this factor were:

22. *To me male and female students are to the same extent respectable.*

26. *I assign the same practical tasks to males and females.*

These two examples asked if teachers treated male and female students similarly. Butler (1993) stated that based on CP, attempts should be made so that the differential opportunities provided for male and female students and the biased topics discussed in the class are reconsidered. Critical pedagogy is concerned with transforming power relations that bring about the oppression of people (Kincheloe, 2005). It seeks to educate all people regardless of their gender, class, race etc. According to McLaren (1998), critical pedagogy offers political, historical, cultural, economic and ethical guidelines for everyone in education who is interested in criticality. He maintains that as we are living in a society that is divided by race, gender and social class, the concepts reflected in the text, curriculum and teachers' ideologies are of great concerns for the scholars in this field.

CONCLUSION

Validation studies are considered as a main branch of research in TEFL as they are useful in providing the researchers with a valid and reliable scale for measuring different concepts. Due to lack of studies in Iran on CP in general and CP in ESP contexts in particular, this study was an attempt to validate a CP questionnaire in the Iranian ESP context. The questionnaire proved to be a highly reliable measure ($r=0.835$). The content validity of the questionnaire was

confirmed by a panel of experts in the field, consisting of 10 TEFL professors about the overall questionnaire. Also, a pilot study was conducted on 35 ESP professors. In order to ensure the construct validity of the questionnaire, through Principal Component Analysis, five components were extracted. The researchers decided to name these five components on the basis of their relevance to the main tenets of CP. After extracting the components, reliability of each was measured, which showed acceptable indices. The components were as follows: critical thinking, curriculum, learner-centredness, sociopolitical issues and gender. The findings of the study are useful for those who are eager to ascertain the application of the five components found in this study in their institutes or universities where ESP is practised. Moreover, the results have implications for teacher trainers to include these components in their teaching. However, it is worth mentioning that further validation studies, perhaps with more participants and in other contexts, are necessary in order to come up with a completely valid scale for critical pedagogy in the ESP context.

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APPENDIX**A. 40-Item CP Questionnaire before Running Factor Analysis****Critical Pedagogy Questionnaire**

Dear Professor,

The following questions are to determine the views of professors who are teaching ESP courses in Iranian universities. Kindly go through the questionnaire and answer the items based on how you teach ESP courses. For answering the questions, please check the cell which best describes your actions in the classroom. You may choose from *Strongly agree* to *Strongly disagree*. Please note that there is no right or wrong answer.

NO	Items	Strongly agree	Agree	Neither agree nor disagree	Disagree	Strongly disagree
1	In designing ESP curriculum, I consider values and beliefs of students.					
2	In my class, language of the ESP books leads to a change in my students' culture.					
3	I consider male and female students to the same extent capable of learning ESP materials.					
4	I welcome students' comments about the exam items they sit for in the following sessions.					
5	I elicit students' opinions about the curriculum.					
6	I consider my students as thinking individuals whose beliefs are worth consideration.					
7	If students have problem with my method of teaching, I will revise it.					
8	I continually examine my practices to come up with some idea as to how to improve my performance to enhance students' learning.					
9	Education helps broadening my students' views of reality.					
10	I structure the course materials in a way that empowers individuals to make social changes.					
11	I consider political issues as an effective factor in organising the materials in my classes.					
12	I consider the values of different parts of society in my lectures in class.					
13	When necessary, I encourage my students to discuss social problems in the class.					
14	In designing ESP curriculum, I consider the needs of students.					
15	Gender difference affects my students' scores.					

16	I welcome students' comments regarding the way tests are administered.					
17	In my class, students' viewpoints are highlighted.					
18	I use meaningful tasks rather than memorisation while teaching.					
19	I consider classroom interactions to be helpful in improving the society.					
20	I use methods and techniques that are adapted to diverse learners.					
21	I use varied strategies and methods to answer students' questions.					
22	I have the same expectation from all weak and excellent students in learning ESP courses.					
23	I encourage my students to pose questions based on the content presented to them.					
24	I consider my students' interests as a factor in choosing my teaching methods.					
25	To me male and female students are to the same extent respectable.					
26	In my classes, students are encouraged to evaluate their own performance.					
27	If students argue against what is presented in the book, I will accept it.					
28	I encourage my students to solve problems raised and questions that are related to the course.					
29	I try to help students learn from each other.					
30	I assign the same practical tasks to males and females.					
31	I help students produce their own learning materials.					
32	I consider opposing views of students about the issues discussed in the class impartially.					
33	I push students to answer by giving them some hints instead of providing them with the right answer.					
34	Different criteria are used for evaluating each individual.					
35	I use the same fixed activities in different semesters in my ESP classes.					
36	If one of my students rejects what I say, I will ask for their reasoning.					
37	I choose materials based on their relationship to students' future profession and real-life context.					
38	I make my students aware of the political issues surrounding education.					
39	I operate the curriculum through pre-specified textbooks.					
40	I make my students to take responsibility for their learning.					

Please answer the following questions.

Gender: Male Female **Major:**

Degree: M.A. Ph.D.

Field of Teaching: Engineering Medicine Humanities

Which university do you teach at? State Azad Private

B. 34-Item CP QuestionnaireCritical Pedagogy Questionnaire

Dear Professor,

The following questions are to determine the views of professors who are teaching ESP courses in Iranian universities. Kindly go through the questionnaire and answer the items based on how you teach ESP courses. For answering the questions, please check the cell which best describes your actions in the classroom. You may choose from *Strongly agree* to *Strongly disagree*. Please note that there is no right or wrong answer.

NO	Items	Strongly agree	Agree	Neither agree nor disagree	Disagree	Strongly Disagree
1	In designing ESP curriculum, I consider values and beliefs of students.					
2	In my class, language of the ESP books leads to a change in my students' culture.					
3	I consider male and female students to the same extent capable of learning ESP materials.					
4	I welcome students' comments about the exam items they sit for in the following sessions.					
5	I elicit students' opinions about the curriculum.					
6	I consider my students as thinking individuals whose beliefs are worth consideration.					
7	If students have a problem with my method of teaching, I will revise it.					
8	I continually examine my practices to come up with some idea as to how to improve my performance to enhance students' learning.					
9	Education helps broadening my students' views of reality.					
10	I structure the course materials in a way that empowers individuals to make social changes.					
11	I consider political issues as an effective factor in organising the materials in my classes					
12	I consider the values of different parts of society in my lectures in class.					
13	When necessary, I encourage my students to discuss social problems in the class.					
14	In designing ESP curriculum, I consider the needs of students.					
15	I welcome students' comments regarding the way tests are administered.					
16	In my class, students' viewpoints are highlighted.					
17	I use meaningful tasks rather than memorisation while teaching.					

18	I use methods and techniques that are adapted to diverse learners.					
19	I use varied strategies and methods to answer students' questions.					
20	I have the same expectation from all weak and excellent students in learning ESP courses.					
21	I encourage my students to pose questions based on the content presented to them.					
22	To me, male and female students are to the same extent respectable.					
23	In my classes, students are encouraged to evaluate their own performance.					
24	I encourage my students to solve problems raised and questions that are related to the course.					
25	I try to help students learn from each other.					
26	I assign the same practical tasks to males and females.					
27	I help students produce their own learning materials.					
28	I consider opposing views of students about the issues discussed in the class impartially.					
29	I use the same fixed activities in different semesters in my ESP classes.					
30	If one of students rejects what I say, I will ask for their reasoning.					
31	I choose the materials based on their relationship to students' future profession and real-life context.					
32	I make my students aware of the political issues surrounding education.					
33	I operate the curriculum through pre-specified textbooks.					
34	I make my students to take responsibility for their learning.					

Please answer the following questions.

Gender: Male Female **Major:**

Degree: M.A. Ph.D.

Field of Teaching: Engineering Medicine Humanities

Which university do you teach at? State Azad Private



Operational Efficiencies of Thai Airports from the Perspective of Low-Cost Carriers

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ABSTRACT

The expansion of low-cost carriers (LCC) in the past two decades has increased the number of air passengers and visitors to countries around the globe. The resulting growth of the tourism industry worldwide has challenged airports in shaping their operations. Thus, the purposes of the study were to: 1) investigate efficient areas in airport operations; and 2) investigate inefficient areas in airport operations of Thai airports. Semi-structured interviews were adopted to collect qualitative data from 30 LCC staff. The research results showed that Thailand airports had efficiencies in providing a number of security check points, cooperation of security agencies, standard safety equipment, wide ranges of ancillary services, friendly staff and regular arrangement of airport meetings with airline representatives, whereas capabilities of security staff, airlines and passenger facilities, language ability of airport staff, attitudes of airport staff, service allocation, unequal treatments, price of food and goods and terminal function designs are areas of inefficiencies.

Keywords: Airport operations, low-cost carriers, operational efficiencies, Thai airports

INTRODUCTION

Development in air transportation has enhanced the growth of commercial airlines. Global commercial airlines

served 538 million passengers in 2012, with an 8.24% increase in 2011 (IATA Economics, 2013). Commercial airlines are flourishing. Full-service carriers (FSC) and low-cost carriers (LCC) continuously demonstrate positive increments every year. Today, LCCs have grown to become the preferred mode of air transport in US, Europe and Asia. More interestingly, the market share of the world's domestic FSC

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flights has been continuously replaced by LCCs (O'Connell & Williams, 2005) in the past several years. Several factors have contributed to the emergence and rapid growth of LCCs. A significant feature of the LCC is low fare (Williams, 2001; Barrett, 2004; Francis, Humphreys, & Ison, 2004; O'Connell & Williams, 2005; Barret, 2008; Nilsson, 2009; Fabian, Jung, Montealto, Yu, & Gueta, 2013). Offering low fares is cited as one of the factors behind the exponential growth of the LCC concept around the

world. In summary, low-cost carriers have specific characteristics different from full-service carriers. That is, the low-cost carrier is a specific type of air carrier that focuses on low costs, low fare tickets, basic in-flight services, lack of seat allocation, point-to-point routing, high flight frequencies, short turnaround times, a single aircraft type, high capacity aircraft, high number of seats per aircraft and an online booking system. The summary of the characteristics of LCC is presented in Table 1.

TABLE 1
Characteristics of Low-Cost Carriers and Full-Service Carriers

Product Features	LCC Characteristics	FSC Characteristics
Aircraft	Single type: commonality	Multiple types: scheduling complexities
Aircraft utilisation	Very high	Medium to high: union contracts
Airports	Secondary airports (mostly)	Primary airports
Ancillary revenue	Advertising, on-board sales	Focus on primary product
Brand	One brand: low fare	Brand extensions: fare + service
Check-in	Ticketless	Ticketless, IATA ticket contract
Class segmentation	Single class (high density)	Two class (dilution of seating capacity)
Connections	Point-to-point	Interlining, code share, global alliances
Customer service	Generally under-performs	Full service, offering reliability
Distribution	Online and direct booking	Online, direct, travel agents
Fares	Simplified: fare structure	Complex fare: structure + yield management
In-flight services	Pay for amenities	Complementary extras
Operational activities	Focus on core (flying)	Extensions: e.g. maintenance, cargo etc.
Product	One product: low fare	Multiple integrated products
Seating	Small pitch, no assignment	Generous pitch, offers seat assignment
Turnaround time	25 minutes turnaround time	Longer turnaround time: congestion/labour

Source: O'Connell and Williams (2005)

In Thailand, the first entry of LCCs was marked by the entry of low-cost One-Two-Go. In December 2003, One-Two-Go was launched in Bangkok and major cities in the country (O'Connell & Williams, 2005;

AOT, 2011a). In 2004, Thai AirAsia and Nok Air propelled themselves into the low-cost market, displaying the usual growth and rapid development of other LCCs around the world (The Nation, 2004).

Today, Air Asia, One-Two-Go and Nok Air are the major LCC players in Thailand, transporting thousands of air travellers to major cities within the country.

The growth rate of LCC passengers in 2013 increased tremendously by 28.89% compared with the year 2012. In 2013, the LCC market share in six major Thai airports was 31.99% (28.24 million of 60.05 million passengers) (AOT, 2014b, 2014c). Also, the market share for LCCs, for both international and domestic passengers, increased every year from 2008 to 2013 (AOT, 2010; 2011a; 2012a). For LCC routes, the proportion of domestic passengers to international passengers generated in 2013 was 63.67 to 36.33. Thus, low-cost carriers mainly overshadowed domestic flights and domestic passengers in Thailand. The growing numbers of LCC passengers in Thailand had a direct effect not only on the passengers themselves or the varieties of routes, but on one of the most significant partners in the industry, namely, airports.

The growth and expansion of LCCs has necessitated the need to reexamine

the operation of Thai airports. Further, Thailand does not have specific low-cost terminals like other countries (e.g. USA, Finland, Hungary, France, Italy, China and Singapore) (Hanaoka & Saraswati, 2011). Airport design that can accommodate a high volume of passengers is one of the LCC requirements for an airport. Low fare is a significant feature of LCCs (Atalık & Özel, 2008), so many LCCs strive to obtain operational efficiency and economies of scale to lessen costs significantly (O'Connell & Williams, 2005; Echevarne, 2008; Graham, 2008). Consequently, LCCs expect airports to have an efficient design that can accommodate a growing number of flights (Graham, 2008; Forsyth, 2009; Fabian *et al.*, 2013). The design of airports should accommodate large volumes of passengers. The requirements of LCC are reviewed in Table 2. Most Thai airports are faced with the challenge of responding to the whole market. The rapid growth of LCCs has called for a paradigm shift in the operation and design of airports.

TABLE 2
LCC Requirements on Airport Services

Operational Areas	LCC Requirements
Accessibility & Car Parking	Airports with public transportation systems High demand for car parking facilities Secondary airports
Check-in	Fewer check-in desks (one single class and web check-in)
Baggage handling systems	Very simple as flights are point-to-point
Office accommodation	Simple & functional (low operating costs)
Airline lounges	Not needed
Transfer facilities	Not needed
Aerobridges	Not needed (LCC prefer steps for quicker boarding and disembarking)
Airfield buses	Not needed (LCC prefer steps for quicker boarding and disembarking)

Source: Graham (2008, p.99), Echevarne (2008, p.187) and Williams (2001, p.279)

A number of studies have explored customer service satisfaction towards service at different airports in Thailand (Sachar Thanasrivanitchai, 1998; Suthon Prakobpetch, 2005; Thawhan Theanthong, 2006; Tana Kanjanasirikul *et al.*, 2007; Chalermphon Kitrungruang, 2011; Paisit Piriyapong, 2011). Most of the studies had relied on passengers' opinions of airport services whereas the views of primary customers i.e. the air carriers were still overlooked. Consequently, this paper was aimed at investigating 1) areas of efficiencies and 2) areas of inefficiencies of Thai airports from the view of low-cost carriers.

Operational efficiency refers to the readiness state of the airport to provide the operational facilities appropriate to the types of airline and aircraft using the airport (Ashford, Stanton, & Moore, 1997, p. 115). In this study, the efficiency of the operation of airports refers to how airport operators can efficiently utilise their resources to perform operational attributes and procedures.

MATERIALS AND METHODS

Unit of Analysis

According to the Department of Civil Aviation (2014a, 2014b) and AOT (2014c), there were 35 Thai airports still operating for civil aviation in 2013. Among 34,843,693 domestic passengers using scheduled airlines at 32 airports in 2012 (three DCA airports, Pitsanulok, NakhonRatchasima and HuaHinairports, were excluded), AOT, which operated six international airports, showed the highest percentage (78.03%) (27.18 million) in serving domestic

passengers while the 25 airports operated by the Department of Civil Aviation (DCA) served only 16.66 %. The other 5.09% and 0.22% were served by Bangkok Airways Company Limited and the Royal Thai Navy, respectively. Suvarnabhumi Airport served 32.61% of Thailand's domestic passengers in 2012. Excluding Suvarnabhumi Airport and Don Mueang International Airport, which are both located in a metropolitan area, four regional airports operated by AOT served 32.13% of Thailand's domestic passengers in 2012 (Ministry of Transport, 2013a).

Since airports operated by Thailand Public Company Limited showed the highest potential to support domestic flights and domestic passengers in Thailand, this study specifically focuses on airports of AOT. One essential reason for selecting the chosen airports is the opportunity to access and retrieve data from both primary and secondary sources. Among the six airports, Suvarnabhumi Airport and Don Mueang International Airport are exceptions in terms of scale, location and service pattern.

Thus, four airports, Phuket (HKT), Hat Yai (HDY), Chiang Mai (CNX) and Mae Fah Luang Chiang Rai (CEI), are included in this research as representatives of Thai airports. Additionally, these four airports have a high volume of domestic aircraft movements and domestic air passengers, including both full-service and low-cost carriers. The growing tendency of LCC passengers at each airport is evident. Total numbers of LCC passengers have been increasing every year. The five-year growth rate (2009-2013) achieved more than 100% growth at all airports (AOT, 2010; 2011a; 2012a; 2013a; 2014d) (Fig.1).

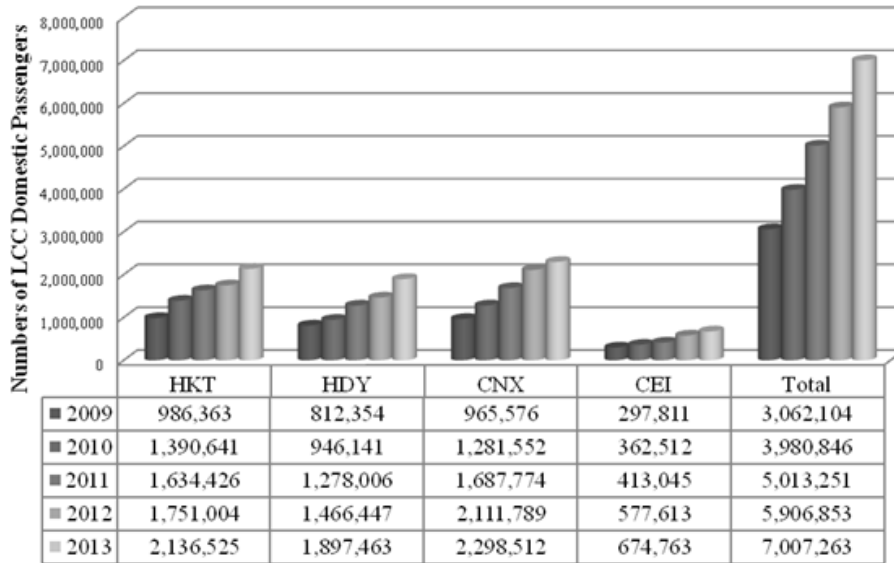


Fig.1: Domestic LCC aircraft movements at 4 AOT airports in 2009-2013.
Source: AOT (AOT, 2010, 2011a, 2012a, 2013a, 2014d).

Population

There are three low-cost carriers including Thai AirAsia, Nok Air and Orient Thai Airlines, which operate flights at the four target airports (Airports of Thailand Public Company Limited, 2013a). As low-cost carriers are primary customers of airports, low-cost carriers are involved in evaluating the operational efficiency of airports. Therefore, a population was derived from LCC staff who had been working at the four airports for at least one year and had dealt with domestic flights.

Sample Size and Sampling Techniques

Purposive and snowball sampling techniques were applied to choose proper interviewees to take part in semi-structured interviews. LCC staff from both operational and management levels with

at least one year of work experience at the airports were identified to be interviewees. Through purposive sampling, 30 LCC staff was selected (eight supervisory staff and 22 operational staff) (Table 3). In addition, the researchers used the snowball technique to better reach targeted staff in the same carrier. Data were collected from November to December 2013 at Phuket International Airport, Hat Yai International Airport, Chiang Mai International Airport and Mae Fah Luang Chiang Rai International Airport.

Research Tools and Data Analysis

A semi-structured interview was initially conducted to obtain data for the two research objectives, as previously mentioned. The interview contained two major questions: 1) 'Could you please tell

me anything that impresses you about this airport or anything that you think that the airport could efficiently perform?’ and 2) ‘Could you please raise areas or issues that the airport needs to improve for carriers or

passengers?’ Data gathered from personal interviews were analysed using the content analysis method which emphasises themes and issues of the operation of airports.

TABLE 3
Interviewees’ Profiles

Name	Gender	Age	Task/Position	Work experience
L1	Male	41	Station Manager	9 years
L2	Female	34	Station Manager	9 years
L3	Female	36	Station Manager	9 years
L4	Female	40	Station Manager	9 years
L5	Female	37	Supervisor	9 years
L6	Female	40	Duty Executives	10 years
L7	Female	34	Station Manager	9 years
L8	Male	39	Station Manager	10 years
L9	Female	21	Ground Attendant	1 year
L10	Female	22	Ground Attendant	1 year
L11	Female	33	Ticketing	9 years
L12	Male	29	Passenger services	4 years
L13	Female	30	Ground service agent	8 years
L14	Female	31	Ground service agent	8 years
L15	Female	36	Passenger services	15 years
L16	Female	38	Ground service agent	8 years
L17	Female	25	Ground service agent	2 years
L18	Male	30	Guest service	2 years
L19	Female	30	Ground service agent	8 years
L20	Female	26	Ground service agent	1 year
L21	Male	29	Ground service agent	9 years
L22	Male	32	Ramp master	8 years
L23	Female	38	Ground service agent	6 years
L24	Female	27	Ground service agent	3 years
L25	Female	26	Ground service agent	2 years
L26	Male	26	Ground service agent	1 year
L27	Male	25	Ground attendant	2 years
L28	Female	38	Ground attendant	10 years
L29	Male	33	Ground attendant	8 years
L30	Male	36	Ramp master	5 years

Note: L = Low-cost carrier staff

RESULTS AND DISCUSSION

Operational efficiencies of Thai airports were evaluated by low-cost carrier staff and their results are variously shown. Both positive and negative ways were derived. Surprisingly, when the interviewees were asked in which areas Thai airports had excelled, more than a few interviewees said that there was no special area in which Thai airports excelled, as shown in their statements below:

“Um...no.” (L1)

“I don’t think there is.” (L2)

“Everything is normal, nothing is special. It’s just acceptable.” (L12)

“Everything is acceptable with nothing outstanding.” (L16)

“Nothing.” (L17)

“I think it’s nothing.” (L27)

Ultimately, several operational themes including safety and security, facilities and equipment, staff, management, services and infrastructure and condition emerged. Two directions of results were revealed as areas of efficiency and areas of inefficiency. Four themes (safety and security, facilities and equipment, staff and management) had both efficient and inefficient results with different issues. That is, a specific theme can comprise both efficient areas and inefficient areas (Table 4). However, in these two themes, airport services and airport infrastructure and condition, only inefficient areas were found.

Airport Safety and Security

Areas of efficiencies. Thai airports efficiently operate well on security check

points. In terms of quantity, Thai airports provide enough security check points so that customers feel comfortable once they arrive. A good numbers of the interviewees were happy with the fact that Thai airports had collaborated with various effective partnerships including security agencies, emergency service providers and fire departments so as to provide safety and security. A good number of the interviewees were happy with the security systems and procedures that were installed in the airports. This is seen in their statements below,

“The good point is the security.

There are many organizations to cooperate with in security functions.” (L5)

“This airport tries to maintain security measures.

There are not much serious accidents in this airport.” (L10)

“Safety measures here are quite strict.” (L18)

At the four airports explored, security check points are set at the front gates leading to the airport terminal. All persons and their belongings are checked through the screening machines. In general, airport passengers must pass the security check at least three times at the following places: 1) terminal entrance, 2) departure gate entrance and 3) inside the departure hall. All airports have provided security equipment with minimum standards appointed by the International Civil Aviation Organisation (ICAO). In addition, there is another security check point prior the airport

entrance at Hat Yai International Airport. At Hat Yai International Airport, there is good cooperation between military forces and the Explosive Ordnance Disposal (EOD). The good cooperation between security agencies is clearly shown in both Hat Yai and Chiang

Mai International Airports. Police and soldiers from both the Royal Thai Air Force and the Royal Thai Army work in the same service unit at Chiang Mai International Airport. Moreover, all Thai airports have a fire unit in case of emergency.

TABLE 4
Operational Efficiencies of Thai Airports from the View of Low-Cost Carriers

Operational themes	Areas of Efficiency (+)	Areas of Inefficiency (-)
Airport safety & security	Security check points, agencies cooperation, standard equipment	Restrictiveness of security staff Capability of security staff
Airport facilities & equipment	Wide range of airport services	Number of connecting gates Space of parking lots Wi-Fi services Toilet services (number & condition) Number & position of baggage claiming belts Location of check-in counters Condition of check-in counters and feed belts Less seats in waiting areas Handicapped facilities (lifts, ramp) Information signs (Clearness & multi-language)
Airport staff	Friendly staff	Staff's communication & languages Staff's attitudes
Airport management	Airport meetings with all parties	Allocation of slot, connecting gate and check-in counters Congestion management (carrying capacity) Relationship between airport tax/fee and provided services
Airport services		Unequal treatment to all airlines Choices of food, goods and restaurants Reasonable food prices
Airport infrastructure & condition		Interior design on airport terminal Corridor

Areas of inefficiencies. Even some areas on safety and security were accepted, security staff did not totally perform well on restrictiveness and their capabilities. It was still found that security staff do not seriously check all persons who get inside airports. They sometimes skip some persons they are familiar with. Most of the time security staff keep talking to each other while they are working. Though they work with their hands, their eyes do not see the things or persons they check. Staff of low-cost carriers feel that the high number of security staff turnover might lead to unqualified security staff being on duty. Thus, intensive training and conduct are necessary.

“Another thing about the security is about the security staff at each check point.” (L2)

“Even the security is quite good here, it still needs strictness.

All airport staff should pay attention to safety and security as the first priority. We are still afraid of terrorism.” (L6)

“The security checks should be stricter...” (L9)

“The security check should be stricter. Security staff should not talk to each other while working.” (L25)

“I cannot trust security staff. They are always new to me.” (L26)

Airport Facilities and Equipment

Areas of efficiencies. The only good thing about airport facilities is that they provide a wide range of services. Thai airports have a wide range of services. Both basic facilities

and ancillary services are provided at airports. See the interviewees’ statements below:

“This airport provides variety of services such as shops, banks, post office, rental services and so on.” (L13)

“It’s OK that the airport has a variety of services such as banks, post office, prayer room, rental facilities.” (L15)

“Another service that eases our work is the post office.

We don’t need to go outside for sending parcels or mails.” (L23)

The airport has basic facilities and equipment needed for airlines and passengers. Basic facilities are such as parking areas, security check points, trolleys, check-in counters, seats, waiting areas, toilets, departure hall, baggage claim belts, flight monitors, health services or airline offices. Moreover, ancillary services are also provided, such as convenient stores, souvenir shops, restaurants, post offices, bank services, car rental services, tour/hotel services, public telephone or even massage shops. In short, Thai airports have many services.

Areas of inefficiencies. A number of areas on facilities and equipment were raised as inefficient areas. Connecting gates were popularly mentioned as low-cost carriers prefer using connecting gate-bays to remote bays in order to save their operating costs. The results contrast with those of a study by Echevarne (2008) and Graham (2008), where aerobridges were not needed for the low-cost carriers. Using connecting

gates consumes less turnaround time for each flight, so low-cost carriers can save on costs. It clearly shows that low-cost carriers are concerned about economies of scales (O'Connell & Williams, 2005; Atalık & Özel, 2008; Echevarne, 2008; Graham, 2008). In low-cost carriers, since airport customers have to pay for all the services they desire to use, they need invaluable services. The number of connecting gates is not yet enough for all flights at the airports and the allocation at the gates is not consistent. See the interviewees' statements below,

"This airport provides us with the connecting gate but 1 gate is used to serve 4 airlines, which is not appropriate." (L1)

"When we have to use the remote bay, we need to allow passengers to walk to the terminal without bus services. Normally, shuttle buses are provided in the big and congested airports.

"Parking area is not sufficient." (L9)

"The airport should add or manage the aerobridges for all airlines or provide transferred bus services from bay." (L11)

Besides the connecting gates, low-cost carriers need good check-in counters as other airlines have. Some check-in counters of some low-cost carriers do not have automatic feed belts to load checked baggage whereas the full-service airlines' counters have. Low-cost carriers do prefer convenient check-in counters with full options, not just the simple check-in counters previously mentioned by some

authors (Echevarne, 2008; Graham, 2008). In addition, the position of check-in counters is unfairly located in the airlines. Those of the low-cost carriers are placed in hidden positions. In terms of baggage belts used on arrival, if there are two belts, flights of low-cost carriers are usually assigned to use the second belt, which requires passengers to walk a longer for their baggage. At the same time, full-service carriers always get the good position of check-in counters and baggage claiming belts.

A growing number of low-cost carrier passengers frequently cause airports to become congested. Airports cannot manage their space well and do not have enough seats. Often, since all waiting seats are occupied, low-cost carrier staff interviewed for this study found that some passengers had to stand while waiting for their flights in the departure hall. Low-cost carrier staff perceived that there were several areas in which airports do not efficiently operate (i.e. Wi-Fi, toilets, parking space, handicapped facilities and information signs). See the interviewees' statements below:

"Most passengers ask for free Wi-Fi service since they have paid for airport tax or passenger service charge already." (L4)

"Toilets are quite less compared to huge numbers of passengers.

Wi-Fi is also necessary for present travellers." (L11)

"Insufficient parking areas, defective baggage transfer at check-in, belts on arrival, connecting bridges,

insufficient seats at departure hall, and WI-FI must be improved. Those things affect both passengers and airlines' processes." (L15)

"There is no lift for those passengers in the terminal. In addition, there is no Wi-Fi connection." (L19)

Airport Staff

Areas of efficiencies. Only the friendliness of airport staff was perceived to be good for low-cost carriers. Undoubtedly, since airport staff and airline staff have to work together to make their operation successful, working with friendly staff facilitated working with low-cost carrier staff. See the interviewees' statements below:

"Some of the airport staff are very helpful. They understand our procedures.

Sometimes they offer helps to us." (L3)

Areas of inefficiencies. Low-cost carrier staff found that most airport staff working for service substances were not able to speak foreign languages. Airport passengers comprised not only domestic Thais but also foreigners. Information staff should be able to use at least Thai and English. It would be fruitful if airport staff could facilitate foreign passengers with their capability on other foreign languages. Also, airport staff do not have a positive attitude towards low-cost carriers. This is because low-cost carriers and full-service carriers are treated differently.

"They should be well trained to strictly screen all airports' users equally.

I know that there are high staff turnover for that job." (L2)

"I am not sure that all airport staff who work on security task are well trained or not.

Since there is high turnover of outsourcing staff, I am not sure of the quality." (L6)

"Some staff cannot speak English and might not be helpful enough." (L9)

"In case of emergency, I don't think the security staff can deal with it." (L12)

"The most serious issue is about security staff. I don't know the recruitment progress of such staff but the young staff cannot make me feel trusted and safe." (L13)

Airport Management

Areas of efficiencies. The airports do not only have meetings with relevant airport functions themselves, but there are regular meetings with other related parties (concessionaires, outsourced companies or airlines). This kind of meetings enhances airlines including low-cost carriers to give feedback to executives on airport operation. See the interviewees' statements below:

"Sometimes, airport allows us to use the airport's meeting room. Since we have a lot of airline staff and we don't have enough space to do a monthly meeting, we ask the airport to use the meeting room for free. If the room is available, we can occupy it." (L4)

"And another good thing is that the AOT arranges the meeting for every three months.

There are related entrepreneurs appointed in the meeting.” (L7)

“Normally, we have a chance to join the meeting with airports’ executives every 3 months.” (L8)

Areas of inefficiencies. In relation to all inefficiencies, good management is necessary. Currently, airports do not manage well on resource allocation. Some obstacles on allocating slots, connecting gates and check-in counters were found in this study. Also, congestion must be noted and managed so that everyone can be satisfied. Good design of airports can facilitate low-cost carriers with a huge number of passengers (Graham, 2008; Forsyth, 2009; Fabian *et al.*, 2013). Even if the rates of airport tax and fees are clearly announced and accepted by all airport users, airport management should review what airports get and give and what airport customers give and get. Low-cost carrier staff did not feel airport services gained were valuable compared to paid amounts.

“Moreover, an airport should well consider flight timetable proposed by each airline.

An airport should not allow all proposed flights to be operated at the same time.” (L1)

“The airport should consider the capacity of parking bay with high frequency of flights.” (L16)

“I think that passengers already paid for their services via airports’ tax, they good gain reasonable services.” (L22)

“We prefer using bridge to other choices.

We can manage enplaning and deplaning passengers by the limited time.” (L27)

“Claiming belt is not sufficient. Also, departure hall is small; fewer parking spaces and less trolleys.” (L29)

Airport Services

Areas of inefficiencies. Under this theme, only inefficient areas were found. Airports might not have reached the services as expected by the LCC staff. This is because staff who responded felt that all airport services were ordinary and they still found some inconvenience working with airport staff or services. Only a range of airport services was mentioned as a compliment but it was felt that this too still needed to be improved. Again, unequal services were perceived by low-cost carriers. The low-cost carriers believed full-service carriers always got better services over the low-cost carriers in different ways as mentioned. Other issues were about choices and prices of some services. Even though Thai airports have a variety of services, some services at some airports are still needed. Food services are limited at all Thai airports. There is the concessional restaurant that serves food at each airport. That existing restaurant provides food at a high price so that most low-cost carrier passengers and staff cannot afford it. Apart from the restaurant, all the other stores sell products at too high price. See the interviewees’ statements below:

"We are not the first to be served by AOT but the full-service airline." (L1)

"The airport should equally provide connecting gate to all airlines." (L3)

"Airport should be fair and sincere on managing parking bay." (L4)

"First of all, please know that AOT always keeps TG and Bangkok Airways as the first priority of providing any services. Most of the time, we, the low-cost airlines are always assigned to park at the remote bay instead of connecting bridge." (L15)

"We don't feel we get the same service standard compared to TG." (L19)

Airport Infrastructure and Condition

Areas of inefficiencies. Similar to the previous theme, there were not efficient areas mentioned by LCC staff in terms of airport infrastructure and airport condition as traditional airports have been built and used for years without renovation. Moreover, since the numbers of passengers and flights hugely increased, airline staff expect more functional and modernised airports over the existing ones. The infrastructure (i.e. terminal building or airport roads) of airports does not directly refer to airport operations but is related to other airport operational functions. For example, the existing design of the terminal caused difficulties for both enplaning and deplaning passengers. Moreover, passengers of different flights might have to use the same corridor at the

same time. Thus, it is risky for an airline to let passengers go to the wrong gates or flights. The airlines have changed that circumstance by preparing airline staff and signs at the corridors for every flight.

"If it's possible, I prefer the one-floor terminal for both departure and arrival.

It would be easy and quick for us and the passengers." (L1)

"Since the arrival passengers and departure passengers have to use the same corridor, it eases the passengers to lose the way or go to the wrong directions. Our airline staff has to stand at different points to make sure that the passengers can go to the right way." (L2)

"If the airport can better position the check-in counters to be in the same area, it will ease passengers for check-in procedures." (L4)

"Besides the airside, the position of check-in counter here is strange.

It's hard to find the check-in counters. A number of passengers have complained on that." (L7)

"At the corridor, there are only two counter-lanes for both arriving and departing passengers which will be confusing to those passengers." (L14)

CONCLUSION

The growth of domestic low-cost carriers has expanded widely in Thailand, and the number of air passengers has continued to grow as well. Airports need to shape their

operational schemes to fit the new wave of air transport, the low-cost carrier (LCC). From reviewed literature, airports need to continuously develop, regarding the changing environment. Efficient airport operation is significant, not only to fulfil customer satisfaction but to maintain business. Since the integration of low-cost carriers and airport operations has emerged, there has not been any research on Thailand airports investigating the links between these issues. This research investigated operational efficiencies of Thai airports from the LCCs' perspective.

To conclude, Thai airports have both efficient and inefficient areas of operation in the view of low-cost carrier staff (Fig.2). Most airline representatives did not mention efficient areas of airport operations since the operations do not impress them very much on specific issues. The airports perform efficiently on overall standard services. Providing security check points with enough staff was accepted. Wide range of

airport facilities cover retail shops, souvenir shops, restaurants, food stores, health, rental services, tour services, exchanges/ATM, post offices or even message. Another point of efficiency is about airport meetings with airline representatives.

Some facilities were required in the eyes of low-cost carrier staff. Numbers of connecting gates, baggage claiming belts, check-in counters or waiting seats had to be regarded. Likewise, car parking space, facilities for the handicapped, toilets and Internet services were a concern with the diverse passengers. Equal treatment for all types of passenger (ordinary and disabled) from airports was also wished for. The high price of fees and tax should be considered in order to give more value services to customers; also, the high price of food and goods at airport retails should be looked into. The existing terminals not designed for the growing number of flights and passengers, especially low-cost terminals, must be renovated or reconfigured for utilisation.

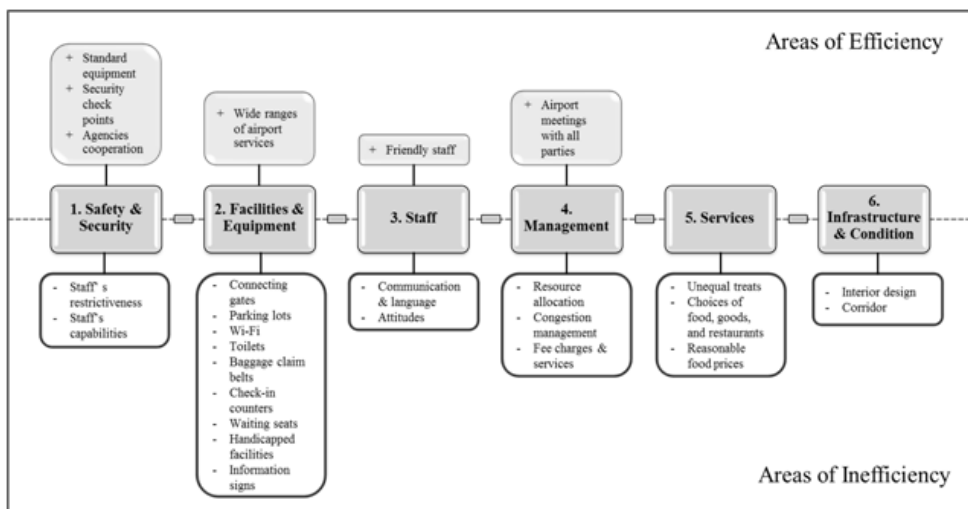


Fig.2: Efficient and inefficient areas of Thai airport operation in the view of low-cost carriers.

The operational efficiency retrieved from this research was based on the perspective of low-cost carrier staff who had raised some meaningful issues about airports. In addition, notable areas of airport operation for low-cost carriers were revealed.

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The Paradox of the Narrative Event in John Barth’s “Lost in the Funhouse”

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ABSTRACT

This article explores, via a postmodern approach, how Barth dealt with the intricate relationship between postmodern fiction and its modern counterpart by constructing a subjective narrative event in his novella, “Lost in the Funhouse”. It examines the transparent and correspondent representation of the narrative event as a category of Barthian critique of modern literary exhaustion, and how Barth appropriates remedial recycling for fictional conventions. This apocalyptic homogeneous narrative device involves a constant reciprocal examination of contemporary fiction and its possible future. It is carried out through mutual subversion and, ultimately, challenges the notion of inherited literary forms and their utilisation over time. As such, the whole narrative event is achieved via a self-reflexive trajectory and multifarious textual solipsism.

Keywords: Exhaustion, Intertextuality, Metafiction, Narrative Event, Postmodernism, Replenishment

INTRODUCTION

Postmodern fiction problematises the grand narrative revealing relative authoritative perspectives which are, to a great extent, self-reflexive. In other words, individual’s inscribing to subjectivity, whereby

authoritative consciousness interrupts the narrative stance within fictional works. Henceforth, postmodern fiction adheres to genuine fictional focats, i.e., parody, pastiche, and ironic modes. According to William May’s (2010) view, “truth seemed contingent; artworks increasingly turned to parody, pastiche, and ironic modes; omniscience and the notion [of] the grand narrative were abandoned for the free play of competing voices and reader-oriented meanings” (p. 53).

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Accordingly, Barth's fiction "restores, from a certain perspective, its classical status as fiction" (Marr, 2007, p. 16). In Barth's fiction, there has been a relative recognition of postmodern novelty and a sense of lamenting reconciliation with the seemingly "exhausted" literary modes of modern literature. As such, he is obsessed with retelling previous literary forms to provide new experimental simulacra. In this sense, he justifies his deconstructive strategy to come up with new literary forms as modern authors lack artistic innovation in their fictional works.

In "The Literature of Exhaustion", Barth postulates the idea of creative "imitation". In so doing, he develops literary stylistic semiology as a reaction to contemporary modern fictional modes. This style leads to novelty in fictional forms; and thus it becomes an independent literary style, Barth (1982) purports: "The imitation, like the Dadaist echoes in the work of the 'intermedia' types, is something new and *may be* quite serious and passionate despite its farcical aspect" (italics in original) (p. 72).

Furthermore, Barth describes modern literary forms as "used-up" and in need of a different artistic representation. This is embodied in his feeling of literary forms exploited over time. This literary exploitation results in literary decline. Mainly, Barth argues that contemporary literary forms need to be innovative. He, therefore, proposes that authors overcome this problem in their works to maintain the fictional genre. In this respect, he

quotes Borges as one of those writers who experiment with fiction to avoid employing "exhausted" forms in their works. If writers follow the same path, they will write permanent fictional forms.¹

In *Fiction's Present: Situating Contemporary Narrative Innovation*, similarly, R. M. Berry and Jeffrey Leo (2008) argue that the literature of exhaustion is a "transitional" shift from modern literature to postmodern literary representations "which marked an earlier sea change, the transition from modernism to the next thing, and which can be regarded as a manifesto for the kind of literature that critics and scholars would soon be calling 'postmodernism'" (p. 104). Furthermore, such new literature sparks a "rebellion steeped in the desire to reconnect language and literature to the social world" (p. 104).

Alice Ridout (2010) approaches the issue of the literature of exhaustion through parody. If fictional writers utilise parodic literary styles, they will come over the "problem of literary exhaustion" (p. 28). Consequently, Ridout ascribes parody to literary exhaustion "arguing that literature was dead and that parody was a sign of its exhaustion" (p. 28). In this manner, literary exhaustion could be reduced through parodic imitation.

In evoking the idea that authors ran out of fictional forms, Barth (1984) claims that "postmodern" fiction is the ideal solution to contemporary "exhausted" artistic

¹Barth here advocates the literary experimentation in his essay "The Literature of Exhaustion" (p. 71).

literary forms. By the same token, this "apocalyptic" perspective foreshadowing the "replenishment" of contemporary literature is appreciated for providing an answer to such a problem.

The notion of "replenishing" literary forms is tackled in another follow-up essay entitled, "The Literature of Replenishment". In this essay, Barth (1984) contends that there is a remedy for the "ongoing" narrative forms exemplified in what he hopes "one day" to be the literature of replenishment. This is similar to Barth's argument that postmodernism is not a discontinuity with modern literature. It does, however, depend on modern literary forms but in a different literary representation.

In *Late Postmodernism: American Fiction at the Millennium*, Jeremy Green (2005) asserts that the literature of replenishment "presents the postmodern novel as a model and agent of cultural consensus, appealing to literary critics and general readers alike" (p. 55). Green further connects literary replenishment to cultural dimensions as "an area of activity that might speak to and perhaps even resolve divisions of class and access to knowledge" (p. 55).

Berndt Clavier (2007) maintains that the literature of replenishment is a logical phenomenon through which the author expresses his predilection to literary innovation. When the literary exhaustion is "disseminated by the author himself, we must critically scrutinize the argument on which that logic is based" (p. 171). Being

so, the literature of replenishment provides "a fact which the contemporary, critical author has learned to cope with by being 'self-reflexive' and therefore conscious of the historical and ideological determinants of the novelistic fiction" (p. 171).

This corresponds to Barth's (1984) description of the fictional genre in "The Literature of Exhaustion", when he describes modern "novels which imitate the form of the Novel, by an author who imitates the role of Author" (p. 72). It is, in the first place, through unprecedented and groundbreaking "imitation" that artistic experimentation is technically internalised. The pivotal literary mode, according to Barth, is the potential of the self-centred orientation of postmodern literary virtuosity for the ostensibly "exhausted" modern fictional modes. It is not surprising that this generic experimentation is of paramount necessity. This is because an ingenious fictional reciprocation of importance ultimately requires exposing modernism's lack of innovation and postmodern aesthetic sufficient capabilities.

A belief in postmodern experimental innovation lies at the heart of Barth's "Lost in the Funhouse" (1980). Postmodern critique of modernism's "exhausted" literary forms and the possibility of "replenishing" them through a narrative device are acknowledged as "narrative event". As will be illustrated, Barth's fictional writing aims to write fictional works in an avant-garde literary form. Consequently, Barth (1984) supports his aim by what he calls a "rich paradox" (p.

75), where the writing techniques of literary works interact with their precursors. This obsession with literary artistic imitation is fundamental to his novella.

“LOST IN THE FUNHOUSE:” A CREATIVE RESPONSE TO THE LITERATURE OF EXHAUSTION

First published in 1980, “Lost in the Funhouse” is a metafictional postmodern novella recounting the story of its protagonist, Ambrose. It hinges on the protagonist’s car journey with his parents, uncle, Magda and Peter, his elder brother. All of them participate in two games along the way. Sighting towers and cards are played on the journey, until they reach Maryland. As they arrive, Ambrose is given a sum of money by his mother to have fun on the trip. In the course of the novella, Ambrose develops a passionate admiration for Magda, who is being neglected by Peter, which makes him a bit nervous. When he reveals his love for Magda, they go into the funhouse, accompanied by Peter. Ambrose is suddenly and ultimately alone in the funhouse, as Magda and Peter leave there together.

The novella’s metafictional status is unproblematic. Consequently, it makes great use of a literary technique called the narrative event. Whatever the generic nature of a literary text, the narrative status involves an event and a plot. The mechanisms of the plot go beyond narrative fiction. Events at the level of narrative involve “principles of Organization”. These include the habit of certain narrators interrupting the descriptions of characters’ routine actions by

digression. This results in a warm-hearted and playful synchronisation of the narration with narrated events. This predilection is referred to as narrative “deviation” on the experimental scale of postmodern metafiction in “Lost in the Funhouse.”

The primary focus of the present article is specifically on the narrative event in “Lost in the Funhouse”. An earlier critical investigation of the narrative event was tackled in Roland Barthes’s (1977) *Image, Music, Text*. The repeatedly quoted “narratives of the world are numberless” are deeply and further defined in a more inclusive terminology by their being definitively “present in myth, legend, fable, tale, novella, epic, history, tragedy, drama, comedy, mime, painting ... stained glass windows, cinema, comics, news items, conversation” (p. 79).

Most prominently, the element of subjectivity is a reaction which culminates in pronouncements by postmodernists. The structured fictionality of subjectivity is an inclusive emergent call for misery or trouble in postmodernism. However, subjectivity has been a privilege constantly and detrimentally withheld from some postmodern perspectives. It is the bizarre identity that pushes literary texts to be subjective, yet in a linguistic performance as Steven Connor (2004) puts it through the semantic identity of linguistic words and their connotative meanings.²

In *A Grammar of Stories*, Gerald Prince (1982) illustrates that same concept in the

²Connor (2004) emphasises the textual subjectivity rather than objectivity (p. 34).

idea of narrative mode, yet in terms of a text which "requires at least three events, linked by three different principles of organisation: chronology, causality, and closure" (p. 31). Later on, Prince favours "at least two" (p. 4) tenable principles. Nevertheless, the necessity for event in narrative textuality is fundamental. Consequently, if we are to speak of a narrative "event" or "change of state", it is a key and fundamental element of narrative.

In the first phase of postmodernism, Barth favours narrative experimentation with the label "exhaustion", which serves as a working remedy for "replenishing" such a degrading phenomenon. In working on these, he has been an important advocate of literary innovation. An experimental tendency appears inherently in his "Lost in The Funhouse".

One of the major issues that Barth tackles in this novella is literary exhaustion. He claims that all "high modern" literature has previously utilised literary modes and forms. In "The Literature of Exhaustion", he theorises his intellectual notion regarding the past and future of literary forms. He also adds that the twentieth-century literature draws from the previous literary sources, which indicate "exhausted" forms of modern fictional narratives.

In the course of "Lost in the Funhouse", the idea of literary "used-upness" is exemplified in Ambrose's insightful concerns about the "age" when "Ambrose was 'at that awkward age.' His voice came out high-pitched as a child's" (italics in original) (p. 72). Additionally, Ambrose's

reaction towards the unfamiliarity of the place embodies his inclination to be different and go along another path in the course of the plot. Here, it is Barth's authorial voice that insists on treading a new path towards creative fiction.

In so doing, Barth (1982) critiques modern literary forms in opposition to which he wrote his fiction. Barth argues that modern fiction authors have followed their precursors like Dostoevsky, Tolstoy and Balzac for literary purposes without making an experimental contribution. Furthermore, he urges contemporary writers to "succeed", even the experimental authors among the modernists, such as James Joyce and Franz Kafka.³

Barth's theories, as projected in "Lost in the Funhouse", deal with new phases in postmodern fiction. The manner in which narrative and fictional forms are addressed and portrayed is fundamental to these emerging forms which have responded to developments in science and politics. While these postmodern modes are as diverse in structure as they are in subject, they do have a number of features in common. Foremost among them is a narrative event pattern, which is disjunctive and structured in such a way as to emulate at least one or more contemporary narrative forms.

Barth pinpointed such an idea of metafictional representation in the novella, where "It is also important to 'keep the senses operating'; when a detail from one

³According to Barth, Kafka and Joyce are two modern experimental authors Barth, "The Literature of Exhaustion" (p. 67).

of the five senses, say visual is, ‘crossed’ with a detail from another, say auditory, the reader’s imagination is oriented to the scene, perhaps unconsciously” (p. 74). Here, the allegorical allusion to the writing status of contemporary writers is highlighted for those critiquing modern literature. However, writing styles within narrative events must now depart to form new standard representations at the hands of literary practitioners. This is evident in Barth’s incitation to consider “reader’s imagination” within the flakes of narrative events.

It is this lack of predictability that has been adopted by an emerging field of modern authors. By turning to narrative models that exploit dialogical, fictional and narrative strategies, they succeed in moving towards a literature of “chaos” which embraces the anti-modern condition of intellectuality. Additionally, Barth’s (1982) main interest lies in the “intellectual” imitative perception of previous canonical literary works such as *The Arabian Nights*.⁴

The very idea of experimental innovation is expressed in another essay entitled, “The Literature of Replenishment”, where Barth (1982) hails a number of his contemporaries who stayed true to a postmodern sense of experimentation. In the same fashion, he endorses the prospect of highlighting fictional longevity to suggest regenerative beneficiaries for enhancing modern debilitated literary modes.

⁴Barth focuses on the intellectual imitation which is synonymous with literary experimentation (p. 68).

With regard to such experimentation, the novella celebrates intertextual elements to express the author’s advocating of previous canonical works.⁵ Thus, the design of the early modern novel, like Joyce’s *Ulysses*, is determined by linear and non-linear experiences. By the same token, this is the main idea which Barth hailed and found lacking in almost all other modern writers’ fiction, i.e. the experimental narrative event.

At the end of “The Literature of Replenishment”, Barth (1982) acclaims a number of contemporary writers who were writing in the same way he was writing. They experiment with their fiction in order to lead modern literature towards innovative experimentation in artistic forms which respond to the ability of writing a creative fictional narrative.⁶ This apocalyptic feature sweeps through “Lost in the Funhouse”. The allegorical nature of the text embodies this visionary artefact. Ambrose, alongside others, tries to swim but in a new fashion. Apparently, the core conceptual implication of this action refers to a new way of diving. In this manner, Barth creates a symbolic meaning to fill the conspicuous literary gaps prevailing in modern literature.

⁵Canonical works, specifically Cervantes’s *Don Quixote* and *The Arabian Nights* are abundant with literary modes such as the frame narrative and narrative labyrinth which are viable to be imitated in postmodern intertextuality (p. 74).

⁶Barth refers to Vladimir Nabokov and Borges as prominent practitioners of postmodern fiction in its earliest phases, “The Literature of Replenishment” (p. 206).

The very idea of this enterprise is to suggest alternative literary modes and "discuss what artists aspire to do and what they end up doing except in terms of aesthetic categories, and so we should look further at this approximately shared impulse called post-modernism" (Barth, 1982, p. 200). Equally important, the epithetic appellation of this "post-modern" susceptibility is a "gifted writer" who "is likely to rise above what he takes to be his aesthetic principles, not to mention what *others* take to be his aesthetic principles" (italics in original) (p. 200).

With his usual meticulousness for structure, yet with a sense of playfulness, Barth constructed a very revolutionary form, whose central subject is his vocation as a writer, and which offers precious insights into his modern contemporaries. In addition, it is characterised by a re-orchestration in a prototypical key of the inspirational motifs inherent in "Lost in the Funhouse". Ambrose's expressed admiration for Peter, for example, as a deft diver or a professional swimmer.

Peter's skilful swimming development could be changed from amateur to professional with time and practice. This is what strikes Ambrose's admiration and epitomizes Barth's "post-modern" scheme vis-à-vis literary experimentation. With this in mind, literary modes could be manifested in "how an artist may paradoxically turn the felt intimacies of our time into material and means for his work" (Barth, 1982, p. 71). Such an innovative archetypal writer can "transcend what had appeared to be

his refutation, in the same way that the mystic who transcends finitude is said to be enabled to live, spiritually and physically, in the finite world" (p. 71). Whenever this is achieved through literary artefact, a "genuine *virtuosi* (italics in original)" (p. 66) comes into prominence.

Narrative event and writing, to put it in another way, function as a means of survival. At this point, "avant-garde" experimentation finds its path by imputing each character's chance of ascribing meaning to their life through narrating the self. And, this is one of the culmination tokens of postmodern fiction. To quote "Lost in the Funhouse", it is illusory in Ambrose's remarks, whereupon one can give life to others by dint of this augmentation.⁷ Being the author's voice, Ambrose continues with the narrative event experimental scheme.

The other important distinction between narrative event and number of events arises between the levels of the novella. Shlomith Rimmon-Kenan (1983), in *Narrative Fiction: Contemporary Poetics*, is content with "any two events, arranged in chronological order" (p. 19). Presumably, this textual "chronological order" entails the "focalization" factor, which determines the narrative stance to pursue the author's critique.

Rimmon-Kenan explains it with exemplary brevity, whereby "the novella is presented in the text through the mediation of some 'prism,' 'perspective,' 'angle of

⁷Ambrose, in this regard, exemplifies the Author's (Barth) metafictional voice, "Lost in the Funhouse" (p. 85).

vision,' verbalized by the narrator though not necessarily his" (p. 71). This take on narrative "perspective" also requires further elucidation of the textual aspects of fictional characterisation. The literary nature of fictional characters is assessed through certain traits of their characterisation. M.H. Abrams (1993), in *A Glossary of Literary Terms*, lists the textual attributes of characterisation as follows: "A broad distinction is frequently made between alternative methods for characterizing ...the persons in a narrative: showing and telling" (pp. 33).

In "Lost in the Funhouse", metafictional devices undergo the paradoxical nature of characterisation. The suppositious intervention of the author in the text exemplifies this characterisation per se. In the following excerpt, Barth appears metafictionally to critique the manner of "repetition" in modern fiction by celebrating a new literary "fact" at the outset of the novella: "If passages originally in roman type are italicized by someone repeating them, it's customary to acknowledge the fact. *Italics mine*" (italics in original) (p. 72). In so doing, Barth portrays authoritative characteristic intervention in the narrative event through the eyes of the omniscient narrator who self-consciously uses the term "italics mine" to comment on the status of his writing.

INTERTEXTUALITY AND METAFICTION IN "LOST IN THE FUNHOUSE"

The features of characterisation are approached in terms of intertextuality due to some pertaining features. In *The Theory of*

Criticism from Plato to the Present, Raman Selden (1988) discusses Northrop Frye's treatment of intertextual influence which originates in the archetypal construction of critical modes.⁸

In addition, intertextual theorists, however, tackle the linguistic implication of the subject disappearance. It is the manifestation of the "apersonal" subjectivity of utterance and it alludes to both speaker positions and other people. This is axiomatic in John Anthony Cuddon and Claire Preston's (1991) *A Dictionary of Literary Terms and Literary Theory*. Cuddon and Preston maintain that the "I" is the utterance agent of linguistic discourse.⁹

By assigning different attributes to his characters, Barth's message aims to write in "replenished" literary modes. Through revealing authorial "comment" in his narrative, for example, Barth expresses the possibility of the future of these literary modes. A good hypostatisation of these comments is the textual pronoun "I" in the following quotation, where it is implicitly incarnated in Ambrose words: "Strive as he might to be transported, he heard his mind take notes upon the scene: *This is what they call passion. I am experiencing it.* Many of the digger machines were out of order in the penny arcades and could not be repaired or replaced for the duration" (italics in original) (p. 84). The italicised pronoun "I" is the furthest authoritative picture in the

⁸Selden refers to the discussion of intertextuality in Frye's archetypal criticism (p. 355).

⁹The pronoun "I", of course, is the reflection of the authorial extratextual discourse (p. 875).

narrative event. As a final point, it embodies the author's critical literary perspective.

Furthermore, Patrick O'Neill (1994), in *Fictions of Discourse: Reading Narrative Theory*, tackles the concept of narrative event in terms of reading: "The process of 'reading' a text, once conceived of as purely a practical matter of sticking in a thumb and pulling out a plum, deconstructs theoretically into a logical impossibility, a self-sustaining paradox" (p. 130). Here, O'Neill shares Barth's self-referential idiosyncratic "paradoxical" nature of the narrative event in the aforementioned essay, "The Literature of Exhaustion".

In "Lost in The Funhouse", correspondingly, Barth's initial discursive metafictional comments entangle an author-based narrative vision when: "A single strait underline is the manuscript mark for italic type, *which in turn* is the printed equivalent to oral emphasis of words and phrases as well as the customary type for titles of complete works, not to mention" (italics in original) (p. 72). And so, Barth proposes that experimental fiction is utterly genuine.

The narrative event crucially encompasses the narrator's point of view. A good analysis of the narrative points of view can be seen in Gérard Genette's categorization of the narrative order. To extrapolate, O'Neill (1994) discusses Genette's classification of narrator types who interact in the course of the narrative event:

In terms of narrative level, since every narrator either produces or is part of a

particular narrative reality – or, as Genette calls it, a diegesis – every narrative first of all has an extradiegetic narrator who produces it; any character within that primary narrative who also produces a narrative is an intradiegetic narrator; and any character within that (second-degree) narrative is a hypodiegetic narrator ... In terms of participation in the narrative reality presented, any one of these three kinds of narrator may either play a greater or lesser role as a character in his or her own narrative, in which case Genette speaks of a homodiegetic narrator, or may be entirely absent from it, in which case the narrator is said to be heterodiegetic (pp. 60-61).

Such categorisation is representative of the writing mode in postmodern literature. Barth, again, utilises this particular mode in his novella. The authorial intrusion into the text represents the extratextual narrative event, in which the author comes from the "future" to comment on the text. It is evident when the "extratextual" narrative stance is called on in the scene. Extratextuality appears properly in the authorial comments on the novella's dénouement and textual structure.¹⁰

Hence, authorial words carry out the novella's purpose. In extratextuality, the notion of "exhaustion" and "replenishment" comes out, uttering the author's latent critique. The label "discovery"¹¹ is the final

¹⁰ On this point, the authorial narrative discourse appears in the author's comments on his story's dénouement and textual construction, "Lost in the Funhouse" (p. 85).

¹¹ The word "discovery" is the symbolic allusion to the postmodern replenishment literature.

solution to the literary dilemma of the time. When literary exhaustion is overcome, it appears genuine to contemporary literary taste. The “paradoxical refutation”, nevertheless, results in radical attribution to literary forms, which, in turn, uncover this genuineness.

In like manner, the narrative event culminates in the process of narrative “enlargement”. In *Narrative Discourse: An Essay in Method*, Genette (1980) favours a narrative predilection to a single event: “*I walk, Pierre has come are for me [Genette] minimal forms of narrative, and inversely the Odyssey or the Recherche is only, in a certain way, an amplification ... of statements such as Ulysses comes home to Ithaca or Marcel becomes a writer*” (italics in original) (p. 30).

Similarly, in “Lost in the Funhouse”, there remain scenes held too close to be properly revealed in terms of the narrative event. Those terms are most usually deployed when the textual act is involved in what critics, like Genette, hold to be wholly pertinent and indeed relevant fashion by using metafictional characteristics as an inescapable marker of the narrative event. One way to keep a propensity to the concomitant textual event is essentially accepting that the physical structure of the text is basically self-reflexive. In “Lost in the Funhouse,” self-reflexivity appears directly in the form of paradox. Such physical paradox is an authorial self-consciousness of exhausted literary forms. Barth expresses this paradox through Ambrose’s story, which

is told in a triangular manner as illustrated in the novella (p. 95). In the quotation below, Ambrose’s story is unconventional because it is narrated from A, B, C, and D’s narrative points of view. Thus, it becomes anti-traditional A, B, and C’s narrative points of view:

Ambrose wandered, languished, dosed. Now and then he fell into his habit of rehearsing to himself the unadventurous story of his life, narrated from the third-person point of view, from his earliest memory parenthesis of maple leaves stirring in the summer breath of tidewater. Maryland end of parenthesis to the present moment. Its principal events, on this telling, would appear to have been A, B, C, and D (italics in original) (p. 96).

DISCOURSE FOCALISATION AND THE NARRATIVE EVENT

The narrative event is treated to some extent as being in favour of discourse. Seymour Chatman (1978) economically puts it in *Novella and Discourse: Narrative Structure in Fiction and Film*: “In simplest terms, the novella is *what* in a narrative ... is depicted [in] discourse [as] the *how*” (italics in original) (p. 19). Textual discourses of postmodern works, markedly, entail a sense of “lost realism” which found their proper manifestation in previous modern fiction.

This claim finds its way through Ambrose’s contemplation on the brothers Peter’s and Magda’s recollection of a “true” event happening to them in the

swimming pool. It metaphorically refers to the pervasive nature of modernity to present events in a real depiction which is no longer fruitful in postmodern literature.¹²

One last reminder of the narrative event is the focalization on iconicity. Mieke Bal (1985) argues that focalization is a determining factor in "manipulative" texts, being "the most important, most penetrating, and most subtle means of 'manipulation' available to the narrative text, whether literary or otherwise" (p. 116). In addition, according to Bal, focalization is: "the insight that the agent that sees must be given a status other than that [that] the agent narrates" (p. 101).

The possibilities of the narrative event enacting meaning are virtually unlimited as the author's imaginative power over the expressiveness of language, or the reader's capacity to see connections. In this respect, iconicity has a power like that of paradox; it rests on the intuitive recognition of similarities between reader and text. This is paradoxically alluded to in the novella when Barth justifies it as the latent purpose of writing his novella.

Equally important, Barth provides paradoxical iconicity for his "Lost in the Funhouse", which is not so much a novella as a celebration of plot and structure. The narrator purports to be telling his own novella but instead, he manages to produce a discourse in which narrative digressive

events triumph over the main narrative. Barth, being conscious of his narrative fabrics, introduces a narrative iconicity through Magda's words, "no character in a work of fiction can make a speech this long without interruption or acknowledgement from the other characters" (p. 90).

CONCLUSION

The narrative event in Barth's "Lost in the Funhouse" is a critical vicissitude involving modern "used-up" literary forms. Further, it procures generic writing which can retain the presence of "replenished" fictional forms. The relentless pursuit of relative verisimilitude eventually inures literary deviance in the reader. In the long run, the result is a postmodern narrative encompassing traditional literary conventions and their possible replenishment.

This adherence to artistic "virtuosity" conventions and disruption of their omniscience create a work which succeeds in removing the binary demarcation between modernism and postmodernism. Consequently, it rebels against the collective and autonomous representation of literary texts. For this reason, presumably, it is the writer who has abandoned this monotonous inclination towards experimentation. Just so, the writer integrates the reader's relative perception of reality with the boundaries of narrative events.

Barth is, in any case, not simply a postmodern precursor. He is a hypothetical theory godfather construing the malaise inherent in contemporary literature. As the

¹²Magda's and Peter's remembrance of the past corresponds to Barth's nostalgic imitation of previous literary modes but in avant-garde styles, "Lost in the Funhouse" (p. 85).

theory is refined, fiction should increasingly come to resemble modern literary forms, but in generic vanguard texts. On balance, this apocalyptic vision inhibits potential “exhausted” literary forms prevailing in modern literature, whereby any forthcoming artistic experimentation could maintain these forms appropriately. The fact is the self-referential narrative event of the novella underscores the shift from “imitation” to “experimentation” in stories with solipsistic narrative. It differentiates, at the level of narration, between literary poetics which have disinherited fictional context as a mode of narrative identity to recognize how narrative evolves.

In comparison to modernism’s hyperbolic credence in reality, such sensible paradigmatic reliance will seem dormant. Yet grasping deliberate postmodern modelling is essential to understanding the nature of social fragmentation in the age of scientific formulation. Thus, the narrative event in “Lost in the Funhouse” provides remedial experimental simulation to imagine the whole body of fictional literature on the verge of imminent demise.

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Discourse Features in the Lyrics of the Tamil Song ‘Annaiyin Karuvil’

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ABSTRACT

This study is an attempt to analyse the Tamil movie song, ‘Annaiyin Karuvil’, meaning ‘mother’s womb’ from the Tamil movie ‘Haridass’. This song is one of the popular motivational songs of a Tamil lyricist, called Annamalai. The texture discourse of this song will be analysed in terms of grammatical and lexical usages found by making use of discourse analysis.

Keywords : Texture discourse, Discourse analysis, Grammatical and Lexical usages, Eksophora, Coherence, Cohesive, Restatement, Cataphora and Reference

INTRODUCTION

Discourse is the use of language (Chithra, 2010) and discourse analysis forms part of the description of a language. The term discourse analysis was first coined by Harris in 1952. The tradition of linguistic discourse continued to grow in the West

and a variety of theories and research methods have been developed in this field. According to Chithra (2010), discourse analysis focuses on people’s actual utterances as it appears in a conversation.

In Malaysia, discourse analysis grew only in the 80s (Idris Aman, 2006a) and currently, it is taught in linguistics. However, in Malaysia until 2011, linguistic studies undertaken in the field of discourse was focused on at graduate level only. Therefore, the present research initiates an exploratory study in the area at PhD level.

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Some discourse analyses of songs or a particular genre of music have been done by several experts as Dan and Plumble (2010), with the focus on discourse analysis evaluation method for expressive musical interfaces. Another study was conducted by Nhamdi (2011), who studied papers seeking hip-hop's contribution to entrepreneurship and place marketing literature and Nur Rini and Tribekti (2011), with a focus on cohesion and language features. Several other researchers (Ahmad Fachruddien Imam, 2012) analysed discourse critically using the Van Dijk theory. However, existing research intends to use the theory of cohesion put forward by Halliday and Hasan. This theoretical framework helps to describe grammatical and lexical devices that help to link the form and meaning of the data.

PROBLEM STATEMENT

Being a racially and/or socioeconomically minority, the Tamils need to be motivated to rise up in society. Since cinema plays a dominant role in Tamil social life, Tamil movies and songs have an undeniable power to leave an indelible impression on the minds of the Tamils (Istiak Mahmood, 2013). Unfortunately, motivational songs are relatively few compared to other genre. Lyrics of a song can have meaningful utterances that communicate different messages, transmitting feelings or ideas and creating different reactions from listeners and readers whenever the lyrics firmly bind with the presence of coherence and cohesion (Nur Rini & Tribekti, 2011). Therefore, this study analyses the features of the Tamil motivational song in respect

of the textual context. Idris Aman (2010) states that language fragments containing more than one sentence are considered as discourse. According to him, in a discourse there are certain linguistic features that can be identified as contributing elements in the formation of a discourse. In order to express an intended communication, a discourse has features that are relevant and quite needed. This view has motivated us to analyse a Tamil movie song and to identify the aspects of cohesion and coherence reflected in Tamil poetical discourse.

METHODOLOGY

The approach used to analyse the song 'Annaiyin Karuvil' is a textual one. Textual analysis in discourse is that which looks internally for reviewing the text link that is (cohesion) focused in it. According to Halliday and Hasan (1976), there are grammatical and lexical devices that help to link the form and meaning in a given discourse. The theoretical framework used in this study was the theory of cohesion put forward by Halliday and Hasan in the book 'Cohesion in English' (1976). The song entitled 'Annaiyin Karuvil' was numbered in rows to facilitate the text analysis conducted here. This song was also written in the Roman alphabet (phonetic script) to facilitate understanding of the song.

OBJECTIVES OF THE STUDY

This study had two main objectives:

- a. To identify the linking aspects of the grammatical features and lexical features reflected in the song.

- b. To analyse the type of linking features that are identified as relevant for achieving the needed ‘cohesion’ and ‘coherence’.

Research Questions

The research questions pursued in this study were:

- a. What are the various grammatical and lexical features that are used as linking devices?
- b. How do these features used in the text help to achieve cohesion and coherence in the expression of thoughts (intended meaning)?

Rationale

The song ‘Annaiyin Karuvil’ was exclusively selected for poetical discourse analysis as it scored the highest rating in the year 2013 in Youtube with 68,119 likes, ([https://www.](https://www.youtube.com/watch?v=joGhFD5IPYQ)

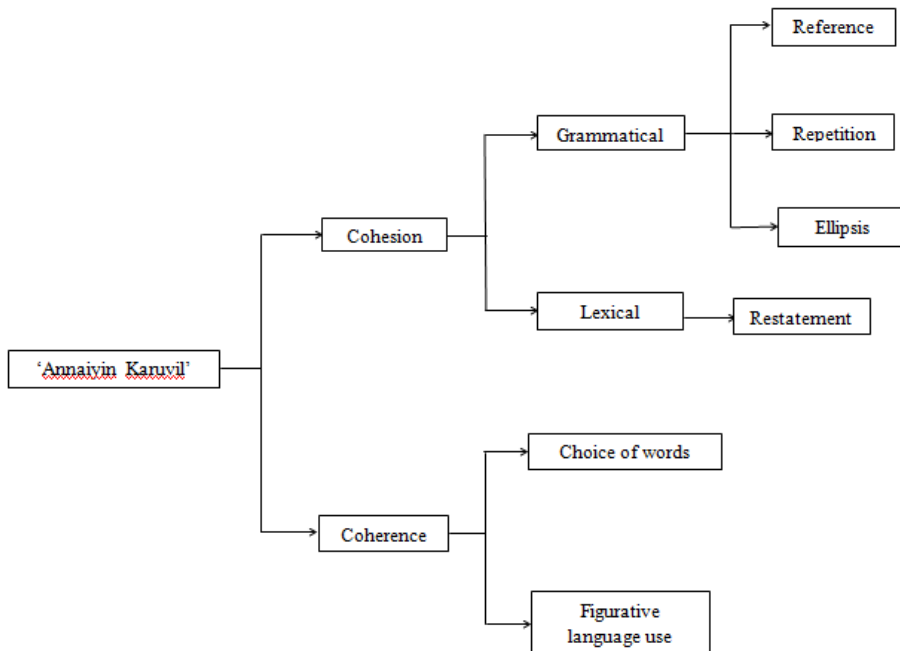
[youtube.com/watch?v=joGhFD5IPYQ](https://www.youtube.com/watch?v=joGhFD5IPYQ)). It is also the main choice of song in educational gatherings/trainings and in many other personal/job development trainings as well. However, the lyrics of this important song have not been analysed; this, it was believed, can now be addressed through discourse analysis (Veronica & Tomas, 2014). Lyrics of a song communicate certain ideas of society and convey different messages. Texture analysis of ‘Annaiyin Karuvil’ includes grammatical elements such as reference, removal, replacement and lexical aspects that cover the use of words and synonyms.

Discourse Text/Material

The lyrics of the song and the meaning are given in Appendix 1.

Analytical Framework

Below is the analytical framework adapted from Halliday and Hasan’s theory (1976).



Reference. Reference is the relationship that exists between the meanings of a word or phrase that serves as a reference element to those words or phrases or clause referred to in a text. Cohesion exists when there is appropriate linkage between meaning of elements with an entity, a process or an entirely new matter said or written (Zamri Salleh, 2009). The function of the reference can be divided into two based on a situation and exophora (natured references) which refers to things that are identified in the context of human relations. It refers to something outside the text. References which are of exophora type associate language with situational context, but do not contribute to the production of fused sentences that result in a text. Therefore, exophora natured references do not function as a means of cohesion. Cohesion tool references are the elements before or after the relationship of meanings. References to elements that occur before are named as anaphora-type reference, while references to elements after are called cataphora.

In Tamil language reference is divided into four groups, namely conjunctions (connectors) as /aakavee/ (ஆகவே), /atanaal/ (அதனால்), /aanaal/ (ஆனால்), /appaTiyenRaal/ (அப்படியென்றால்), /atuvum/ (அதுவும்), atumaTTummallaamal (அதுமட்டுமல்லாமல்), pronouns first, second and third, particles as inku (இங்கு), /aṅku/ (அங்கு), /itu/ (இது), /atu/ (அது), /inkee/ (இங்கே), /aṅkee/ (அங்கே), /ivai/ (இவை), /avai/ (அவை), noun adjective (adjectival nouns) and particles like /mika/ (மிக), /paTu / (படு), etc. In the song

‘Annaiyin Karuvil’ reference pronouns (pronouns), demonstrative adverbial forms and adjectives nouns, repetitions and parables are frequently used (Karunakaran, 2009).

Pronoun reference. In this song, self-pronoun reference is made by using only second-person pronouns. For example:

- {2} அப்போதே மனிதா நீ
ஜெயித்தாயே /appotee manitaa nii
jeyittaayee/
{20} நீ தேடும் சிகரம் தூரமில்லை /nii
teeTum sikaram tuuramillai/
{26} முன்னால் வைத்த காலை நீயும்/
munnaal vaitta kaalai niyum/
{30} உன் கை ரேகை தேய்ந்தாலும் /
unkai reekai teeyntaalum/
{36} உன்னால் என்ன முடியுமென்று /
unnaal enna muTiyumenRu/
{37} உனக்கே தெரியாது /unakkee
teriyaatu/
{38} உன் சக்தியை நீயும் புரிந்து
கொண்டால் /un saktiyai niyum
purintu konTaal/

நீ /nii/ as used in the lines {2}, {20} and /neeyum/ in line {26} refer to the second-person singular pronoun. All the second-person pronouns are used as exophora because they refer to all who listen to the song. Next, in lines {30} and {38} the words உன் /un/ (you), line {36} உன்னால்/unnaal/ and line {37} உனக்கே /unakee/ also refer to the second-person pronoun, meaning ‘belonging to you all’. Second-person pronouns also exist independently and function as anaphora. உன் pronoun (you belong) forms உன்

and உன்னால் /unnai/ (you) also refer to those who are outside the text as listeners of the song. Normally, in songs, ‘you’ is multi-exophoric, as it may refer to many people in the actual and fictional situation (Shanmugam, 2002).

- {18} அது மரமாய் வளரும் காலம்
வரும் /atu maramaay vaLarum/
{19} அது மண்ணுக்குள்
உறங்காது / atu maNNukkul
urankaatu/

அது /atu/ in lines {18} and {19} refer to the previous line {16} விதைக்குள் தூங்கும் ஆலமரம் (the tree which is invisible inside the seed.), and line {17} அது மண்ணுக்குள் உறங்காது (it (the seed) won’t stay forever inside the earth). The word அது/atu/ (that) refers to the word ‘seed’ (விதை) in line {17} and tree (ஆலமரம்) in line {16}. /Atu/ in line {18} and {19} are anaphora because it refers to the banyan tree, which is referred to in previous line. For example:

- {6} மேடு பள்ளம் தானே வாழ்க்கை
இங்கு / meeTu paLLam taanee
vaazkai inku/
{22} சிறு துளிதான் இங்கு
கடலாகும் / siRu tuLitaan inku
kaTalaakum/

In lines {6} and {22}, the word / inku/இங்கு means ‘here’ and refers to exophoric reference. In linguistics exophora is reference to something extra-linguistic i.e. not in the same text. Exophora can be deitic, in which special words or grammatical markings are used to

make reference to something in the context (Halliday & Hasan, 1976). Although, the word /inku/இங்கு in this song seems not indicating anything in the text, the audience can understand the meaning through an understanding of the situation. In this situation the word /inku/இங்கு means ‘the circle of life’ that every individual must go through. Here, the writer pinpoints the nature of life to explain the real situation according to the theme of the song. All pronouns show linking to or serve as a means of cohesion and refer to an entity other than the person.

Repetition. Repetition refers to the language style used and it consists of repetition of sounds, words, phrases and sentences and also functions. In a poem or song repetition is common because through the proses of repetition a writer can focus on three things: Firstly, to create rhythm or musical ambience, especially when a song is played. Secondly it stresses the particular purpose as the central question for the songwriter. Finally, it draws the attention of listeners. Repetition works to raise a particular beauty to achieve intensity (Nur Fatiha Fadila, 2012). In this song there are phrases repeated more than once. A study of the meaning of these lines will make one realize that all the repeated sentences carry a deep meaning that requires careful understanding. Here are some of the lines that are repeated in this song.

- அன்னையின் கருவில் கலையாமல்
பிறந்தாயே
/annaiyin karuvil kalyaamal piRantaayee/

Repetition row of {1}, {3}, {32},
{34}, {52}, {54}

அப்போதே மனிதா நீ ஜெயித்தாயே
(2X)

/appootee manitaa nii jeyittaayee

Repetition row of {2}, {4}, {33}, {35},
{53}, {55}

கஷ்டங்களைத் தாங்கு வெற்றி
உண்டு

kasTankaL taankum veRRi uNTu/

Repetition row of {5}, {56}

மேடு பள்ளம் தானே வாழ்க்கை இங்கு
/meeTu paLLam taanee vaazkkai inku/

Repetition row of {6}, {57}

கனவுகள் காணு தூக்கம் கொண்டு
/kaNavukaL kaaNu tuukkam konTu/

Repetition row of {7}, {58}

நடந்திடும் என்று நம்பி இன்று
/naTantiTum enRu nambi inRu/

Repetition row of {8}, {59}

Considering this is a motivation song, all the lines are repeated to emphasise the meaning of the lyrics in depth so that the listener can truly appreciate and understand the intended meaning. According to Nur Fatiha Fadila (2012), usually in terms of the occurrence of usage, repetition of words and phrases in a song can occur at the beginning, middle and at the end and also at the beginning and end of the lines of the song. Repetition at the beginning of the lines is called anaphora and repetition at the end of each row is called epyphora. In each line of this song anaphora-style

elements can be seen in lines {1} and {3}, where the word ‘அது’ /atu/ (refer to tree) and இல்லை /illai/ (no) are repeated several times. Anaphora repetition in the lyrics gives emphasis to the question of natural elements such as the growth of a tree and the word ‘no’ has to disappear in everybody ones. Use of anaphora in a song serves rhythm as well.

Ellipsis. According to Idris Aman (2010), in a discourse, removal is the process of sentence transformation that results in aborting certain elements of the sentence construction. Despite the ellipsis found at the surface level, the internal structure of the sentence still has all the elements of a complete sentence. Despite the abortion or omission the original meaning is still clear in the sentences. This is because the elements dropped in the sentence concerned do not need to be restated. In the lyrics, although we find redundancy in several places, only a few instances are explained as given below. All the redundant elements (forms) are marked by using the symbol ().

{5} கனவுகள் காணு தூக்கம்
கொண்டு /kaNavukaL kaaNu
tuukkam konTu/

{6} (அந்த கனவுகள்) நடந்திடும்
என்று நம்பி இன்று /naTantiTum
enRu nambi inRu/

{20} நீ தேடும் சிகரம் தூரமில்லை
/nii teeTum sikaram tuuramillai/

{21} (நீ) நடப்பதை நிறுத்தாதே /(nii)
naTappatai niRuttaatee/

{23} (நீ) நம்பிக்கை தொலைக்காதே
/(nii) nambikai tolaikaatee/

{30} உன் கை ரேகை தேய்ந்தாலும்
/un kai reekai teeyntaalum/

{31} (நீ) உழைப்பதை நிறுத்தாதே!
/(nii) uzaippatai niRuttaatee/

When we examine the content of the lyrics that were aborted, we are able to understand the exact meaning of the lyrics without any ambiguity. Poets usually use abortion to produce language that is more economical and rhythmic. The abortion process is a mechanism that not only produces more concise sentences, but also increases sentence variability of a language. Thus, a writer can manipulate various structures and sentences of a language to produce a more interesting song (poetical discourse). This is particularly relevant when one writes songs for tunes where comprising is demanded.

Substitution. Substitution as a relation within the text, which could be defined as a form of replacement used instead of repeating certain linguistic categories (Shanmugam, 2002). The relation of substitution is the relation between the pro-form and its antecedent, where a pro-form replaces an antecedent to avoid the repetition of the same antecedent (Halliday & Hasan, 1976). For example:

Line {21} உழைப்பதை நிறுத்தாதே!
(Don't stop working.)

Line {31} நடப்பதை நிறுத்தாதே!
(Don't stop walking.)

Line {51} முயற்சியை நிறுத்தாதே!
(Don't stop hard working.)

All these line means 'Don't stop trying'. The text which determines substitution implies the possibility of copying an

antecedent to a place that takes a pro-form without any change in meaning. In this lyric, the writer uses several words to refer to the same situation to avoid repetition.

Lexical cohesion. Lexical cohesion is an important feature used as a link builder that would carry the issue or main idea in a discourse. Lexical cohesion involves restatements and lexical collocations (Idris Aman, 2010). The restatement occurs in three ways: Firstly, the use of the same words or similar word (word repetition); secondly, the use of synonyms or similar words; and finally, superordinate (word) usage. In the text of this song synonyms and antonyms are found. In this song the use of /jeyittaayee/ (ஜெயித்தாயே) is repeated several times. The phrase lines {2}, {4}, {33} and {35}, {53} and {55} are also repeated three times. Considering this song as a motivational one and if the words and phrases were not repeated, perhaps there would not have been the expected cohesion and coherence in poetical discourse. In addition to this kind of repetition of the same word or phrase in the lyrics, the poet makes use of another technique, namely, the use of synonyms for the expression of the same meaning. The use of synonyms such as /vetri/, /sikaram/, /jeyittal/ demonstrates this kind of occurrence. It is not easy because the diction chosen should be expressed and explained in the text according to the theme such as exposition of contents or performance. Use of synonyms can avoid repetition in the text and monotony in listening. In addition, use of synonyms reflects the writer's language competency in order to capture the attention of the audience. Beside synonyms,

antonyms are also used by the writer in this song such as /meeTu/ x /paLLam/ (high & low), /munnaal/ x /pinnaal/ (front & back), /vizuntu/ x /ezuntu/ (fell down x got up), /vetri/ x /toozvi/ (win & loose). The usage of the antonym in the correct place in the song is merely to maintain the coherence of the song and to enhance the rhythm as well.

Inversion sentence. The lyricist also used some sentence inversion. Sentence inversion is called “hyperbation”, in which a normal grammatical word order is reversed (Shanmugam, 2002). It can be a single word or a group of words. Poets use inversion to force their poetry to rhyme, to make them fit into the meter, to emphasise their themes, to focus attention on specific elements such as characters or characters’ motives (as in this poem), or to interrupt the flow of the narrative to grab the reader’s attention. For example:

Line {7} கனவுகள் காணு தூக்கம்
கொண்டு /kanavukal kaaNu thuukkam
koNTu/

Meaning: dream while sleeping

Should be written – தூக்கம் கொண்டு
கனவுகள் காணு

In line {7} poet gives emphasis to the idea of dreaming (கனவுகள்), and so he deliberately places this particular word in front to focus it.

Diction. There are words deliberately chosen by the lyricist for expressing deep meanings so that fans and other listeners are able to appreciate the literal and figurative meanings. Words or diction chosen sometimes give different meanings (contextual, social etc.) from those given in the dictionary i.e. lexical/grammatical meaning. It is customary for the lyricist to associate emotions with elements of the natural world to realise the actual theme of a song. Table 1 shows some of the diction used in this song where intended meaning is different from lexical meaning provided in the dictionary.

TABLE 1
Intended Meaning and Lexical Meaning of Words Used in ‘Annaiyin Karuvil’

Words	Lexical meaning as provided in the dictionary	Intended meaning
/meedu paLLam/	High & low land	Happy & sadness
/sikaram/	mountain	achievement
/natappatu/	walk	afford
/veervai/	sweat	work out

Figurative language. Besides paying attention to vocabulary, song writers also focus on networking elements such as speech prosody and figurative language in the lyrics of their songs. Figurative language is the language aspect synonymous with the

nation and to the Tamil language. Awang Hashim (1987) explained that figurative language is language that is evolved from the analogy of the comparison between two things or different things but could indeed show the availability of some features or

similarities. In short, figurative language is the language used to refer to a thing or to compare it with other things. The dictionary (1996) defines allegory as the consideration of a matter by comparing (similarity) with other matters, such as allegory, satire, teaching or example and symbol, the hidden meaning. Sandhya Nayak (2002) listed 16 types of figurative language in his study of Tamil language such as simile, metaphor, personification, hyperbole, litotes, antithesis, oxymoron, metonymy, interrogation, climax, duplication, repetition, onomatopoeia and idiomatic usages. In this song however, only similes and idioms are used. Apart from providing emphasis, figurative language is used to create effects that can be a compelling beauty of figurative usage. The layers of meaning provided by figurative language create a rich and extended imagery that is able to convey deeper meaning. In short, these two aspects of language are aimed to attract the listener to the song and its message as well as to convey the deep meaning of the song to the listener. Aspects of prosody and figurative language are widely used in the lyrics of this song. For example, lines {9 & 10}, {10 & 11}, {12 & 13} and {14 & 15} refer to 'thirukkural', which emphasises hard work, achievement and effort.

Line {9 & 10}

முயற்சி திருவினை ஆக்கும்
முயற்றின்மை இன்மை புகுத்தி விடும்
(Kural - 616)

Effort brings fortune's sure increase,
Its absence brings to nothingness

Explanation

Labour will produce wealth; idleness will bring poverty

Line {11 & 12}

இடுக்கண் வருங்கால் ந்குக அதனை
அடுத்துர்வது அஃதொப்ப தில்
(Kural - 621)

Laugh away troubles; there is
No other way to conquer woes.

Explanation

If troubles come, laugh; there is nothing like it, to press upon and drive away sorrow

Line {13 & 14}

வெள்ளத் தனைய மலர்நீட்டம்
மாந்தர்தம் உள்ளத் தனையது உயர்வு
(Kural - 595).

Water depth is lotus height
Mental strength is man's merit.

Explanation

The stalks of water-flowers are proportionate to the depth of water; so is man's greatness proportionate to his mind

Line {15 & 16}

தெய்வத்தான் ஆகா தெனினும்
முயற்சிதன் மெய்வருத்தக் கூலி தரும்
(619)

Though fate-divine should make your labour vain,
Effort its labour's sure reward will gain

Explanation

Although it be said that, through fate, it cannot be attained, yet labour, with bodily exertion, will yield its reward

These four 'thirukkural's were particularly chosen to support the theme

of the song. The meaning is very deep and thought-provoking. By choosing the use of the 'thirukkural' the lyricist conveys effectively the motivation that he intends to build and add value to the already meaningful poetry.

Parable lines {16, 18, 19} explain that a very big banyan tree resides in a small seed and is invisible but will reveal itself one day. Until then it sleeps inside the small seed. These lines are figurative and motivational. The songwriter relates the banyan tree to the hidden potential of humanity. If a person realises his ability, surely he will achieve success in his life. The choice of this parable conveys clearly the meaning of the song.

Hyperbolic language is also used in the song so that the message can be communicated effectively and it can touch the hearts of the listeners. Hyperbolic language is normally used by the lyricist for exaggerating the elements or existing things. For example:

Line {24} மீண்டும் மீண்டும் பாதம்
பட்டால் /meeNTum meeNTum paatam
paTTaal/

Line {25} பாறைகூட பாதை ஆகும்
/paarai kuuTa paatai aakum/

Line {30} உன் கை ரேகை தேய்ந்தாலும்
/ un kai reekai teeyntaalum/

Line {31} உழைப்பதை நிறுத்தாதே!
/ uzaippatai niRuttaatee/

Lines {25} and {30} employ stylistic hyperbole. The purpose of all the highlighted lyrics is to reflect the extremes of the common man. Songwriters use

hyperbolic language to focus on the underlying message to be conveyed. Line {24} 'continue walking on hard surface (like on a rock) and that will one day create a walkable path,' which means that we must make every effort to continue moving forward no matter how hard the trial in order to succeed one day. Line {30} is considered stylistic hyperbole because a person cannot work until his finger print disappears. To focus on the efforts of songwriters one should use comparative language style reflecting the extravagance of things and situations. In effect, to make a song more mesmerising, earnest expressions in hyperbolic language are needed.

Besides hyperbolic language, personification is also found in this song. Personification is a figure of speech in which a thing, an idea or an animal is given human attributes. The non-human objects are portrayed in such a way that we feel that they have the ability to act like human beings. For example, when the writer says விதைக்குள் தூங்கும் ஆலமரம் (The banyan tree which sleeps inside the seeds), (Line 20) and அது மண்ணுக்குள் உறங்காது (It won't sleep inside the soil forever) (Line 19) he personifies the banyan tree with human ability such as being able to sleep.

CONCLUSION

It can be stated that the lyrics of 'Annaiyin Karuvil' has a well formatted texture of poetic discourse. This is because the song has the linguistic features that contribute to the formation of an idea or a meaning. In

addition, all these lines have cohesion in terms of grammatical or lexical features, structures and relating links with one another in sequences. Coherence and cohesion are specially emphasised here as these elements are incorporated in the Tamil language and regimentally in motivational songs in binding sentences to give a continuous text from various ideas and facts creating a proper arrangement of text in order to produce a complete logical and understandable idea/meaning (Halliday & Hasan, 1976). The lyricist has to be sensitive towards the selection of elements to maintain either grammatical or lexical order that produces a text with the intended idea and meaning to attract attention. In this case, this lyricist Annamalai has managed to attract the audience's attention by using elements such as coherence and cohesion. Incorporating coherence and cohesion is an art of the writer to bind information derived from various ideas and facts to form meaningful texts which by themselves attract target audience without any extent of persuasive elements needed (Nur Rini & Tribekti, 2011). Coherence and cohesion are specially emphasised here as these elements are incorporated in the Tamil language and regimentally in motivational songs to bind sentences, in order to give a continuous text from various ideas and facts. This will create a proper arrangement of text in order to produce a complete logical and understandable idea/meaning (Halliday & Hasan, 1976). This observation makes it clear that coherence and cohesion play a very important role in

a sentence for perfect communication to be achieved psychologically. Incidentally, in this case study persuasive act was brought to surface from the beautiful arrangement of elements of cohesion and coherence. It is obvious that in discourse analysis, the persuasive act is a product and not the means.

The song analysed in this study is one of the most popular motivational songs of Tamil cinema. In addition, all the phrases used in this song are structured well so that the rhythm of the song is not affected as the writer has chosen more appropriate vocabulary and grammatical forms in order to capture the attention of his listeners or readers. All the chosen lexical and the phrases (lines) have added value to make the song popular not only in India but also in Malaysia where Tamil schools use this song for motivational purposes.

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APPENDIX 1

Song Lyrics

- Line 1 அன்னையின் கருவில் கலையாமல் பிறந்தாயே
/annayin karuvil kalaiyaamal piRantaayee/
Line 2 அப்போதே மனிதா நீ ஜெயித்தாயே
/appotee manitaa nii jeyittaayee/
Line 3 அன்னையின் கருவில் கலையாமல் பிறந்தாயே
/annayin karuvil kalaiyaamal piRantaayee
Line 4 அப்போதே மனிதா நீ ஜெயித்தாயே
/appotee manitaa nii jeyittaayee/
Line 5 கஷ்டங்களைத் தாங்கு வெற்றி உண்டு
/kasTankaLait taangkum veRRi uNTu/
Line 6 மேடு பள்ளம் தானே வாழ்க்கை இங்கு
/meeTu paLLam taanee vaazkkai inku/
Line 7 கனவுகள் காணு தூக்கம் கொண்டு
/kanavukaL kaaNu thuukkam koNTu/
Line 8 நடந்திடும் என்று நம்பி இன்று
/naTantiTum enRu nambi inRu/

Line {9 & 10}

முயற்சி திருவினை ஆக்கும் முயற்றின்மை
இன்மை புகுத்தி விடும் (Kural - 616)

Effort brings fortune's sure increase,
Its absence brings to nothingness

Explanation

Labour will produce wealth; idleness will bring poverty

Line {11 & 12}

இடுக்கண் வருங்கால் நகுத அதனை
அடுத்தார்வது அஃதொப்ப தில் (Kural - 621)

Laugh away troubles; there is
No other way to conquer woes.

Explanation

If troubles come, laugh; there is nothing like it, to press upon and drive away sorrow

Line {13 & 14}

வெள்ளத் தனைய மலர்நீட்டம் மாந்தர்தம்
உள்ளத் தனையது உயர்வு (Kural - 595).

Water depth is lotus height
Mental strength is man's merit.

Explanation

The stalks of water-flowers are proportionate to the depth of water; so is man's greatness proportionate to his mind.

Line {15 & 16}

தெய்வத்தான் ஆகா தெனினும் முயற்சிதன்
மெய்வருத்தக் கூலி தரும் (619)

Though fate-divine should make your labour vain;
Effort its labour's sure reward will gain

Explanation

Although it be said that, through fate, it cannot be attained, yet labour, with bodily exertion, will yield its reward

Line 17 விதைக்குள் தூங்கும் ஆலமரம்
/vitaikkuL tuunkum aalamaram/

Line 18 கண்ணுக்குத் தெரியாது
/kaNNukkuL teriyaatu/

Line 19 அது மரமாய் வளரும் காலம் வரும்
/atu maramaay vaLarum kaalam varum/

Line 20 அது மண்ணுக்குள் உறங்காது
/atu maNNukkuL uRankaatu/

Line 21 நீ தேடும் சிகரம் தூரமில்லை
/nii teeTum sikaram tuuramillai/

Line 22 நடப்பதை நிறுத்தாதே
/naTappatai niRuttaatee/

Line 23 சிறு துளிதான் இங்கு கடலாகும்
/siRu tuLitaan inku kaTalaakum/

Line 24 நம்பிக்கை தொலைக்காதே
/nambikkai tolaikkaatee/

Line 25 மீண்டும் மீண்டும் பாதம் பட்டால்
/meeNum meeTum paatam paTTaal/

Line 26 பாறை கூட பாதை ஆகும்
/paaRai kuuTa paatai aakum/

Line 27 முன்னால் வைத்த காலை நீயும்
/munnaaL vaitta kaaLai niyum/

- Line 28 பின்னால் ஏடுக்காதே!
/pinnaal eT ukkaatee/
- Line 29 பூக்கள் பூக்க வேர்கள் தேவை
/pookkaL puukka veerkaL teevai/
- Line 30 வெற்றிக்கிங்கே வேர்வை தேவை
/veRRikkinkee veervai teevai/
- Line 31 உன் கை ரேகை தேய்ந்தாலும்
/un kai rekai teeyntaalum/
- Line 32 உழைப்பதை நிறுத்தாதே!
/uzaippatai niRuttaatee/
- Line 33 அன்னையின் கருவில் கலையாமல் பிறந்தாயே
/annayin karuvil kalaiyaamal piRantaayee/
- Line 34 அப்போதே மனிதா நீ ஜெயித்தாயே
/appotee manitaa nii jeyittaayee/
- Line 35 அன்னையின் கருவில் கலையாமல் பிறந்தாயே
/annayin karuvil kalaiyaamal piRantaayee/
- Line 36 அப்போதே மனிதா நீ ஜெயித்தாயே
/appotee manitaa nii jeyittaayee/
- Line 37 உன்னால் என்ன முடியுமென்று
/unnaal enna muTiyumenRu/
- Line 38 உனக்கே தெரியாது
/unakkee teriyaatu/
- Line 39 உன் சக்தியை நீயும் புரிந்து கொண்டால்
/un saktiyai niyum purintu koNTaal/
- Line 40 சாதிக்க தடையேது...
/saatikka taTaiyeetu/
- Line 41 முயற்சிகள் செய்து தோற்பதெல்லாம்
muyaRsikaL seytu tooRpatel;laam/
- Line 42 தோல்விகள் கிடையாது
/toozvikaL kiTaiyaatu/
- Line 43 விழுந்துவிடாமல் யாருமிங்கே
/vizunviTaamal yaarumillai/
- Line 44 எழுந்தது கிடையாது
/ezuntatu kiTaiyaatu/

- Line 45 இல்லை என்ற சொல்லைக் கூட
/Illai enRa sollaik kuuTa/
Line 46 இல்லை என்று தூக்கிப் போடு
/illai enRu tuukkip pooTu/
Line 47 நாளை உன்னை மேலே ஏற்றும்
/naaLai unnai melee eeRRum/
Line 48 துணிச்சலை இழக்காதே
/tuNissalai izakkaatee/
Line 49 விழுந்தால் கூட பந்தாய் மாறு
/vizuntaal kuuTa pantaay maaRu/
Line 50 வேகம் கொண்டு மேலே ஏறு
/veekam koNTu melee eeRu
Line 51 முண்டிக் கொண்டு முன்னால் ஓடு
/muNTik konTu munnaal ooTu/
Line 52 முயற்சியை நிறுத்தாதே
/muyaRsiyai niRuttaatee/
Line 53 அன்னையின் கருவில் கலையாமல் பிறந்தாயே
/annayin karuvil kalaiyaamal piRantaayee/
Line 54 அப்போதே மனிதா நீ ஜெயித்தாயே
/appotee manitaa nii jeyittaayee/
Line 55 அன்னையின் கருவில் கலையாமல் பிறந்தாயே
/annayin karuvil kalaiyaamal piRantaayee/
Line 56 அப்போதே மனிதா நீ ஜெயித்தாயே
/appotee manitaa nii jeyittaayee/
Line 57 கஷ்டங்களைத் தாங்கு வெற்றி உண்டு
/kastankaLait taanku veRRi uNTu/
Line 58 மேடு பள்ளம் தானே வாழ்க்கை இங்கு
/meeTu paLLam taanee vaazkkai inku/
Line 59 கனவுகள் காணு தூக்கம் கொண்டு
kanvukaL kaaNu tuukkam koNTu/
Line 60 நடந்திடும் என்று நம்பி இன்று
/naTantiTum enRu nambi inRu/

Third Person Point of View in EFL Academic Writing: Ventriloquizing

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ABSTRACT

This study examines the use of author self-reference, but pronouns, in the form of third person point of view in academic writing. The data for analysis were retrieved from C-SMILE (Corpus of State University of Malang Indonesian Learners' English), which consisted of 124 theses and 138 research articles of EFL learners, who were undergraduate students of the Department of English, State University of Malang. Results demonstrated abundant uses of *the researcher* as author self-reference. This leads to the possibility to expand the notion of ventriloquizing drawn on spoken discourse for application into written discourse. We hypothetically believe that ventriloquizing, which occurs in academic writing, has a strong relation with self-effacing device as a strategy to disguise authors' identity. We conclude that the authors' (EFL learners') choice of *the researcher* as referent is highly affected by the "ventriloquizing-like" strategy in their L1 and L2 although they are different in terms of purposes.

Keywords: Ventriloquizing, self-reference, self-effacing, referent, C-SMILE

INTRODUCTION

The growing demand for publication in academia has driven academics' attention

to doing research on texts with a variety of focuses (Flowerdew, 2001; Basthomi, 2009, 2012; Rakhmawati, 2014). The pressure for publication in reputed international journals has particularly challenged non-native (L2) speakers of English, as these publications often suggest they write in English. Studies of academic texts by L2 speakers have been compared directly or indirectly to native (L1) speakers' work, resulting in an abundance of instructional

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guidelines for academic writing circulating among L2 English-language authors. However, some of these writing guidelines tend to produce new problems rather than provide solutions (see Hyland, 2002b).

Hyland (2002b) noticed that many writing textbooks and guidelines have given their readers misconceptions regarding an impersonal tone in academic texts. These guides have promulgated the notion of 'leaving their personality behind the door' (p. 351). In an attempt to evaluate whether these guidelines have had any impact on real practices, this author examined the use of author pronouns by experts and L2 writers. The results suggest that L2 writers have rates of utilising the first person pronouns three times lower than experts. Explicit self-representation in texts strengthens authors' ideas or arguments and makes them more persuasive (see Ivanič, 1998; Hyland, 2001, 2002b; Harwood, 2005). It also shows that authors know what they have accomplished and take responsibility for it. Therefore, choices of whether to use self-representation or impersonality in academic discourse play a primary role in projecting authors' identity. Accordingly, author pronouns are assumed to be the most essential feature in elevating the credibility of writers' research (see Hyland, 2001; Harwood, 2005).

In research pertaining to the aforementioned issues, numerous linguists and academics have also scrutinised the use of author pronouns as the cornerstone of projecting identity in academic writing (e.g., Hyland, 2002a, 2002b; Martínez,

2005; Harwood, 2005; McCrostie, 2008). Nonetheless, most of the research only deals with authorial presence in academic texts produced by L1 or L2 writers. Inspired by Hyland's (2001) study, Harwood (2005) conducted similar corpus-based research to investigate the use of 'I' and 'we' in research articles (RAs) in four different disciplines, without noting whether the RAs' writers were L1, L2 or FL. Focusing most of his work on L2 writers across various disciplines, Hyland's (2001, 2002a, 2002b) research projects offered the seminal conclusion that the use of 'I' is still problematic for L2 writers in academic texts. Subsequently, Martínez (2005) conducted a comparative study on first person pronouns used in biology RAs by L1 and L2 writers.

After reviewing the existing literature, it is worth noting that gaps in authorial presence have been defined by abundant attention to author pronouns, while none of the researchers has focused on author self-references in FL academic writing. Building upon Hyland's conclusions, Wijayanti and Widiati (2013) replicated Hyland's study on undergraduate FL theses, considering not only pronouns but also other self-references (e.g., 'the researcher', 'the author' and 'the writer'), which are called 'author self-references'. In particular, Wijayanti and Widiati attempted to see whether results in L2 are also applicable to FL. Unexpectedly, this study identified a new phenomenon of author presence in academic texts: the dominance of 'the researcher' as the most frequently

occurring self-reference instead of the first person pronoun, 'I' (see Hyland, 2002a). This result, however, found a difference between L2 and FL academic writing in terms of identity projection. In addition, it also suggested that 'the researcher' functions solely as self-reference in Wijayanti and Widiati's (2013) study, while Hyland's (2002a) study found that it acted as both a referent and self-reference to the authors' previous studies.

The ample studies of third person pronouns as self-representation in Indonesian texts have hitherto been a contentious topic of discussion (e.g., Cole *et al.*, 2006; Djenar, 2010; Sneddon *et al.*, 2010). Replicating studies by Cole *et al.* (2006) and Sneddon *et al.* (2010), Djenar, an Indonesian scholar, investigated third person pronouns ('dia' and 'ia') using a mini corpus that comprised 57,093 words taken from 84 online news reports. She successfully demonstrated that the notion of 'ia' more commonly occurs as a referent than 'dia' in the subject position. She also uncovered the implications of the predominant co-occurrence of 'ia' by analysing the contexts in which: "a) the referent is treated as a reliable source and an authority on the information being quoted, and b) the referent is presented as an agent who initiates or performs some action" (Djenar, 2010. p. 292).

These studies of the third person points of view in references have produced significant results in the area of identity projection in texts. As either self-projection or referent, a third person point of view

denotes a significant role in L2 (Hyland, 2002b) and FL writings (Cole *et al.*, 2006; Djenar, 2010; Sneddon *et al.*, 2010; Wijayanti & Widiati, 2013). Nonetheless, these findings raise a number of questions, including how authors manage to choose certain references to establish their voice in texts and whether they are fully aware of their choices, considering the effect or voice that might emerge from the use of references.

In this paper, we attempt to investigate further the use of 'the researcher' due to its frequent occurrence as a self-reference (Wijayanti & Widiati, 2013) in academic texts written by Indonesian EFL learners – by collecting data from a comparatively larger corpus than previous studies in order to explore our hypothesis. Giving a primary focus on 'the researcher' in this study, we seek to examine more extensively a variety of functions other than self-reference by studying frequency and instances. Our comparative outlook, as native Indonesians, indicates that the phrase 'the researcher' shares aspects in common with the use of 'peneliti' in academic texts written in Indonesian. This appears to imply the Indonesian daily oral communicative practices of framing and/or ventriloquizing (Tannen, 2003, 2007), which are also closely related to the notion of referents (Chafe, 1994), which appear in written texts (McCrostie, 2008).

Ventriloquizing is a phenomenon by which a speaker positions him- or herself as another speaker or as another non-speaker by means of pronoun choice, paralinguistic

and prosodic features and other linguistic markers of points of view (Tannen, 2007, p. 55). Regardless of the term's origin, discussed in detail elsewhere (Tannen, 2004), ventriloquizing denotes – to follow Bakhtin (1981) in spirit – words spoken in such a way as to ‘appear at a certain distance’ from the speakers’ lips. The phenomenon of ventriloquizing has been closely attached to the action of framing in verbal communication (Tannen, 2003, 2007). Tannen, who first introduced the term, uses it to address framing phenomenon in family interactions. In a similar vein, Schiffrin (1993) had previously labelled this discourse strategy as ‘speaking for another.’ Here, the difference lies in the use of pronouns to create a certain meaning in the sentence or dialogue. Tannen (2003) illustrates this by giving an example of a conversation between a married couple visited by their neighbour. In order to help the neighbour, to whom her husband has offered candy, the wife said, ‘She’s on a diet’ (p. 55). That is the example of ‘speaking for another’ because she uses ‘she’, which implies that the wife shows her support of the neighbour by speaking on her behalf. It would have a different meaning if she had used ‘I’ instead of ‘she’ in the sentence, because, by using ‘I’, the wife would speak as if she herself were the neighbour, which could be seen as mocking the neighbour’s habit of refusing sweets.

In the present study, we take into account some previous studies that have successfully revealed that the third person points of view have a significant role in

projecting authors’ presence in texts (see Cole *et al.*, 2006; Djenar, 2010; Sneddon *et al.*, 2010; Wijayanti & Widiati, 2013). We have attempted to confirm whether this phenomenon is correlated with ventriloquizing since, as noted earlier, linguistic markers of point of view are among the features potentially used in ventriloquizing strategies. In terms of the use of the third person singular point of view as author self-reference (Hyland, 2001; Wijayanti & Widiati, 2013) and referent (Djenar, 2010), we consider it important to define the differences between them. In author self-reference, authors clearly use the third person point of view to project their presence in texts. To define ‘referent’ more clearly – while building on Djenar’s (2010) previous study, which scrutinised different objects – the present study explores the notion of referent proposed by Chafe (1994).

Before expounding upon Chafe’s (1994) concept of referent, it is essential also to take a brief look at Ariel’s (1990) earlier study. Referring to a hierarchy of referents, which he calls ‘accessibility’, Ariel argues that pronouns are highly accessible while noun phrases (NP) are positioned in intermediate to low rank in the hierarchy. This argument reveals that pronouns are considered semantically empty because they do not provide new information to readers. In his later study, Chafe (1994), while not necessarily focusing on pronouns, provides a wider view on referents. He asserts that ‘identifiable’ referents are exploited to

fulfil verbalising functions without wasting words by stating the same information repeatedly or redundantly. Although in some cases authors choose repetition as a rhetorical strategy to achieve certain agendas (see Fox, 1987; Wales, 1996; Tannen, 2007), Chafe (1994) deliberately refutes the term ‘identifiable’ to emphasise that, in order to be ‘active’, the referent should include three components of identifiability: salience, shared knowledge and verbalisation (p. 94). Apart from the above differences in arguments, we conclude that both Ariel and Chafe pointed out the same idea: that referents are already mentioned in previous discourse and do not contain new information. Therefore, they equate to high saliency in texts. This view underpins our analysis of third person points of view, which, as NPs, are understood as referents in the present study.

MATERIALS AND METHODS

For greater efficiency, we used corpus-based analysis. We found this to be a suitable and valuable method for this study since it provides real instances of daily language use. A corpus offers naturally occurring linguistic patterns that we can use as evidence. The present corpus study

combines quantitative and qualitative methods (Baker, 2006; Biber *et al.*, 1998).

In order to achieve our goal of analysing language use in academic texts, we decided to analyse C-SMILE (Corpus of State University of Malang Indonesian Learners’ English), a small corpus we have built which includes theses and RAs comprising around two million words. The theses and articles are final projects submitted by students in the Department of English, State University of Malang, in their final year of undergraduate studies. We took data only from this department since the other departments do not require students to write theses and articles in English. While the theses were obtained from the past three years (2011, 2012 and 2013), the articles were collected from the past four years (2010, 2011, 2012 and 2013). For the theses, we focused on the main academic texts’ sections – introduction, literature review, methods, findings, discussion and conclusion – and more parenthetical academic sections – abstract, acknowledgements and curriculum vitae (see Wijayanti & Widiati, 2013), excluding appendices and references for RAs, which mostly adopted the IMRD model (Swales, 1990). Table 1 shows more detailed information about the data used in this study.

TABLE 1
C-SMILE: The corpus

	Text	Words
Theses	124	1,549,453
Research articles	138	525,870
Total	262	2,075,323

The corpus was then analysed using free, open concordance software for Windows, AntConc 3.4.0w. Taking into account the importance of the third person point of view in academic writing (Djenar, 2010) and considering the high saliency of 'the researcher' as author self-reference in EFL writing (Wijayanti & Widiati, 2013), we conducted a pilot research focusing on non-pronoun third person self-mentions – 'the researcher', 'the writer' and 'the author'. For that purpose, we included both singular and plural forms since most of the students co-authored articles with their

thesis advisors. Although we considered the plural forms of each multi-word unit, these did not become our main concern since the uses of author self-references were the primary focus of this research. The pilot study was necessary to decide further steps in our analysis, after attaining the frequency of each keyword.

The overall search for the three references – 'the researcher', 'the writer' and 'the author' – resulted in the absolute dominance of 'the researcher' in EFL academic writing, reaching almost 90% of all occurrences as compared to 'the writer' and 'the author'.

TABLE 2
Co-occurrences of third person points of view in EFL academic writing

References	No. of Occurrences	Percentage
'The researcher(s)'	7,848	89.75%
'The writer(s)'	738	8.44%
'The author(s)'	158	1.81%

Based on the results of the above-mentioned pilot search, we reached the important conclusion that the use of 'the researcher' warranted further examination. Hence, for the next step of the analysis, we decided to investigate the functions of 'the researcher' in texts by looking at the patterns of use. As Baker (2006) suggests, concordance analysis enables researchers to look closely at how particular words function in written discourse. We also consider this an effective way to confirm if the self-references really project the author and not someone else, since reading only one sentence in which it occurs may result in misunderstandings. In this step, we

exploited a feature of AntConc software, Concordance, which facilitates the process of concordance analysis. As shown in Table 1, we had 7,848 entries of 'the researcher' for manual examination.

RESULTS

Through this concordance analysis, we unveiled two functions of 'the researcher(s)' in EFL learners' academic writing. The functions found in our study included self-reference and referents that represent other, future and general (all) researcher(s). The frequencies of each function's occurrences are presented in Table 3.

TABLE 3
Frequency of ‘the researcher’ according to functions

	Occurrence	Percentage
Self-reference	7,942	98.5%
Referent	118	1.5%
Total	8,060	100%

As is clear from Table 3, the function of ‘the researcher’ as self-reference stands out as the most popular in EFL learners’ academic writing, achieving 98.5% of the overall frequency. It occurs 7,942 times across the texts. This indicates that EFL learners have a strong tendency towards utilising ‘the researcher’ to refer to themselves in academic texts. This fact contributes further to discussions about the function of ‘the researcher’ in academic writing (see Hyland, 2001; Wijayanti & Widiati, 2013). Instead of confirming the previously-mentioned phenomenon in the function of ‘the researcher’ as self-reference in L2 academic writing – indicating previous works by the author him- or herself (Hyland, 2001) – the results strongly support the counterargument that ‘the researcher’ functions as self-reference pointing to the author him- or herself in the current text (Wijayanti & Widiati, 2013).

Furthermore, examining the context enables us not only to analyse to whom ‘the researcher’ refers but also to disclose how EFL learners utilise ‘the researcher’ in texts. As a tool for projecting authors’ presence, ‘the researcher’ performs various types of reference.

Excerpt 1

- a) In this stage, **the researcher** conducted the try-out outside the class by involving 10 students from class 8D chosen randomly. (BGF2013RA)
- b) In the discussion, there were only a few students who answered **the researcher’s** question [sic] about the difficulties they faced during [sic] doing this activity. (A2011C3T)
- c) The camera helped **the researcher** to record what happened in the class and helped **the researcher** observed [sic] the teaching and learning process. (PS2012C3T)

Excerpt 1 illustrates various clear instances of ‘the researcher’ as self-reference spotted with Key Word in Contexts (KWIC), which was part of File View, both features of AntConc. These instances exemplify the use of ‘the researcher’ as: a) subject reference, b) possessive reference, and c) object reference. By providing these examples, we intend to show that EFL learners utilised ‘the researcher’ for all the aforementioned functions, without concerning ourselves further with the number of each function’s occurrences.

Furthermore, the concordance data also revealed five other discourse functions of self-mention, in this case ‘the researcher’, which included stating a goal/purpose, stating results or claims, expressing self-benefits, elaborating an argument and explaining methodological procedure (Hyland, 2002a).

Excerpt 2

- a) In this stage, **the researchers** prepared the materials, the research instruments, the lesson plans, and determined the criteria of success. (NN2013RA)
- b) **The researcher assumes** that students in Indonesia commonly **make errors** in using past tense [sic] because there are some differences between *Bahasa Indonesia* and English when we talk about something in the past. (F2013C1T)
- c) **The researcher believes** that Alay phenomenon is **interesting** to be studied [sic] due to its unique writing style by [sic] using different choices of lexicons to express a word in standard language. (BAN2012C1T)
- d) Besides, **the researcher** would conduct bigger group or class discussion [sic] **to strengthen** the ability of the students in stating thesis statement [sic], arguments [sic] as well as recommendation [sic] by using the Four-Square Writing Method. (APD2013RA)
- e) Based on the validator’s suggestions on the display aspect, **the researcher**

decided to replace the previous theme of the website with a patterned theme which made it look more **pleasant**. (NZ2013RA)

The above examples confirm that ‘the researcher’ as self-reference is used to achieve all the discourse functions in academic writing proposed by Hyland (2002a). Thus, these excerpts emphasise that EFL learners have an extremely strong tendency to represent themselves in texts using ‘the researcher’.

In contrast to the self-reference function, ‘the researcher’ as a referent only occurs 118 times or 15% of all instances. We identified instances of ‘the researcher’ that refer to other or future researchers as referents, based on Chafe’s (1994) three identifiability criteria, although in terms of information, these instances are likely to constitute what people might not already know. They occurred in the data mostly in the form of citations. Excerpt 3 captures the difference of ‘the researcher’ as referent and self-reference.

Excerpt 3

According to Latief (1999:110), “the collection of data in a qualitative research should be done by *the researcher* him/herself since it is *the researcher* who knows a lot about his/her own research, especially in terms of how much data that [sic] should be collected.” So, in this research, **the researcher** herself will be the main instrument in collecting the data. (IF2013C3T)

As can be seen in Excerpt 3, ‘the researcher’ in both bold and italics is what we identified as referent, whereas ‘the researcher’ in the last sentence (without italics) functions as self-reference. We distinguished between the two by paying attention to reflexive pronouns that refer to ‘the researcher’. The use of ‘him/herself’ in the sentence indicates that the author utilises ‘the researcher’ to address every individual who conducts research (researchers), be they male or female. Meanwhile, the last sentence is the opposite. The ‘herself’ that follows ‘the researcher’ denotes that the author is referring to herself, the author being female. However, before determining to whom ‘the researcher’ refers, we needed to be aware of the possibility that, regardless of the authors’ gender, they might also use the general term ‘he’ or even ‘himself’ with the aim of either being neutral or disguising their gender. Hence, we had to check the writer’s gender.

The emergence of the referent phenomenon in this study corresponds to the previously mentioned notion that NPs at the intermediate to low levels in the hierarchy of accessibility (see Ariel, 1990; Ledin, 1996). Instead of performing an anaphoric function – referring back to previously mentioned referents – ‘the researcher’, as an NP, serves the function noted earlier of providing new information to readers. This strategy is actually prone to creating ambiguity for readers, whether ‘the researcher’ refers to the author or another researcher, unless the author

provides a hint (e.g., reflexive pronoun) in the sentence.

In conclusion, all the salient facts we attained from the concordance analysis regarding ‘the researcher’ indicate that this is the most popular self-reference in EFL academic writing, as discussed further in the following section.

DISCUSSION

The present study has captured in detail the phenomenon of ‘the researcher’ as the most prominent third person point of view that EFL learners frequently employ as self-reference in academic writing, in contrast to its other function as a referent. This result, we believe, strongly correlates to the action of ‘framing’ in academic written discourse. Out of six kinds of text framing suggested by Becker (as cited in Tannen, 1986, p. 107), ‘framing of the text by interpersonal setting (i.e. social constraint)’ might provide the answer to why this phenomenon happens. However, as a framing concept, we found that ‘ventriloquizing’ is more adequate for evaluating our study’s results, particularly given that ‘the researcher’ is the most prevalent author self-reference used by EFL learners.

Although ventriloquizing is more popular in studies of spoken discourse, where it has been used to analyse phenomena in verbal family interactions (see Tannen, 2003, 2007), it is apparent that the use of ‘the researcher’ as a self-reference also implies the application of ventriloquizing in academic written discourse. Tannen (2007) points out

that ventriloquizing is a combination of constructed dialogue and framing in discourse. As noted earlier, the function of ‘the researcher’ in the present study differs from previous, similar corpus-based studies (e.g., Hyland, 2001) in that the dominance of ‘the researcher’ as self-reference in FL writing as compared to L2 or even L1 speakers is notable. Hypothetically, this phenomenon presumably happens as a result of Indonesian cultural influences, in which ventriloquizing often occurs, especially in spoken language.

Despite the fact that ventriloquizing may refer to ‘framing other people’ (see Tannen, 2003), we can apply both concepts to identify the self-reference use of ‘the researcher’ in academic writing since both involve framing agents. The difference, however, lies in the idea that ventriloquizing frames others, as Tannen (2003) has proposed, while in the present study, the ventriloquizing phenomenon is self-framing. To see the phenomenon of ventriloquizing in written discourse more clearly, we refer to Excerpt 4, which is taken from the present study’s corpus.

Excerpt 4

In this step, **the researcher** evaluated the result of the speaking test and observation. (HI1011EDU)

Although not containing paralinguistic and prosodic features such as those in spoken discourse, the above example can be defined as a ventriloquizing phenomenon since the highlighted words function as a self-framing of agents that

allows the writer to communicate (e.g., describe a procedure) as a second party. By employing this strategy, the author manages to maintain a distance from his or her own sentence. This is an example of the phenomenon of striking the right balance between Bakhtin’s (1981) notion of polyvocality and Tannen’s (2007) ventriloquizing. Even though the ‘keeping at a certain distance’ strategy enables the author to enhance his or her tone of objectivity (Bakhtin, 1981), the possibility that this can also decrease the author’s responsibility for his or her argument (Tannen, 2007) is worth noting. This aspect captures the similar phenomenon of a ‘self-effacing’ strategy (see Hyland, 2001; Wijayanti & Widiati, 2013). In other words, we can determine that the self-effacing strategy uses ventriloquizing, in particular, self-framing in academic written discourse, whereby the authors tend to use ‘the researcher’ (third person reference) to disguise their presence in the text.

Following McCrostie’s (2008) argument about the interference of L1 in L2 writing, we also considered this aspect, that is, L1 and L2 (Indonesian and Javanese) presumably influence the EFL academic writing in this study. In relation to ventriloquizing, we can safely assume that the EFL learners in this study have consciously or unconsciously used the self-framing strategy in their daily communication. In an attempt to test this idea, we evaluated examples of language use in Indonesian and Javanese. For the purpose of providing examples from our

data, we take into account Chomsky's (1984) argument that linguistic studies comprise introspection and explanation. He noted that native speakers have the power of introspection, writing that 'if you sit and think for a few minutes, you're just flooded with relevant data' (Chomsky, 1984, p. 44). Consequently, we, as native speakers of Indonesian and Javanese, have provided self-introspective examples of utterances based on our daily conversations, without conducting any fieldwork.

In Javanese, the term that we are aware of for 'ventriloquizing' is 'mernahno'. This term also refers to the action of framing both the other and the self. People often use this in both spoken and written language. To give an illustration of what we mean by the 'mernahno' or ventriloquizing phenomenon in Javanese discourse, we provide an example of a Javanese conversation below (constructed from daily conversations in Javanese). The following example is of a father ordering his son to buy him medicine.

Excerpt 5

Le, tulung Bapak pundhutno obat
ning Apotek'

N Ex N V O
Prep N

'Son, please buy father medicine
at the chemist.'

(literal English translation)

By using 'Bapak' or 'father' instead of 'aku' or 'me' in English, the father purposely addresses himself as a 'father' to place an emphasis on his position as the father. This

is not necessarily showing politeness since a father is not required to be polite to his son, but it effectively reduces the tone of coerciveness in giving order. Hence, the son will not feel like he is being forced to obey an order. Instead, he will think of it as helping his father. Besides the pronoun, the choice of lexicon in the above example also serves a certain purpose. As Javanese is a multi-level language covering three levels of speech – 'krama', 'madya' and 'ngoko' (Poedjosoedarmo *et al.*, 1979; Suharno, 1982; Sudaryanto, 1991; Kadarisman, 2009) – the use of the word 'pundhutno' (i.e., 'buy' in English), which is at the most formal level of speech in Javanese, warrants further discussion. In Javanese, the interlocutors determine the speaker's level of speech. Normally, fathers speak using the lowest level of speech ('ngoko') to their sons. Yet, in Excerpt 5, the father's choice of the word 'pundhutno' ('krama') instead of 'tukokno' ('ngoko') in speaking to his son indicates a sense of educating; he intends to teach his son by giving an example of the level of speech the son should use to speak to his father and other elderly people. This strategy denotes ventriloquizing, and it is in line with the idea of 'reframing for or as other in the presence of that other'. In this instance, the father reframes for the son directly in front of him.

In addition, in Bahasa Indonesia, the ventriloquizing-like phenomenon also occurs widely. The following example (Excerpt 6) illustrates how people usually reframe others to show their politeness. This is a conversation between a senior lecturer and a student, who are addressing another lecturer via short message service.

Excerpt 6

‘Mengenai hal itu, Saya akan berkoordinasi lebih lanjut dengan Bu Renzi’

‘Regarding this matter, I will have a further discussion with Bu Renzi. (English version)

In this example, the speaker, a senior lecturer, uses the term ‘Bu’ in front of the name to address the other lecturer on behalf of the student, whereas, in direct conversation, he might not necessarily address her using ‘Bu’ and might directly use her name. This phenomenon emphasises that, in the above utterance, the senior lecturer does not talk as and for himself, instead he reframes for the other lecturer by addressing her from the student’s point of view. Despite showing politeness, by employing the ventriloquizing strategy, he also shows an intention to teach the student the norm, that is, always to give respect to other people even though they may be in a lower position than we are.

In order to confirm whether ‘the researcher’ is a transfer phenomenon through which the author projects his or her presence in academic texts, we sought to identify theses written in Indonesian comparable to the data used in this study. We randomly selected ten theses accessed from the State University of Malang’s online library. After analysing the data using the same method as the main data search in this study, the random data provided clear evidence showing the occurrence of ‘peneliti’ (‘the researcher’ in English) as authors’ self-reference (see Excerpt 7).

Excerpt 7

Instrumen utama dalam penelitian ini yaitu peneliti, sedangkan instrumen penunjang dalam penelitian ini adalah lembar observasi dan pedoman penilaian hasil belajar siswa. (DEN2008ASID)

(The main instrument of the study is the researcher, while the supporting instruments are the observation sheets and scoring rubric of the students’ performance.)

The uses of ‘peneliti’ in Excerpt 7 and ‘the researcher’ in Excerpt 4 have exactly the same function. In addition to projecting the authors’ presence, the authors utilise this word as an agent of framing to disguise their identity. Thus, it also implies that both ‘peneliti’ and ‘the researcher’ entail self-framing, which we proposed as an expanded concept of ventriloquizing.

These excerpts (4, 5, 6 and 7) clearly exemplify the various actions of framing that happen in both spoken and written discourses. Of particular importance in the discussion of the examples are the framing actions in Excerpts 5 and 6, which show that daily communication reveals different functions from those in academic writing, be they in English or Indonesian. This suggests that, in principle, no difference in ventriloquizing phenomenon in spoken and written discourses exists in the Indonesian context, yet what makes them possibly different are the authors’ goals.

CONCLUSION

From the ample uses of ‘the researcher’ by EFL students in their writing, it appears that they are influenced by the habitual practices

of ventriloquizing in their everyday (oral) communication using either their L1 or L2. Having proposed this, we attempted to apply Tannen's (2003, 2007) concept of ventriloquizing, which focuses only on spoken discourse, by paying attention to the paralinguistic and prosodic features of utterances (e.g., the speaker's tone/pitch). Tannen (2003) states that 'my notion of ventriloquizing is a related phenomenon by which a person speaks not only for another but as another' (p. 55). In contrast to Tannen's proposed approach, we conclude that the use of 'the researcher' denotes that the term ventriloquizing includes not only 'speaking for another and others' but also for and as the speaker him- or herself.

The use of self-reference, whether in the form of pronoun or noun phrase, as the symbol to project authorial presence is a crucial matter in academic writing. Deliberately concentrating on author's third person point of view in academic writing written by Indonesian EFL learners, the present study has unveiled the abundant uses of the researcher as self-reference operated for some functions in the texts. The analysis of *the researcher* in its context has enabled us to highlight its focal function, that is, as self-framing or more popular as 'self-effacing device' (see, Hyland, 2001, p. 217). This phenomenon is basically similar to what is referred to as ventriloquizing (Tannen, 2003, 2007). This also suggests that ventriloquizing that is conceptualised from spoken discourse is also applicable to written discourse. This corpus linguistic study, especially by virtue of concordance

analysis, has helped us significantly comprehend what voice the Indonesian authors want to deliver by linking it to their social and cultural practices.

Although being different in terms of purpose, ventriloquizing-like practices, which have been consciously or unconsciously used in Indonesian and Javanese in daily communication, give a high contribution to influence the self-framing strategy in academic writing written in English. However, this study has not answered a pertinent question as to whether the authors purposely employ such strategy to achieve a certain goal, for the purpose of effective strategy in communication, or they simply follow the previous researchers who have hitherto overused the researcher or *peneliti* as author's self-reference in academic texts.

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The Effect of Reading on Improving the Writing of EFL Students

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ABSTRACT

Since reading and writing have been taught separately and independently by some English instructors, students, especially EFL learners, do not use their knowledge in either area to improve their literacy learning in general. This study is aimed at examining the impact of incorporating reading in efforts to improve the writing skills of EFL students. In this study, five Iranian students, studying in an international school in Malaysia, were purposively selected. Two instruments were used: a compiled genre-specific corpus as the main tool to evaluate the participants' level of proficiency in writing and two semi-structured interviews as supplementary instruments to obtain EFL participants' perspectives on the effect of reading on the development of writing skills. The method used to analyse the corpus was CACA, short for computer-assisted corpus analysis, where the written texts from the pre-test and the post-test were used and compiled into a corpus and then tagged and analysed using suitable concordance software. After intervention was done, the participants were given some instruction on how to write effectively. The findings indicated that the participants' writing skills had significantly improved by integrating reading in writing tasks. It is hoped that the findings of this study will help students as well as English teachers realise the significant role of reading in writing i.e. in enhancing writing performance and motivating students to read at the same time.

Keywords: Corpus linguistics, EFL learners, reading, reading to writing, writing

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INTRODUCTION

Since students, particularly EFL students, are not well informed about the benefits of connecting reading and writing, they do not have the opportunity to use strategies that integrate both reading and writing. Most of the time, reading has been taught in isolation. The same can be said about

teaching writing skills. Thus, students face various problems in writing such as integrating new information, presenting appropriate details and summarising information from given texts.

Grabe (2009) and Ahn (2014) believed that among language learning skills, writing has been consistently referred to as a complicated skill particularly for non-native speakers of English due to the fact that they are not exposed to English compared with English native speakers. Tangpermpoon (2008) explained that the reason for this was that during writing production, students of English as a foreign language (EFL) are required to focus on different tasks such as choosing proper words, using correct grammatical patterns and checking spelling of words. Ibrahim (2006, p.2) pointed out that writing is a difficult skill for native and non-native speakers alike, for writers should make a balance between multiple issues such as content, organisation, purpose, audience, vocabulary, punctuation, spelling and mechanics.

Ejraee, Baradaran and Sharif (2014) also considered writing as a difficult learning skill that is needed by EFL students from primary to higher education. Therefore, as Ahn (2014) concluded, writing should be re-evaluated by teachers, educators and students as well. A number of studies show that English teachers often look for more effective methods to teach writing. For example, in their study, Gorjian, Pazhakh and Parang (2012) introduced critical thinking (CT) as one of the best approaches to improving

EFL students' ability to create effective writings. In another study, Mahmoud (2014) proposed cooperative language learning (CLL) as a useful way to leave a positive impact on the writing performance of students. However, neither of these studies considered the effect of reading-writing integration as an instrumental technique to lessen the difficulty of writing in educational contexts.

According to Ibrahim (2006), since the 1960s, the traditional ways of teaching and learning writing (formalistic) were gradually replaced by a new impressive model called 'response students', also known as 'reader response theory' (Watson, 2005).

Writing was no longer perceived as an individual task taught separately from other language learning skills. It was instead viewed as a process of pedagogy (prewriting, drafting and post writing) through which students learned to make a relationship between what they read and what they tend to write (Kennedy, 1994). This theory was like a revolution in the arena of teaching writing. Zamel (1987) believed that process writing pedagogy benefits ESL students in several ways. It requires students to put their concern about rhetorical structures away and just focus freely on writing. It also gives them the opportunity to employ reading to generate a variety of ideas. As Watson (ibid) claimed, even with the emergence of this fruitful theory, students' writing is not improved as much as expected. To overcome this shortcoming, this study was aimed at using Watson's (2005) theory of process writing

pedagogy which considers writing as a process including pre-writing, drafting and post-writing to see whether reading-writing reconnection has this capability to increase the writing knowledge of EFL students.

READING IN RELATION TO WRITING

So far, a large number of definitions for reading have been proposed by different well-known and less famous researchers. Some describe it as a solitary class activity (Gough, 1995), while others view it as a social act that is more or less in relation with other learning skills, especially writing (Carrell, 1988). However, reading is best defined as an interactive or socio-cognitive process that results in creating meaning from the printed text (Alderson, 1984). Therefore, meaning creation is the production of a close negotiation between reading on one hand and writing on the other. As Horning and Kraemer (2013) mentioned, if readers *read to analyse* different parts in a text, if they *read different reading passages* on a similar topic, if they *evaluate what they read*, and only if they *generalise what they read* to their personal life and experiences, will meaning be conveyed through the interaction of both reading and writing.

In his study, Ahn (2014) suggested a pedagogical writing technique, namely, critical reading, to English teachers from Korea to help their students develop their writing skill. According to the results of the study, he claimed that critical reading is a positive, effective and beneficial reading strategy that can be used by Korean

teachers to help their students improve their expository essay writing.

In another study, Alqadi and M-Alkadi (2013) investigated the impact of extensive reading on development of EFL freshmen's writing in terms of grammatical accuracy. The outcomes of the study indicated that extensive reading saliently improved the grammatical accuracy of the EFL freshmen of Al-al-Bayt University. Similarly, another study conducted by Chuenchaichon (2011) on the impact of intensive reading on the written performance of Thai University EFL writers revealed an increase in grammatical accuracy.

Abdul-Majeed (2013), as a supporter of reading-writing association, points out that there is a decrease in the use of reading in composition classes. According to Jolliffe (2007, p.473), reading is a concept that is largely absent from the theory and practice of college composition. Subsequently, the study discusses the merits of connecting reading to writing to develop the writing performance of EFL students.

RELATED LITERATURE

The integration of L2 reading and writing to develop EFL students' literacy learning has been studied by numerous researchers (Ito, 2011). Li and Yang (2014) bore part of the weight of this notion by stating that teaching reading and writing together is a beneficiary methodology to promote Chinese EFL students' reading and writing. Similarly, Plakans and Gebril (2012) demonstrated some advantages of connecting reading and writing. The

following steps were suggested. First, the reading sources used tend to help students gain ideas about the topic. Next, the reading sources used also shape opinions related the topic. Finally, the texts in the resources can be used for evidence and language support. The significant role of reading into writing on students' language learning development was also emphasised in a study investigated by Durukan (2011, p102). He declared that among the four language skills, reading, together with writing, was the first skill to be learnt. It is also known that, in the learning process, there is a high correlation between reading comprehension and writing achievement. Esmaili (2002) pointed out that if reading and writing could be used together, there is a positive impact on students' academic success. Yoshimura (2009) presented the close relationship between reading and writing in an extremely artistic way. Yoshimura (ibid) remarked that reading and writing played a complementary role. If characteristics that are missed in methods of reading can be effectively addressed in writing programmes and vice versa, then students' composition skills will begin to grow.

According to Tuan (2012), the correlation between reading and writing helps EFL students improve their writing skill. However, despite the fair amount of studies that have been conducted in this field, Horning (2007; 2013) still believed that even in the United States, where English is spoken as a first language, connecting reading and writing to facilitate learning is not paid sufficient attention to by instructors.

Jolliffe (2007), one of the famous scholars of reading and writing studies, agreed with this and mentioned that in almost all writing classes, reading is treated as an alien concept, showing that students are not involved in reading as much as expected.

Kroll (1993) expressed his concern regarding the reading and writing disconnect when he stated that most English instructors teach reading separately from writing. Hirvela (2004) continued that in composition classrooms, reading is largely overlooked by both students and teachers. Hirvela (ibid) added that a simple justification for this phenomenon is that the teachers do not have sufficient and required knowledge to interrelate reading with writing in writing courses. One of the areas that are badly affected by the results coming from the disconnect between reading and writing skills (Shuying, 2002; Hirvela, 2004) is writing, which has been considered by many EFL/ESL students as a difficult task to master (Heffernan, 2006). In order to address this serious issue in the literacy context, the present study was aimed at examining the effectiveness of integrating reading and writing skills in EFL students' writing by relying on the reading-writing reconnection theory by Horning and Kraemer (2013). According to this theory, reading can or should be used as an effective method to teach/learn writing effectively in high schools and colleges.

METHODOLOGY

As Dörnyei (2001) stated, the combination of qualitative and quantitative approaches can

neutralise the demerits of each approach and can also create the best outcomes in a research study. Therefore, in this study, a mixed-method approach of both the quantitative and qualitative designs was adopted. The quantitative approach consisted of frequency analysis of the tagged part-of-speech (POS) in the corpus while the qualitative approach included the identification of the structural strategies used by the participants while writing and the interpretation of the semi-structured interviews.

Research Instruments

Applying CACA (computer assisted corpus analysis)

Manvender (2014) proposed an easily replicated method of corpus analysis known as the computer assisted corpus analysis or CACA for short, which uses a genre-specific corpus compiled from written texts. The compiled corpus is then computer-tagged accordingly and analysed using various concordance software. The compiled corpus is used as a tool leading to various linguistics investigations (Manvender & Sarimah, 2010; Manvender, Yasmin, & Sarimah, 2012; Manvender, 2014), depending on the requirements of each individual study conducted. The corpus analysis included various structural analyses, syntactical analyses and grammatical analyses with supplementary frequency analyses (Manvender & Sarimah, 2010).

Anthony (2013), the founder of AntConc (a free corpus analysis software), borrowed Biber, Conrad and Reppen's (1998) definition of corpus linguistics

to describe it as a computerised method of analysing lexical and grammatical patterns of a language both qualitatively and quantitatively. Thurstun and Candlin (1998) defined it as the representative of the use of language in real life.

Recently, numerous studies have been conducted regarding the benefits of employing corpus linguistics to analyse students' L2 writing performance (Botao, Min, & Yunxia, 2010; Manvender & Sarimah, 2010; Roemer & Wulff, 2010; Anthony, 2013; Yoon & Jo, 2014). For instance, Yoon and Hirvela (2004) studied the efficacy of corpus use on L2 writing construction. It was concluded that the corpus approach had a positive impact on L2 students' writing performance.

Manvender and Sarimah (2010) employed corpus linguistics to assess the grammatical structures in a learner corpus. The findings of this study introduced the computer-based method of genre analysis known as CACA, which is highlighted as an appropriate, time-saving, quick and easy approach to interpret L2 learners' grammatical linguistics knowledge. Since previous studies in EFL students' literacy development have utilised complicated corpus-based methods to check students' writing skill, the present study replicated the genre-based corpus analysis model as proposed by Manvender, Yasmin and Sarimah (2012) as one of the easiest and time-saving methods to both evaluate EFL students' writing ability and facilitate their language learning process.

Semi-structured interviews

Turner (2010) stated that an interview is a dialogue happening between the interviewer and the interviewee for a specific purpose. Interviews give the researcher an opportunity to access the participants' perceptions, feelings and opinions that are unobservable. Thus, this study used semi-structured interview questions adapted from Al-Ghonaim's (2005) study in order to qualitatively analyse the participants' attitudes towards the integration of reading and writing (please refer to Appendices A and B) before and after the intervention.

While Al-Ghonaim (ibid.) used three different forms of interview namely one unstructured interview, two semi-structured interviews (Interview One & Final Interview) and one mid-interview, this study only relied on the open-ended semi-structured interview to disclose participants' beliefs about reading-writing integration. The first interview consisted of 24 questions. However, the researcher of this study extracted only the most relevant questions. The overall aim of the first interview was to collect in-depth information on students' past experiences about learning English, particularly reading and writing before the beginning of the intervention. After the intervention was performed, the participants were given the final interview including 32 questions.

Some questions which were considered irrelevant to the topic under discussion were omitted. The participants in this study were asked to talk freely because the more they talked, the more the interviewer

would learn (Lincoln & Guba, 1985). The interviews, which were tape-recorded, took 20 minutes. At the end, the responses to both interviews were compared with each other to see whether there were any changes in participants' beliefs regarding the integration of reading and writing.

The respondents

According to McMillan and Schumacher (2009), the population in statistics includes all members of a defined group that are being studied or collecting information for data collection. In this study, a total number of five respondents, 2 male and 3 female EFL students studying in a selected international school in Kuala Lumpur, Malaysia were purposively selected. The participants were aged between 15 and 17 years old. They were required to sign a letter of consent before the study began (see Appendix C).

Farhady, Hezaveh and Hedayati (2010) reviewed EFL education in Iran before the revolution until recent days. They stated that the history of Iran is divided into two main periods: pre-revolution and post-revolution. Before the revolution in Iran in 1981, English enjoyed very high status. It played a very significant role in commerce, education and the army. After the revolution, however, English was not paid sufficient attention and even worse, it was considered a threat to the national language, that is, Persian. English was no longer a social need or an essential requirement for students who decided to enter the labour market. Although stabilised at the present

time, English teaching and learning still need to be improved greatly in the following sections: students' beliefs about English, teachers' methods of teaching English, theories of teaching English, schools' curricula of teaching reading and writing (Shabani, 2013; Sadeghi, 2013), among others. This study, hence, intended to select Iranian EFL students to collect their ideas about the impact of the reading-writing connection on their writing enhancement in order to help the researcher discover the strengths and weaknesses of students in reading and writing, and propose to them a new model of improving their writing skills i.e. via an integrated programme that has been overlooked in school curricula for many years (Razmjoo & Riazi, 2006).

The corpus analysis – POS tagging

In order to access the structures and strategies used by the writers, it was first necessary to compile a corpus. First, the written texts produced by participants during the pre-test were gathered and stored as several files in a folder created in the computer. Then, each written document was changed into plain text format and saved as a new file in the folder. Next, the files were opened and edited using Notepad ++ 6, which is installed on most computers equipped with Windows 2010 or above.

The files were saved and coded in the computer as WT, as a raw corpus for the analysis. Then, the corpus was POS-tagged using the online version of the CLAWS tagger. This was done using a tagging

software programme called CLAWS¹ Tagger with an accuracy of 96-97% and an error rate of 1.5%. This automatic tagger includes two main tagsets; C5 carrying 62 tags and C7 Tagset with 152 tags used for larger corpora. CLAWS5 also consists of a series of codes for POS tagging (see Appendix D) and three main modes namely horizontal, vertical and html. For the purpose of this study, both the horizontal style illustrating a general picture of linguistic structures of a text and the vertical style disclosing the most commonly made errors or mistakes by the participants in the pre-test and the post-test were employed to tag the corpora. An example of a tagged text (a written text produced by one of the participants), which is horizontally tagged, is shown in Table 1.

The horizontally tagged texts in the pre-test were coded as HTGDPreWT and saved as new files in the folder in the computer. One of the positive aspects of horizontal tagging is that it breaks sentences and therefore, helps to find the syntactical and semantic errors the participants commonly make while writing (Manvender & Sarimah, 2010). Another advantage is related to the high capability of horizontal tagging in making powerful comparisons between two corpora.

¹CLAWS is the abbreviation for Constituent Likelihood Automatic Word-tagging System. It was first explored by UCREL (University Centre for Computer Corpus Research on Language) for use in POS (Part-of-Speech) tagging. CLAWS4 Tagger is commonly used to tag the British National Corpus (BNC) including 100 million words.

TABLE 1
A Horizontally Tagged Text

<p>School_NN1 is_VBZ a_AT0 place_NN1 to_TO0 study_VVI ,_PUN learn_VVB and_CJC also_AV0 improve_VVB our_DPS education_NN1 ._SENT -----_PUN There_EX0 are_VBB many_DT0 things_NN2 in_PRP school_NN1 that_CJT we_PNP can_VM0 enjoy_VVI ._SENT -----_PUN</p> <p>Individual Sentences</p> <p>1. School_NN1 is_VBZ a_AT0 place_NN1 to_TO0 study_VVI ,_PUN learn_VVB and_CJC also_AV0 improve_VVB our_DPS education_NN1 ._SENT -----_PUN</p> <p>2. There_EX0 are_VBB many_DT0 things_NN2 in_PRP school_NN1 that_CJT we_PNP can_VM0 enjoy_VVI ._SENT -----_PUN</p>

(Text used: HTGDWT2)

TABLE 2
POS Vertical Tagging

0000003 312 -----	
0000003 320 So	97 RR
0000003 330 every	93 AT1
0000003 340 one	93 [PN1/63] MC1/37
0000003 350 have	93 VH0
0000003 360 responsibility	03 NN1
0000003 370 against	93 II
0000003 380 schools	93 [NN2/100] VVZ%/0
0000003 381 .	03 .
0000004 001 -----	

(text used: VTGDPosWT3)

TABLE 3
Frequency of NOUNS (Pre-test)

Corpus Files	NN0	NN1	NN2	NP0	PNP	Total
TGDPreWT1	1	60	44	12	12	129
TGDPreWT2	0	41	12	4	11	68
TGDPreWT3	1	16	42	0	6	65
TGDPreWT4	0	19	7	1	18	45
TGDPreWT5	1	25	34	0	10	70
Total	3	161	139	17	57	

TABLE 4
Frequency of LEXICAL VERBS (Pre-test)

Corpus Files	VBB	VVB	VVG	VVI	VVN	VVZ	Total
TGDPreWT1	11	7	3	9	1	6	30
TGDPreWT2	3	5	0	7	1	7	19
TGDPreWT3	8	11	1	7	2	2	23
TGDPreWT4	1	6	3	6	0	0	16
TGDPreWT5	10	9	3	8	0	5	25
Total	33	37	10	37	4	20	

POS vertical tagging also plays a significant role in the analysis of participants' writing tasks. Unlike horizontal tagging, which segments sentences in an intensive way, the vertical tagging system allows the researcher to explicitly view each sentence separately in a vertical form. The following is an example of a vertically tagged corpus.

Subject-verb agreement (SVA). In order to check whether the written texts produced by the participants followed the basic rule of creating an English sentence i.e. singular subjects need singular verbs; plural subjects need plural verbs, the frequency of the NOUNS (NN0, NN1, NN2) and LEXICAL VERBS (VBB, VVB, VVG, VVI, VVN, VVZ) in both the pre-test and post-test were analysed using AntConc². Differences seen in participants' use of SVA were examined at the same time. Frequency of nouns and lexical verbs are illustrated in Table 3 and 4 respectively.

As shown in Table 3, NN1 is the most frequently used word compared with other forms of nouns. In the corpus file coded as TGDPreWT1, for instance, it was used 60 times. Another form of noun, which was the second most frequently used POS, was coded as NN2 (plural common noun) with an occurrence of 161 times. PNP and NP0 were other important nouns that are distributed very often in the texts i.e. 57 times and 17 times, respectively.

²AntConc, first developed by Laurence Anthony, is a computerised system of checking concordances and repetition of words or key words in a text. It is a freeware programme easy to be used.

Finally, NN0 occurred with the lowest frequency (3 times) in participants' written texts.

As disclosed in Table 4, VVB (the base form of a verb) and VVI were the most recurring lexical verbs seen in participants' written texts. The number of occurrences of VVI was recorded 37 times during the frequency analysis. VBB was the second most frequently used verb, with the frequency of occurrences as many as 33 times. VVZ appeared 20 times while VVG appeared 10 times. Subsequently, VVN occurred 4 times as shown in the table.

According to this frequency table, NN1 possessed the highest frequency. Participants used it 249 times. Another frequently chosen noun by the participants was the plural common noun form, which was coded as NN2 and occurred 116 times, followed by PNP, which appeared 107 times. NP0 and NN0 were considered nouns with a very low frequency as these two noun forms only appeared 16 and 3 times, respectively, in the students' written texts.

Table 6 reveals that the range of nouns in participants' written texts was from 11 to 63. While VVB occurred 63 times and had the maximum frequency, VVG and VVN have an equal number of occurrences, which was 11 times. These two verbs seemed to be the least frequently used verbs in the texts.

TABLE 5
Frequency of NOUNS (Post-test)

Corpus Files	NN0	NN1	NN2	NP0	PNP	Total
TGDPostWT1	2	86	24	16	65	193
TGDPostWT2	0	47	20	0	0	67
TGDPostWT3	0	24	29	0	11	64
TGDPostWT4	0	72	14	0	21	107
TGDPostWT5	1	20	29	0	10	60
Total	3	249	116	16	107	

TABLE 6
Frequency of LEXICAL VERBS (Post-test)

Corpus Files	VBB	VVB	VVG	VVI	VVN	VVZ	Total
TGDPostWT1	7	27	1	24	1	3	63
TGDPostWT2	2	13	3	5	5	0	28
TGDPostWT3	8	2	3	8	1	4	26
TGDPostWT4	2	13	1	16	2	1	35
TGDPostWT5	11	8	3	7	2	4	35
Total	30	63	11	60	11	12	

RESULTS

Quantitative Results

CACA provided the researcher with useful information to explore common structural errors EFL participants make while writing an informative essay. The findings indicated that before the intervention, the written texts produced by the participants presented a high number of issues in different aspects of writing. For instance, due to lack of knowledge and sufficient reading regarding where to put a full stop, one of the participants in this study could only create a total number of five sentences in his five-paragraph essay in the pre-test. A small part of his writing vertically tagged is illustrated in Table 7.

As seen in Table 7, punctuation was weakly used by the writer particularly when a comma (120) was wrongly replaced by a full stop. Instead of ending the first sentence

with a dot, the author used a comma, which indicated that the sentence was continuing. However, this serious error was reduced after the participant was required to read the reading passages related to the topic he had already written about. The number of sentences created by him was increased from 6 to 10 after the intervention. The use of a full stop in its right time and place helped the participant make more meaningful sentences. As Watson (2005) claimed, in order to write well, students needed to take a pre-writing step in which they were assisted to brainstorm ideas, learn new words and structures etc. through reading passages. At this point, the integration of reading with writing also became significant as Horning and Kraemer (2013) believed that the real nature of reading is to teach students how to read and what to write. After being aware of the benefits of

reading-writing connection through the pre-writing process, the participant mentioned above could successfully develop his writing

skill. As a good sample, two of the sentences produced by him in the post-test are displayed in Table 8.

TABLE 7
Pre-Test Punctuation Error Sample

0000004 010 Many	00 DT0
0000004 020 people	00 NN0
0000004 030 believe	00 VVB
0000004 040 that	00 CJT
0000004 050 ,	00 PUN
0000004 060 schools	00 NN2
0000004 070 have	00 VHB
0000004 080 many	00 DT0
0000004 090 advantages	00 NN2
0000004 100 and	00 CJC
0000004 110 disadvantages	00 NN2
0000004 120 ,	00 PUN
0000004 130 some	00 DT0
0000004 140 times	00 NN2
0000004 150 the	00 AT0
0000004 160 disadvantages	00 NN2
0000004 170 are	00 VBB
0000004 180 more	00 DT0
0000004 190 than	00 CJS
0000004 200 benefits	00 NN2
0000004 210 ,	00 PUN
0000003 320 so	00 CJS

TABLE 8
Post-Test Punctuation Error Sample

0000005 332 -----	
0000005 340 Playing	93 [VVG/100] NN1%/0 JJ%/0
0000005 350 a	93 AT1
0000005 360 sport	93 [NN1/100] VV0%/0
0000005 370 gives	03 VVZ
0000005 380 a	93 AT1
0000005 390 teen	93 NN1
0000005 400 the	93 AT
0000005 410 ability	93 NN1
0000005 420 to	97 TO
0000005 430 use	97 VVI
0000005 440 their	93 APPGE
0000005 450 brain	93 [NN1/100] VV0%/0
0000005 460 in	93 [II/99] RP@/1
0000005 470 the	93 AT
0000005 480 better	93 [JJR/99] RRR/0 NN1%/0 VV0%/0
0000005 490 ways	93 NN2
0000005 491 .	03 .
0000005 492 -----	

Or

0000007 302 -----	
0000007 310 In	93 [II/99] RP@/1
0000007 320 my	93 APPGE
0000007 330 opinion	03 NN1
0000007 331 ,	03 ,
0000007 340 they	93 PPHS2
0000007 350 should	93 VM
0000007 360 change	97 VVI
0000007 370 teachers	03 NN2
0000007 371 ,	03 ,
0000007 380 so	93 [CS@/82] RR/18 RG/0
0000007 390 they	93 PPHS2
0000007 400 can	93 [VM/100] VV0%/0 NN1%/0
0000007 410 see	97 VVI
0000007 420 progresses	93 VVZ
0000007 430 on	93 [II/88] RP@/12
0000007 440 students	93 NN2
0000007 441 .	03 .
0000007 442 -----	

(text used: VTGDPostWT3)

TABLE 9
Subject-Verb Agreement (Pre-Test)

SVA1	SVA2	SVA3	SVA4
Subject: Education	Subject: one of the most important factors	Subject: the child	Subject: not every child
Verb: has	Verb: is	Verb: must be	Verb: has & get

(Source: PreWT1)

TABLE 10
Subject-Verb Agreement (Post-Test)

SVA1	SVA2
Subject: I	Subject: my school
Verb: like	Verb: has

(Source: PostWT1)

The analysis of Subject-Verb Agreement before and after the intervention is also another benefit from CACA. It revealed that except in one case, no special difference was seen in participants' written texts in accordance with SVA before and after the intervention. The following is a tagged written text produced by one of the participants in the pre-test and post-test.

Coded Corpus File: TGDPreWT1

Sentence Sample No. 1:

Education_NN1 has_VHZ a_AT0 very_AV0 important_AJ0 role_NN1 in_PRP every_AT0 childs_NN2 role_NN1 ,_PUN and_CJC one_CRD of_PRF the_AT0 most_AV0 important_AJ0 factors_NN2 is_VBZ that_CJT the_AT0 child_NN1 must_VM0 be_VBI happy_AJ0 about_

PRP the_AT0 school_NN1 and_CJC goes_VVZ to_PRP school_NN1 with_PRP love_NN1 ,_PUN because_CJS not_XX0 every_AT0 child_NN1 has_VHZ the_AT0 opportunity_NN1 to_TO0 go_VVI to_PRP a_AT0 good_AJ0 school_NN1 and_CJC get_VVI a_AT0 good_AJ0 education_NN1 ._SENT -----_PUN

Coded Corpus File: TGDPostWT1

Sentence Sample No. 2:

I_PNP like_VVB our_DPS teachers_NN2 ,_PUN sport_NN1 fields_NN2 and_CJC our_DPS canteen_NN1 ._SENT -----_PUN But_CJC my_DPS school_NN1 has_VHZ a_AT0 lot_NN1 of_PRF problems_NN2 ._SENT -----_PUN

As shown in Tables 9 and 10, most subjects were correctly matched with the verbs chosen by the participants in both the pre-test and post-test.

Although the analysis of Subject-Verb Agreement did not indicate any specific change(s) in the participants' writing task after the intervention, it gave this opportunity to the researcher of this study to disclose other syntactical mistakes/errors the participants had made during the pre-test and post-test. One of these mistakes/errors was related to the participants' inability in attributing possession to someone or something. For instance, the participant whose written text in the post-test was coded as PostWT1 did not show the same competency in other grammatical rules of producing an English sentence. Her deficiency in giving possession allowed the researcher to find other mistakes in

her writing. For example, by moving around the phrase "every child's role", the researcher figured out that the participant was probably suffering from lack of vocabulary and knowledge of punctuation rules. The researcher also found that the participant was not strong enough to create concise meaningful sentences. Instead of producing different individual sentences, the participant used several subjects and verbs to write just one long sentence, which was not well constructed. This was more evidence of the participant's inability to (re)unite reading with writing. According to Horning and Kraemer (ibid), more reading leads students to more knowledge of vocabulary and grammar.

In order to check whether these grammatical mistakes had been overcome or even reduced in the written text produced by the same participant after the intervention, the researcher made a comparison between the quality of the sentences in her first writing paper with that of her final written text. The first sentence of her second writing is displayed below.

Coded Corpus File: TGDPostWT1

Sentence Sample No. 1: -----_PUN My_DPS school_NN1 has_VHZ a_AT0 lot_NN1 of_PRF things_NN2 that_CJT we_PNP can_VM0 enjoy_VVI ._SENT -----_PUN I_PNP like_VVB our_DPS teachers_NN2, _PUN sport_NN1 fields_NN2 and_CJC our_DPS canteen_NN1 ._SENT -----_PUN

Taking a closer look, it is extremely obvious that the participant's writing was

considerably developed. Apart from SVA, which remained the same, in her final writing task after the intervention, long non-sense sentences were replaced by a number of short, meaningful sentences. The participant also followed the rules of punctuation. As shown above, the first sentence was separated from the second sentence by a full stop, which was rarely used correctly in her first written text. The correct use of a common noun (NN) between nouns in the second sentence has also increased the validity of this sentence in terms of syntax and semantics.

Qualitative Results

The two semi-structured interviews helped the researcher collect necessary information on participants' attitudes towards writing, reading and the efficacy of connecting reading and writing at the beginning and end of the course. Before the intervention, participants were asked to provide answers to two key questions;

1. *What's your idea about writing?*
2. *Does reading improve writing?*

All the participants found writing a difficult and frustrating activity in class. Actually, it was one of the main reasons that the participants did not show any interest to participate in this study before the researcher described the procedure. Responses suggested by two of the participants are provided below:

Respondent 1A:

Before the intervention, he believed that writing was a very complicated activity

compared with other skills. He said that *"I am sure that people laugh at my writing when they read it."* After being asked to explain the reason for that he stated that, *"I had a serious problem with writing from the beginning of learning this skill, but because I didn't have a good teacher, my writing didn't improve."* He continued that, *"And I myself didn't put any effort to learn writing through the use of other sources like online language learning."* When he was asked whether reading could develop his writing ability, he replied, *"I am not sure but I think it can."*

After the intervention, Respondent 1A stated that his writing had significantly improved. He said he was able to identify and knew the common mistakes and errors that he usually made while writing. The intervention had made him write *'better'*. In addition, he felt that reading had a positive impact on writing. He said he copied some useful phrases and grammatical structures from the reading passages he was given during the intervention, in order to produce his second writing paper which was written *'more properly'*.

Respondent 2M:

Although her writing competence was higher than that of the other participants, she also described writing as a difficult activity to master before she was taught to write using the intervention. She stated that *"When I see a topic that I can't write about, I get stressful and lose my confidence."* She mentioned that *"there is a connection between reading and writing, but I don't know how to connect them together."*

She also pointed out that her English teacher only taught students the principles of writing and she rarely used reading materials in writing class.

However, after the intervention, Respondent 2M's view towards writing changed a little. She stated that she had learnt how to write an essay by connecting reading and writing on the one hand and following the instructions of writing a good essay proposed by the researcher of this study, on the other. According to Respondent 2M, her self-confidence increased after she was exposed to the intervention.

The findings of the first and final interviews also showed that before the participants entered the intervention stage, they reported that they spent very little time reading a book, either in their language or in English. According to them, that was the reason they did not have sufficient knowledge to write about the topic that was assigned to them.

After the intervention, three out of five participants attempted to read about what they wanted to write. They believed that, in this way, they were able to catch a variety of ideas, new words and structures that could help them write satisfactorily.

LIMITATIONS

One of the limitations of this study was the length of time to teach the intervention to the participants. In this study, the intervention took three to four weeks to be taught. However, it can be extended, for example, to one year, if better/more valid

results are expected to be achieved. In doing so, the fear of students' returning to their old and own way of learning i.e. learning autonomously will be decreased. Another issue that should be considered as another limitation of this study is that although there are many other methods to improve students' writing performance, this study only focused on one aspect of reading i.e. integrating reading and writing to develop students' literacy skill as the best technique to teach/learn writing effectively. Further studies might be undertaken in testing other ways such as the use of reading strategies, reading aloud techniques, or reading with fun for students' writing enhancement. This study is also restricted to EFL students from Iran. Future studies can change the context and examine the effects of reading to writing on ESL students from other countries such as Malaysia.

DISCUSSION

There are several features that make this study unique. Firstly, only a few studies have been conducted to investigate the efficacy of the integrated approach (reading and writing) on Iranian EFL learners' writing improvement in writing classes. Therefore, this area needs much more attention. In addition, these studies have not focused on writing problems encountered by Iranian EFL students studying outside Iran, for example, in Malaysia. To the best of the authors' knowledge, no report has been found so far using CACA (Manvender, 2014) to evaluate Iranian EFL written texts in an ESL context.

This computer-based technique enables participants to identify their grammatical errors as well as a wide range of new vocabulary and phrases needed to create a satisfactory piece of writing. This study also addressed the language requirements of Iranian school curricula in which English skills, particularly reading and writing, are frequently taught separately.

Secondly, the results of this study can be also generalised to those students studying in Malaysian schools where writing is still treated as an alien concept (Ghabool, Mariadass, & Kashef, 2012). This study gives students an opportunity to acquire two complicated language learning skills i.e. reading and writing at the same time. The benefits of POS vertical tagging for EFL students' grammar correction was rarely emphasised by previous research studies. This study used vertical tagging of words to check if there are any syntactical differences in participants' written texts after the intervention.

The combination of reading and writing process pedagogy not only assisted students who looked at writing as a process which consists of pre-writing, writing and post-writing (revision), but also taught them how to employ the reading strategy to successfully engage in and master these three phases in writing. Reading needs writing and writing well requires a sufficient amount of reading.

CONCLUSION AND RESEARCH IMPLICATIONS

According to previous studies, reading and writing are two skills that are closely

and tightly connected to each other (Yoshimura, 2009; Ghorbani *et al.*, 2013). The improvement of one leads to the development of the other. However, there are some students and even teachers who are not conscious of this relationship to facilitate language learning (writing, specifically) yet. Thus, the present study addressed this gap in literature and literacy context by investigating the effect of reading-writing integration on the writing performance of both male and female students studying in a selected international school in Malaysia.

It is hoped that the results of this study confirm the positive efficacy of instruction through reading passages for the enhancement of students' writing ability. It is also predicted that the findings of this study can assist students learning English as a foreign language to enrich their ability to write by employing more reading while composing a text. Students can be encouraged to read more through several intervention strategies such as giving them their favourite topic to read, selecting interesting reading passages for them to read and asking them to integrate reading to writing with the use of a variety of fun activities such as retelling the story etc. Since students mostly deal with writing through their school days, this skill needs to be paid enough attention and should be improved by improving other skills such as comprehension (meaning), word use (vocabulary expansion) and grammatical structures, which can occur by reading the works of other writers. This

study introduced a modern and a quick way of writing evaluation called Computer Assisted Corpus Analysis not only to EFL teachers around the world but also to EFL students to help them become independent evaluators of their own writing. The effect of integrating reading and writing in other skills such as speaking or listening can also be a case study for further research. This study only selected Iranian students studying in a selected international school in Malaysia. Future research can focus on other students such as locals who are studying in a local school in Malaysia. This study only used EFL students studying in secondary school as the sample of the study. Further studies, however, are recommended to investigate the effectiveness of the reading to writing method on other students who are studying in other levels of education such as primary school students or university students. Covering these suggested areas in language and linguistics will certainly promise students a brighter future as they learn a language more effectively.

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Appendix A - Interview One

1. Please talk about your experience of learning English and learning writing.
2. Describe the previous English writing courses that you took.
3. Can you tell me how the writing courses are planned and organised in your country?
4. Is there reading in the writing courses in college?
5. What do you think of that?
6. Is it bad or good?
7. Do you read much in your language?
8. If yes, what do you like to read?
9. Do you read in English?
10. If yes, what do you like to read?
11. If no, why do you not read in English?
12. How do you feel about writing in your language?
13. How do you feel about writing in English?
14. Do you think reading in the course will help you?
15. Do you know how the reading will help you?
16. What are the strongest traits that you have as a writer?
17. What are your weakest traits as a writer?
18. What do you do first when you begin writing about a given topic?
19. Do you revise?
20. If yes, what kind of changes do you make?
21. Do you understand why reading is required in this course?
22. What do you think of this course?

Appendix B - Final Interview

1. How do you think your writing has changed during this course?
2. Have your feelings about writing or your attitude toward writing changed? If so, how have these changed?
3. Has this course, the instructor, or your peers helped you in any way to overcome your difficulties with writing?
4. What problems do you think you have as a writer now?
5. Do you think a good writer is a person who reads a lot? If so, what do you think is the connection?
6. Do you think you should read more to help your writing? Please share your thoughts With me.
7. What problems do you have with the idea of using reading to help your writing assignment? In what ways do you think this might work to improve your writing?
8. Please complete the following sentences:
9. Writing a paper is like
10. Reading an essay is like
11. Why do you think the course has assigned readings?
12. What do you think you have learned from the readings? When you read anything else, do you try to use words, sentence patterns, or other strategies that the writer uses? Please be as specific as you can.
13. What do you think you have learnt from the exercises in the Writer's Reference?
14. Do you think these exercises have helped you write better? In what way?
15. Do you ever analyse your own writing?
16. Do you think you write the same way now as you did three weeks ago?
17. How do you plan to work on your writing in the future?
18. Will you keep your textbooks and handouts of this course for future reference?
19. What advice do you have for future students?
20. Closing- Do you have any other general comments about the use of reading in this writing course related to your progress in writing?

Appendix C - Consent Letter

Title: Enhancing Students' Composition Skills via Incorporation of Reading in the Writing Class

Involvement:

Principal Investigator: Hadis Habibi, 013-2959929

Dissertation Director: Dr. Manvender Kaur Chahal

University Utara Malaysia (UUM)

Overview: You are invited to participate in this research study, which I am conducting to fulfil the doctoral degree requirements at University Utara Malaysia (UUM) in Malaysia. The purpose of this form is to give you a written description of the research study so you may decide whether to participate or not. Your participation in this study is 100% voluntary. If you have any questions, please feel free to contact me.

Risks and benefits: The study does not include any known risks to the participants. The study primarily aims at increasing the students' awareness towards the reading-writing relationship. It also brings the students' attention to the importance of writing in EFL contexts.

Compensation: Not applicable

Handling discomfort or injury: Not applicable

Confidentiality: The names and samples of the subjects will remain of high priority to the researcher. The names will be disclosed only for showing some results in this study.

Voluntary participation: Your participation in this study is voluntary. You do not have to participate in this study if you feel uncomfortable with the study. Actually, you are free to decide not to participate in this study, limit your participation or withdraw at any time. If you decide to withdraw, please inform me. Be assured that the data collected during the study will be disposed of and will never be used for this or by any means. You have the ultimate right to stop during the interview, ask for more clarification or exclude any information you presented.

Signature: If you choose to participate, please sign below.

Thank you for your participation.

Name of participant:

Signature of participant:

Appendix D - UCREL CLAWS5 Tagset

AJ0	adjective (unmarked) (e.g. GOOD, OLD)
AJC	comparative adjective (e.g. BETTER, OLDER)
AJS	superlative adjective (e.g. BEST, OLDEST)
AT0	article (e.g. THE, A, AN)
AV0	adverb (unmarked) (e.g. OFTEN, WELL, LONGER, FURTHEST)
AVP	adverb particle (e.g. UP, OFF, OUT)
AVQ	WH-adverb (e.g. WHEN, HOW, WHY)
CJC	coordinating conjunction (e.g. AND, OR)
CJS	subordinating conjunction (e.g. ALTHOUGH, WHEN)
CJT	the conjunction THAT
CRD	cardinal numeral (e.g. 3, FIFTY-FIVE, 6609) (excl ONE)
DPS	possessive determiner form (e.g. YOUR, THEIR)
DT0	general determiner (e.g. THESE, SOME)
DTQ	WH-determiner (e.g. WHOSE, WHICH)
EX0	existential THERE
ITJ	interjection or other isolate (e.g. OH, YES, MHM)
NN0	noun (neutral for number) (e.g. AIRCRAFT, DATA)
NN1	singular noun (e.g. PENCIL, GOOSE)
NN2	plural noun (e.g. PENCILS, GEESE)
NP0	proper noun (e.g. LONDON, MICHAEL, MARS)
NULL	the null tag (for items not to be tagged)
ORD	ordinal (e.g. SIXTH, 77TH, LAST)
PNI	indefinite pronoun (e.g. NONE, EVERYTHING)
PNP	personal pronoun (e.g. YOU, THEM, OURS)
PNQ	WH-pronoun (e.g. WHO, WHOEVER)
PNX	reflexive pronoun (e.g. ITSELF, OURSELVES)
POS	the possessive (or genitive morpheme) 'S or '
PRF	the preposition OF
PRP	preposition (except for OF) (e.g. FOR, ABOVE, TO)
PUL	punctuation - left bracket (i.e. (or [)
PUN	punctuation - general mark (i.e. . ! , ; - ? ...)
PUQ	punctuation - quotation mark (i.e. ` ' “ ”)

PUR	punctuation - right bracket (i.e.) or])
TOO	infinitive marker TO
UNC	“unclassified” items which are not words of the English lexicon
VBB	the “base forms” of the verb “BE” (except the infinitive), i.e. AM, ARE
VBD	past form of the verb “BE”, i.e. WAS, WERE
VBG	-ing form of the verb “BE”, i.e. BEING
VBI	infinitive of the verb “BE”
VBN	past participle of the verb “BE”, i.e. BEEN
VBZ	-s form of the verb “BE”, i.e. IS, ‘S
VDB	base form of the verb “DO” (except the infinitive), i.e.
VDD	past form of the verb “DO”, i.e. DID
VDG	-ing form of the verb “DO”, i.e. DOING
VDI	infinitive of the verb “DO”
VDN	past participle of the verb “DO” i.e. DONE
VDZ	-s form of the verb “DO” i.e. DOES
VHB	base form of the verb “HAVE” (except the infinitive) i.e. HAVE
VHD	past tense form of the verb “HAVE” i.e. HAD, ‘D
VHG	-ing form of the verb “HAVE” i.e. HAVING
VHI	infinitive of the verb “HAVE”
VHN	past participle of the verb “HAVE” i.e. HAD
VHZ	-s form of the verb “HAVE” i.e. HAS, ‘S
VM0	modal auxiliary verb (e.g. CAN, COULD, WILL, ‘LL)
VVB	base form of lexical verb (except the infinitive) (e.g. TAKE, LIVE)
VVD	past tense form of lexical verb (e.g. TOOK, LIVED)
VVG	-ing form of lexical verb (e.g. TAKING, LIVING)
VVI	infinitive of lexical verb
VVN	past participle form of lex. verb (e.g. TAKEN, LIVED)
VVZ	-s form of lexical verb (e.g. TAKES, LIVES)
XX0	the negative NOT or N’T
ZZ0	alphabetical symbol (e.g. A, B, c, d)

(Source: <http://ucrel.lancs.ac.uk/claws5tags.html>)

Introduction Sections of Research Articles with High and Low Citation Indices

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ABSTRACT

Citation index for publication is one of the sought-after criteria for university ranking and it contributes to significant merits in an academician's performance evaluation. Citation indices are systematically generated to indicate the number of times a paper is cited by other writers. As such, it is deemed to be more neutral and unprejudiced in determining the value of the research articles. In view of the importance of citation index, this study compares the strategies used in presenting research work in the introductory sections of highly cited research articles and those that have never been cited. In order to be cited, the introduction section of the research article must be able to capture the interest of readers, which includes editors, reviewers, and the research community. Otherwise, readers may choose to read or cite other articles. Given the importance and complexity of an article, the introduction section is deemed to be the most challenging section to write by many scientific writers. Therefore, this paper compares the presentation of the introduction sections of Computer Science research articles in highly cited articles and those that have never been cited. A total of 127 research articles published in Scopus-indexed journals written by academicians from Malaysian universities were analysed using move analysis. The scheme for move analysis is derived from the CARS model (Swales, 2004). Apart from promoting the findings obtained in the research work, this study also suggests that the highly cited research articles have higher percentages of strategy realisation compared to research articles that have low citation.

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INTRODUCTION

Citation index for publication is one of the sought-after criteria for university ranking

in Malaysia. As such; citation index is a factor considered in the performance evaluation for academicians (Roosfa & Yahya, 2011; Singh, Thuraisingam, Nair, & David, 2013). In addition, citation index is systematically generated to indicate the number of times a paper has been cited by other writers since it is more neutral and unprejudiced in determining the value of the research article. Given the importance of the introduction section, this study compares the strategies used in presenting the introduction by highly cited research articles with those that are less cited.

The introduction section of the research article has been reported to be the most challenging section to write because this is where writers need to capture the interest of the readers. Apart from making a first impression, this section needs to provide the reader with adequate insight of the research to sustain his or her interest to read further. Otherwise, the reader may choose to read another article. The writing must consider its readership, which includes editors, reviewers and the research community. Apart from local readership, research articles intended for international journal publication must also be worthy enough for a global audience (Suryani, Salleh, Aizan & Noor Hashima, 2015). Therefore, the introduction section must be engaging enough for audiences from different regions.

Taking heed of the importance of writing good research article introductions, this paper compares the presentation of the introduction sections of highly cited Computer Science research articles with

those that have never been cited. The need for a study on specialised corpora for the specific of research and teaching purposes has been highlighted in many studies (Khamis & Abdullah, 2012; 2013). The results of this study confirmed that the highly cited research articles in this corpus are more inclined to promote the findings of the studies compared to the research articles that have never been cited. The findings may be useful for research article writers and language instructors. The model, corpus selection and analysis are presented in the next section. In the discussion section, the findings of this study are compared with other findings of similar research. This paper ends with some pedagogical implications and suggestions for future studies in the conclusion section.

MATERIALS AND METHODS

A total of 127 research articles published in Scopus-indexed journal written by academicians in Malaysian universities were studied using the Swales model (2004).

The Corpus

The investigation on the corpus began in September 2013. It is important to note that the citation indices used were the ones obtained during that period. Due to the dynamic nature of the Scopus database, the citation indices for the research articles may change from time to time and some titles may even be removed from the Scopus database (Sciverse, 2012). Despite its dynamic nature, Scopus is still chosen as the source for this database for the following reasons.

Firstly, the Ministry of Higher Education in Malaysia recognises scholastic journals published in the Scopus database. The recognition is evident through directives communicated to academicians (JPT, 2010; Ministry of Higher Education, 2011; Department of Higher Education, 2012; Ministry of Higher Education, 2012a). Scopus and ISI journals have been continuously mentioned as targets for publication. Moreover, the university authorities in Malaysia insist that academicians publish in Scopus, ISI and impact-factor journals and this aspiration is clear when some universities offer rewards to writers in the form of 'seed money' or research grants (UniMAP, 2010; UniMAP, 2011).

Secondly, Scopus is recognised as an acceptable and tangible return of revenue for research grants awarded by the main sponsoring bodies in Malaysia, namely the Ministry of Education (MOE) and the Ministry of Science, Technology and Innovation (MOSTI). Grants such as the Fundamental Research Grant (FRGS), the Experimental Research Grant (ERGS), the Long-term Research Grant (LRGS) (Ministry of Higher Education, 2012b) offered by the Ministry of Higher Education and MOSTI's Science Techno Fund expect publication to be one of the research outcomes. Ideally, the publication needs to be indexed in Scopus or ISI.

Finally, let us compare Scopus to Web of Science and Google Scholar. Scopus has been found to be more suitable for publication because not all universities in

Malaysia subscribe to the Web of Science database (Rizan, Hazry, Karthigayan, Nagarajan, Alajlan, Sazali, Azmi & Suryani, 2009). Consequently, a larger number of academicians have access to the Scopus database compared to those who have access only to the Web of Science database. In addition, the studies by Vieira and Gomes (2009), Falagas, Pitsouni, Malietzis and Pappas (2008), which compared Scopus with Web of Science, found that Scopus offered more coverage of articles than Web of Science. The studies also reported that search results using Google Scholar are more inconsistent and inaccurate as the "updates to Scopus and Web of Science were less frequent, generally on a weekly basis" (Falagas, Pitsouni, Malietzis, & Pappas, 2008; p.341). In short, not only does the Scopus database offer more research article titles, but it is also more accessible to the target group of the corpus; hence, it was the selected database of this study.

The corpus for this study is compiled into two groups. The research articles with six citations or more were grouped together as research articles with high citations, whereas those with zero citation index were grouped as research articles with no citation index. Research articles with one to five citations were not included in any group and were not counted in this analysis. The reason for doing this was to give the two groups a substantial or big difference in citation, which was needed to achieve the purpose of the analysis. The analysis was meant to obtain description of

the moves and steps used in higher-citation research articles compared to lower-citation research articles. Therefore, if the citations of the two groups differed just by one citation, the moves and steps in the research articles could also possibly have similar descriptions. By eliminating research articles with citations of one to five, a difference of six citations between the two groups would be achieved. A bigger difference between the two groups was needed to ensure that the two groups were significantly distinct and the

research articles were not in either group by chance. The tabulation of the citation in each group is displayed in Table 1.

In Table 1, the group of research articles with high citations consists of 62 research articles and the group with fewer citations comprises 65 research articles. For the analysis, the total of moves and steps for each group was converted to percentage, and comparisons were made between the moves and steps accomplished.

TABLE 1
Number of Research Articles by Groups

Citation group	Description	Number of research articles
Research articles with high citation	Citation 30 and above	6
	Citation 20 to 29	5
	Citation 10 to 19	31
	Citation 6 to 9	20
	Total	62
Research articles with low citation	Research article with zero citation	65

Swales Model

The Create-A-Research-Space (CARS) model was designed and revised by Swales through a series of modifications (Swales, 1987; 1990; 2004). The model was proposed following an analysis of 158 introductions in research articles written in English. It was developed to enable analysis on main rhetorical patterns of organising introductions in research articles and has been used in many research studies (Ahmad, 1997; Jogthong, 2001; Samraj, 2008). The CARS model (Swales, 2004) proposes that research article introductions are rhetorically structured and the rhetorical structures are realised using three moves. The three moves are

“Establishing a territory”, “Establishing a niche” and “Presenting the present work”. This paper reports on the realisation of Move 3 proposed in the model, namely, “Presenting the present work”.

Analysis Method

Move analysis is performed on the corpus using Move 3 in the CARS model (Swales, 2004) i.e. “Presenting the present work”. This model proposes a series of seven possible steps that can be used to realise this move consisting of one obligatory step, three optional steps and three other steps that are probable in some fields but unlikely to be used in others (PISF). The seven steps are as follows:

- Step 1: (Obligatory) Announcing the present research descriptively or purposively
- Step 2: (Optional) Presenting the research questions or hypothesis
- Step 3: (Optional) Definitional clarifications
- Step 4: (Optional) Summarising the research methods
- Step 5: (Probable in some fields, but unlikely in others) Announcing the principal outcomes
- Step 6: (Probable in some fields, but unlikely in others) Stating the value of the present research
- Step 7: (Probable in some fields, but unlikely in others) Outlining the structure of the paper.

Step 1, based on the model, can be fulfilled in two ways: purposively or descriptively. Presenting the present work purposively is by stating the purpose and reasons why the study is done and to present the work descriptively is by describing, listing and recounting the composition of the study. Shehzad (2011) elaborated that purposive announcement was that in which the authors “indicate[d] their main purpose or purposes or outline the nature of the study” and descriptive announcement was that in which the authors “describe[d] the main feature of their research”. In other words, this step is where readers are informed about the reasons and the rationale of the study being presented and this step is an obligatory step for this move.

The optional steps that can be used to realise the move of presenting the present research work listed in the CARS model (Swales, 2004) are “Presenting the research questions or hypothesis”, “Definitional clarifications” and “Summarising the methods”. The “Presenting the research questions or hypothesis” step was a new step added to the CARS model version of 2004. Prior studies (Posteguillo, 1999; Jugthong, 2001; Shehzad, 2011) or studies conducted using the CARS model version of 1987 and of 1990 did not look into this step and consequently, the data for a longitudinal comparison was more limited compared to the steps that were included in the earlier models. Even though the previous models did have the step, “Question raising”, this particular step was projected to realise the strategy for Move 2, which is “Establishing a niche”. Given that this particular step was intended to establish the research niche, comparing “Question raising” with “Presenting the research questions or hypothesis” would be inappropriate. The comparison would also be inappropriate as the latter is intended to realise the strategy on presenting the present research work rather than focusing on the research niche.

The PISF Steps

The PISF step refers to the steps that are “probable in some fields, but unlikely in others” (Swales, 2004). The three steps are “Announcing the principal outcomes”, “Stating the values of the present research” and “Outlining the structure of the paper”. Shehzad (2011) associated the

announcements of the principal findings and value of the research to “promotion strategy”. As a consequence of the various motivations in research article publication, authors need to inform readers of the principal findings and the value of the research much earlier in the paper. Informing the readers earlier means making the announcements in the introduction section rather than taking the chance that readers will continue to read until the results and discussion section. The results and discussion section is towards the end of the research article; hence, the probability of sustaining the readers’ interest until the end in order to discover the value of the research is taking a risk. However, these steps are non-obligatory and, while they may be apparent in certain disciplines, the steps could also be improbable in other disciplines. This study looks at the practice in the Computer Science discipline and compares the practice of research articles that have been highly cited with those that have never been cited.

Before elaborating on the findings of the different strategies used, the cut-off point for obligatory and non-obligatory classification must be established. The cut-off point for this analysis was set at 90% following the research by Sheldon (2011) and Soler-Monreal *et al.* (2011). The moves and steps with the realisation of 90% and more were appraised as obligatory while the realisation of less than 90% was considered as optional.

Previous studies have suggested that a move can be considered as obligatory or conventional. If the occurrence in the

corpus is at 60% or more, the move is considered obligatory; otherwise, the move is considered as optional (Kanoksilapatham, 2005; 2007). However, recent researchers propose that a move is “deemed to be classified as obligatory” only at 90% of the move realisation (Sheldon, 2011, p.241; Soler-Monreal *et al.*, 2011). This study adopts the view from Sheldon (2011) and Soler-Monreal *et al.* (2011) because these views are based on more recent studies in view of the competitive nature of research articles as a genre that is dynamic and that changes according to the needs and preference of the discourse community (Swales, 2004). Given that it has been a decade since the study by Kanoksilapatham (2005; 2007) was conducted, there is a possibility that the genre has undergone some changes over the decade. This is possible given the robust development in the discipline of Computer Science (Tedre, 2006).

RESULTS AND DISCUSSION

The corpus in this study showed that research articles with high citation have a higher percentage of realisation in presenting the research work. Ninety-seven percent of the highly-cited articles accomplished this strategy while only 83% of research articles with zero citation were chosen to utilise this move, bringing the percentage difference between the two groups to 14%.

Using the scale of 90% to classify the move status showed that the difference in percentage between the two groups was

significant. Presenting the present research work was considered an obligatory move among the highly-cited research articles whereas the move was considered optional among research articles with zero citation. The difference in percentage between the two groups in realising this move was also reflected in the different preference of the steps utilised in presenting the research work between the two groups.

The Obligatory Step

Compared with the research articles with zero citation, the highly-cited research

articles were more inclined to fulfill the CARS model (Swales, 2004). Step 1, which is “Announcing the present research descriptively or purposively”, occurred at the obligatory level among the highly-cited research articles, just as suggested in the model, whereas the research articles with zero citation adopted this strategy as an optional step. The percentage of occurrence for this step among the highly-cited research articles was at 92% while for the other group it was 75%. This step was deemed obligatory by the authors of the highly-cited articles.

TABLE 2
Results of Move Analysis

Move	Research article with high citation	Research article with low citation
Presenting the present work	97	83
Step 1 (Obligatory) Announcing present research descriptively and/or purposively	92	75
Step 2 (Optional) Presenting RQ or hypothesis	8	2
Step 3 (Optional) Definitional clarifications	18	20
Step 4 (Optional) Summarising methods	55	40
Step 5 (PISF) Announcing principal outcomes	14	12
Step 6 (PISF) Stating the value of the present research	44	28
Step 7 (PISF) Outlining the structure of the paper	36	20

TABLE 3
Comparison with the Previous Findings

Previous study on non-native writers	Result of presenting the present work
Fakhri, 2004	39%
Brionnes, 2012	30%
Sheldon, 2011	25%
This study – High citation	92%
This study – Low citation	75%

In comparing these findings with the findings from other studies (Table 3), it could be said that this step has been fairly utilised in the research articles in this study. Putting these findings side by side with similar studies on research articles written by non-native English writers (Fakhri, 2004; Brionnes, 2011; Sheldon, 2011), it can be seen that the percentage of occurrences for this corpus was much higher. Studies by Brionnes (2012) on research articles written by academicians in a university in the Philippines showed that only 30% or nine out of the 30 research articles stated the purpose of the study in the introduction section. Brionnes (2012) also stated that 26.66% of the research articles in the study did not present the present work (Move 3) in the introduction section at all. Instead of mentioning what the research was about in the introduction section, the research was only presented in the following sections.

Sheldon (2011) studied 54 Applied Linguistics research article introductions written by English natives and Spanish writers. The study found the percentage of realisation for this move by the Spanish writers was at 25%. Fakhri (2004) found that 39% of the Arabic research articles complied with the CARS model (Swales, 2004). Given that the studies by Fakhri (2004), Brionnes (2011) and Sheldon (2011) were done in disciplines other than Computer Science, the difference in the percentage could be attributed to the variations that existed across the disciplines.

Even though this study did not provide any evidence that can credit

the higher percentage for the strategy, “Presenting the present work”, to better writing strategies among academicians in Malaysian universities, the data showed that the percentage of accomplishment by the writers in this study was higher than the realisation by non-native English writers found in other studies (Fakhri, 2004; Brionnes, 2011; Sheldon, 2011). This percentage, however, is lower than the realisation found in studies using sampling on a global scale (Posteguillo, 1999; Atai & Habibie, 2009; Shehzad, 2011). In the studies by Atai & Habibie (2009), Posteguillo (1999) and Shehzad (2011), the selection of the corpus focused on the discipline variation rather than on the place of birth of the writer. Therefore, the selection of the research article was more globally orientated. The percentage in those studies ranged from 95 to 100% compared to 89.7% in this study. Comparison of the findings suggested that academicians in Malaysian universities realised this strategy fairly well in their writings; however, more realisation needs to be made in order for their writings to be on par with that of global writers.

In comparing the findings of this study with two other studies on research articles in the discipline of Computer Science (Posteguillo, 1999; Shehzad, 2011), it could be seen that the percentage of realisation in this study was slightly lower than the findings of those studies. Posteguillo (1999) used the CARS 1990 model; hence, the findings were in two steps, namely, Move 3S1A, “Outlining purposes”, and Move

3S1B, “Announcing present research”. The percentages were 25% and 95%, respectively. Shehzad (2011) used the same CARS model with the present study and found 98.2% of occurrences. Posteguillo (1999) and Shehzad’s (2011) studies found a higher percentage of realisation than was found in this study, that is, 92% and 75%.

The explanation for these differences in percentage is attributed to the cultural variation factor. Unlike this study, the two previous studies (Posteguillo, 1999; Shehzad, 2011) were done with a focus on Computer Science research articles without examining the effect of the writer’s place of birth. The objective of the studies was in finding how the Computer Science research articles were written regardless of place of birth of the writers. These studies took the view that scientists working on the same discipline of science shared the same norms and expectations regardless of their nationality and language (Okumura, 2003 in Shehzad, 2011). However, this study, along with a few other studies (Kanoksilapatham, 2007; Hirano, 2009; Jugthong, 2001; Yaghoubi-Notash & Tarlani-Aliabadi, 2012) found that non-native English writers do have different preferences for rhetorical strategies, which result in different writing rhetoric. The authors of the research articles in these studies were academicians in Malaysian universities who were mostly non-native writers. In short, comparison between the different types of studies showed that Malaysian writers had different preferences for rhetorical strategies and, while accomplishing more strategies

than other non-native English writers, the utilisation of the strategies was still lower than the norm found in global practice.

The Optional Step

Out of the three optional steps proposed by the model, Step 2, which is “Presenting the research question or hypothesis”, was found to be the least preferred. The percentage of realisation for this step among the highly-cited research articles was at 8% while for the research articles with zero citation it was only at 2%. This step was the least preferred step of all the seven steps listed for the move. Both groups had a low percentage of occurrences for this step. The research articles with high citation realized this move at 8% while only 2% of the research articles with low citation attempted this move. These findings showed that the research articles in the corpus conformed to the proposed steps in the CARS model (2004), which identified this move as an optional move.

The finding on the next step, which is “Definitional clarifications”, also conformed to the model. However, the percentage of realisation for the research articles with zero citation was higher than the percentage for the highly-cited research articles, which were at 20% and 18% respectively. This finding showed that the research articles that had never been cited were more inclined to give definitions and meanings in the introduction section.

On the other hand the finding in the next step showed that the highly-cited research articles were more competent in presenting

the summary of the research method in the introduction section compared to the other group. The percentage for this group was at 55% whereas the realisation for this step among the research articles with no citation was at 40%. Both groups conformed to the CARS model in having this step as an optional step.

In short, the realisation of the steps in this study conformed to the CARS model (Swales, 2004) i.e. using these steps as the optional steps. In terms of citation index, the highly-cited research articles had better realisation in presenting the research questions or hypothesis. The highly-cited research article group also had better accomplishment in presenting the summary of the methods in the introduction section. Conversely, the research articles that had no citation index gave more definitional clarifications compared to the highly-cited research articles.

The PISF Steps

The PISF steps refer to the steps that are “probable in some fields, but unlikely in others” (Swales, 2004). The three steps are “Announcing the principal outcomes”, “Stating the values of the present research” and “Outlining the structure of the paper”. The finding on the “Announcement of the principal finding” step showed that the highly-cited research articles were more inclined to adopt this step compared to the other group. The percentage was at 14% and 12%, respectively. The same outcome was observed for the step, “Stating the value of the present research”. The highly-

cited research articles had a percentage of 44% while the research articles that were not been cited had a percentage of 28%. The percentage difference between the two groups was bigger for this step, indicating the different preference for strategy use between the two groups was more evident for this step.

In relation to the promotional strategies explained in the “Materials and Methods” section earlier, the findings from these two steps indicated that the highly-cited research articles were more insistent in promoting the value of the research work and announcing the findings of the study. This way, readers can anticipate the value and relevance of the research being presented. The research articles that were not cited accomplished this strategy at a lower rate. Many of the articles in this group declared their findings and value of the study. However, the announcement was delayed, appeared later or made in the “Findings and Discussion” section, which is in the latter half of the research article.

The CARS model (2004) proposes Step 7, “Outlining the structure of the paper” as the last strategy for presenting the research work. This step was also “probable in some fields, but unlikely in others”. The highly-cited research articles had a percentage of 36% occurrence whereas the research articles that had never been cited had only a 20% step realisation. The findings also showed that the highly-cited research articles were more assertive in presenting the research work. Apart from presenting the structure of the paper, the research

articles in this group also disclosed briefly what the following sections would be on. This way, the reader can anticipate what the research article is about and how relevant the rest of the article is. In addition, the reader can also skip directly to the intended part for reading.

CONCLUSION

The examination of the corpus in the study showed that the highly-cited research articles were more inclined to utilise the strategy proposed in the Swales (2004) model of Move 3 compared to the research articles that had never been cited. Comparisons on the findings also suggested that academicians in Malaysian universities realised this move fairly well; however, more realisation needs to be made in order for their writings to be on par with those of global writers. The findings also stressed the need for writers to be more assertive in promoting their research work in the introduction paragraph by utilising the “Announcing the principle outcome” and “stating the value of the present research” steps.

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Using Symbolic Interactionism to Investigate Teachers' Professional Identity

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ABSTRACT

This investigation is a case study of a process of negotiation of professional identity of a Thai pre-service teacher during her teaching practicum through the lens of Symbolic Interactionist theory. It posits that interaction with different objects allows for complexity of professional identity formation to emerge. The participant's narratives in the form of reflections over 15 weeks were collected and transcribed for analysis. Key phrases of the participant's role claims were investigated to identify themes vital to observe her self-image as a teacher. Findings also revealed that the interaction with social objects i.e. her students as human agency, was found to be most influential on her identity formation. This study hopes to shed light on teacher training education on the importance of teacher identity, which is central to beliefs, assumptions and values that guide a teacher's practice in the process of becoming one.

Keywords: Pre-service teacher, professional identity, Symbolic Interactionism, narratives

INTRODUCTION

Teaching has been recognized as a complex and skilled practice because teachers need to have basic competence, which is formed according to societal expectations. The

descriptions of these competencies are varied and based on an educational vision that is specifically contextual, emancipatory and pupil-orientated (Schepens et al., 2009). To pursue and satisfy these competencies, novice teachers need to gradually increase their sense of being a teacher while keeping in mind the need for "a socially accepted association among ways of using language, of thinking, feeling, believing, valuing, and acting" (Gee, 2000, p.103).

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Continuous growth of teachers in knowledge, skill and attitude correspondence with social norms starts when teachers enter their training institution. During this training, these student-teachers (pre-service teachers) are taught new methods of teaching and strategies for managing a classroom because contemporary teachers are expected to have advanced knowledge, skills and high academic and ethical standards (Osagie, 2012). To facilitate a teacher's competence, Korthagen (2004) proposed that a teacher preparation programme should consider cultivating the pre-service sense of teacher-identity to let teachers realise their mission of being teachers.

The construction of a pre-service teacher's identity is a gradual process that parallels the experience of developing a deeper understanding of the self as a teacher. During this period, the pre-service teachers will encounter many sets of ideas and concepts acquired through socialisation in their actual practice. As a result, they progressively obtain values that will subsequently develop an intuition on which they will base their actions (Bourdieu, 1993).

A teaching practicum is a vital component in teacher education as it provides the context where trainee teachers can test the professional skills gained from teacher training (Feiman & Nemser, 2001; Korthagen, 2001; 2004; Strong & Baron, 2004; Lazovsky & Reichenberg, 2006; Ingersoll & Strong, 2011;). Furthermore, the practicum experience also provides

opportunities for pre-service teachers to formulate their teacher-identity or professional-self through interactions (Zembylas, 2003). Considering the nature of a teacher's training period, the teaching practicum sets itself as a suitable ground for the exploration of the journey of forming one's professional teacher-identity (Liu & Xu, 2011). This period is generally regarded as a major influence for the conception of teaching (Britzman, 1994; Danielewicz, 2001).

Pre-service teachers, when confronted with different elements prevalent in teaching, such as their colleagues, curricula, students and stakeholders, would be compelled to consider multiple meanings about their teacher-self. Through subtle conditioning processes, the practicum is extremely powerful in establishing a pre-service teacher's construction of the teacher self (Walshaw, 2009). Therefore, this period of time should be an appropriate time for studying self-identity formation.

The process of building a pre-service teacher's identity is typically initiated during the teacher-training programme. Pre-service teachers begin practising teacher-practices in their educational process; they are equipped with knowledge, attitude and skills required to perform their tasks effectively. After learning the content knowledge in the teacher-training classrooms, these pre-service teachers can experiment with the obtained knowledge (knowledge for teaching) and put it into practice while undergoing their teaching practicum.

In creating a better understanding of the self, pre-service teachers may resort to self-interpretative processes. Self-interpretation that pre-service teachers do for their teacher-identity may stem from interactions with others in their teaching context (Weick, 1995; Coburn, 2001). Moreover, the meaning that the immediate environment or society has for teachers will influence the pre-service teachers' interpretations of their identity as new teachers tend to base their values and judgements on their environment (school culture, social expectation and self-portraits for career development) while recognising who they are as teachers (Dong, 2008).

For this study, Blumer's (1969) Symbolic Interactionism theory was deemed useful for the purpose of examining how one forms teacher-identity through interaction with different things or objects present in the teaching context.

Symbolic Interactionism states that humans act towards objects and people based on the meaning that those objects and people have for them. In a teaching context, objects can be classified by three types: abstract objects (beliefs about a person), social objects (students) and physical objects (materials and subject content). By interacting with these objects, the meaning of being a teacher gradually becomes individualised. In time, teachers will be able to present stories about themselves at specific moments pertinent to specific contexts (Vlot & van Swet, 2010). Hence, since the aim of this study is to understand the gradual development of

a pre-service teacher's identity, Symbolic Interactionism will serve as the primary theoretical framework.

This study will provide glimpses of the participant's professional identity by focusing on interactions with objects experienced over the practicum period. The teaching practicum period serves as a fertile ground for observing the gradual development of a pre-service teacher-identity. Furthermore, the practicum period is a time when a pre-service teacher's pre-existing beliefs and identities may be contested, enhanced or reconstructed (Britzman, 1994; Danielewicz, 2001). The nature of case studies permits a deeper exploration of a particular person's experience. This in-depth qualitative approach parallels the basic tenets of narrative inquiry in that the method does not seek to find one common generalisable truth, but considers different kinds of truth depending on individual experience.

THEORETICAL UNDERPINNINGS

In the next section, we will present some major concepts used to understand this one pre-service teacher's ways of forming professional identity through the interpretation of the meanings of the objects around her during the practicum.

Professional Identity and Roles

Starting with the notion of identity, this study defines identity as the way people "see themselves and how they enact their roles within different settings" (Burn & Richards, 2009, p.5). This is the first facet

for studying teacher-identity. Nevertheless, this concept has been defined differently since its emergence in the area of teacher-research in the past decade. Broadly speaking, professional identity is often defined as what teachers find important in their professional work and the type of teacher they wish to become (Tickle, 2000). Although professional identity is closely linked to concepts of self (Mead, 1934; Erikson, 1968) and self-understanding (Kelchtermans, 2005), influence from societal expectations of what it is to be a teacher is also crucial (Beijaard, Meijer, & Verloop, 2004). Beijaard, Meijer and Verloop (2004) proposed that professional identity is a complex, dynamic combination of roles professionals construct and reconstruct through different social contacts (Burns & Bell, 2011). These features are in line with the present study since they point to some processes described in the discussion of the data in two ways. First, they see identity formation as an ongoing process regarding interpretation and reinterpretation of experience, which is in line with the current study whereby the participant invariably interprets her roles and conceptions of being a teacher in relation to her practicum experience. Second, professional identity implies an interaction between a person and his or her context.

A second facet for studying pre-service teacher's identity is the role that that teacher performs throughout his or her teaching practicum. The teacher-identity is determined by how each person

perceives himself or herself related to the role assigned by that person's society (Combs *et. al.*, 1974). In this study, the notion of roles in a particular setting is applicable for the guiding theory as this study will investigate the teaching journey of the participant by looking at how the participant enacted her different teacher roles. Investigating teachers' perceptions of roles is useful as it is closely linked to teacher-identity (Ben-Peretz *et. al.*, 2003) because, in order for pre-service teachers to attain that goal of being good teachers who satisfy their perspectives, they need to maintain coherence between their identity and the roles of teachers that they expect to perform (Sexton, 2008).

Symbolic Interactionism

This study is grounded in the theory of symbolic interactionism as it is a useful lens through which to look at professional identity and the formation of teacher-identity. The theory was proposed by Blumer (1969) based on Mead's (1964) work, in which was coined the term "Symbolic Interactionsim" that originally stemmed from pragmatic philosophies (Crotty, 2003). He mentioned the following:

Symbolic interaction rests in the last analysis on three simple premises. The first premise is that human beings act toward things on the basis of the meanings they have for them ... The second premise is that the meaning of such things is derived from, or arises out of, the social interaction that one has with one's fellows. The third premise is that these meanings are handled

in, and modified through, an interpretive process used by the person in dealing with the things he encounters. (Blumer, 1969, p. 2)

Blumer (1969) concluded that the results from his research showed that human actions are the outcomes of individual interpretation of objects and events surrounding them. For this reason, people, including teachers, are active agents adjusting their behaviour and identity in response to the interpretation they make with surrounding objects. With regards to objects that teachers interact with, Blumer (1969) classified them into physical objects (offices, spaces and textbooks), social objects (interactions with teachers, students, colleagues and others), and abstract objects (interpretations of beliefs about teaching or professional development). According to Blumer, interactions with these objects create meaning-making processes for individuals, which they then invest in their formation of teacher-identity.

Within this perspective, the subjective experience demonstrates how individuals act towards objects and people around them. This means that understanding individual identity lies in observing interpretive processes of how a person assigns meanings via interactions in his or her environment. For teachers, successful enactment of professional identity involves a range of multifaceted identifications with learners, teacher-training institutions and ongoing communication with peers (Bakar *et. al.*, 2008). The appropriateness of Symbolic Interactionism for this paper's study is that this theory stresses the role of human

agency in identity construction by clarifying reasons for an action that a teacher takes (Hargreaves, 1995). This idea also aligns with the method of narrative inquiry, which links the exploration of a teacher's identity with that individual's unique experiences. Furthermore, this theory answers this study's research question, which aims to understand how the participant interpreted, constructed and applied meanings for her remaining teaching career through interactions in the professional identity formation process. Symbolic Interactionism offers the path for viewing the participant as actively in the meaning-making, interactive process as well as allowing change and stability of identity formation.

Research Question

How do interactions with different objects cause and affect a pre-service teacher's professional identity?

METHODOLOGY

The Subject

The subject of this study was Meena (pseudonym). She was one of the pre-service teachers enrolled in KMUTT's Master of English Language teaching programme for the School of Liberal Arts. I purposively selected her as the participant due to her academic background and teaching experience. Prior to commencing her graduate studies, Meena completed a Bachelor of Arts degree majoring in English. Furthermore, her formal teaching experience was limited, which would

be useful for capturing her formation of professional identity through the actual teaching practicum.

The subject was enrolled in the course called "Teaching Techniques in Practice". The course aimed to improve a pre-service teacher's teaching methods and expand his or her professional education skills. All pre-service teachers were assigned to teach in the same school but in different classes. For each class, there were two pre-service teachers in charge for managing curriculum and prepared materials, and they worked under supervision of a lecturer from the faculty. The supervisors observed the paired teachers in their actual classroom. Afterwards, feedback was given for improvement.

The school Meena did her practicum in was a medium-sized school for grades 7–12. At the time of data collection, the school was very new, established for six years, with some new equipment provided for each classroom, such as a computer and an overhead projector. Meena taught for one semester (May-September) in 2013. She was responsible for teaching grade 10 students who were preparing to enter high school. All pre-service teachers taught on Wednesday morning for 1 hour and 40 minutes. There were a total of 40 teenagers (ages 15-17) whose English proficiency level was considered to be at lower intermediate.

Framework

In light of the complexities involved in examining a teacher's professional identity formation, qualitative approaches such as the interview, are appropriate tools to

construct collages of how teacher-identity shifts and changes over time (Lerseth, 2013). In the past two decades, a number of studies have adapted the narrative inquiry to understand teachers' experiences through stories lived and told (Clandinnin & Connelly, 2000). This approach opens up opportunities for exploring and revealing aspects of how one forms teacher-identity as telling others' stories of experience can lead to better understanding of oneself as a teacher (Kelchtermans, 2005).

The case study was approached from a narrative analysis perspective. Narrative analysis, within the context of this research, is "the process of making a story, to the cognitive scheme of the story, or to the result of the process" (Polkinghorne, 1988, p.13). Hence, analysing the case study's narrative with Blumer's framework (1969) would give insights to answer the research question. From a narrative analysis perspective, the case study would be able to "impose order on the flow of experience to make sense of events and actions" (Riessman, 1993, p.2).

The analysis was guided by Polkinghorne (1996) whereby we acquainted ourselves with the narrative data by reading and rereading the case study's stories. It was by this iterative reading that we familiarised ourselves with the interview transcriptions. While reading, memos were made to account for episodes important to the teacher's teaching life. Furthermore, the case study's mention of objects encountered during the teaching practicum period were identified in order to

see how the pre-service teacher interpreted meaning for each object and how she invested in these meanings towards the formation of her professional identity.

Data Collection

A series of 15 interviews was arranged over the participant's practicum period. The interviews were conducted regularly (once every week with each session lasting about 45 minutes) as identity construction was regarded as an enduring process in the participant's teaching experiences (Pollard, 2003). Having multiple interviews was beneficial for validating previous information gained as there was opportunity for the case study to refer to previous teaching events in order to spot any changes in the way she tried to make sense of her teaching profession. Variations of questions surveyed the pre-service teacher's perceived role as a teacher because mutual understanding between the researcher and the subject needed to be achieved (Manara, 2013). The semi-structured interview questions were developed from the participant's written reflections on her classroom practice, which suggested understanding of the teaching profession. After obtaining her permission to be interviewed with audio recorded, the place of meeting was then arranged. In each interview, the participant was encouraged to reflect upon her teaching practice, the interaction with students, co-teacher and supervisor, and how she viewed herself. This process lasted about 30-45 minutes each time. The total number of interviews was 15, conducted over the 15 weeks of the

practicum starting from May until September 2013. The participant was also asked to express her opinions and interpretations of what it meant to be a teacher in her context. Her expression of dynamic roles affected by dealing with different objects was useful in the data analysis step.

Data Analysis

The analysis of this study was based on the Symbolic Interactionism perspectives. The content and themes from the case study's narratives were categorised according to Blumer's (1969) definition of objects. The narrative data was analysed using the following procedure:

- a) Interview content was selected based on Blumer's (1969) definition of categories of objects. (This was done to frame the content for further analysis.)
- b) A frame of linguistic features was used to capture moments when the participant mentioned her identity. The criteria for choosing these phrases were lexical items and phrases, such as 'when I teach', 'as a teacher', 'a teacher should be', 'I wish to be a teacher who', and more, used to mention and reference her.
- c) Emerging identities were grouped from the data into three categories: 1) present identity was referred to as a self-defined role at the time of the interviews, 2) expected identity was the role that she would like to become or the issue that she would like to develop in her teaching style, and 3) accomplished identity represented an expected identity, which could be completed.

- d) The teacher's interactions with objects in the contextual classroom setting were observed, and her professional identity was investigated by identifying how she viewed herself as a teacher.

RESULTS

This section presents how the pre-service teacher's professional identity was formed by the influence of meanings that emerged from the interpretation of interaction with objects during her childhood. Meena grew up in a teacher-family. She was influenced by her mother, a Math teacher at a primary school, and her father, a Physical Education teacher. Both teachers taught in a rural school in the Northeastern part of Thailand. Meena mentioned that during her childhood her conversations at home were full of stories about students' behaviour, teaching techniques and ways to come up with new teaching methods. She had gradually learnt that a teacher's responsibilities extended far beyond knowledge shared in the classroom. Her parents informally and indirectly taught her that teachers should possess an aptitude to teach based on students' needs and learning styles. This experience influenced her belief about how a teacher should behave, which also inspired her to become a teacher. For her, the quality of being a good teacher included the ability to provide all students an opportunity to learn. In order to impart knowledge of the subject matter accurately, she had to master classroom control. She pursued this vision of her identity during her practicum.

This belief, an abstract object according to Blumer's definition, about being a teacher was crucial for the formation of her professional identity during her practicum. When coming into the classroom, Meena believed that she had to manage her classroom in a neat and orderly manner. Furthermore, her expectation of herself was that she had to be a knowledgeable person in terms of teaching content and pedagogy. She indicated a desire to be in control of the classroom and possess the power to run the class in the way she desired. That was why she turned herself into a controller who had enough authority to get the wheel turning smoothly right from the start when she met her students.

When entering the first class as a novice teacher during her practicum, Meena was determined that she would exert control over her students. She often mentioned that discipline was vital in order for her to pass on knowledge properly. With this consideration in mind, she positioned herself as a controller. She saw herself as a strict teacher who valued certain student behaviour that would allow her to play this role successfully. The following information is Extract 1:

I think I was a strict teacher and sometimes I felt I was too strict. I had to be strict with them at the first class. I stopped talking if the students were talking while I was teaching and then the other classmates would realize that the teacher changed the mood. So, they told their friends to stop talking. (1st week interview)

Apart from the abstract object, there were two other objects which drove her to control the class. The physical objects or the course content was difficult and the social objects or her students' limited English proficiency made her view herself as a controller in class. The following information is Extract 2:

I was quite [a] strict teacher and also teacher-centred because I tended to talk a lot in the class. Partly, it was because of the content, which was too hard for my students' level of proficiency, but again, if I tried to allowed students to talk and use English more, it will be better. (1st week interview)

Apart from seeing herself as a controller, she also viewed herself as a knowledge transmitter. As we can see from the following (Extract 3), she was the one who provided students with one-way teacher-directed information:

I talked a lot in the class because I tried to finish the class as I plan. As a result, I talked a lot, and I did not think it's good. It's was because of the content as well because we needed to explain to them the rule, the vocabulary, and the reading. (2nd week interview)

From Extracts 2 and 3, even though she showed a concern that students were supposed to practise using the target language more, she had a problem dealing with the difficult subject content. She mentioned that due to the mismatch between the level of her students' proficiency and the expectations of the content, she had to become a controller who dominated the class by her own voice and commands.

Then, Meena's abstract object, which governed her belief about how teacher should behave, was challenged by interactions with social objects, her students. Her belief about being a teacher who controls everything in class was slightly shifted since she could see that only being a knowledge transmitter or a teacher who kept feeding students with subject content would not suffice to ensure a smooth learning experience. From her observation of her students' mannerisms in class, she became aware that building rapport with her students would serve as the best solution for classroom management issues. With the influence of her social objects or her students' responses, she then started to realise that she needed to become a nurturer who provided a positive and calm learning environment. The following information is Extract 4:

I wanted to be trusted by my students, so I needed to comfort them when learning with me. That would help me in teaching, in [to] control the class, in [to] manage the class better. If the students trusted me that I had the knowledge to help them to improve their English proficiently, that would be better. It would help me in getting respect from the students as well. (2nd week interview)

From Extract 4, with the expectation of wanting to be a nurturer to create a more comfortable learning atmosphere brought a change to her role. She believed that being a kind teacher would help her students to experience a more pleasant time studying. For this reason, Meena started modifying and adapting her lesson plan by including

some games and group work. By about week 3, she thought she would like to be a prompter who encouraged students to become more independent in their learning by using different teaching techniques and various materials. The following information is Extract 5:

I was not giving them the knowledge directly, but I let them work in [a] group. I let them read by themselves, and we did some games to make them active in the class. So, it was more like a tutoring school because it was full of students' participation. (3rd week interview)

It appeared that her belief about being a knowledgeable teacher who had extensive information was challenged during her actual teaching. Meena had changed her strategies to keep her students under control by trying to win their trust and gain their respect by showing her wish for them to have some fun while learning, instead of just listening to her. She also started making use of the overhead projector and Power Point presentations to make her students develop a positive attitude whilst learning from her. Meena hoped that changing her role from a controller who dominated classroom talk to a prompter who provided students with more chances to visualise clearer content using technology. The following information is Extract 6:

I used the visual from the power point, and it went very well. The students could see the picture, so it was easy for me to teach and elicit the vocabulary for them. (5th week interview)

It seemed that being a prompter brought her great success as most students today are familiar with technology. They were fond of learning by viewing visual representations, so Meena could increase her use of L2 because her students could look at pictures as cues to guess what she meant. Therefore, her role of being a prompter brought along a pride that she could be understood by her learners with the help of physical objects, including computers and the overhead projector in her class.

However, keeping students engaged through making a variety of learning activities was not without challenge. Meena found herself reluctant to bring only fun into the classroom just to get them to participate. She felt that what really needed to be done was to instil a sense of order among her students. There were times when her teenage students' excitement disrupted lessons being held in nearby classrooms. She then pointed out during her interviews the necessity of her becoming a controller again. The following information is Extract 7:

The role of teacher was not only teaching them content, but you also needed to tell them how to live in the world, how to behave in the society as well. What they need as a person to live with other, so as a teacher, I had to emphasise the common rules that they needed to bear in mind in order to live with others. (6th week interview)

Her strong belief of teacher-identity (as a controller who dictated both content and student behaviour) was prominent in her concept of being a teacher. It can be

seen that the abstract object influenced her identity formation. No matter how hard she tried to disguise her controlling behaviour by allowing her students to have fun and facilitating their learning in a meaningful way, it was hard for her to permit total freedom as it would contradict her notions of what an ideal classroom is like i.e. a neat and smooth learning environment where the whole situation is under her control. However, Meena learnt that she could not be strict all the time. She needed to balance the power that she had over the students and the ability to comfort them to create mutual understanding between them. She told herself to build rapport with students as she saw this form of interaction as an indicator of success in teaching. Therefore, she put herself back into the role of nurturer by trying to be nice to her students as compensation for having made harsh comments to discipline them. The following information is Extract 8:

I was very kind to them this time. I thought they felt bad last time that I told them to discipline themselves. The leader of the class, when the class was noisy, he told his friend that “you need to be quiet”. So, I define myself as a kind teacher for this time. I did not have to discipline them, they knew what to do. (7th week interview)

By mid semester, she then came to the conclusion that being a teacher was the mission of balancing everything, such as content, materials, teaching techniques and also, her own roles. The following information is Extract 9:

My principle is to balance between being [a] strict teacher, and sometimes, you have to be kind and play with them because I want the atmosphere in the class to be more relax, not only lecture because they are still young. I can't do that all the time. (9th week interview)

Meena had developed a sense of commitment to her own belief over time that teachers should take control of their own classroom to maintain their smooth teaching. The control in this case meant both control of her accuracy as a teacher and the control over her classroom management. This belief, the abstract object, became the guiding principle she held to when dealing with her social setting, students and physical setting, which included the textbook and subject contents. The following information is Extract 10:

The students learn from what I did in the class, what I write in [on] the board. If I did that wrong, it affected the students' learning. I got this idea from my MA course; we learnt that we had to be careful. Our teachers here always emphasised that the students would learn from you. That kind of things came in my mind when I was teaching too. (13th interview)

As Meena's practicum approached its natural termination, she was asked to review her belief about being a teacher. Meena mentioned her teacher training as a major influence of her abstract object or belief she held about teaching. She also reflected on her own experience as a student-teacher as an influential factor for her to feel sympathetic to her students

because she experienced the same from her lecturers in her graduate courses. These experiences and interactions with social objects influenced Meena to become calmer, less strict and willing to adapt as she tried to cultivate a less authoritarian relationship towards her students. The last week of her teaching was blissfully rewarding for her. Her students commented that they wanted to study with her again.

CONCLUSION

Identity is an abstract concept; this study attempted to reveal the professional identity formation of teachers by studying a specific teacher. What can be seen is how the subject was influenced by many objects found within the context of her teaching practicum. This highlighted a rather integral aspect of professional identity formation, affected by a myriad of constructs that are at interplay with each other, instead of discrete and unrelated constructs or principles. Throughout her teaching practicum, we could see interactions with different objects, and all of these had a significant role in shaping the subject's professional identity. The identification of these abstract objects was crucial as it gave us an insider's glimpse into the identity formation process. What was yielded from this analysis included her beliefs about being a teacher and what it means to be a good teacher. In the case of the subject, Meena, who grew up with parents who themselves were teachers, entered the teaching field with certain pre-conceived ideas, such as the assumption

that a teacher should ensure discipline during instructions and that students should behave in a specific way. This belief about being a controller was prominent in the initial period of her professional identity formation. This belief was accentuated more as the subject interacted with other objects as her practicum progressed.

Physical objects were also present in her practicum setting. The availability of teaching and learning resources allowed a shift from being a controller to a prompter. The most powerful factor, which contributed to Meena's shift in identity, was the prevailing social objects. The social objects, in the form of her students, compelled Meena to evaluate and reevaluate her knowledge, beliefs and skills. Her teaching practice shifted and changed due to the interpretations of how she related to her students. The lessons gleaned from Meena's stories could lead us to value the process of identity formation. Both teacher trainers and trainees should be aware of how novice teachers negotiate and interpret meaning from the interactions with the different objects around them.

Exploring and explaining how a pre-service teacher makes meaning of her professional life while interacting with different objects, together with how she formed her identity allowed educators a glimpse into Thai pre-service teacher training. Through the participant's narratives, we can understand better how teachers' professional identity formation involves a range of complex interactions. This involves a complex interplay between

internal factors, that is, the self and beliefs about being a teacher, and external factors such as co-teacher, learners and institutional requirements that impact the development of professional identity.

Though internal factors relating to self and perception about being a teacher are crucial for building a foundation for teachers to develop professional identity right from the beginning, external factors provide the opportunity for these factors to be challenged so as to allow the teacher trainee to be in harmonious tandem with students, co-teachers and institutional expectations.

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Pre-University Students' Strategies in Revising ESL Writing Using Teachers' Written Corrective Feedback

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ABSTRACT

English Language writing teachers have always corrected students' writing, hoping that their efforts would help students to write better. Students, on the other hand, may use the teacher's feedback to improve their writing. Teachers' strategies in giving feedback have been researched extensively, as compared to students' strategies in revising their writing. The objectives of this study are to find out the most common strategy used by the students, and further, to determine which strategy is considered as being the most effective. A qualitative approach was used in this study, where data were collected from the analysis of students' opinion-based essays and retrospective interviews. The study revealed that the most common strategy used was *closely follow* because students believed that they needed to make sure the revised essays were error-free. The results also showed that the same strategy was considered as being successful as many of the revised WCF were error-free. The results implied that even though students may successfully revise the essay, they may not necessarily understand the nature of the errors committed. It is recommended that teachers give written corrective feedback with oral feedback and this should be done while students are writing the essay, in line with Flower-Hayes Cognitive Process Theory of Writing.

Keywords: ESL writing, student response revision strategy, teacher feedback, writing as a process, written corrective feedback.

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INTRODUCTION

In language learning, making errors is inevitable; indeed, it is a crucial part of learning the target language. According to Dulay and Burt (1974, as cited in Wan Mazlini, 2012), error making is one of the

most important factors of the discovery process of the underlying rules and system of the target language. Wan Mazlini (2012) asserted that actual learning of the target language takes place when the learners make mistakes, and the mistakes are corrected. Making error is a sign of actual learning as it indicates the students' progress and success in language learning.

Murray (1972) argues that writing should be taught as a process, not a product. In 1981, Flower and Hayes postulated the Cognitive Process Theory of writing, which sees writing as a cognitive process where writers make conscious decisions of what and how they will write. In any writing classroom, feedback given by the writing teacher is an important part of the lesson itself. Feedback could be utilised as a tool to improve students' writing in order to achieve both fluency and accuracy in writing. How best to deliver effective feedback in writing is yet to be discovered, given the inconclusive results of prior studies. Moreover, there is a gap in understanding how students would use the feedback given in their writing process to become better writers. The different feedback given and how it is used by students is not very well investigated (Jonsson, 2012, pg. 64) hence there is a need to look into this matter further.

Corrective feedback, be it verbal or written, is the process of providing clear, comprehensive and consistent corrective feedback on a student's grammatical errors for the purpose of improving the student's ability to write accurately

(Ferris, 2011). Providing written corrective feedback (WCF) allows individualised teacher-to-student communication that is rarely possible in the normal writing classroom with its many students (Corpuz, 2011). Corpuz outlined two major roles of corrective feedback, namely 1) corrective feedback as focus-on-form intervention; and 2) corrective feedback to facilitate noticing.

According to Long (1991), students' attention will be drawn explicitly to linguistic features as necessitated by communicative needs. By drawing the students' attention to the errors, students can learn the language features in the correct form. Hence, providing corrective feedback can help students to produce second language (L2) structures that are grammatically accurate and applicable for communicative purposes. In a study done by van Beuningen, de Jong and Kuiken (2008) on 268 secondary learners of Dutch as a foreign language, it was found that different types of feedback seemed beneficial for different linguistic features. The study found that direct WCF helped students in improving their grammatical errors, while indirect WCF seemed to be suitable for lexical errors. They also found that learners who received WCF outperformed the control group over time. The same result was shown in a more recent study done by Amiramini, Ghanbari and Shamsoddini (2015), in which they found superior effects of providing learners with feedback on writing, as compared to the control group where no feedback was given.

Providing WCF helps students to improve their accuracy and fluency in writing. Bitchener (2008) proves that students who received WCF still outperformed students who did not receive WCF, even in a post-test that was held two months after the treatment was completed. Bitchener and Knoch (2010) later replicated the same study with a longer period of post-test, which was 10 months, and still found the same result. These studies have shown that WCF could help the students in their accuracy and fluency of writing, even long after the treatment was done.

Providing corrective feedback could also help students to notice certain grammatical features of the target language. Students are able to pay attention to the existence of new features of the L2 they are learning. They become aware and able to locate the gaps between their L2 usage and the accepted form of the target language. Corrective feedback may also help students discover the limitations of their L2 communication abilities with their given L2 resources. Hence, corrective feedback could function as a noticing facilitator that directs the attention of learners not only towards errors, but also towards new features of the target language.

Lee (2005) explained four methods of written corrective feedback that are divided into two categories, namely Comprehensive vs. Selective and Explicit vs. Implicit. Comprehensive written corrective feedback approach sees the teacher correcting all errors in the students' writing, irrespective of their error category.

Comprehensive written corrective feedback could help students notice not only errors made, but also new features of the target language as postulated in Krashen's Noticing Hypothesis. By noticing, effective language learning could be promoted. Nevertheless, Ellis, Loewen and Erlam (2006, in Corpuz, 2011) claim that given the limited capacity of students' processing ability, students may be overwhelmed, thus comprehensive written corrective feedback may not be as effective as it should be.

On the other hand, selective written corrective feedback targets specific grammatical errors only, leaving all other errors uncorrected. Ellis (2009) claims that selective written corrective feedback may be more effective compared to comprehensive written corrective feedback as students are able to examine multiple corrections of a single error. Students do not only obtain richer understanding of what is wrong in their writing, but also opportunities to acquire the correct form.

Explicit written corrective feedback is the type of feedback where the L2 teacher directly provides the correct forms or structures to show explicitly the error in the students' writing. In the research done by Ellis, Loewen and Erlam (2006, in Corpuz, 2011), it was found that explicit written corrective feedback was more effective for treating errors in verb tenses. On the other hand, implicit written corrective feedback is where the teacher simply shows that an error is made by underlining, marginal description, circling or correction

codes. Correction codes involve providing corrections implicitly by using symbols and abbreviations to inform students not only that an error has been made, but also the kind of error made. In a research study, Lee (1997) found that students favour implicit written corrective feedback as compared to explicit written corrective feedback. In an earlier research by Lalande (1982), participants showed reduction of errors in writing when implicit written corrective feedback is used.

Students' strategies in utilising the written corrective feedback provided in revising their essays is yet to be fully understood. Sommers (1980) in a study found that students used four revision strategies in revising their L2 essays, namely, 1) *deletion*, 2) *substitution*, 3) *addition*, and 4) *reordering*. Hyland (1998) then further refined these strategies into three categories, namely 1) *closely followed*, 2) *initial stimulus*, and 3) *avoidance by deletion*. On the same note, students were also found to make revisions that were not related to the written corrective feedback (henceforth WCF) provided by the teacher, hence coined as *not related*. Hyland (1998) in a study of two groups of university students examined the strategies used by student writers in revising their ESL writings. In her document analysis of the students' writings, both drafts and final essays, she found that student writers used four strategies in revising their essays, namely 1) *closely follow*; 2) *initial stimulus*; 3) *avoidance by deletion*; and 4) revision that is *not related* to the feedback given.

Closely follow means that the student writers followed closely the corrections and suggestions made by the teacher, while *initial stimulus* was when the WCF was seen as a trigger point for the student writers to rewrite the essay or parts of it in a number of ways. *Avoidance by deletion* is where the students avoided responding to the WCF provided by deleting the problematic features without substituting anything else in the revised essays. In addition to the three categories, some revisions may appear to be *not related* to the WCF given by the teacher. In her study, Hyland (1998) found that the majority of her participants would *closely follow* the WCF provided (43.2%), while 38.8% of the revisions made were *not related* to the WCF provided. While 16.5% of the WCF was used as initial stimulus, 1.5% avoided responding to the WCF by deleting the problematic features mentioned in the WCF.

A study done by Shamshad and Faizah (2009) on students of UiTM Terengganu, Malaysia found that student writers *closely followed* the WCF given (N=117), while 42 revisions made were not related to the WCF provided, 41 WCF triggered the students to rewrite the essays in a number of ways, and 11 WCF were avoided in their revision. Shamshad and Faizah later concluded that the *closely follow* strategy was the most successful strategy used by the students. When a student closely followed a WCF given, it meant either the student understood the WCF or simply followed the advice without really understanding the problem highlighted (Hyland, 1998).

Hyland (1998) found that students with high *not related* revision tended to try to express their thoughts with less priority on the accuracy; hence, they revised the essay on their own without following the WCF given. This may also be the result of the oral feedback provided, which may not be given in written form. On the other hand, relying extensively on WCF may be the result of the concern over the accuracy of the language while oral feedback may not be used at all, hence limiting the *not related* revision.

METHODOLOGY

This study was set up to find out the revision strategies used by 10 pre-university student writers of the Centre for Foundation Studies, International Islamic University Malaysia, Gambang Campus in revising their ESL writings using the WCF provided by their teacher. Specifically, this study intended to investigate the following research questions:

- RQ1:** Which revision strategy is commonly used by the students?
- RQ2:** Which of the strategies is deemed as the most effective in revising their opinion-based essays?

Five boys and five girls participated in this study. Eight were in *Sekolah Berasrama Penuh* (SBP), one girl was in *Maktab Rendah Sains MARA* (MRSM) and another girl was in *Sekolah Menengah Kebangsaan* (SMK). All of them met the minimum requirements for the pre-medical sciences course at the university and obtained either A+, A or A- for their English Language subject in their *Sijil Pelajaran Malaysia* (SPM).

A qualitative research design was applied where the data were collected in two ways. The data was collected through documents analysis i.e. the analysis of the students' writings and interviews were done to collect further data. For the purpose of this study, the opinion-based essays written by the students in the classroom were used for data collection and data analysis. In a normal writing class at the centre, IELTS writing band descriptors are used to grade the students' writings. The same descriptors were used in marking the writings for this study, but no grade was awarded. The essays were marked manually by the teacher researcher before the feedback was coded, categorised and then analysed. Draft essays and the revised essays were then compared to identify individual revision operations. In ensuring the validity of the teacher's marking, another teacher was assigned to check the essays, both draft and revised, marked by the teacher-researcher.

Interviews were also done to collect further data. The first retrospective interviews were done after the completion of the first writing task as to examine the students' strategies in revising the essays. The second interview was done after the revised essay was submitted before the students embarked on Writing Task 2. The final interview was done after the submission of the revised essay of the second writing task. The purpose of the interview was to find out why the students decided to revise the essays as they did. The questions for the semi-structured interview were adapted from two previous studies i.e. Ferris, Liu, Sinha and Senna (2013) and Hyland (1998).

Due to the small scale of the present study, there were limitations. Firstly, as the researcher was the interviewer, the respondents may not have given responses that reflected their actual experience, but triggered by what they perceived was what the researcher wanted to hear. Secondly, the scope of the present study was only on written corrective feedback. Other forms of corrective feedback, such as oral and peer feedback, were beyond the scope of the present study. Thirdly, the other factors that may have influenced students' writing skills

and ability, such as prior knowledge and experience, as well as the context in which the writing took place, were not taken into consideration in the present study.

RESULTS

The objective of this study was to determine the revision strategy commonly used by the student writers of IIUM Centre for Foundation Studies, Gambang, in revising their ESL compositions. Table 1 illustrates the strategies used by the participants of this study in revising their essays.

TABLE 1
Commonly-Used Strategy

	Closely Follow	Initial Stimulus	Avoidance by Deletion	Not Related	Not Attempted	TOTAL
TASK 1	112	39	81	3	12	247
TASK 2	139	13	53	1	14	222
TOTAL	251	52	134	4	26	469

Table 1 shows that out of the total 469 WCF provided by the teacher researcher, more than half were revised using the *closely follow* strategy ($n=251$, 53.52%). This could be divided almost equally for both writing tasks, with 112 WCF for Task 1 and 139 WCF for Task 2. This is followed by *avoidance by deletion* ($n=134$, 28.57%), *initial stimulus* ($n=52$, 11.09%) and *not related* with a mere 0.85%. It is very interesting to find that students chose not to attempt the errors made in the draft, even though the errors had been highlighted by the teacher. A number of 26 WCF (5.54%) were not attempted. Appendix 1 provides the excerpt from a participant's essays (S3), both draft and revised essay.

The sample shows that out of the six WCF provided, the student closely followed five and left one not attempted (line 6: *In my opinion, ...*). In the interview, a participant answered that he *closely followed* all the WCF because he believed that it would help him to improve the essay. When he was asked about the *not attempted* WCF (Line 6: *In my opinion, ...*) he mentioned that he did not know how to fix the problematic phrase, thus had left it as it was. Another participant further explained that the error was put in a bracket, without any note added. Even though he knew that the bracket meant the phrase was not suitable, he could not think of any other suitable phrase for the sentence; hence, rewrote it as it was.

The same problem was explained by another participant (S10); she had simply rewritten, "...robbery and rapping usually happen..." without changing the error in the revised essay as she "could not think what is wrong with that word". When probed further if she could understand the marking made by the teacher researcher, she said yes, but could not understand the meaning of the wavy line made under the word 'rapping'.

On the other hand, another participant (S1), who *closely followed* the WCF by 87.5% (n=14, N=16), claimed that he closely followed the WCF simply because he did not want to dwell on the essay longer as he had "many other things to do like preparing for Biology and Chemistry quizzes and Mathematics homework." He further explained that he revised the essay the moment the draft was returned, and usually did it in the classroom during the lesson. Out of the 16 WCF provided, he managed to correct all the errors except one even though he closely followed the WCF provided. In the draft essay, a participant wrote "...many crimes have happened at..." and revised to "...many crimes had happened at..." in the revised essay, when what should have been written as "...many crimes happen at..." When he was asked about this error, the student said that he thought the problem was the tense (Present to Past Tense). Appendix 2 provides excerpts from the student's writings.

Avoidance by deletion is the second most common strategy used by the participants of this study. In Task 1, a

participant changed a whole paragraph because he thought that "the original point is weak." Excerpts given in Appendix 3 depict the changes the participant made in the third paragraph of the revised essay.

Appendix 3 shows that the idea had been changed from "curfew preventing social problems" to "curfew gives time with family." This change could be labelled as *initial stimulus* strategy, but when he was asked, the participant mentioned that he personally felt that the point he put in the draft essay was "not good enough" and that he ought to come up with a better idea so that his revised essay was "more interesting and convincing compared to the draft essay."

This study also intended to determine which of the strategies was deemed as being successful. As described earlier, the writing revision was considered as being successful if the revised sentence/phrase/word had no errors.

Table 2 shows that 241 WCF were revised successfully using the *closely follow* (CF) strategy. However, 10 WCF that were revised using *closely follow* strategy were not successful. One hundred and thirty-five WCF were successfully revised using the *avoidance by deletion* (AD) strategy, while 48 WCF were used as the *initial stimulus* (IS) by the students in revising the essay. All of the *not attempted* (NR) strategy were unsuccessful.

From the findings above, it is clear that the *closely follow* was the successful strategy student writers could use in revising their essay. The second successful

strategy was *avoidance by deletion*, while unsuccessful revision stemmed from the fact that the participants did *not attempt* (NA) to rectify the problematic language features in the draft essays.

TABLE 2
Successful and Unsuccessful Revision According to the Strategies

Strategy	Successful Strategy					Unsuccessful Strategy				
	CF	AD	IS	NR	NA	CF	AD	IS	NR	NA
Total	241	135	48	-	-	10	-	1	4	27

TABLE 3
Comparison of the Results

	Closely follow (%)	Initial stimulus (%)	Avoidance by deletion (%)	Not related (%)
Hyland (1998)	43.2	16.5	1.5	38.8
Shamsad & Faizah (2009)	55.45	19.43	5.21	19.91
Razali (2014)	53.52	11.09	28.57	0.85

DISCUSSION OF THE RESULTS

The result from this study was parallel to earlier studies done by Hyland (1998) and Shamsad and Faizah (2009). Table 3 shows the comparison of this study to the two studies done earlier.

From Table 3, it is obvious that *closely follow* was the most common strategy applied by student writers of the three studies done. In her study, Hyland found that students would *closely follow* the WCF given because they were very concerned with the grammatical accuracy of their essay. This was proven to be the same case for the participants of the present study. In the interview, a participant strongly felt that the revised essay should be error-free, and closely following the WCF would help him to achieve this. On the other hand, students may resort to the *closely follow* strategy in revising their essays as they are less confident of themselves in terms of

grammatical competence. Williams (2003) asserted that students may or may not understand the WCF provided, but because of incompetence in grammar, they do not know how to respond to it. A participant of this study closely followed 88% of the WCF in her Task 1 without understanding the real problem that had occurred in her draft essay. This led to reliance on the teacher’s feedback. Another participant relied on the WCF received as he believed that it would help him to revise the essays quickly so that he could focus on other subjects. This strategy could help him to successfully revise the essay without deviating from what had been asked for. This is concurrent with Hyland’s (1998) findings that students prefer the easier option of relying on teacher’s WCF in revising the essay.

Nevertheless, the *avoidance by deletion* strategy is somewhat preferred by the participants of the present study. Garcia

(1999) stated that students resort to the strategy because they are unable to express their original ideas, and believe that their essays are error-free and the quality has improved. In the present study, a participant used this strategy extensively because he believed that his original idea was weak, and that the time given to revise the essay would give him more time to thoroughly think of a better idea to be written in the revised essay. The inability to express his idea was also due to the fact that the draft was assigned within a short time i.e. an hour in the classroom, while the time given to revise the essay was longer i.e. a week. This ample time given provided him some space to really think about the ideas so that he could improve his essay.

Hyland (1998) claimed that students would resort to such a strategy because they have the enthusiasm for self-expression and the desire to communicate a message. Hyland also asserted that students who choose this type of strategy have less priority for grammatical accuracy. Nevertheless, the participants of the present study were not happy with the revised essay as they still made errors regardless of the strategy they had used. A participant, for example, was divided between producing an error-free essay and providing better, solid ideas for the essays. Hence, he felt that maybe it was best for him to *closely follow* the WCF provided.

This present study also found that the strategy that was considered as successful was *closely follow*. This finding is parallel to a study done by Shamshad and Faizah (2009). In the study, 1,166 out of 1,558 WCF provided

were revised successfully using the *closely follow* strategy. Shamshad and Faizah claimed that even though the students had successfully revised the errors in the draft essays, they may not have really understood the WCF. Hyland (1998) claimed that students *closely follow* the feedback given without really understanding the rules of grammar that were needed in revising the essays. Hence, the results of the present study confirmed the findings of other earlier studies.

In light of the latest study done by Shintani and Ellis (2015), it was found that those students with higher language analytical ability would thrive if they revised their writings following the feedback provided by the teacher. This proves that WCF would help students to write better, especially those with higher language ability.

CONCLUSION AND RECOMMENDATIONS

By understanding the strategy students use in revising their essays, writing teachers could be equipped with better tools for teaching. However, while students may have successfully revised the errors highlighted by teachers in the draft essay, they may not know what exactly the problem was. By closely following the WCF provided, students can rectify the problem without knowing the grammatical rules involved. It is more worrisome in cases where students choose not to attempt the WCF. This implies that teaching has not taken place as it should.

As many other research studies have found, giving WCF to students' writings is

beneficial to the students' improvement in ESL writings. However, real-time feedback should always accompany the written feedback. The feedback should always be given after the completion of the writing exercise. This is important as the writing teacher can get to the problem students face in the writing process. Furthermore, as outlined by Flower and Hayes (1981), the writing process involves the conscious mind of the writer in translating the ideas into words. If the students face problem at this stage i.e. translating the ideas into words, the whole writing process could be apprehended. Therefore, it is important for the teacher to give timely feedback to the students' writing. As suggested by Shamshad and Faizah (2009), this could be done through oral feedback. Face-to-face conference could be a very effective way in giving oral feedback. This kind of follow up session could be a good step in making sure that students could fully utilise the WCF they have received. Writing teachers, in this instance, need to explain the codes used and the comments made so that students can understand the WCF better, hence, be able to revise essays more successfully.

In giving effective WCF, think-aloud protocol should be introduced to student writers. Learners could record what they are thinking while they are writing so that the teacher may listen to the problems the students encountered while writing. In the writing process, think-aloud protocol could be utilised when students are planning the essay. In the planning stage, students

may face problems in generating ideas, organising their thoughts as well as setting their goal. Other than that, at the translating stage where students translate their thoughts into words, think-aloud protocol could also be used. By recording the think-aloud protocol, teachers can identify the real problem students face, and hence, be able to provide a better solution to the problem.

Furthermore, teachers should give timely feedback on the essays students produce. Real-time feedback can help students improve their subsequent essays as they are able to utilise the feedback before and while writing the subsequent essays. Teachers should also provide oral feedback together with the WCF because some students may have difficulty in understanding the codes used in the WCF. By combining timely feedback with oral feedback in addition to WCF, surely students can make better use of the WCF they receive on their writings, thus enhancing their strategy in revising the essays. Writing teachers should change their teaching strategy so that WCF can be used as a tool for learning by students.

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Appendices

Appendix 1

Draft Essay

1 Parents always want the best
for their children. They will do
anything as long as it is benefits
to their children. Some parents
5 believe that curfews keep their
teenagers out of trouble. In my
opinion, it is strongly agreed that
curfews should be imposed to the
teenagers because of the two main
10 points below.

Revised Essay

1 Parents always want the best
for their children. They will do
anything as long as it is beneficial
to their children. Some parents
5 believe that curfews keep their
teenagers out of trouble. In my
opinion, I strongly agree that
curfews should be imposed on
teenagers because of the two main
10 points below.

Appendix 2

Draft essay

*In addition, many crimes have
happened at late night.*

Revised essay

*This is because, many crimes had
happened at late night.*

Appendix 3

Draft essay

1 Next, curfews also prevents
teenagers from social problems.
Illegal racing, concert and clubbing
are events that encouraged
5 teenagers to get involved in drugs.
This matter keeps worrying the
parents and some of them take
decision to set a time for their
children not to come home late
10 in the night. Teenagers can spend
more time with their family and it
makes teenagers to stay away from
the social problems as they know
that their family need and love
15 them very much.

Revised essay

1 Next, curfew will give a lot of time
for the teenagers to spend with
their family. Limiting the time for
teenagers to go back home will
5 increase the time spend at home and
this may strengthen the relationship
between parents and their children.
For example, teenagers may have
spent their time with their friends
10 during the day as well as with their
family in the night. Indeed, curfew
should be imposed on teenagers
in order to have time with their
parents.

Insights into the Internet-Mediated Contextualized English for Domestic Tourism Lessons (InConMedt): A Practical Guideline

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ABSTRACT

This study aims to propose a practical theoretical framework in constructing a prototype lesson of online-mediated lessons in English for Domestic Tourism using social constructivism theory in investigating the quality of an online prototype lesson in terms of the validity, reliability and effectiveness and exploring students' opinions towards this online lesson. The sample group consisted of 20 students, and the research instruments were InConMedt, a pre- and post-test of WBST-EFT with a rating scale and the interview. The results from priori-validation indicated that this online prototype task posed high content and construct validity and reliability. The statistical results from dependent-samples of the t-test showed a significant improvement at the .01 level in the high- proficiency group. Most importantly, the two proficiency groups had positive opinions of this online lesson.

Keywords: Online lesson, English for Specific Purposes, English for Tourism, social constructivism

INTRODUCTION

English is a significant means of communication in the ASEAN Economic Community (AEC) in 2015 as it enables the ASEAN members and their citizens to interact with one another in both official meetings and daily communications. From

this significance, English is thus considered "indispensable to ASEAN Community" as claimed by His Excellency Minh, Secretary-General of ASEAN (ASEAN SG, 2014).

Adding to this importance, English is also used in the specific occupational purposes including the tourism industry. In this context, tour guides use English to communicate directly with linguistically diverse tourists, including those from ASEAN nations. English for Tourism is a sub-category of language for

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specific purposes (LSP) that has precise language components and varies in the communicative situation. It is thus purposively selected in the present study as it is viewed as an income generator industry to Thailand. This is evident in the recent report in 2012 where a total of 965,000 million baht was received from Thai tourism, an increase of 24% from the previous year (Annual Report, 2013).

Due to this, English for Tourism is offered as a compulsory course for all Business English and Tourism Industry major students at Nakhon Ratchasima Rajabhat University. Students are required to pass the course with adequate English speaking proficiency to be able to communicate in the tourism setting. This challenging issue leads to the need to develop an effective instructional tool that engages students to practise English outside the classroom, and ultimately facilitates autonomous learning. Social constructivism with the use of Internet technology is thus integrated in this study as a grounded theory for the effective instructional tool construction. Mitchell and Myles (1988) state that social constructivism provides how learning can be fostered effectively through interactive pedagogical practices. The emphasis is on the learners as “active constructors of their own learning environment” (p.162).

This study also combines the advantages of online technology in language instruction in providing an opportunity for students to interact with their peers, self-practise, co-create knowledge and share

experience at their preferable place and time through collaborative learning.

Responding to the need to develop an effective instructional tool that can facilitate active learning and use with a large number of students, the following objectives are formulated:

- a) To propose a practical theoretical framework in constructing a prototype lesson of an online-mediated lessons in English for Domestic Tourism (EDT) using social constructivism theory.
- b) To investigate the quality of an online lesson plan in terms of validity, reliability and effectiveness.
- c) To explore students’ opinions towards this online lesson.

LITERATURE REVIEW

Language for Specific Purposes Speaking Ability

Language for Specific Purposes (LSP) has precise characteristics of the language used in a particular target situation (Douglas, 2000). In other words, language varies in the context of use. Douglas (2000) stated that LSP speaking ability “results from the interaction between specific purpose background knowledge and language ability, by means of strategic competence engaged by specific purpose input in the form of test method characteristics” (p. 40). Douglas’ definition of LSP ability shows a prominent feature of background knowledge that differentiates LSP from General Purposes language (GP). The

model of LSP ability is made up of three factors: language knowledge, strategic competence and background knowledge.

Language knowledge in this model consists of grammatical knowledge, textual knowledge, functional knowledge and sociolinguistic knowledge. Language knowledge is used in producing the language and its appropriate use in context situations. Strategic competence is made up of higher order thinking and communication strategy, which is hierarchically called upon by the users. It acts as mediator to relate both language knowledge and background knowledge in the communicative formulation process. The integral component of LSP ability, background knowledge is employed by users to relate long-term memory knowledge with present input to predict upcoming events and to make a decision.

A number of research studies have investigated strategic competence and the effects of background knowledge. However, these topics remain controversial and need to be further investigated. This includes the study from Elder (2001) on the inclusion of strategic competence with the LSP construct. The author reported the mismatch of the test takers' LSP communicative ability between linguistic competence and non-language ability, for example strategic competence and teaching skills. She claimed that linguistic ability should be separated from non-language ability.

In regards to the central component of LSP ability, background knowledge, the study from Krekeler (2006) reports a

strong effect of background knowledge on participants' reading performances. In other words, participants had higher reading scores in the topic related to their subject areas.

Social Constructivism and Language Acquisition

Social constructivism is concerned as an increasing prominent approach in the field of second language acquisition (Lantolf & Appel, 1994). Social constructivism approach has as its belief that learning is "constructed" by learners. Learning will occur through active construction. Knowledge thus is seen as a construct that is needed to be tied together through an active process of participation and interaction with the environment. There is no other way to learn something other than to actually "do" it. This can be related to language acquisition that learning is a social process; learners learn the language through interaction and collaboration with others. They involve in the co-construction process by learning word meanings and internalising the structure of language.

According to Vygotsky (1978), knowledge acquisition consists of two kinds of activities: intercommunication, or between people, and later intra-communication or within ourselves (Wilson, 1999). Most of the time people learn through collaborative group work in a dialectical environment. Intra-communication is a process of self-reflection on different things (Luksaneeyanawin, 2008). In the classroom, intra-communication plays an important

role in language acquisition since language learning involves learning word meaning and internalising the structure of language (Schcolnik, Kol, & Abarbanel, 2006).

Another important concept in social constructivism is the zone of proximal development (ZPD). Under ZPD, there are two developmental levels in the learners: the actual developmental level, which is determined by what the learner can do alone, and the potential level of development, which can be established by observing what the learner can do when supported by teachers or more advanced peers. Vygotsky (1987) puts it thus, “What the child is able to do in collaboration today he will be able to do independently tomorrow” (p. 211). The ZPD concept has been used with the notion of scaffolding, which refers to support from an adult, expert or another peer who has already mastered that particular function, such as teachers who act as facilitators in the classroom setting (Oxford, 1997).

Technology Assisted Language Instructions Under Social Constructivism Theory

Due to the proliferation of Technology Assisted Language Learning (TALL) including online learning, within this environment, students learn both language and culture from their peers around the world, and this encourages them to understand and look at learning from different perspectives.

As referred by Gredler (1997) knowledge, meaning and understanding of the world can be addressed in the classroom

from both the view of the individual learner and the collective view of the entire class. Yang and Wilson (2006) found that in the TALL community, learners learned the language and used various dialectical communications through computer games while they also perceived different perspectives in the real world community. The finding revealed that TALL promoted social interaction for negotiation, which supported collaboration of knowledge and allowed learners to access multiple perspectives and types of learning. By understanding different perspectives, students can increase their metacognitive ability.

Similarly, McMahon (1997) indicates that online learning provides authentic or “situated learning” for learners. Learners are enculturated to authentic practice through social interaction. He claims that Web-based learning is a good tool for collaborative learning. Moreover, a study from Barhoumi and Hamza kabl (2013) on using E-learning under social constructivism to foster lifelong learning showed a significant difference at the .05 level between the control and experimental group. The authors claim that the web is a good communication medium that increases social interactivity and offers both synchronous and asynchronous interaction. The online environment supports a more reflective understanding of the metacognitive and promotes real-time communication in collaborative learning. Additionally, Churcher, Downs and Tewksbury (2014) claim that the use of social media with 30 subjects

increases the interactive learning process in collaborative learning. The reason is because this online course provides deeper and richer participation, and engages learners in group dynamics.

However, this innovative instructional approach is not without its drawbacks, particularly in terms of strength of signals and accessibility of the Internet. Moreover, in some areas of study, the virtual environment did not seem to work as the particular subject required learners' involvement in a physical environment, as in plumbing practice (McMahon, 1997). Additionally, types of learning supports in an online environment are still questioned by experts and need further investigation. This includes the results of real-time chat on students' performance (Barhoumi & Hamza kabli, 2013). Another caution is that the use of this online and blended classroom requires "suggestion" in using all social media as instructional tools and appropriate theory in the course (Churcher *et al.*, 2014).

METHODOLOGY

The current study uses both quantitative and qualitative analysis techniques of the data. Sampling selection procedure, instrumentation, data collection, discussion and conclusion are presented in the following parts.

Sampling

The population in this study was 70 second-year students majoring in Tourism Industry at Nakhon Ratchsiama Rajabhat

University who had registered for 2017363 English for Domestic Tourism in the first semester of the academic year 2014. From this population, 20 students were randomly selected to participate in this study. This group of samples passed a pre-requisite course of English for Local Tourism. They were classified into 'high-proficiency group' and 'low-proficiency group' from their pre-test scores using a web-based speaking test in English for Tourism (WBST-EFT).

Students with means ranging from band 2.20 to 2.45 were assigned to the high-proficiency group, while those in the low-proficiency group had earned means ranging from band 1.20 to 1.60. This resulted in a total of 10 in the high-proficiency group and 10 in the low-proficiency group. They were required to take the pre- and post-test using WBST-EFT, an online test that posted high content and constructed validity and reliability (Phaiboonnugulkij & Prapphal, 2011).

Instrumentation

The internet-mediated contextualised English for domestic tourism lessons (InConMedt). The Internet-Mediated Contextualised English for Domestic Tourism Lesson (InConMedt) is an online lesson in a 3-credit course, 2017363 English for Domestic Tourism, at Nakhon Ratchasima Rajabhat University (NRRU). This course has a pre-requisite of English for Local Tourism. The course is offered in the first semester of every academic year. It is a compulsory course for Tourism

Industry and Business English major students (Curriculum for Bachelor of Arts in English and Tourism Industry, 2008).

The InConMedt includes five lessons from English for Domestic Tourism. These lessons consist of giving a welcoming speech to the tourists, presenting Thai historical periods, the Emerald Buddha Temple, a tour itinerary and dealing with tourists' enquiries and complaints. This is a 12-week course. These lessons are selected due to their importance by subject specialist informants, and the highlight of the course requires a number of recursive practices with comments to achieve behavioural objectives of each lesson. The use of Internet technology provides an opportunity for students to practise their presentations at their own pace and time (Fulcher, 2003) is thus used in this study. The InConMedt is posted on Facebook, which is mostly used by all of the students in the course to be certain that no student would be left behind without a mentor and guidance from the lecturer.

In the present study, in-depth details on the construction procedures, validity evidence and reliability of a prototype lesson and giving a welcoming speech to tourists, are presented in four main phases in the data collection part.

Web-based speaking test in English for Tourism (WBST-EFT) and the rating scale. A web-based speaking test in English for Tourism (WBST-EFT) is the online achievement test in 2017363 English for Domestic Tourism. It consists of six test tasks in total. Only part of the first test task

on giving a welcoming speech to tourists, pertinent to the InConMedt's prototype lesson, was used in this study. The test was delivered via Facebook at NRRU laboratory and removed right after the students had completed it for the security of test items.

Students were required to speak into a microphone, and their speech was recorded. They then submitted the test via the "message" device in Facebook individually. Their speech performance was graded by two raters for valid and reliable test scores. This online test posted a high quality of content and construct validity at IOC value of 1 while the inter-rater reliability value from Pearson correlation coefficient was .94, reflecting high reliability of the test (Phaiboonnugulkij & Prapphal, 2011).

The analytical rating scale was employed in the present study due to its appropriateness to the lesson. The criteria for this prototype lesson were ranged for accuracy in linguistics components and content and fluency of speech production. The rating scale was made up of three components: content knowledge, accuracy in vocabulary and grammatical structure and fluency of speech performance. Each component consisted of five ability bands, starting from band level 0 (very poor user), 1 (beginner), 2 (fair user), 3 (good user) to 4 (very good user). The ability band was derived from the summation of the averaged scored from two raters. Rater training was arranged before the pilot study for reliability and consistency in scoring methods (Phaiboonnugulkij & Prapphal, 2013).

Interview of students' opinions of the InConMedt. The interview was used to gain qualitative data on the insight of the students about the InConMedt and the data was used as additional validity evidence on this online lesson. The interview consisted of three open-ended questions adapted from Fulcher (2003)'s framework of the interface design of an online instrument and the concept of social interaction in social constructivism theory (Vygotsky, 1978).

These interview questions are on appropriateness of content and order of language presentations in facilitating students to use English to give a welcoming speech to the tourists, levels and appropriateness of interaction among lectures, student themselves and peers who provide support in giving the welcoming speech and quality of sound, picture and graphic in the InConMedt. All the questions were translated into Thai and students also responded to the questions in Thai for the mutual understanding and for obtaining in-depth information.

Similar to the previous two instruments, the interview questions and script were validated by three experts in the field using the IOC index, with values ranging from .75 to 1.00, showing high content and construct validity. Inter-coder was used to triangulate the data from the interview. Coder training was arranged prior to the pilot study to ensure consistency in data categorisation.

Data collection

The research methodology consisted of four main phases as follows.

Phase 1: Needs analysis development. Following Douglas (2000), LSP has precise characteristics in which only people who are in the field would have a thorough understanding of the language used in a target situation. The first stage to obtain this precise feature of language is to analyse the target language use situation (TLU), and one of the best ways to do this is to consult a "subject specialist informant" (pp.253–254) using the needs analysis procedure. Needs-analysis questionnaires were constructed and sent to the subject specialist informants: 13 bronze card licence holders tour guides, 8 English for Tourism lecturers and 10 English for Tourism trainees. The TLU tasks that were considered important and pertinent to the English for Domestic Tourism course were selected for constructing the InConMedt. These TLU tasks were: giving welcoming speech to the tourists, presenting Thai historical periods, the Emerald Buddha Temple, tour itinerary and dealing with tourists' enquiries and complaints. Then the lesson plans were written and converted into online version in the next phase.

Prior to the administration procedure, needs-analysis questionnaires were validated by three experts in the fields using IOC table with values ranging from .75 to 1 for three parts of the questionnaire: TLU situations in Thai domestic tourism, criteria for tour guide speech assessment and open-ended questions.

Phase 2: Lesson plan construction and online conversion. The results from needs-analysis questionnaires were used in lesson-plan construction to ensure that the language used in the target situations resembled that used in real tourism situations (Douglas, 2000). This included the analysis of English for Domestic Tourism course description. The content on the prototype lesson plan was related to giving a welcoming speech to tourists. The learning goal and behavioural objective were then set. The learning goal for this lesson was to use English to welcome foreign tourists to Thailand. The behavioural objective of this lesson was at the end of the lesson, where the second-year Tourism Industry major students were able to give the welcoming speech by getting at least band level 2 as measured by the WBST-EFT.

The instructional methods were designed following social constructivism theory (Vygotsky, 1978; Churcher et al., 2014). The online version of the prototype task was based on Fulcher (2003) and Winke (2014) on the Interface design.

In this hybrid classroom, students were required to self-study the lesson on giving a welcoming speech to the tourists, via a video clip posted on Facebook. Then they come to the class the following week to share what they had learnt, problems they had in the learning process and things that would make their learning in this topic better.

The prototype lesson consisted of three main instructional stages: inter-

communication, intra-communication and didactic learning. The three stages were interrelated and sometimes overlapped. The teacher in this learning environment acted as the facilitator. Details of the three stages of instruction are presented below.

Stage 1 – Inter-communication. This stage aimed at eliciting students' background knowledge through collaborative learning with peers to allow them to interact in group using inter-communication. They were firstly asked questions using a picture of a tour guide talking on the coach. The questions were "What should the guide say to the tourists when they first meet?", "Now, from your experience, what are expressions that the tour guide used during the trip?" Students shared their answers on the wall. In this way, they would have a chance to interact with the language through either live chat with their peers or in the asynchronous form of a post. After they had completed the task, they moved on to the presentation of useful expressions with a full explanation by the lecturer.

Stage 2 – Intra-communication. In the second stage, students self-studied the expressions used in giving a welcoming speech to the tourists with detailed explanation about the context of use and the necessary grammatical features. Then they were required to create their own welcoming speech following the framework provided by the lecturer and most importantly, adding their own expressions from their ideas or the expression that they had gathered themselves. They then sent the

audio recorded speech in message for privacy, and lecturer would return the comment individually.

Stage 3 – Didactic learning. Students were required to go on the “live chat” session by making an appointment with the lecturer. They presented their welcoming speech in groups following the simulated situation provided by the lecturer, one taking the role of tour guide while the rest acted as tourists. Each group would get different scenarios to present the welcoming speech. Then they came to class to reflect on their learning face to face.

The lesson plan was converted into an online version using online freeware in a video clip. As mentioned earlier, as this study aimed to provide a practical guideline for academia, only available freeware and user-friendly programmes were used in the InConMedt construction in the following details.

First, Photoscape, an editing programme, was used in pictures and photographs as decoration from a number of sources. Then the audio of the lecture and explanations related to content and expressions were recorded through mobile phone using a voice recorder and the free trial programme Sound Forge by Sony Creative. After that, the audio and graphics were combined using the Windows Movie Maker programme, which allowed the researcher to adjust the content and order of presentation in a few minutes. Finally, this first prototype lesson was posted on Facebook to avoid problems related to unfamiliarity of the platform that could affect learning.

The prototype lesson was piloted with the sample group. The results from the pilot study are presented in the following section.

RESULTS AND DISCUSSION

Phase 3: Validation Procedures. To ensure the quality of this online prototype task and obtain the validity evidence, both priori- and posteriori-validation procedures were conducted.

Priori-validation. The InConMedt was validated by three experts in the field for content and construct validity using the IOC table with a value of .75, indicating that this instrument poses high content and construct validity. The two experts were English lecturers at NRRU with teaching experience of 25 and 28 years in English for Tourism. They both hold a Master’s degree in English study. Another expert was also an English lecturer with a Ph.D. in Education and has conducted research on tour guide speeches. This lecturer has teaching experience of 10 years. The InConMedt was revised for the clarity of sound, contents, order of presentation and movies before the pilot study.

Posteriori-validation. Prior to the posteriori-validation, 20 students were pre-tested using the WBST-EFT in the first semester of the academic year 2014. They were required to present the welcoming speech to a group of tourists during the trip. The results of the pre-test band score showed that the means of the high-proficiency group was 2.35 ($\bar{x}_{\text{Highpre}}=2.35$, $SD=.13$) and that of the low-proficiency

group was 1.45 ($\bar{x}_{\text{Lowpre}}=1.45$, $SD=.21$). The standard deviations between the two groups differed largely, indicating greater variation in the scores of the low-proficiency group than that of the higher-proficiency group.

The InConMedt was then piloted with the same groups. After that they were post-

tested by the WBST-EFT, in a test similar to the pre-test. The dependent-samples t-test were employed to identify the differences between the pre- and post- test scores of the two proficiency groups. The results are illustrated in Table 1.

TABLE 1
Comparison of Pre- and Post-Test Scores of the Two Proficiency Groups

Source	Paired Differences					t	df	Sig. (2-tailed)
	Mean	SD.	Std. Error Mean	95% Confidence Interval of the Difference				
				Lower	Upper			
High	-.93	.20	.12	-1.45	-.41	-7.76	2	.01*
Low	-.70	.36	.20	-1.59	.19	-3.36	2	.07

* $p \leq .05$

In Table 1, the results from dependent-samples t-test show that the comparison between the pre- and post-test scores of the high group is $t(2)=-7.76$, $p=.01$, indicating a significant difference of the test scores in this group. Specifically, the p value is .01, showing a great significant difference of the speaking performances of this group. In other words, this proficiency group had significantly improved their LSP speaking performances.

The descriptive statistics showed that the pre-test mean of the high-proficiency group was 2.35 whereas their post-test mean was 3.32 ($\bar{x}_{\text{Highpre}}=2.35$, $SD=.13$, $\bar{x}_{\text{Highpost}}=3.32$, $SD=.12$), showing significant progress of the LSP speaking ability. Their standard deviations were almost similar for the two tests. The pre-test minimum and maximum scores of this group were 2.20

and 2.45 respectively while those of the post-test were 3.20 and 3.45, showing an increase in band level by one band from fair user to good user.

In contrast, the statistical result of the low-proficiency group did not show any statistical significance between the two tests. The results were $t(2)=-3.76$, $p=.07$, indicating no significant difference between the pre- and post-test scores in this group. This means the performance of this group did not significantly change before and after the study.

Results from descriptive statistics indicated that the pre-test mean of the low-proficiency group was 1.45. An increase was found in the pre-test mean at 2.25 ($\bar{x}_{\text{Lowpre}}=1.45$, $SD=.21$, $\bar{x}_{\text{Lowpost}}=2.25$, $SD=.57$), showing that this group had also

progressed in LSP speaking performance, but the evidence was not significant. However, their pre-test standard deviations were more than half of the post-test, an indication of a great variation in scores between the two tests.

The pre-test minimum and maximum scores of this group were 1.20 and 1.60 respectively while those of the post-test were 1.60 and 2.70. Although the low group's performance was not significantly different, their post-test minimum scores were quite different from the max score at more than one-band level, indicating that their performance had improved from beginner to almost proficient learner.

The results correspond with the study of Barhoumi and Hamza kabli (2013) on using E-learning under social constructivism to foster lifelong learning, which showed a significant difference at .05 between the control and experimental group. The results are also reconfirmed by the recent study of Churcher, Downs and Tewksbury (2014) on the use of social media i.e. that it supports students to learn better.

The reasons that the low-proficiency group did not significantly improve their LSP performance may be due to their low language ability that should be guided more by proficient learners so that they can move from their actual stage to their potential stage (Vygotsky, 1978). Although their ability did not significantly improve it had actually increased. More guidance from lecturers will be taken into consideration for revision of the next lesson plans of InConMedt.

The qualitative results from the content analysis of students' opinions of InConMedt from the interview are presented as follows. Their verbal reports were transcribed and categorised into the following interview questions.

Content Analysis of Students' Opinions Towards InConMedt from Interview

The majority of the students from both high- and low-proficiency groups had positive comments on appropriateness of content and order of language presentation in facilitating students to use English to give a welcoming speech to the tourists. The evidence was obvious from the high-proficiency group that the content was easy for them to comprehend; they added that if they missed some points they could review the section. Positive comments also came from the low-proficiency group on the way the content was presented with the use of multimedia, which made it interesting for them to learn and rehearse their speech from the clip.

Concerning the levels and appropriateness of interaction among lectures, student themselves and peers, most of the students praised this learning environment for being able to support them to learn the lesson. They thought that this learning environment was less stressful and they could study at their preferred time. They could contact and interact with friends using Facebook as the platform.

However, a few students commented that this prototype task should be more interactive by adding more interesting

motion pictures and that the task should elicit and stimulate students to respond to the task more. This also contributes as the limitations of this technology, which will be adjusted for the next online lessons.

Moving to quality of sound, pictures and graphics in the InConMedt, negative comments were found from the low-proficiency group on the clarity of sound. One student stated, "I can't figure out some parts of the lecture because the sound was in buz bus, for example, let me intro (pause) well, into..(pause) maybe intodukt [introduce]." This problem was also noticed by one student in the high-proficiency group, who stated, "I missed the last part of the clip, just can't catch up, but at least I can read from powerpoint then." No negative comments were found on the clarity of graphics and pictures.

Phase 4: Revision of the instruments.

These data will be used in the rest of the lesson construction, particularly with regards to clarity of sound and time for presentation. More interaction in the lesson will be considered with the use of current technology to improve the quality of the final version of the InConMedt.

CONCLUSION

This study aimed to propose a practical guideline on the construction and implementation of an online lesson in English for Domestic Tourism, to investigate the quality of an online lesson plan in terms of validity, reliability and effectiveness and to explore students'

opinions of this prototype online lesson. The results showed that this prototype online lesson was developed under social constructivism and online technology instruction and that it is of high quality in terms of content and construct validity and reliability. This online lesson is also proved to be highly effective in supporting students' progress, specifically with high-proficiency students.

Although the evidence was not significant, it is considered a useful instructional tool in supporting low-proficiency students to develop their LSP speaking ability. Most evidently, it assisted students to move from their actual stage of performance to their potential stage at their own pace, time and place. Ultimately, this guideline will particularly be useful in other ESP courses with the integration of an online technology to provide students to self-access and self-practise their ESP speaking ability in the interactive environment.

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Motivational Dynamics: The Case of Iranian EFL Learners' Motivation

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ABSTRACT

This study investigates temporal changes in Iranian EFL learners' L2 motivation and the possibility of predicting their motivated learning behaviour, ideal and ought-to L2 selves and L2 learning experience in light of Dörnyei's (2005) L2 motivational self-system framework. To this end, 1,868 learners of four educational levels (i.e. junior high and high school levels, BA/BSc and MA levels) filled out the questionnaire developed by Taguchi et al. (2009). The results of the one-way ANOVA revealed a higher motivational disposition for secondary school students and an age-related decline specifically concerning preventional-focus variables. Moreover, the results of the regression analyses showed that different factors predicted the three components of L2 motivational self-system and intended effort of the four educational groups. Most of the predicting factors of students' ideal L2 self, learning experience and motivated behaviour had a promotional focus whereas preventional-focus variables were among predictors of students' ought-to L2 self.

Keywords: Motivation, L2 motivational self-system, ideal L2 self, ought-to L2 self, English learning experience, Iran

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INTRODUCTION

L2 motivation is one of the influential factors in learning a language being extensively studied among other individual factors (Ellis, 2008). From time to time various motivational theories have been introduced, validated and investigated in different contexts. Among these theories, the L2 motivational self-system

(Dörnyei, 2005, 2009) is a relatively recent reconceptualisation of previous theories addressing the Gardnerian concept of integrativeness (Gardner, 1985, 2001) and conceptualisation of learners' identity (e.g. Lamb, 2009; Yashima, 2009). It includes three main constituents: the ideal L2 self, ought-to L2 self and English learning experience. The ideal L2 self refers to the attributes one wishes to ideally hold (Dörnyei, 2010), that is, the ideal image the L2 user wishes to be in future such as being fluent in using L2 when interacting with other speakers of the language. Such vision can act as a powerful motivator in reducing the discrepancy between the person's actual self and ideal image. Ideal L2 self and integrativeness were significantly correlated explaining more variance in learners' intended effort (e.g. Kormos & Csizér, 2008; Taguchi, Majid, & Papi, 2009). In fact, these variables share the same underlying construct domain (Dörnyei, 2010).

The second dimension of L2 motivational self-system, ought-to L2 self, refers to "the attributes that one believes one ought to possess" (Dörnyei, 2005, p.105). Various duties, obligations, or expectations one ought to fulfil to avoid possible negative outcomes are examples of this dimension. Ought-to L2 self, for example, can act as a major motivation in the case of learning an L2 to fulfil one's family or teacher's expectations. Family influence and instrumentality-prevention in Japan, China and Iran, have influences on this variable, but the effect on learners' motivated behaviour was far less than that of

the ideal L2 self (Taguchi *et al.*, 2009). Also in Hungary, a similar relationship between parental encouragement and ought-to L2 self was found (Csizér & Kormos, 2009).

L2 learning experience "concerns situation-specific motives related to the immediate learning environment and experience" (Dörnyei, 2005, p.106). In many studies (e.g. Csizér & Kormos, 2009; Taguchi *et al.*, 2009), this constituent illustrated the strongest influence on motivated behaviour. Contextual factors (e.g. classroom environment, task design, cultural setting curriculum, teacher, peer group and teaching materials, have a critical role in motivating students since it is students' successful engagement with the learning process that motivates them, not their own internal or external self-images (i.e. ideal and ought-to L2 selves) (Dörnyei, 2009).

Considering the fluctuations in students' motivation during the long process of language learning and the contribution of this theory to advancing our knowledge of L2 motivation, this study will focus on dynamicity of learners' motivation in a context where English is a foreign language and everyone is required to learn it in school as a mandatory subject matter. Considering these conditions and other factors (e.g. learners' age groups, learning environment, socio-cultural context) different motivational patterns might be drawn. For this purpose, a short review of the language learning system and motivational studies of Iran will be provided; then, the research questions of this study will be explored.

LITERATURE REVIEW

Language Learning in Iran

In Iran, the government primarily sets foreign language educational policies. At school level, the curriculum is mostly top-down and product-orientated in all aspects, and the Ministry of Education directs everything through the educational groups' monitoring (Eslami & Fatahi, 2008). Teaching English for seven years as a mandatory school subject formally starts from the first grade of junior high school and proceeds to the last year of high school, and includes the pre-university level (i.e. when the data of this study were gathered). Throughout these years, English is practised and shaped in mainly teacher-centred classrooms with a specific textbook and rare support from the social context and exposure to the language outside the classroom. However, after the reform in educational system since 2010 and teaching newly designed English textbooks from 2013, the main aim is teaching the four skills and familiarising students with communicative approaches. Now students study English for six years from grade seven to 12 during the six years of junior and senior high school (Kheirabadi & Alavi Moghaddam, 2014).

At universities, in BA/BSc programmes, all students are required to pass a three-credit general English course regardless of their field of study. In most fields of study, this course is followed by one or two ESP courses which cover the needs of each field to some extent. In graduate programmes, students of specific fields of study, mostly humanities rather than engineering, are

required to pass a two-credit ESP course, while in other fields, offering such courses is optional and the decision is made by the scientific committee of each department.

At university level, the Ministry of Science, Research and Technology sets the goals, defines the course syllabus and recommends the textbooks. Besides English textbooks compiled and written by university professors, usually General English and ESP books published by Samt are used at most universities. However, teaching English at university level and schools is similar in that reading, vocabulary and grammar learning are emphasised. Translation is also underscored and sometimes writing assignments is required; however, the two skills of listening and speaking receive the least attention.

Although English is taught as a required course at schools and universities, the private sector of English teaching is extensive and growing in the country. In private language institutes, prominence is mostly given to communicative skills and functional aspects of language. Unlike school textbooks that are designed by the Ministry of Education and are devoid of L2 cultural issues and authentic materials (e.g. Maftoon, 2002), the books used at private language institutes are written by native speakers and carry L2 ideological values and cultural issues (e.g. Khajavi & Abbasian, 2011). In addition, teachers seem to be more proficient, active and motivating, and the class sizes are relatively small. In addition, private English institutes offer various courses for interested learners of diverse age ranges from children

to adults according to their needs, such as communication, ESP and TOEFL and IELTS preparation courses.

Research on Motivation in Iran

In Iran, similar to studies conducted around the world, research on L2 motivation mainly rested on the Gardnerian motivational theory and integrativeness as its key constituent (e.g. Birjandi & Hadidi Tamjid, 2010; Dastgheib, 1996). Following the introduction of the L2 motivational self-system, researchers around the world conducted studies to investigate different aspects of this theory. Likewise, the number of studies on the L2 motivational self-system is increasing in Iran. The studies of Azarnoosh (2014), Azarnoosh & Birjandi (2012), Kiany Mahdavy and Ghafar Samar (2012), Papi (2010), Papi and Teimouri (2012), Roohbakhshfar *et al.* (2011) and Taguchi *et al.* (2009) are examples that explored motivation from different perspectives. What follows is a short review of the findings of some of these studies.

In a study, Roohbakhshfar *et al.* (2011) investigated the relationship between two groups of university students' intended effort in learning English and the components of the L2 motivational self-system. They administered a questionnaire to 108 TESL freshmen and seniors. They found a strong association between the senior group's ideal L2 self and the effort they invested in learning English, whereas the freshmen attributed their intended effort to learning English based on their desire to integrate with the target-language community (i.e.

integrativeness). Roohbakhshfar *et al.* maintained that perhaps students' L2 identity and L2 self develop over time and with more involvement with learning the second language, which can also be an explanation for the dynamic nature of the ideal L2 self.

In another study (Taguchi *et al.* 2009), participants from China, Japan and 1,309 middle school and 719 university students from Iran filled out a questionnaire. In replicating Dörnyei's Hungarian study, ideal L2 self and integrativeness positively correlated, justifying the replacement of integrativeness with the ideal L2 self. Moreover, in all three samples, SEM analyses supported the validity of the L2 motivational self-system. Besides, two distinct types of instrumentality, promotion and prevention, were identified which each correlated more highly with the ideal L2 self and ought-to L2 self, respectively. However, an unexpected finding was the significant association of instrumentality, promotion and ought-to L2 self of Chinese and Iranian participants.

Additionally, Papi and Teimouri (2012) investigated age-related motivational differences among 1,041 school and university students. Students' ideal L2 self, L2 learning experience, instrumentality-promotion, attitudes towards L2 culture and community were the factors which improved with age up to university level. However, preventional-focus variables (i.e. ought-to L2 self, family influence and instrumentality-prevention) declined with age. Moreover, predictors of all students' motivated learning behaviour were only variables with

a promotional orientation among which English learning experience and ideal L2 self were strong. As students entered high school, they became more motivated to learn English. Being the best motivated group with high motivated behaviour and ideal L2 self, high school students ranked first specifically in attitudes towards language learning and L2 community and culture. Contrarily, prevention-focus variables were stronger among the younger learners.

In Kiany *et al.*'s (2012) study, 401 high school students filled out a questionnaire to reveal their L2 motivational changes across grades. Moreover, the impact of the education system on English learners' motivation was examined. Descriptive statistics revealed that except for L2 anxiety which increased as students approached the last years of high school, all motivational factors followed a systematic decline. In terms of motivational changes, students' instrumental-promotion, interest and ideal L2 self significantly declined in the last high school years. Likewise, although statistically insignificant, extrinsic motivational factors of ought-to L2 self and instrumental-prevention decreased but learners' L2 anxiety increased. They concluded that the "context is more in favour of extrinsic motivational forces rather than the intrinsic types" (p. 12) and "the curriculum has little effect on students' 'attitudes towards L2 community and cultural interest'" (p. 12) since there was almost no change in students' cultural orientations.

The abovementioned studies focused on the L2 motivational self-system of

various cohorts of participants from different perspectives. However, none of them specifically investigated and compared the motivation of Iranian language learners, who only experience compulsory language learning in the four education levels (i.e. junior high, high school, BA and MA). Hence, investigating learners' level of motivation and identifying their sources of motivated learning behaviour seems essential to enriching our knowledge about learners' motivational status. Accordingly, the following research questions were formulated:

1. Is there any significant difference between junior high, high school, BA/BSc and MA students' motivation?
2. Can ideal and ought-to L2 selves, English learning experience and intended effort of language learners be predicted from other motivational factors?

METHOD

Participants

The total participants of the present study included 3,015 language learners who were studying English as a required course at one of the educational levels (i.e. junior and high school levels, BA/BSc and MA levels excluding English fields of study). Since some participants had studied or were studying English in private language institutes, they were identified based on a question in the questionnaire and the corresponding data were excluded from the analysis.

School participants were 666 junior high school students: 324 females and

342 males, in the age range of 12 to 15 and the mean age of 13.88; and 618 high school students: 361 females and 257 males, ranging in age from 15 to 19 with the mean age of 16.32. The university participants were 584 students: 528 BA/BSc students (293 females and 235 males in the age range of 17 to 48 and mean age of 20.71) and 55 MA students (15 females and 41 males, ranging in age from 23 to 53 and mean age of 32.56). In addition, to minimise any school or university bias, the sample was randomly selected from schools and universities all over Semnan province and Mashhad, which were local areas available to the researchers of the study. In fact, schools and universities were chosen from different educational districts of the cities to ensure diversity of sample as

much as possible. However, convenience sampling was used in selecting the classes.

Instrument

For data collection, the Persian version of the Taguchi *et al.* (2009) questionnaire was used. It was piloted with 244 students from all levels, who filled out the questionnaire with some joining follow-up interviews to insure the comprehensibility of the items. The questionnaire contained two parts: the first part measured learners' attitudes and motivation towards learning English and the second part consisted of questions about learners' background. The questionnaire consisted of eight factors measured by a 6-point Likert scale with acceptable reliability coefficient (Table 1).

TABLE 1
Reliability Estimates for the Scales

Scales	R
Ought-to L2 self (6 items)	.75
Family influence (6 items)	.73
Instrumentality (Promotion) (6 items)	.71
Instrumentality (Prevention) (8 items)	.73
Intended effort (6 items)	.85
Ideal L2 self (6 items)	.82
Attitudes to learning English (6 items)	.84
Attitudes to L2 community and culture (8 items)	.86

Procedure

To collect the data, the researchers first approached schools and universities and provided information about the survey and details of administration for the school principals and department heads. With their permission, the researchers and their assistants provided a brief explanation

about the study for the students during their class time. Afterwards, the subjects filled out the questionnaires in almost 15 minutes on average.

RESULTS AND DISCUSSION

To analyse the data SPSS 16 was used. To find out whether there is any significant

difference between junior high, high school, BA/BSc and MA students' motivation in terms of their L2 motivational self-system, after ensuring their homogeneity of variances, a one-way ANOVA was run. The significance levels associated with the F-observed values for the scales in Table 1 shows that there was a significant difference

between learners' L2 motivational self-system on all scales ($p < .05$). Although the F-values of the scales denote significant differences between the mean scores of the four educational levels, the post-hoc Scheffe test was run in order to locate the exact place of differences between the four mean scores (See Table 2, Sequence).

TABLE 2
Differences in Language Learners' Motivation

Scale	Sample	Mean	SD	F	Sequence
Ideal L2 self	JHS	4.1589	1.21726	16.29	HS, BA < JHS
	HS	3.6837	1.21614		
	BA/BSc	3.9129	1.21323		
	MA	3.7068	1.27463		
Ought-to L2 self	JHS	3.6752	1.05819	15.77	HS, BA < JHS
	HS	3.2742	1.06184		
	BA/BSc	3.4316	1.04273		
	MA	3.2593	1.17346		
Family influence	JHS	3.7256	1.00165	42.14	HS, BA, MA < JHS
	HS	3.1653	1.01295		
	BA/BSc	3.2512	.96238		
	MA	2.8839	1.09449		
Instrumentality-promotion	JHS	4.4346	1.00284	11.06	HS < JHS, BA
	HS	4.1436	1.00806		
	BA/BSc	4.4141	.92140		
	MA	4.3622	.88667		
Instrumentality-prevention	JHS	4.4333	.92162	11.41	HS, BA, MA < JHS
	HS	4.2036	.93355		
	BA/BSc	4.1616	.91052		
	MA	3.9955	1.03553		
Intended effort	JHS	4.0740	1.17770	13.91	HS < JHS, BA, MA
	HS	3.7176	1.25476		
	BA/BSc	4.0601	1.16680		
	MA	4.3909	.96504		
Attitude to learning English	JHS	3.9288	1.22054	13.91	HS < JHS, BA, MA
	HS	3.5534	1.18471		
	BA/BSc	3.8855	1.10135		
	MA	4.1569	1.11724		
Attitudes to L2 community and culture	JHS	3.6282	1.23845	6.38	HS < BA
	HS	3.4630	1.25135		
	BA/BSc	3.7862	1.20498		
	MA	3.6961	1.21533		

JHS = junior high school students; HS = high school students; "<" and ">" indicate significant difference and comma denotes no significant difference. In the Sequence column, where one of the groups is not present in a crossed row (e.g. MA in the ought-to L2 self sequence box), it means that there is no significant difference between that group and the reported ones in terms of the respective variable.

The results of the ANOVA indicated that students of junior high schools had developed a higher ideal L2 self than high school and BA/BSc students. Similarly, this age-related decline was observed in terms of junior high students' ought-to L2 self, instrumentality prevention and family influence. While MA students' ideal and ought-to L2 self did not differ from others', their level of instrumentality prevention and family influence was similar to that of the other older groups and lower than that of junior high school students.

The results also revealed that from the two younger groups of students, high school students had a lower level of attitudes towards learning English, instrumentality-promotion, intended effort and attitudes to L2 community and culture than other educational levels had. That is to say instead of observing a decline with age, these motivational factors increased with age/educational level. Concerning their English learning experience, which is a more situation-specific variable and their intended effort, high school students scored the least among all other groups. In other words, all groups except for high school students were more willing to invest in their language learning and had a more positive attitude towards learning English. In addition, MA students did not show any significant difference from other groups in terms of instrumentality promotion and attitudes to L2 community and culture; it was the BA/BSc group who had a more positive attitude towards English community and culture.

In the second phase of data analysis, a series of multiple regression analyses each with a stepwise approach was run to identify the predictors of students' ideal L2 self, ought-to L2 self, English learning experience and intended effort. In this approach, each time a predictor (i.e. an independent variable) is added to the regression equation, the least useful predictor with the least appreciable contribution is removed (Field, 2005) and while order of importance of variables are evaluated, useful subsets of variables are selected (Lewis, 2007). The first multiple regression analysis was run for students' ideal L2 self. As presented in Table 3, instrumentality-promotion, English learning attitudes, attitudes towards the L2 community and culture, intended effort and ought-to L2 self were predictors of the two younger groups' ideal L2 self. Attitudes towards L2 community and culture and family influence explained 70% of variance of MA students' ideal L2 self. These two factors with the highest variance were the only predictors and the former was the strongest one for MA students. In addition to these factors, the two types of instrumentality and intended effort predicted BA/BSc students' ideal L2 self. For the school and undergraduate levels, instrumentality-promotion and intended effort were the first and second strongest predictors that showed significant variances in those groups' ideal L2 self. The only negative predictor of ideal L2 self was instrumentality prevention, which negatively influenced the undergraduate group's motivation.

TABLE 3
Results of Regression Analysis for Students' Ideal L2 Self

Variables	Secondary School			High School			BA			MA		
	R ² = 0.62			R ² = 0.63			R ² = 0.60			R ² = 0.70		
	B	SEM	(β)	B	SEM	(β)	B	SEM	(β)	B	SEM	(β)
Instrumentality-promotion	.361	.050	.297	.411	.053	.337	.460	.060	.354			
Attitudes to learning English	.132	.048	.137	.106	.049	.103						
Attitudes to L2 community and culture	.171	.035	.178	.129	.038	.132	.197	.037	.198	.764	.097	.701
Intended effort	.221	.049	.214	.231	.045	.238	.356	.044	.344			
Ought-to L2 Self	.163	.040	.143	.173	.043	.149						
Family influence							.141	.050	.112	.419	.104	.358
Instrumentality-prevention							-.219	.050	-.163			

p<0.01

TABLE 4
Results of Regression Analyses for Students' Ought-to L2 Self

Variables	Secondary School			High School			BA			MA		
	R ² = 0.65			R ² = 0.72			R ² = 0.66			R ² = 0.71		
	B	SEM	(β)	B	SEM	(β)	B	SEM	(β)	B	SEM	(β)
Family influence	.536	.035	.509	.568	.031	.554	.571	.039	.525	.864	.087	.844
Instrumentality-prevention	.287	.038	.246	.225	.032	.201	.297	.039	.257			
Ideal L2 self	.125	.033	.142	.128	.029	.149						
Attitudes to learning English	.082	.031	.096									
Instrumentality-promotion							.159	.046	.142			
Intended effort				.108	.028	.129	.075	.034	.084			

p<0.01

TABLE 5
Results of Regression Analyses for Students' English Learning Experience

Variables	Secondary School			High School			BA			MA		
	R ² = 0.68			R ² = 0.67			R ² = 0.72 = 0.70			R ²		
	B	SEM	(β)	B	SEM	(β)	B	SEM	(β)	B	SEM	(β)
Intended effort	.556	.038	.522	.446	.034	.473	.560	.029	.595	.469	.113	.425
Attitudes to L2 community and culture	.292	.031	.294	.396	.029	.419	.328	.028	.364	.490	.093	.536
Ideal L2 self	.149	.038	.144									
Instrumentality-prevention				-.141	.039	-.111						
Instrumentality- promotion				.152	.049	.128						

p<0.01

Among the predictors of ought-to L2 self, family influence was the strongest variable for all students and the only one for MA students (Table 4). Instrumentality prevention ranked second among other predictors of ought-to L2 self for junior and high school students as well as BA/BSc students. Instrumentality-promotion and intended effort were also found to be the other predictors of BA/BSc students' ought-to L2 self. For the junior high school group, 65% of the variance of students' ought-to L2 self was explained by four factors; however, for high school students, 72% of the variance associated with four predictive factors.

Concerning students' English learning experience, for all levels, the predictors were intended effort and attitudes to L2 community and culture (Table 5). The only difference was in their predictive power for the four educational levels. For school and undergraduate levels, the strongest predictor of learning experience was intended effort, whereas for the MA students it was attitudes towards L2 community and culture. While these two factors were the only predictors

for university students with a predictive power of 70% and 72% for MA and BA/BSc groups respectively, ideal L2 self was another predictor for the younger group and the two aspects of instrumentality were predictors for high school students' English learning experience. Although significant, instrumentality prevention as a negative predictor showed an impact on high school learners' learning experience.

The last regression analysis was conducted to identify the predictors of learners' intended effort in learning English. As expected, attitudes towards learning English was the strongest predictor among others for students of all age groups and educational levels (Table 6). Other predictors for school students and university students at BA/BSc level included instrumentality promotion and attitudes to L2 community and culture, among which the latter had a negative impact on how much the students invested in learning English. Ought-to L2 self was also found to be a significant predictor explaining the variance in high school and MA students' intended effort.

TABLE 6
Results of Regression Analyses for Students' Intended Effort

Variables	Secondary School			High School			BA			MA		
	R ² = 0.66			R ² = 0.66			R ² = 0.68			R ² = 0.57		
	B	SEM	(β)	B	SEM	(β)	B	SEM	(β)	B	SEM	(β)
Attitudes to learning English	.502	.037	.535	.515	.043	.485	.626	.043	.589	.566	.098	.625
Instrumentality-promotion	.271	.045	.230	.248	.054	.197	.284	.048	.226			
Ideal L2 Self	.196	.040	.201	.223	.043	.217	.240	.040	.249			
Attitudes to L2 community and culture	-.066	.033	-.071	-.175	.037	-.174	-.159	.036	-.166			
Ought-to L2 Self				.235	.042	.196				.268	.094	.308

** p<0.01

Considering the results of the ANOVA and regression analyses, age-related differences and dynamicity of Iranian language learners' motivation in terms of the constituents of L2 motivational self-system and intended effort to learn English will be discussed. Accordingly, the socio-educational context of Iran and the compulsory nature of language learning will be considered.

In investigating the differences among the four educational levels' perspective on their motivational dispositions, students' different views revealed the importance of each factor in motivating them to learn English. The results of the ANOVA revealed two opposite trends, an age-related decline in some motivational factors and an increase in others. Concerning the age-related decline, junior high students were found to be quite different from older students in that the preventional-focused variables (i.e. family influence, ought-L2 self and instrumentality prevention) had a higher mean for the youngest group of learners. Learners in the highest level of ought-to L2 self were under greater pressure of family and significant others and had preventional reasons to study in order not to fail or get bad marks. This might be because of the preventional regulatory focus of these three variables that motivated them to regulate their behaviour by avoiding undesired end-states (see Higgins, 1997).

Junior high students also possessed the highest level of ideal L2 self, which declined by age. This is in line with results found in various linguistic contexts where

foreign language learning is compulsory (e.g. Lamb, 2007; Kormos & Csizér, 2008; Henry, 2009). The source of motivation for many students does not originate from within the self nor from outside, but from the successful involvement in the actual language learning process (Dörnyei, 2009), which is not always provided in school environments through compulsory language learning. Moreover, since instrumentality and attitudes towards L2 community are complementary aspects of the ideal language self in terms of agreeableness and achievement-related efficiency (Dörnyei, 2005), for high school students, the low levels of ideal L2 self and instrumentality promotion were not far from expectation. Moreover, as Oyserman and James (2011) maintain, "people are motivated to act in ways that feel identity-congruent, to attain the futures they believe that people like them can attain, and to avoid identity-incongruent futures" (p. 118). It happens that almost all students do not consider English important for their future studies, career, promotion or for gaining special goals. Thus the low levels of ideal L2 self is predictable since learning English does not provide every student with a vivid and unique image of their self.

Moreover, many studies (e.g. Hassani, 2003; Azarnoosh, 2011) looked into various aspects of language learning and teaching at schools in Iran, and the shortcomings, needs and reasons for students' dissatisfaction and demotivation. Teaching methodologies, assessment and exams, school facilities, the content of text

books and lack of cultural values, besides the viewpoint of society at large and socio-cultural elements are some factors to mention. Studies like Kiany *et al.* (2012) and Papi and Teimouri (2012) support the findings as they point to the factors that affect students' language learning attitudes, the time and effort they put into learning English and their motivation in general.

The results also revealed that MA students gained the highest and high school students gained the lowest mean scores on intended effort and attitudes to learning English. Contrary to high school students, MA students regarded these two factors as decisive constituents of their motivation. Similar age-related differences can be observed in terms of students' attitudes towards L2 community and culture and instrumentality promotion. While high school students regarded these factors as being the least important, older students at undergraduate level considered them to be more motivating. Based on the findings for instrumentality-promotion and Ideal L2 self, high school students had the lowest mean. These findings are not in line with the results of Papi and Teimouri's (2012) study in which high school students were the best motivated group with high motivated behaviour and ideal L2 self, ranking first specifically in attitudes towards language learning and L2 community and culture. This noticeable difference can be attributed to the participants' extra language learning experience at private language schools or extracurricular classes (i.e. 3.7% of junior high, 54% of high school and 17.2% of

university students), which participants of this study did not enjoy. Our findings, however, support the idea that instrumental motives with a promotion focus are associated with the ideal self (Higgins, 1998). As students grow older, they step into a new stage of self-conceptualisation. In fact, their view of self considerably changes during the adolescence period (e.g. Long *et al.*, 1968), as does their ideal L2 self (Kormos & Csizér, 2008). It seems that during this stage, students shape their personal ideals based on the realities they perceive about the benefits of knowing English and its application in their future life in the country (Azarnoosh, 2011).

The results of the regression analysis for students' ought-to L2 self (Table 4) confirmed the findings of Papi and Teimouri (2012), in which family influence and instrumentality-prevention, two preventional regulatory focus variables, were significant predictors of this aspect of students' L2 motivational self-system. In this study, to a lesser extent, BA/BSc students' intended effort and instrumentality-promotion were also significant predictors of ought-to L2 self. This finding can be supported with the unexpected relationship of ought-to L2 self and instrumentality-promotion in Taguchi *et al.*'s (2009) study. In this study, preventional focus variables declined with age; similarly, in Papi and Teimouri's (2012) study, ought-to L2 self, family influence and instrumentality prevention decreased. This can be due to the socio-cultural context in Iran and how younger learners respect parents, teachers

and significant others. As students grow older and gain more independence they are less under the pressure of others. The results of the regression analysis (Table 3) also showed that family influence and instrumentality prevention were the predictors of school students and undergraduates' ought-to L2 self. Family influence was the only predictor for the MA level ought-to L2 self, indicating that in an Asian context, the higher educational level in itself brings about more responsibility towards significant others in fulfilling their expectations in education, career and life in general (Taguchi *et al.*, 2009). In fact, the encouragement and pressure from culture at large, peers and significant others within one's social circle partly lead to the growth and change of one's identity and motivational dispositions (Brophy, 2009).

The predictors of English learning experience, the third constituent of the L2 motivational self-system, for learners of educational levels included their intended effort and attitudes to L2 community and culture. Similarly, attitudes to L2 community and culture was a strong predictor for school and university groups in Papi and Teimouri's (2012). The findings indicate that classroom factors (e.g. the learning context, teacher, materials, activities etc.) are very influential in motivating students due to their leading impact on students' attitude and learning experiences that affect the extent to which learners are ready to invest in language learning (Csizér & Kormos, 2009). Attitudes towards the English culture and community had a

stronger predictive power than intended effort for MA students' English learning experience. This seems to be the result of growing older and possessing a deeper understanding and concern for global issues as well as establishing more contact with L2 speakers, which influence one's language learning experience.

In addition, the two types of instrumentality were the only predictors of high school students learning experience. Kiany *et al.* (2012) also found instrumentality as the strongest type of motivation for high school students. This indicates the importance of pragmatic benefits in language learning for these students to succeed in future. However, the negative effect of instrumentality prevention can be attributed to the compulsory language learning context in Iran in which students have to pass the English course whether they like it or not.

With regard to student's intended effort, attitudes towards learning English was the top predictor for all educational groups. Instrumentality promotion and ideal L2 self, as promotional regulatory factors, were predictors for school and undergraduate levels, which together confirmed Papi and Teimouri's (2012) findings. Ought-to L2 self was a predictor only for the high school and MA levels showing that these two groups are more concerned with the many expectations of others as they are considered to be seniors in their own educational levels (e.g. entering a prestigious university for high school students and finding a

suitable and relevant job matching one's major or starting a PhD programme for MA students). Attitudes towards the L2 community and culture had a negative impact on school and undergraduate level learners' intended effort perhaps due to the need to establish international contacts and to know more about global culture (Arnett, 2002), which may not be easily gained in a foreign language context like Iran. Moreover, confusion may reign due to the conflict between students' local and global identities expected from them, which may lead to temporary unwillingness to learn English (Lamb, 2007).

CONCLUSION

The present study was conducted to investigate the dynamic nature of motivation by considering the motivational fluctuations among four educational/age groups in a context where English language learning is compulsory at school and university levels. Moreover, the study compared the levels in terms of predictors of the three constituents of L2 motivational self-system and intended effort. Similar to other studies (e.g. Lamb, 2007; Kormos & Csizér, 2008) age-related decline was observed but only for four factors, that is two of the three constituents of L2 motivational self-system (i.e. ideal and ought-to L2 selves) and two preventional regulatory factors of family influence and instrumentality prevention. However, MA students' motivation did not differ from that of others in terms of their ideal and ought-to L2 self. For school students,

the age-related decline was also observed for attitudes towards learning English, instrumentality promotion, intended effort and attitudes to L2 community and culture. In line with other studies (e.g. Henry, 2009; Lamb, 2007), these findings could be attributed to the compulsory nature of language learning in Iran as well as its socio-cultural context.

With regard to predictive factors of the L2 motivational self-system constituents, parts of the findings supported previous studies. As expected, the predictive factors of students' ideal L2 self mostly had a promotional regulatory focus, among which instrumentality promotion had the strongest power for school and graduate levels. In addition, some preventive regulatory focus factors (i.e. ought-to L2 self, family influence and instrumentality prevention) were also found to be predictive of students' ideal L2 self, which can be attributed to the compulsory language learning and socio-cultural context of Iran. Family influence and instrumentality prevention were found to be predictors of ought-to L2 self with the former as the strongest for all levels and as the only one for MA students. Concerning students' English learning experience, intended effort and attitudes to L2 community and culture were predictors for all levels with intended effort as the strongest. In addition, as expected, English learning experience was the strongest predictor of all learners' intended effort indicating the importance of the immediate environment and how determining it can be in investing in language learning.

In short, it can be concluded that junior high and high school students are more motivated by family influence, ought-to L2 self and instrumentality-prevention. BA/BSc students are more motivated by instrumentality-promotion and attitudes to community and culture, and MA students by attitudes to learning English and intended effort. Moreover, ideal L2 self, attitudes to learning English and instrumentality-promotion are predictors of students' motivated effort and learning behaviour at all educational levels with attitudes to learning English as the strongest predictor. Although students of all levels have positive motivational dispositions, students at high school level have the lowest motivational disposition. For sure, boosting all students' motivational disposition and improving the language learning situation in Iran requires the students' willingness and the concern and attention of many other stakeholders.

For further studies, considering methodological issues, a longitudinal study might be beneficial in discerning the changes across time providing deeper insights on the evolution of motivation. An experimental study may also be helpful in scrutinising the effects of visualisation training and imagery techniques in enhancing learners' motivation and actual leaning. With regard to instruments, in addition to administering questionnaires, it is suggested to include observation sessions and interviews to track salient changes in learners' motivational learning. Since all graduate participants in this study were majoring in the humanities, the

dynamism of motivation should also be investigated across other fields of study; even English and non-English fields of study can be considered in future studies. Instead of studying motivational changes across levels, it is recommended to explore changes within each educational level. Moreover, a comparative study may be conducted to discover the differences in motivational dispositions of students who join private language institutes besides learning English at school or university as a compulsory subject. Finally, employing motivational strategies in teaching is another possibility to depict the actual efforts and motivational state of students in learning English.

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Using the CBI Method in Teaching English in an Indonesian University

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ABSTRACT

This action research project aimed to investigate an ESL teacher's strategy of using the content-based instruction (CBI) method to increase student interaction in an English class and to examine the students' reactions to this approach. Based on the teacher's self-critical reflection, classroom teaching observations were conducted. At the end of the semester a questionnaire was given to students to obtain their response to this method. The findings suggested that the information gap was one factor which supported the initiation response and feedback (IRF) structure used by the teacher to trigger interaction in the classroom. Video footage also provided evidence that the majority of the students were willing to make an effort to interact in English, and the survey analysis showed positive responses from the students. In spite of the positive outcomes, the teacher's lack of skills in code-switching between the students' first language (L1) and the target language (L2) and selecting CBI learning materials relevant to industry are issues for consideration in further research and practice.

Keywords: CBI, student interaction, IRF structure

INTRODUCTION

Globalisation has accelerated the use of English as a communication tool in many international contexts (Jenkins, 2003).

English is perceived as a communicative skill that should be mastered by graduates of higher education to improve their global competitive skills. Thus a foreign language, English, has been included in the curriculum for higher education in Indonesia (Dikti, 2012).

However, the status of English as a foreign language (EFL) in this context affects the ability of Indonesian people in general and students, in particular, to master

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it. As the English language is not commonly used in this country, exposure to the language is limited and, hence, this in itself, is inadequate to cater for this additional language learning. This fact contributes to the poor English proficiency among many university students in this context (Mappiasse & Johari Bin Sihes, 2014). In spite of the fact that the English language is a compulsory subject at high schools, several scholars (Nur, 2004; Renandya, 2004) consider that English teaching is unsuccessful in this context. Many students experience anxiety at the thought of having to communicate in English (Padmadewi, 1998) and some are reluctant to speak the language to avoid making mistakes (Tutyandari, 2005). The students at the State Polytechnic of Pontianak (POLNEP), in particular, students of the Department of Oceanography and Fisheries (IKP), where this study was conducted, had a similar problem. They had limited English proficiency and low levels of motivation and engagement in the English learning and teaching process.

Despite this poor English language proficiency among the students, POLNEP has set a goal of producing graduates who can compete at international level, a vision and mission to be achieved by 2020 (Politeknik Negeri Pontianak, 2009). This is expected to produce students who are able to communicate in English in their field of work. So the development of English language skills is a high priority in the curriculum. Based on Simbolon and Restall's (2014) reflective study on the

content-based instruction (CBI) method, this action research project was considered to be important to conduct, particularly in an English class of IKP at POLNEP.

CONTENT-BASED INSTRUCTION (CBI) METHOD

The CBI method is an approach to language teaching that engages core topics and skills of certain courses, but still focuses on working on the knowledge of the language (Stryker, 1997; Stoller, 2008). This means that the teaching and learning materials of the subject matter, such as *Introduction to Fisheries and Biology*, become meaningful input (Krashen, 1987) for students who are additional language learners (ESL/EFL). Lankshear (2003) posited the view that in CBI classes student activities, including reading, became one of the primary means of learning. In this sense, exploring the themes and topics and dealing with the technical vocabulary relating to their study (Stryker, 1997) can function as learning activities in the classroom for students.

Lin (2015) argued for the importance of the use of students' first language (L1, or Indonesian in this context) in the target language (L2, which refers to English language in this study) learning environment because this strategy can support the students' learning. She further proposed several approaches for a systematic use of L1 in the target language (L2) instruction including the use of L1 in key terms delivery and explaining the academic content (Lin, 2015). For example, when teaching the topic of types of water,

the teacher could use L1 in defining the subject by referring to the names for water that are available in their own regional context.

In content-based language teaching, task-based learning (TBL) plays a significant role (Murphy, 2003; Willis, 2001). The teacher sets exercises and tasks (Davison, 1989) which are closely related to the students' real work. This is crucial to CBI instruction, for these relevant-to-work field tasks result in meaning-focused communication (Ellis, 2003). For an activity to be classed as TBL it must meet certain criteria, including having a work plan, involving a primary focus on meaning, reflecting a real-world process of language use and having a clearly defined communication outcome. To achieve these characteristics, task design is consequently quite challenging. However, in meeting these criteria, a TBL approach can strengthen the achievement of the learning goal when used in conjunction with a CBI approach in the classroom.

Student Interaction

Allwright and Bailey (1991) and Moquel (2004) stated that interaction was a sign of student participation. Even quiet students could be considered to be participating through their attention to the learning process (Allwright & Bailey, 1991). In the classroom, interactions are predominantly prompted by meaning negotiation through information gaps (Swain, 1998; Chaudron, 1988). Rather than working individually, students can be involved in a number

of interactions to help solve problems, where negotiation of meaning might occur. These interactions include teacher-student interaction, student-student interaction and classroom interaction. Teacher-student interaction is performed mostly in the form of questioning. Citing Lynch's description of display questions, David (2007) stated that these questions referred to questions to which the teacher knew the answer. This particular purpose can be achieved through the Initiation-Respond-Feedback (IRF) structure (Hall, 2009). With this structure, the teacher purposely asked the students questions, expecting responses from students so as to provide feedback. Furthermore, teacher-student interaction could be used to provide a model for the learners. In this sense, teacher-student interaction could be presented in a role play.

In spite of the students' different levels of language competence, Howarth (2006) suggested that student-student interaction was required to boost the practice time, encourage collaboration, provide socialisation and stimulate students' motivation. The interaction can be in the form of a role-play or group discussion. The student-student interaction also gave the teacher the opportunity to take a step back and observe the students from the sidelines, thereby further pinpointing the individual student's needs.

Finally, another type of student interaction is classroom interaction, which potentially involves all students in the classroom. It is usually in the form of a discussion, report or concluding an ongoing

lesson. Within an ESL/EFL classroom, interaction can be prompted by meaning negotiation, which can be stimulated in these types of student interaction.

Within the CBI teaching method, student interaction can be stimulated. As the language materials are the subject matter the students study, this can contribute to students' interest in the interaction. In this case, the teacher's questioning (Moquel, 2004) about ideas related to the content can stimulate students' responses, hence leading to student participation (Allwright & Bailey, 1991). For example, after reading one topic of the subject matter, the teacher may ask students to identify the new technical vocabulary. This particular gap of information can be used to stimulate student meta-talk, and consequently, student interaction. Besides this, asking challenging questions can initiate student noticing (Swain, 1998), with which students might capture the learning objectives. For example, when reading a simple passage of 'fish processing procedure', the teacher could ask the students the features of the procedure genre. In this way, the learners might identify such terminology as 'first', 'then' and 'after that', which are necessary to express such a procedure.

By enhancing the level of student interaction in the classroom through TBL and CBI approaches, the teacher's role becomes more a process of facilitating than of teaching (Tudor, 1993). Instead of being the knower, the teacher is considered to be a learning counsellor, who facilitates the students' learning. Thus, a needs analysis

(Chaudron, 2005) is undertaken; after that, the learning outcomes can be set. In this case, a topic about fish processing was used as the focus of the language classroom materials. Finally, the teacher chooses the appropriate instruction to be used in the classroom teaching. Here, students with a specific purpose (to obtain expertise in fish processing) can be professionally judged (Tudor, 1993) to comply with the CBI approach.

The CBI method has been used in many contexts (Stoller, 2008) and its utility has been demonstrated in numerous studies (Stryker, 1997). In Asian contexts, Nguyen's (2011) study provided evidence that this approach improved motivation and engagement and developed student interaction during the process of learning English at the Vietnamese College of Finance Customs. Lo's (2013) study, which included the IRF structure (Hall, 2009), showed that the CBI method contributed to the development of the students' use of the language in English-medium schools in Hong Kong. In a very different setting, an empirical study conducted by de Zarobe and Catalan (2009) in Spain focused on vocabulary and found that CBI students outperformed non-CBI school students.

In summary, there is considerable evidence that the CBI approach, in conjunction with TBL, has the potential to develop student interaction in the learning and teaching process. This action research study's objective was to improve student interaction by posing the following research questions:

- a. How does the English teacher use the CBI approach in order to develop student interactions?
- b. What are the students' responses to this particular teaching method?

RESEARCH METHOD

Denscombe (2003) and Fraenkel (2009) state that action research is conducted for the purpose of solving a problem and informing local practice. This particular study derived from the critical reflection of the classroom teacher that students tended to be reluctant to participate in classroom interaction. The teacher's reading suggested that learning topics irrelevant to real life might hinder student participation and produce a lack of engagement from the teacher, which can also contribute to the absence of student interaction in classroom learning. Thus, the action research aimed to improve the teaching practice and the situation of the practice (Carr, 1986).

Participants

The study was carried out in one workshop room in the Language Centre of the University. The participants for the study included the students who were enrolled in the Department of Oceanography and Fisheries (IKP), in two different study programmes, Fish Processing Technology (TPHI) and Fish Catching Technology (TPI). There were 46 students – two classrooms of 34 TPHIs and one classroom of 12 TPIs.

Data Collection

As one of the objectives of the study was to examine how one English lecturer used CBI to develop student interaction, classroom observation was conducted. Even though the teacher's strategies can be elicited through an interview or self-narration, Fraenkel (2009) argued observation offered a more accurate indication of the teaching process. A video camera was used to capture the learning and teaching activities in the three CBI classrooms.

In order to enhance the validity and reliability of the findings (Fraenkel, 2009), data triangulation was established by generating three types of data. Besides the video recording, a questionnaire was administered to the students at the end of the course. The rationale for this method was to describe the students (Fraenkel, 2009) from this particular field of study and examine their thoughts on the CBI teaching method. Additionally, Fraenkel (2009) further suggested that closed, fixed response questionnaires were a simple and efficient way to collect and analyse data. Another type of data was the teacher's critical self-reflection (Brookfield, 1995), presented in the teacher's teaching journal. This particular source of data was augmented with data obtained via video recording and a questionnaire.

The duration of the study was approximately four months (14 class meetings). The class observation commenced at the beginning of the semester of study. The survey was administered on the day of the final examination.

The researcher developed the questions of the questionnaire, which was presented in the students' L1. Even though not in a straight line, the survey included positive, neutral and negative questions (Oppenheim, 1992). Two pairs of straight line questions were Questions 2 and 6 and Questions 5 and 7. Question 1 was considered to be neutral as its purpose was to describe the students' view on the English language. Questions 3 and 4 were deemed to be essential to include as suggested by some scholars (Stryker, 1997; Stoller, 2008) that with the familiarity of discipline, students learn, as this could enhance their engagement with the learning process. The last question was the concluding point of the students' perception of the CBI teaching method.

The teacher used a theme-based CBI approach (Stryker, 1997; Lankshear, 2003) to plan the lessons. The topics ranged from the types of water to types of fish, which were taken from Internet resources.

In summary, the procedure of inquiry included conducting a literature review, implementing the CBI classroom teaching, distributing questionnaires, analysing data and preparing a report on the study.

Data Analysis

Video recording data, together with the teacher's teaching journal were analysed using a coding scheme (Fraenkel, 2009; Saldana, 2009), where a set of categories were used to record the frequency of students' interactions. Structural coding (Saldana, 2009) was used to index each stage of the classroom teacher's teaching

sessions in relation to her teaching practice using the CBI method. In this study the student-student interaction and teacher-student interaction were the main focus of the examination. A Likert scale (Brace, 2008) was used in the questionnaire to capture the trends in student assessment of the CBI method.

FINDINGS AND DISCUSSION

As mentioned in the earlier section, this study focused on examining two types of student interaction, namely teacher-student and student-student.

Teacher-Student Interaction

At the beginning of the course the classroom teacher used the IRF structure to stimulate student interaction. Realising the students' limited English vocabulary, the lecturer asked the students to prepare any question they were willing to ask her, and in return the students were requested to be ready with an answer when the lecturer asked the question back to the student. The technique was designed to enable the students to do some preparation. This was used at the beginning of every lesson activity, so the lecturer could give some feedback. The following extract of a conversation illustrates this teaching strategy.

Student 1 : What your blood type? (Heard as "blud tip")

Lecturer : Hmm

Student 1 : What your blood type? (Heard as "blud tip")

Lecturer : Blood? (Heard as "blad")

Student 1: Blood (Heard as “blad”), hmm
Lecturer : Blood type (Heard as “blad taip”) My blood type is O (Heard as “blad taip”).
Why do you ask that?
Student 1: In the PMI (Blood donor organisation) ask the question in English so I can
Lecturer : I see, you’re giving your...
Student 1: People need from the university so I like to join to give blood
Lecturer : And you, what is your blood type?
Student 1: A
Lecturer : Hmm, rare, ya? Jarang (Indonesian).

In this conversation, first of all, the teacher took the initiative (in Hall’s [2009] IRF structure) by establishing a classroom rule that at the beginning of each class, each student had to prepare a question for her. In this way, the student was also expected to be ready with some supporting vocabulary such as ‘need’, ‘join in’, and ‘give’. With his utterance of ‘People need from the university so I like to join to give blood’ he meant to express the idea of ‘People need blood donors so from the University I like to join the PMI in order to donate my blood’. Also, as seen in the above dialogue, the lecturer’s feedback was based on the student’s pronunciation. Student 1 seemed to notice (Swain, 1998) this feedback by repeating the word ‘blood’ with a more appropriate pronunciation. By allowing the student to prepare the question before the class started, this enabled the teacher-student interaction to take place.

Furthermore, the teacher selected the learning materials, which were closely relevant to student study. For example, the topic of ‘a fish processing procedure’ was considered to be familiar with the students of this particular department (IKP). The topic was also a TBL activity (Ellis, 2003), which might enable the students to think about real-life situations for the focus of their study. Hence, students’ interest was likely to be more intrinsic. The following extract demonstrates this approach:

Lecturer : There are ten, ada sepuluh (ten) numbers. For example, kalau saya bilang (If I say) misalnya (For example) a teaspoonful sugar. Ini ada disini atau disini? (Is this here or here?) Where? Units of ingredients over here (showing the column)
Students : Units, units, one (pointing to column)
Lecturer : A unit or satuan
.....
Lecturer : OK, for example, a teaspoonful of sugar, kamu tidak perlu tulis (you don’t need to write), just guess
Student 8: Dengar (Listening only)
Lecturer : Number one a teaspoonful of sugar, masuk ke sini, one (It belongs to this)
Number two, stir, oh diaduk (stir) jadi dua (so two)
So the number
Students : Oh, oh, ok
Student 5: Oh, all right

This particular conversation extract was part of the instructions when the teacher was explaining “the elements of writing a procedural text”. Student participation in the learning process was shown through giving responses to the teacher’s questions when describing the activity and at the end of the explanation, by demonstrating their understanding of the instructions. To a surprising response, student 5 confidently expressed his own understanding individually by trying “all right”.

Finally, the teacher’s use of L1 contributed to the learning process of vocabulary acquisition and understanding. It was essential to code-switch between L2 and L1, in particular when delivering a key message so that the students could be still engaged in the learning and teaching process.

Student-Student Interaction

This particular interaction between students was mostly shown in learning activities arranged by the teacher. A role play was one of them. This particular task allowed students to negotiate meaning (Chaudron, 1988; Swain, 1998):

Student 6: Do you have pet at home?

Student 7: I have just cat

Student 6: What kind of cat do you have?

Student 7: A funny and furry

Student 6: What do you think about cat?

Student 7: Itu apa? (What does it mean?)

Student 6: Kenapa? (Why)

Student 7: They are very funny and cute

The above conversation extract was one of the learning activities where the students were asked to perform a role play of a conversation. Student 6 was given a topic about pets. It was based on the students’ chosen topics. The students seemed to understand the context which they were discussing. When Student 7 did not know what her speaking partner was asking, she asked for her friend’s help by using the Indonesian language. Interestingly, Student 6 gave her a clue using Indonesian but not exactly the same question as she had asked in English. It seemed she understood which word would help her classmate obtain a reference. Of course, they had prepared this before the performance. In this way, meaning negotiation (Chaudron, 1988; Swain, 1998) occurred to maintain a mutual understanding (De Branden, 1997).

This particular extract also shows the benefit of the information gap in contributing to student interaction. The question display (David, 2007) had facilitated the information gap between speakers: teacher-student and student-student interaction.

Students’ Response to the CBI Teaching Method

Table 1 shows the responses of the students to the CBI teaching method. Forty-six students were included in the action research and 42 returned the questionnaires. As indicated in Table 1, there were eight questions in the questionnaire, which asked for the students’ opinions about the CBI method. Out of the eight questions, two

questions were phrased unfavourably (6 and 7). While a balanced scale is normally recommended, Brace (2008) holds that an unbalanced scale can be justified. In

this research, learners were asked their impression of the new learning approach and to make a judgement of any advantages gained from the CBI method.

TABLE 1
Students' Responses

No	Statement	Strongly Agree/SA	Agree/A	Doubt/D	Disagree/DA	Strongly Disagree/SDA
1	I like English.	14	23	4	1	-
2	The CBI method is an interesting way to learn English.	14	27	1	-	-
3	The CBI method stimulates me to engage in English class.	5	32	3	1	1
4	I am familiar with materials in English using the CBI method.	6	21	8	6	1
5	There are many benefits I gain from an English course that uses the CBI method.	14	26	2	-	-
6	The CBI method classroom is boring.	1	-	6	24	11
7	English learning using the CBI method does not benefit my English skills.	1	2	1	26	12
8	The CBI method is the best for English learning.	18	19	-	3	2

TABLE 2
Average Score of Students' Responses

No	Statement	SA x 5	A x 4	D x 3	DA x 2	SDA x 1	Total Score	Average
1.	I like English.	70	92	12	2	0	176	4.2
2.	The CBI method is an interesting way to learn English.	70	108	3	0	0	181	4.3
3.	The CBI method stimulates me to engage in English class.	25		9	2	1	165	3.9
4.	I am familiar with materials in English using the CBI method.	30	84	24	12	1	151	3.6
5.	There are many benefits I gain from the English course using the CBI method.	70	104	6	0	0	180	4.3
6.	The CBI method classroom is boring.	5	0	18	48	11	82	2.0
7.	English learning with the CBI method does not benefit my English skills.	5	8	3	52	12	80	1.9
8.	The CBI method is the best for English learning.	90	76	9	4	0	179	4.3

In Table 1, the first thing to note is that more than 75% of the students agreed that the CBI method had stimulated them to engage in the English class. Crucially, this figure implies that, with a background of low motivation, this particular teaching method could motivate the students to participate in an English classroom. Secondly, there was only one student who strongly disagreed for Questions 3 and 4 about increased engagement in the CBI classroom and the familiarity of the CBI materials, but none disagreed with Statement 5 on the benefits they gained from the CBI method. The answers to Questions 6 and 7 in Table 1 show that the majority of the students disagreed with the unfavourable questions.

Table 2 provides a summary of the students' averaged reactions toward the CBI method. As can be seen in Table 2, the favourable questions outscored the unfavourable ones. Questions 2 and 8, which asked about the interest and value of the CBI method, attained the highest scores, 4.3, as did Question 5, which asked about the positive outcomes of the method. Students' liking of English obtained a score of 4.2. Furthermore, this particular question was the only one that reflected students' awareness of their answer, as no student ticked the 'Doubt' option. Conversely, unfavourable questions (6 and 7) had the lowest scores of 2.0 and 1.9, respectively.

Besides the questionnaires, students' reactions were evidenced through their participation (Allwright & Bailey, 1991) during the learning process.

This engagement was realised through answering the lecturer's questions and asking questions of the lecturer.

In the lecturer's teaching journal, several concerns were seen with regard to the skills necessary for practising CBI. First, L1 use in the classroom was considered to be less effective, as evident in the following extract:

Lecturer : There are ten, ada sepuluh (there are ten) numbers. For example, kalau saya bilang (If I say) misalnya a teaspoonful sugar. Ini ada disini atau disini? (Is this here or here?) Where? Units of ingredients over here (showing the column)

Students : Units, units, one (referring to column)

Lecturer : A unit or satuan

.....

Lecturer : Ok for example, a teaspoonful of sugar, kamu tidak perlu tulis (you don't need to write), just guess

Reflecting on Lin's (2015) proposal for a systematic use of L1 in the target language instruction, the teacher should have code-switched the languages during the delivery of the key terms. For example, instead of translating the word "ten" into "sepuluh", she should have translated the words 'ingredients' and 'teaspoonful'.

Another issue concerning the teacher's teaching skills was providing CBI learning materials. The topics, taken from internet resources, were usually general issues without focusing on specific required skills

that can equip the students in their field of work. Presenting authentic materials, which include the necessary skills, such as manuals or work instruction booklets from industries (Simbolon & Restall, 2014), is important because the students are likely to work in the field after completing their study.

CONCLUSION AND RECOMMENDATIONS

From these results, several points can be concluded. First of all, student interaction could be increased through the use of the information gap created by the lecturer through her teaching strategy (requesting students to prepare a question). The negotiation of meaning (through a role-play activity) seemed to be one of the factors contributing to the student interaction. Moreover, the teacher's questioning using the IRF structure in this study contributed to triggering student interaction. This technique can become a constructive strategy for the English teacher to stimulate student interaction. In addition, the use of L1 and English interchangeably also seemed to help in the acquisition of vocabulary, enabling students to accelerate their language acquisition. Finally, English teaching using this CBI method received a positive response from the students in this study, which was supported by their increased interaction in this English class, as shown in the video footage. This positive reaction could be examined

further regarding the aspects the students found to be positive in CBI learning. In this way, more effective strategies using the CBI can be examined.

However, there were limitations apparent in this research. The learning materials were adopted from websites containing general ideas about the courses. The relevance of these learning materials with the skills required in the work field had no empirical evidence. Furthermore, the strategies of L1 use need to be examined for their effectiveness in supporting the students' learning. These limitations were due to the teacher's lack of CBI teaching skills, in particular in code-switching between the languages.

In spite of these limitations, this study suggests, firstly, that in IKP the use of the CBI method for English teaching, especially to increase student interaction, proved to be highly effective. Then, in developing the English course curriculum, real-life materials from the workplace should be included with texts from manuals or job descriptions from industry or the stakeholders. Thus, the collaboration between the language and content teachers is considered to be important, particularly in sharing the information about these learning materials. This particular suggestion implies the importance of the institution's role in providing support to the English course and lecturers. Also, studies focusing on students' improved vocabulary are recommended for further study.

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Students' Perceived Test Difficulty, Perceived Performance and Actual Performance of Oral Tests

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ABSTRACT

Having to sit oral tests is tense particularly for individuals who have poor command of the language being tested. This study examines students' reasons in perceiving an oral test as the easiest or hardest and analyses whether they perform poorly (achieving the lowest score) in the test which they perceived as being the most difficult by comparing their perceived oral test difficulty and perceived oral test performance with their actual oral test performance. The study examined 63 students, selected by means of purposive sampling. Data of the survey research were obtained through a self-administered questionnaire and from students' test scores. The descriptive analysis revealed that the prepared individual speech was perceived as the easiest test, followed by the impromptu two-way communication, 20-minute group discussion and the 30-minute group discussion, while the most difficult test was the impromptu individual speech. Besides that, the top four challenges faced by students in the oral tests which they perceived as being the most difficult were insufficient ideas and/or elaboration, time constraint, being nervous and lack of preparation. The implications of the research on adequacy of oral practice were also discussed as the findings provided better understanding of the challenges faced by participants in oral tests.

Keywords: Reasons of performance, perceived test difficulty, perceived performance, actual performance

INTRODUCTION

Most students would agree that having to sit tests and final examinations and attempting to complete assignments are considered nerve-racking episodes of college or university life. This is due to the fact that examinations affect the overall grades in many of the courses offered in colleges

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(Weber & Bizer, 2006). According to Upshur (1971), testing is an important part of teaching as it provides constant information on learners' efforts in speaking English. In other words, oral tests could further offer more information to enhance students' oral English. However, various factors have been identified in affecting students' performance in learning in past studies, which include social self-esteem, teacher-student interaction and student-student interaction (Cardoso, Ferreira, Abrantes, Seabra, & Costa, 2011); achievement motivation, attitudes towards learning, peer influence in learning, ethnic group and gender (Abu Bakar, Ahmad Tarmizi, Mahyuddin, Elias, Wong & Mohd Ayub, 2010); teaching style, English language and communication, and assessment methods (Lebcir, Wells, & Bond, 2008); academic and general self-esteem (Pullmann & Allik, 2008); intelligence and personality (Laidra, Pullmann, & Allik, 2007); student burnout (Yang, 2004); peer achievement (Hanushek, Kain, Markman, & Rivkin, 2003); and perceived test difficulty (Weber & Bizer, 2006; Hong, 1999).

Examining students' perceived test difficulty is essential because Hong (1999) pointed out the results of testing two hypothesised models that represented relationships among test anxiety, perceived test difficulty and test performance that were observed immediately before and after a final examination on 208 university students. It was found that the stimulation of worry by test difficulty perception deteriorated students' actual test performance. In other

words, viewing the test as difficult provoked students' worries, which tended to give a negative impact on their test performance. One possible justification would be "students who are worried about the exam may be so because they are not well prepared for the test" (Hong, 1999, p. 443). Hong (1999, p. 433) further stated that worry anxiety is "aroused and maintained by evaluative situations in which the anxiety-provoking elements that influence individuals' cognitive functioning continue to exist throughout the evaluation period." Apart from that, Weber and Bizer (2006) discovered in their research on 62 psychology undergraduates that warning of test difficulty provided immediately prior to test administration had a more complex impact on performance; it may either enhance or impede performance. They have manipulated the degree of the perception of difficulty by randomly telling students that the examination would be: (1) very difficult as most students did poorly in the exam and they would likely score very poorly; (2) very easy as most students did well in the exam and they would likely score very well; and (3) nothing was informed to create a neutral condition. Their research also revealed that low-anxiety students had better performance when warned that the test would be hard (Weber & Bizer, 2006). However, as compared to the perceived test difficulty measured before examination, Hong's (1999) research discovered that the perceived test difficulty during examination (which was recalled after the examination) had greater direct effect on arousing worry and emotionality.

Problem Statement

The English language proficiency in oral communication has been one of the alarming factors in Malaysia that has affected university graduates getting and securing a job in recent years. It has been reported in the Borneo Post Online by Bernama (2014, March 2) that the reasons for local graduates remaining jobless are poor command of the English language, inability to communicate and lack of self-confidence. In a survey conducted by Jobstreet.com (2011), both groups of employers and fresh graduates stated that poor command of English and weak communication skills were among the top five reasons which stopped applicants from getting hired. Furthermore, it was stated that one of the top five issues facing Malaysian employers since 2006 was poor English proficiency among Malaysian fresh graduates (Ministry of Education Malaysia, 2013). Despite learning English as a second language in formal education from primary school to tertiary institution for about 15 to 17 years, some graduates are still burdened with low English language proficiency, which hinders them from landing opportunities in the job market.

As stated in the Malaysia Education Blueprint 2013-2025, the education system aims at ensuring that every individual is proficient in English as the international language of communication upon leaving school through implementation of the new curriculum in both primary and secondary school (Ministry of Education Malaysia, 2013). It has been the aim

of the national curriculum to “create Malaysian students that are balanced, resilient, inquisitive, principled, informed, caring, patriotic, as well as an effective thinker, communicator, and team player” (Ministry of Education Malaysia, 2013, p. 4-2). These two points indicate that proficiency in oral English is essential in producing effective communicators. As a result, improving students’ proficiency in the English language is the main concern of the Ministry of Education (Ministry of Education Malaysia, 2013). However, the new curriculum and school-based assessment are only implemented in the primary and secondary education levels. Therefore, it is crucial that the education programmes offered are able to equip future graduates with the necessary skills to join the workforce, and that one of the skills should be communication (Jobstreet.com, 2013), be it oral or written. According to Moslehifar and Ibrahim (2012), higher institutions in Malaysia are making efforts to develop language courses that focus on communicative skills so as to produce graduates who are able to communicate effectively at the workplace.

A study conducted by Zulkurnain and Kaur (2014) on 100 UiTM Diploma of Hotel Management students in Penang, Malaysia had revealed oral communication difficulties faced by the students, namely:

- (i) Insufficient resources as the students had limited English vocabulary, which could lead to deficiencies in sentence structure, grammatical structure and pronunciation.

- (ii) Time pressure as longer time was required by the students to produce English sentences as they searched for Malay words, created sentences and then translated them into English sentences.
- (iii) Wrong use of words as students produced English sentences incorrectly as they used words that were inappropriate for the context in which they were used.
- (iv) Lacking in the ability to understand what their interlocutors had said due to their limited knowledge of the English language as the interlocutors sometimes used sophisticated English words that they had not heard before.

This depicts a clear need to study oral tests and students' perceptions on their performance in the Malaysian higher education context with the intention of getting a better understanding of the students' oral performance and their justification of their performance.

Significance of the Study

The current study was carried out with the main objective of determining students' reasons for their performance in oral tests, which they perceived as the hardest and easiest. This led to designing this study to investigate students' perceived oral test difficulty recalled after the test since Hong (1999) had revealed that the test difficulty perception after tests asserted a stronger influence. In addition, the current study was

motivated by the work done by Struyven, Dochy and Janssens (2005), which revealed that students' views may suggest to educators a way forward for refining educational practices and achieving a higher quality of education; they added that students' perceptions on assessments and evaluation practices are significantly related to their learning approaches, and vice versa. Thus, it strengthens the course of the study to look at students' comments on perceiving a particular oral test as being the easiest or most difficult. This study also embarked on another two objectives, which were to compare: (1) students' perceived oral test difficulty with their actual oral test performance, and (2) students' perceived oral test performance with their actual oral test performance in order to observe whether they performed poorly (achieving the lowest score) in the test which they perceived as being the most difficult.

MATERIALS AND METHODS

Participants

The data in this study were collected from 63 students who underwent an oral communication course in a public university in Malaysia. The oral communication course was compulsory for all undergraduates (who had obtained Bands 1 and 2 in the Malaysian University English Test) to complete in addition to the other three English courses on grammar, reading and writing, as well as English for occupational purposes. The Malaysian University English Test (MUET) is a pre-requisite for

entry into tertiary education in Malaysia; it measures students' English language proficiency in all the four language skills of listening, speaking, reading and writing and grades using a banding system ranging from the lowest Band 1 to the highest Band 6 (Malaysian Examinations Council, 2014). Students who obtained Band 1 in MUET are described as very limited users of English, hardly able to use the language and have very limited understanding of language and context as well as a very limited ability to function in the language (Malaysian Examinations Council, 2014). MUET Band 2 achievers are labelled as limited users of English, not fluent, with inappropriate use of language and making frequent grammatical errors, with a limited understanding of language and context and ability to function in the language (Malaysian Examinations Council, 2014). This indicates weakness in the command of English. Students who obtained a MUET Band 3 and above must sign up for one of the advanced English courses such as Academic Reading and Writing, English for Research Purposes, Grammar in Context, or Grammar in Practice after going through a foreign language course (levels 1, 2 and 3) for three semesters. The oral communication course runs for 14 weeks in a semester (with 3 hours of contact each week) and by the end of the course, students should possess appropriate and fairly fluent communication skills as well as the ability to comprehend information in both social and academic contexts, understand the use of language and vocabulary, and deliver individual speeches.

A total of 60 classes were offered in the oral communication course in semester 2 of session 2013/2014, and students were selected from three classes comprising 88 students who were taught by the same teacher through the purposive sampling technique. However, 25 students were excluded from the study due to the incomplete data collected from the self-administered questionnaire. The oral communication course in the particular semester was taken by students in the Arts stream, namely, those from the Faculty of Business, Economics and Accountancy, the Faculty of Humanities, Arts and Heritage and the Faculty of Psychology and Education. As the course was taught by different teachers, the teachers had the authority to set oral test questions based on the given themes and this in turn made the assessments less standardised. As a result, the purposive sampling was used as the researcher intentionally selected the students who shared identical characteristics, that is the participants of the three classes were from the Faculty of Psychology and Education (enrolled in programmes such as Industrial and Organisational Psychology, Youth and Community Development, Counselling Psychology, Child and Family Psychology and Social Work), while the oral tests were standardised in all the three classes taught by the same teacher. Babbie (2011) acknowledged that it is appropriate to utilise purposive sampling to select a sample on the basis of the researcher's knowledge of a population, its elements and the purpose

of the study in order to choose the most useful and representative sample for a research.

From the data collected, 20 students obtained Band 1 and 41 students achieved Band 2 in their MUET, whereas two students did not state their achievement in MUET. The students (16 males and 47 females), aged 20 to 24 years old, were in their first year of study in the university. They were all Malaysians of different races and from various states in Malaysia: Malays (n=18), Chinese (n=13), Indian (n=3), Kadazan-Dusun (n=11), Bajau (n=8), and other races such as Melanau, Lunbawang, Iranun, Brunei, Kedayan, Ubian, Bugis and Murut (n=10).

Data

The data of this study were derived through a self-administered questionnaire and from students' oral test scores. The questionnaire was divided into three parts: Part 1 (student's particulars), Part 2 (students' perceived oral test difficulty) and Part 3 (student's perceived oral performance). The questionnaire was constructed in bilingual medium (both English and Malay) as the respondents were described as very limited users of English and thus, they were allowed to answer in either English or Malay. In Part 1, students' demographic data, information such as name, degree programme, age, gender,

race, state of origin and achievement in MUET, were obtained. The students' names were required (instead of their matric numbers) for precise identification and labelling as the researcher would not meet the participants again after the completed self-administered questionnaires were collected, as well as to match the data from the questionnaire with the students' test scores. The names of students were kept confidential and were not included in any report and study. Besides that, students were required to rank the five oral tests of the course in Part 2 (from the easiest to the most difficult), namely: (a) Impromptu Two-way Communication, (b) Prepared Individual Speech, (c) 20-minute Group Discussion, (d) Final Test Part 1: Impromptu Individual Speech, and (e) Final Test Part 2: 30-minute Group Discussion. Table 1 provides the description of each oral test.

In addition to that, students were asked to state their reason(s) for stating a particular test as the easiest or most difficult among the five tests. In Part 3, students were required to express the oral tests in which they felt they gave their best and worst performance; and the reason(s) they said so with the aim of comparing their perceived oral performance with their actual performance. All the reasons provided by the students in Parts 2 and 3 of the questionnaire were then grouped into categories during the data analysis.

TABLE 1
Description of Each Oral Test

Oral Test	Description	Example of Topic
Impromptu Two-way Communication (15%)	Pairs of students have to prepare for 3 minutes and converse for 6 minutes on a given topic based on the areas covered from week 1 to week 6 of the semester, for which they draw lots. The evaluation is based on the ability to ask and answer questions and present objective and subjective information as well as on grammar and vocabulary usage, fluency of expression, body language, pronunciation and sophistication of ideas.	The benefits of joining the National Service
Prepared Individual Speech (25%)	The speech is 4 to 5 minutes long and is based on a topic (themes covered in weeks 1 to 8) chosen by the teacher and handed to the students two weeks in advance. The evaluation is based on facial expression, vocal expression, grammar and vocabulary usage, pronunciation, fluency of expression, body language, sophistication of ideas and structure and organisation.	The importance of having a good personality
20-minute Group Discussion (20%)	Four students are given 5 minutes to prepare for the task and 20 minutes to present the discussion of the topic (themes covered in weeks 2 to 8) given by the teacher. The evaluation is based on understanding the given task, development of ideas, fluency, pronunciation, grammar and vocabulary usage, structure and organisation, body language, manner of interaction and ability to maintain a discussion.	The Internet brings more advantages than disadvantages to university students
Final Test Part 1: Impromptu Individual Speech (20%)	Each student will be given 3 minutes to prepare and 3 minutes to deliver the speech. The evaluation is based on understanding the given task, development of ideas, delivery, pronunciation, grammar and vocabulary usage, structure and organisation and body language.	The effects of gambling
Final Test Part 2: 30-minute Group Discussion (20%)	Students work in groups of four and they are given 10 minutes to prepare for the group discussion and 30 minutes to present the discussion. They must come to a kind of agreement on the conclusion of the topic concerned. Topics to be tested are based on all the themes of the course. The evaluation is based on understanding the task given, development of ideas, delivery, fluency, pronunciation, grammar and vocabulary usage, structure and organisation, body language, manner of interaction and ability to maintain a discussion.	Academic qualification is more important than soft skills in getting a job

A pilot test was conducted on the questionnaire, and necessary amendments were made according to the feedback gathered prior to the data collection. Copies of the questionnaires were distributed to the students of the three classes at the end of the semester after they had taken their Final Test Part 2: Group Discussion in week 13. The questionnaires were given out after their actual performance because

Hong (1999) mentioned that test difficulty perception after tests had a greater impact on students. Apart from that, the students' test scores, which were their actual test performance, were gathered from all the oral tests of the course.

Then the students were labelled as S1 (Student 1), S2 (Student 2) and so on until the last participant, S63 (Student 63) according to the sequence of the student name lists

provided by the university's student database system. After that, a descriptive statistics analysis of the Statistical Package for the Social Sciences (SPSS) Version 20 was used to analyse the students' demographic data and the ranking of the five oral tests. As the distribution of the five oral test scores was

disproportionate, the researcher divided the test score obtained for each test with the total score of each test to compute the score in ratio (see Table 2) in order to compare the scores of the students' actual performance with their perceived test difficulty as well as their perceived test performance.

TABLE 2
Conversion of Five Oral Test Scores into Ratio for S1

Student	Oral Test	Total Score of Test	Student's Obtained Score	Student's Score in Ratio
S1	A	15	10.6	.71
	B	25	18	.72
	C	20	14.6	.73
	D	20	13.6	.68
	E	20	16.8	.84
Total Score		100%		

Note. A = Impromptu Two-way Communication. B = Prepared Individual Speech. C = 20-minute Group Discussion. D = Final Test Part 1: Impromptu Individual Speech. E = Final Test Part 2: 30-minute Group Discussion. Formula for converting Oral Test A score of S1 into ratio = $10.6/15 = .71$

RESULTS AND DISCUSSION

In determining students' perceived oral test difficulty, the results of the descriptive statistics analysis shown in Table 3 indicated that the Prepared Individual Speech was perceived as the easiest test (n=37), followed by the Impromptu Two-way Communication (n=24), the 20-minute

Group Discussion (n=21) and Final Test Part 2: 30-minute Group Discussion (n=23), while the most difficult test was the Final Test Part 1: Impromptu Individual Speech (n=31). Table 4 specifies the students who identified the Prepared Individual Speech as being the easiest test and the Test Part 1: Impromptu Individual Speech as being the most difficult test.

TABLE 3
Students' Perceived Oral Test Difficulty

Oral Tests	Ranking					Total students
	1 (The easiest)	2	3	4	5 (The most difficult)	
Impromptu Two-way Communication	10	24	16	10	3	63
Prepared Individual Speech	37	7	4	6	9	63
20-minute Group Discussion	10	18	21	8	6	63
Final Test Part 1: Impromptu Individual Speech	2	5	9	16	31	63
Final Test Part 2: 30-minute Group Discussion	4	8	14	23	14	63

TABLE 4
Students' Perception of Their Easiest and Most Difficult Oral Tests

Oral Tests	Students	Total Students
The Easiest Test –Prepared Individual Speech	S1, S5, S7, S8, S9, S10, S11, S12, S13, S14, S16, S17, S19, S22, S24, S25, S26, S27, S28, S29, S30, S31, S32, S33, S35, S37, S41, S42, S47, S49, S50, S53, S56, S57, S58, S61, and S63.	37
The Most Difficult Test – Final Test Part 1: Impromptu Individual Speech	S1, S2, S6, S8, S10, S15, S21, S22, S24, S25, S26, S29, S31, S32, S33, S34, S38, S39, S40, S41, S43, S46, S47, S49, S50, S51, S52, S53, S54, S61, and S62.	31

Note. S = Student.

In most cases, it was expected that those who perceived a test as being the most difficult test would also perceive that they performed the worst in the same test, and vice versa. Nevertheless, such an expectation was only relevant to about two thirds of the two groups in Table 5. Of the 37 students who identified the Prepared Individual Speech as being the easiest oral test, 67.6% perceived that they performed best in the test, while 32.4% stated that their best performance was not the prepared individual speech. On the other hand, of those who specified the Impromptu Individual Speech as being the most difficult oral test, 61.3% stated that they gave their worst performance in the particular test whereas 38.7% expressed that their worst performance was not the Impromptu Individual Speech.

Although students voted the Prepared Individual Speech as the easiest test, not all scored the highest mark in the same test. In comparing students' perceived oral test difficulty with their actual performance (see Table 6), only 10 out of

the 37 students who perceived the Prepared Individual Speech as being the easiest test had achieved the highest mark in the stated test. Similarly, not all who felt that the Impromptu Individual Speech was the most difficult test had achieved the lowest mark in the same test. Of the 31 students, there were 16 students who obtained the lowest mark in the Impromptu Individual Speech. Unpredictably, there were seven odd cases where students obtained the lowest score in the Prepared Individual Speech, which they regarded as being the easiest oral test. Another interesting finding was that there were two cases (S40 and S41) where the students who perceived the Impromptu Individual Speech as being the most difficult test had obtained the highest test score. These two cases fit the findings found in the study by Weber and Bizer (2006), who stated that a possible explanation to the two cases was that low-anxiety students who perceived a test to be difficult would obtain better achievement in the test. However, this study did not venture to gather the anxiety level of the participants.

TABLE 5
Students' Perception of Their Best and Worst Oral Test Performance

Perceived Performance	Oral Tests	Students	No. of Students	Percentage (%)	Total Students
The Best Test Performed	B	S1, S7, S8, S11, S12, S13, S14, S16, S22, S25, S26, S27, S28, S29, S31, S32, S33, S37, S41, S42, S47, S50, S53, S61, and S63	25	67.6	37
	A	S56	1	32.4	
	C	S5, S9, S10, S19, S30, and S49.	6		
	E	S24 and S57.	2		
	Individual Speeches (B and D)	S17, S35, and S58.	3		
The Worst Test Performed	D	S1, S2, S6, S8, S21, S22, S25, S29, S34, S38, S39, S41, S43, S46, S47, S50, S52, S53, and S61.	19	61.3	31
	A	S40 and S49	2	38.7	
	B	S15, S24, S54, and S62.	4		
	E	S10, S31, and S33.	3		
	Individual Speeches (B and D)	S51	1		
	Final Test Parts 1 and 2 (D and E)	S26 and S32.	2		

Note. S = Student. The percentage values are rounded to one decimal place. A = Impromptu Two-way Communication. B = Prepared Individual Speech. C = 20-minute Group Discussion. D = Final Test Part 1: Impromptu Individual Speech. E = Final Test Part 2: 30-minute Group Discussion.

TABLE 6
Students' Actual Performance, Perceived Performance (the Best and Worst) and Perceived Test Difficulty (the Easiest and Most Difficult)

Perceived B as the easiest oral test	A	B	C	D	E	Perceived D as the most difficult oral test	Perceived D as the worst performance	Perceived B as the best performance
S1	.71	.72	.73	.68	.84	S1	D	B
S5	.66	.66	.64	.64	.65		A	C
S7	.71	.74	.72	.70	.72		E	B
S8	.76	.76	.77	.68	.75	S8	D	B
S9	.70	.71	.77	.62	.70		D & E	C
S10	.72	.73	.74	.65	.65	S10	E	C
S11	.71	.70	.75	.65	.65		E	B
S12	.71	.70	.61	.62	.64		E	B
S13	.83	.78	.77	.68	.74		D	B

Perceived Test Difficulty

S14	.91	.78	.83	.87	.84		E	B
S16	.77	.78	.80	.68	.82		D	B
S17	.76	.72	.70	.70	.75		D & E	B & D
S19	.67	.63	.52	.49	.45		C & E	C & E
S22	.72	.79	.63	.64	.67	S22	D	B
S24	.79	.78	.72	.74	.74	S24	B	E
S25	.80	.80	.79	.72	.77	S25	D	B
S26	.75	.68	.64	.68	.75	S26	D & E	B
S27	.79	.75	.81	.84	.84		C	B
S28	.84	.97	.82	.80	.82		C	B
S29	.74	.75	.72	.67	.72	S29	D	B
S30	.76	.72	.74	.75	.84		D	C
S31	.73	.78	.74	.70	.70	S31	E	B
S32	.44	.63	.47	.42	.40	S32	D & E	B
S33	.71	.77	.71	.68	.68	S33	E	B
S35	.73	.73	.71	.80	.75		E	B & D
S37	.77	.81	.71	.82	.74		E	B
S41	.79	.74	.79	.80	.75	S41	D	B
S42	.73	.73	.75	.80	.78		C	B
S47	.77	.76	.76	.67	.60	S47	D	B
S49	.80	.78	.79	.78	.74	S49	A	C
S50	.74	.78	.79	.68	.77	S50	D	B
S53	.81	.76	.69	.65	.68	S53	D	B
S56	.78	.69	.69	.72	.80		C	A
S57	.74	.66	.77	.65	.75		D	E
S58	.80	.77	.79	.82	.84		C	B & D
S61	.69	.71	.70	.67	.67	S61	D	B
S63	.75	.75	.76	.68	.70		D	B
	.85	.75	.79	.75	.82	S2	D	C
	.74	.71	.78	.70	.67	S6	D	C
	.91	.72	.87	.78	.84	S15	B	C & E
	.82	.75	.81	.72	.75	S21	D	A
	.75	.76	.75	.70	.74	S34	D	C
	.60	.69	.71	.65	.68	S38	D	E
	.80	.86	.78	.68	.80	S39	D	E
	.74	.78	.78	.80	.78	S40	A	C
	.85	.72	.82	.68	.80	S43	D	C
	.67	.70	.71	.62	.59	S46	D	C
	.73	.69	.72	.70	.77	S51	B & D	E
	.76	.67	.62	.64	.60	S52	D	E
	.76	.77	.75	.72	.68	S54	B	D
	.79	.70	.75	.67	.72	S62	B	C

Note. A = Impromptu Two-way Communication. B = Prepared Individual Speech. C = 20-minute Group Discussion. D = Final Test Part 1: Impromptu Individual Speech. E = Final Test Part 2: 30-minute Group Discussion.

Apart from that, in relating students' perceived oral performance with their actual performance, 9 of the total of 25 students who thought that they performed the best in the Prepared Individual Speech had obtained the highest score in the same oral test. Meanwhile, of the 19 students who believed that their worst performance was the Impromptu Individual Speech, 12 did in fact score the worst in the same test by achieving the lowest score in the test in comparison with the other four oral tests. Interestingly, these two groups of 9 and 12 students were also the ones who perceived the Prepared Individual Speech as being the easiest oral test and/or the Impromptu Individual Speech as the most difficult oral test (see Table 6).

In examining the reasons behind the students' perception of the most difficult or easiest oral test, as well as their worst or best performance, some of them gave more than one reason. In considering the Impromptu Individual Speech as the toughest oral test, students indicated a total of 13 reasons, as listed in Table 7. Specifically, the top three reasons given by the students were insufficient time to prepare the speech, lack of ideas and/or elaboration and being nervous during the test. The first two reasons are similar to the two categories of oral communication difficulties stated by Zulkurnain and Kaur (2014), which are time pressure as students may require longer time to produce English sentences and insufficient resources that may be due to lack of English vocabulary, sentence structure, grammatical structure and pronunciation. In this study, one of the possible reasons for the limited time in preparing the speech was the nature

of the test as students were only given 3 minutes to prepare their speech before delivering it. Meanwhile, being nervous during the oral test supports Hong's (1999) contention that worry has a negative impact on test performance.

On the other hand, students who viewed that they had given their worst performance in the Impromptu Individual Speech test indicated a total of 10 reasons as listed in Table 7. The reasons with the top three frequencies provided by the students were: lack of ideas and/or elaboration, insufficient preparation for the test, being nervous and weak understanding of the title of the speech. These results, where insufficient preparation and being nervous were among the most stated reasons to perceiving the test as students' worst performance, again confirmed Hong's (1999) notion that lack of adequate preparation for the test may cause students to be nervous during the test, which in turn could affect performance. Furthermore, these same reasons also supported Zulkurnain and Kaur's (2014) findings, where time pressure and insufficient resource were the difficulties faced by students during their English oral communication activities. According to Zulkurnain and Kaur (2014), having limited knowledge of the English language could cause students to have weak understanding of the speech title as the titles may contain sophisticated English words that students have not seen/heard before.

In these two groups of the perceived test difficulty and perceived performance, it was evident that one of the major weaknesses in delivering an impromptu individual speech

was that the students lacked ideas. From the total frequency of both perceived test difficulty and performance, the four reasons with larger values were: insufficient ideas and/or elaboration ($f=21$), time constraint ($f=11$), being nervous ($f=10$), and lack of preparation ($f=10$).

In contrast to the Impromptu Individual Speech, only five reasons were given in suggesting Prepared Individual Speech as the easiest test and/or viewing that they

gave the best performance in this particular test based on the justifications given in Table 8. Most of the students disclosed that they were able to prepare for the test and that made them to believe that the test was the easiest and/or they performed the best in the Prepared Individual Speech. One explanation to this was the characteristic of the oral test, where students were given two weeks to prepare their speech prior to delivering it.

TABLE 7
Students' Justification in Perceiving Impromptu Individual Speech as the Most Difficult Oral Test and Worst Performance

Reasons	Perceived Impromptu Individual Speech as the Most Difficult Oral Test		Perceived Impromptu Individual Speech as the Worst Performance		Total <i>f</i>
	Students	<i>f</i>	Students	<i>f</i>	
Time constraint	S8, S26, S31, S34, S40, S43, S49, S52, S61	9 (29.0%)	S34, S52	2 (10.5%)	11
Insufficient ideas/ elaboration	S8, S21, S39, S41, S50, S51, S53	7 (22.6%)	S2, S6, S8, S21, S25, S34, S38, S39, S41, S43, S46, S50, S53, S61,	14 (73.7%)	21
Nervous	S1, S2, S29, S43, S47, S51, S52,	7 (22.6%)	S34, S47, S52	3 (15.8%)	10
The need to be spontaneous	S24, S26, S29, S47, S62,	5 (16.1%)	S41	1 (5.3%)	6
Insufficient understanding of the title	S6, S22, S39, S53	4 (12.9%)	S39, S50, S53,	3 (15.8%)	7
Lack of preparation	S1, S15, S29, S31	4 (12.9%)	S1, S29, S39, S43, S47, S52	6 (31.6%)	10
Lack of words	S10, S25, S32, S46,	4 (12.9%)	S22, S25	2 (10.5%)	6
No assistance from peer/no reference	S32, S33, S49, S61	4 (12.9%)			4
Weak in sentence structure	S2	1 (3.2%)	S2, S29	2 (10.5%)	3
Insufficient reading	S6	1 (3.2%)			1
Unable to make good conclusion	S21	1 (3.2%)	S21	1 (5.3%)	2
Lack of confidence	S51	1 (3.2%)			1
Introvert personality	S40	1 (3.2%)			1
Poor health condition			S1	1 (5.3%)	1

Note: *f* = Frequency. The percentage values do not equal to 100% because a student can provide more than one reason. The percentage values are rounded to one decimal place.

TABLE 8
Students' Justification in Perceiving Prepared Individual Speech as the Easiest Oral Test and Best Performance

Reasons	Perceived Prepared Individual Speech as the Easiest Oral Test		Perceived Prepared Individual Speech as the Best Performance		Total <i>f</i>
	Students	<i>f</i>	Students	<i>f</i>	
Able to make preparation/ Sufficient time for making preparation	S1, S7, S8, S9, S10, S11, S12, S13, S14, S16, S24, S25, S26, S27, S28, S29, S30, S31, S32, S33, S35, S37, S41, S42, S47, S49, S50, S56, S58, S61, S63	31 (83.8%)	S1, S7, S12, S13, S14, S16, S22, S25, S26, S27, S28, S29, S31, S32, S33, S37, S41, S42, S47, S50, S53, S61, S63	23 (92.0%)	54
Sufficient ideas/ elaboration	S56, S57	2 (5.4%)	S8, S11, S27, S31, S61	5 (20.0%)	7
Understand the title	S5, S30, S53	3 (8.1%)	S32	1 (4.0%)	4
Absence of stress			S14	1 (4.0%)	1
No group discussion	S17	1 (2.7%)			1

Note: *f* = Frequency. The percentage values do not equal to 100% because a student can provide more than one reason. The percentage values are rounded to one decimal place.

CONCLUSION

Overall, the results had shed light on students' accounts in their perception of the oral test difficulty and oral test performance. The prepared individual speech was perceived as the easiest test while the most difficult test was impromptu individual speech. Insufficient ideas/elaboration, time constraint, being nervous and lack of preparation were the top four problems faced in the Impromptu Individual Speech (which the majority thought was their most difficult oral test). On the other hand, being able to prepare was the reason for those who

viewed the Prepared Individual Speech as their easiest test and/or who thought that they had given their best performance in it. Nevertheless, the findings of the study revealed that students who viewed a particular oral test as their most difficult test may not have achieved the lowest score in that test, and those who thought that a particular oral test as the easiest test also may not have obtained the best score in it. These results have pertinent pedagogical implications with respect to the suitability of oral activities executed in the classroom, particularly the oral communication course

in the university. As educators begin to better understand students' main problems in oral tests, they discover the opportunity to develop better tools for teaching the Oral Communication course. This calls for building the content and vocabulary of students, as effective communication is more dependent on possessing adequate and appropriate vocabulary than mastering grammatical rules (Vermeer, 1992). Thus, it is vital for educators to build students' vocabulary so that students are able to convey their intended message effectively; however, the researcher does not suggest that grammar is not important. On top of that, educators can incorporate specific reading materials in their lessons to assist students in attaining appropriate and necessary knowledge input, and provide other optional readings for students' autonomous reading. Apart from that, educators can cope with students' weaknesses in oral English by integrating the five-category framework outlined by Littlewood (2006), which ranges along a continuum from Non-communicative Learning (e.g. grammar exercises and substitution drills), through Pre-communicative Language Practice and Communicative Language Practice (e.g. question-and-answer practice, basic information-exchange tasks and conducting a survey among classmates) to Structured Communication and Authentic Communication (e.g. more complicated information-exchange tasks, discussion, problem-solving and content-based tasks). To assist students with low English proficiency, educators can start either from

the first or second category before gradually expanding to the other three. This is only a suggestion made by the researcher and it is not a one-size-fits-all method. Apart from that, educators can include some structured or simulation activities in order to familiarise students with the specifications of the tests. With adequate knowledge of the English language, students would be less nervous and more confident as well as more prepared in expressing their intended meaning in oral communication activities. Consequently, the results are crucial in enhancing educators' understanding of students' problems in their oral English so that educators can utilise them to reflect on their teaching practices and act to improve them by either adopting or adapting existing and new practices in order to maximise student learning. Besides that, educators must note that students' mental picture of the difficulty level of a test might affect students' oral performance differently in different individuals; hence, future research could examine the levels and effects of students' perceived test difficulty on their actual performance.

Like other studies, some limitations to the current study must be noted. The small sample size prevented the generalisability of the findings because the sample was taken from only three classes of a total 60 classes in that particular semester. Consequently, the sample was not representative of the students' opinions of other classes, which comprised students who were from similar or different faculties and fields of studies. It is suggested that casting a

wider net that involves a larger sample of all students from the same field of studies taking the same course would improve the understanding of the phenomenon and reinforce the findings of the current study as well as standardising the questions and topics asked in the oral tests. As the study only discussed the most difficult and easiest oral tests, further research could build on the current study and look at other oral tests on students' perceived test difficulty and perceived performance with their actual performance. Besides that, future research could investigate why students did not present their best in an oral test which they perceived as being the easiest, and vice versa.

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A Study of Causal Relationship of Occupational Stress Among Male Academic University Employees in Thailand

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ABSTRACT

Staff network from many government universities called recently on the Thai Higher Education Commission to solve their job insecurity, low salary and job and environmental condition stresses resulting from government occupational policy regarding education and occupation. The aim of this study is to investigate the causal relationship of occupational stress among male academic university employees in Thailand. The research conducted in this study was a cross-sectional study among 2,000 male academic employees who worked at Thai government universities in Thailand. The stratified random sampling method was used. Causal variables consisted of wages, family support, periods of duty and job and environmental condition. The effect variable consisted of stress. The results of this study found that job and environmental condition, which is one of the psychosocial dimensions of occupational health, had the most direct effect on stress ($p < 0.05$) while variables such as family support and periods of duty were occupational stress at the low level. The most significant causal variable was job and environmental condition related to occupational stress among male academic university employees in Thailand. Some suggestions for the next research are that greater importance should be placed on psychosocial research in Thailand, especially qualitative method among male academic university employees to confirm these results, and that there should be comparisons between female and male academic university employees.

Keywords: Causal relationship, occupational stress, male academic university employees

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INTRODUCTION

There have been major changes in employment condition or job condition in many countries worldwide during economic crisis satiation in 1997 due to

suicide, mental health problems and stress. (Charttananon *et al.*, 1998; Quinlan *et al.*, 2009). Downsizing and restructuring by employers were one of these changes (e.g. the increased use of non-permanent employees and outsourcing). This downsizing and restructuring resulted in the increment of job insecurity, job intensification and multi-tasking (World Health Organisation and the Commission on the Social Determinants of Health, 2008; Benach *et al.*, 2010; Delp *et al.*, 2010). The majority of male employees who were heads of family became unemployed workers from this satiation (Universities staff network, 2013).

LITERATURE REVIEW

Previous researchers found that nurses, lecturers, doctors and farmers had poor mental health, job stress resulting from downsizing or reorganisation by employers under globalisation (Boyas *et al.*, 2010; Moreno *et al.*, 2010; Caban-Martinez *et al.*, 2011; Hildebrandt *et al.*, 2011; Kaewanuchit *et al.*, 2012; Laws *et al.*, 2012; Kaewanuchit *et al.*, 2015a). Some researchers explained that university teaching among academic staff in universities was found to be a low stress occupation (Wei *et al.*, 2011). However, a Thai study explored occupational stress among female academic university employees and found that job and environmental condition and wages had a direct relationship with moderate stress occupation (Kaewanuchit & Pothong, 2015b).

The Thai government attempted to downsize reorganise the government sector as suggested by The International Monetary Fund (IMF) as a result of the Asian economic crisis of 1997 (Charttananon *et al.*, 1998). This has been part of the intervention efforts put in place up to now. A new policy by IMF was implemented in Thai government universities in 2000. It related to employment and job conditions among academic staff who worked in Thai government universities. A new important government university policy was to decrease the number of civil servant groups who worked in each government university in Thailand. This policy increased the number of academic staff and introduced high wages in government universities but did not have address staff health. Academic staff in universities were a new type of civil servant group. Academic staff in universities holding a first degree were required to sign a contract to work under different job conditions and wages in different government universities without proper labor laws to protect them. Moreover, male academic university employees who were heads of families and who had heavy family commitments ended up suffering from pressure and tension as a result of the heavy workload imposed by their universities (University staff network, 2013). The new policy caused high occupational stress among female and male academic university employees in Thailand. It was associated with a difference in attitude towards staff health in the different universities

(University staff network, 2013). Although occupational stress among Thai male and female academic staff was studied (Kaewanuchit *et al.*, 2015; Kaewanuchit & Pothong, 2015b), the study did not pay sufficient attention to occupational stress among Thai male academic university employees. Recently, university staff from Thai government universities called on The Higher Education Commission, Ministry of Education, Thailand to resolve the problems arising from the education policy that had led to their sense of job insecurity, health inequality and occupational stress (University staff network, 2013). It is important and necessary to study causal relationship of occupational stress among male academic university employees in Thailand because in the majority of families the status of head of the family is held by the male in accordance with the Thai custom of patriarchy.

THEORETICAL FRAMEWORK

There are four dimensions to health hazards, namely, environmental, physical, biological and psychosocial. Occupational stress is a major psychosocial occupational hazard (Commission on the Social Determinants of Health, 2008; Muntaner *et al.*, 2009; Kaewanuchit, 2013a; Kaewanuchit, 2013b). Occupational stress is associated with work-related factors and the job itself. It is divided into individual factor, family factor, social and environmental factor and psychological factor. The theoretical framework of this study concerns the

psychosocial hazard of occupational health related to period of duty and wages as the individual factor, family support as the family factor, job and environmental condition as the social and environmental factor and social determinants of health as the psychological factor.

Hypothesis

Two hypotheses of this study were as follows: (I) wages, job and environmental condition, family support, and period of duty have a direct effect on stress. (II) The variable of job and environmental condition among male academic university employees in Thailand has the most direct effect on stress.

Aim

The purpose of this study was to investigate a causal relationship of occupational stress among male academic university employees in Thailand.

METHODOLOGY

Participants

This study was a cross-sectional study that was conducted among 2,000 male academic university employees at Thai government universities (both original and new university groups). Their positions were permanent and temporary academic university employees in Thailand. They were heads of families/leaders in their universities (1,000 cases/university group).

Sampling Method

This study used stratified random sampling. It links the division of the population into smaller groups. All the participants in the study lived in four regions of Thailand (2,000 cases both original and new university groups). A first strata, there were 49 new university groups and 24 original university groups from government universities from every region in Thailand. Ten groups were randomly select from the 49 new universities and six groups were randomly selected from the 24 original universities. The second strata of random selection then picked out 2,000 male academic staff from both the original and new university groups.

Variables and Measurement

The major factors in this study were individual details (e.g. general demographic data), family support (e.g. dimension of adaptation, resolve, growth, affection and partnership by the family in the APGAR questionnaire), social and environmental factors (e.g. job and environmental condition); these were the independent variables known as causal variables, while the dependent variable, stress, was the effect variable.

The questionnaire used in this study contained 57 questions and was divided into four parts. Part I focused on general data (6 questions), Part II on the job and environmental dimension (26 questions), while Part III was the family APGAR questionnaire (5 questions) (Smikstein *et al.*, 1982) and Part IV was the Suanprung stress test (20 questions) (Mahatnirunkul *et al.*, 1998).

The questions on general demographic data asked for the name of the university, province, sex (code as 1=female and 2=male), education (code as 1= Master's degree, 2=doctoral degree, 3=post-doctoral degree), wages (code as 1=15,001-20,000 baht, 2=20,001-25,000 baht, 3=25,001-30,000 baht, 4=30,001-35,000 baht, 5=35,001-40,000 baht, 6=40,001-45,000 baht, 7=45,001-50,000 baht, 8=>50,000 baht), periods of duty (code as 1=0-1 year, 2=2-3 years, 3=4-5 years, 4=6-7 years, 5=8-9 years, 6=10-11 years, 7=12-13 years, 8=14-15 years). Sex and education used the nominal scale. Wages and period of duty used the interval scale.

The job and environmental variable was measured by six dimensions. They consisted of job task, working hours, quantitative job task, job environment, welfare and job insecurity, respectively. The dimension of job task was associated with teaching task, research task, social service task, Thai culture task, multi-tasking and others. The dimension of working hours related to period of teaching, research, social service, Thai culture and working hours. The dimension of quantitative job task was associated with teaching, research, Thai culture and quantitative job task. The dimension of job environment was associated with items of equipment for doing the job and job environment followed by the concept of occupational health and safety. The dimension of welfare was related to items of welfare equality from government officers, the welfare policy from administration to practise in every dimension and welfare motivation for academic

university employees in universities. Finally, the dimension of job insecurity asked about items of job security in the university, evaluation for working and bonus and period of contract in order to relate all these to the sense of job insecurity. Each dimension and item was measured using the interval scale (code as 1=least, 2=less, 3=more, 4=most). It had an open question related to the relationship of job and environment condition, family, wages and others.

The measurement of family support variable used the family APGAR questionnaire (Smikstein *et al.*, 1982). The latter used the interval scale (code as 0=hardly ever, 1=some of the time, 2=almost always). These were divided into three levels; 7-10=high family support, 4-6=moderate family support, 0-3=little family support.

The scores of the Suanprung stress test were interpreted using stress level and points. The interpretation for the different scales, less stress than the normal level, normal level, moderate level, high level and severe stress, was 0-5, 6-17, 18-25, 26-29, and >30 points, respectively (Mahatnirunkul *et al.*, 1998).

The main measure of predictor variables (e.g. family support, job and environmental condition, wages and period of duty) used in this study was the interval scale in causal relationship.

Data Collection Processes

Five professors verified the content and construct reliability of this study for verification of the accuracy of this data. The quantitative questionnaire was sent

to the Ethics Committee for Human Research at Mahidol University, Thailand to get documented proof of this human ethics committee and sent to the Thai Clinical Trial Register before the approval. Then, the test and retest reliability of the questionnaires were performed by the researcher. The questionnaires were evaluated to be reliable at no less than 0.8 by using SPSS/PC+ for Windows to find Cronbach's Alpha Coefficient. The reliability of the job and environmental condition, wages, period of duty, family support, and stress variable were 0.80, 0.81, 0.82, 0.80 and 0.90, respectively. Data collection procedure by face-to-face (70% of participants) interview was done by researcher-trained assistant researchers and health volunteers to help in data collection through the process of teaching, approaching participants, explaining questionnaires and giving consent forms to participants. The researcher/assistant researchers gave questionnaires and fixed a date for returning the questionnaires. Finally, the questionnaires were collected in a secret box. At the same time, data collection procedure by social network (30% of participants) was done by email or Facebook to send the questionnaires to participants through the Google documents website. The researcher explained the details of the research through email or Facebook through the university staff network and without giving consent forms to the participants. Completed questionnaires were returned directly to the researcher through email.

Data Analysis

Data analysis consisted of numbers, percentages, minimum and maximum scores, skewedness, kurtosis, mean and SD to measure predictor variables on stress among university employees. The relationships of occupational stress among male university employees in Thailand were verified by causal relationship using the M Plus Programme in version 5.2 (Muthe'n & Muthe'n, 2006) to find these causal relationships. It was used to analyse the r square and measure the fit of the model. Individual parameter tests considered the

direct and indirect effect of the causal/independent variables on the effect/dependent variable and the causal diagram.

RESULTS

A total of 2,000 participants consisting of Thai male academic university employees completed all the questions for both groups i.e. original universities and new universities. Each university group had 1,000 Thai male academic university employees (50% per a group). Mostly, their educational level was Master's degree holders (60% of all 2,000 cases) (Table 1).

TABLE 1
General Data Among Male Academic Staff in Universities in Thailand (N=2,000)

Data	Number	Percent (%)
Number of male academic staff in universities		
: in new universities	1,000	50.00
: in old universities	1,000	50.00
Age (years): 24-33	304	15.20
: 34-43	980	49.00
: 44-53	716	35.80
Educational level: Master's degree	1,200	60.00
: Doctoral degree	800	40.00
Period of duty (years): 0-1	220	11.00
: 2-3	280	14.00
: 4-5	250	12.50
: 6-7	250	12.50
: 8-9	100	5.00
: 10-11	400	20.00
: 12-13	300	15.00
: 14-15	200	10.00
Wagea (baht): 15,001-20,000	600	30.00
: 20,001-25,000	400	20.00
: 25,001-30,000	900	45.00
: 30,001-35,000	100	5.00

The mean and standard deviation (SD) for the age of Thai male academic university employees was 40±0.50. The mean and standard deviation for period of duty and wages among male academic university employees in Thailand were 10.5±2.202 and 25,001 to 35,000±0.942. The mean for job and environmental condition, family support and stress level of male academic university employees in Thailand were more, some of the time and moderate. The minimum and maximum age of male academic university employees in Thailand was 24 and 53 years old, respectively. The minimum and maximum period of duty among male academic university employees were 1

and 14 years, respectively. The minimum and maximum wages variables among male academic university employees in Thailand were 15,001, and 35,000 baht per month. The age, wages and periods of duty variables showed a negative skewedness of -0.165, -0.157 and -0.032, respectively. The family support, stress and job and environmental condition variables represented a positive skewedness of 0.258, 0.028 and 0, respectively. Job and environmental condition, period of duty, wages, family support, age and stress variables displayed a negative kurtosis of -1.753, -1.353, -1.293, -1.045, -0.526 and -0.105, respectively (Table 2).

TABLE 2
Statistic Data Among Male Academic Staff in Universities in Thailand (N=2,000)

Variable	Mean	Minimum	Maximum	S.D.	Skewedness	Kurtosis
Age (year)	40.5	24	53	0.500	-0.165	-0.526
Period of duty (year)	10.5	1	14	2.202	-0.032	-1.353
Wages (baht)	25,001 to 30,000	15,001	35,000	0.942	-0.157	-1.293
Job & environment condition	More	Least	Most	0.894	0	-1.753
Family support	some of the time	None	Most	0.686	0.258	-1.045
Stress level	Moderate	Low	Severity	0.920	0.028	-0.105

Based on goodness of fit, the results were accurate for the sample. The values based on Chi square readings were 0.862, p-value=0.3533, CFI=1.000, TLI=1.001, RMSEA=0.749, SRMR=0.002. R-square for waged, family support, stress was

0.501, 0.864 and 0.132 (p value<0.05), respectively. The results for causal relationship of occupational stress among male academic university employees in Thailand are shown in Table 3.

TABLE 3
Overall Test for Goodness of Fit Among Male Academic Staff in Universities in Thailand (N=2,000)

Criteria	Value
Chi square	0.862 (p-value=0.3533)
CFI	1.000
TLI	1.000
RMSEA	0.749
SRMR	0.002
R square (Wages)	0.501*
R square (Family support)	0.864*
R square (Stress)	0.132*

* p- value<0.05

TABLE 4
Direct and Indirect Effect Among Male Academic University Employees in Thailand (N=2,000)

Endogenous/ Exogenous variables	Endogenous variables					
	Period of duty		Family support		Stress	
	Direct effect	Indirect effect	Direct effect	Indirect effect	Direct effect	Indirect effect
Period of duty					0.212*	
Job & environment condition	-0.196*		-0.562*		0.333*	-0.043
Wages			0.396*		-0.073	
Family support	-0.882*				0.216*	

*p-value<0.05

Job and environmental condition had the most direct effect on stress and an indirect effect on stress with standardised regression weights of 0.333 and -0.043, respectively (p-value<0.05) among male academic university employees in Thailand. Family support and period of duty had

direct effect on stress with standardised regression weights of 0.216 and 0.212, respectively (p-value<0.05). Besides this, the rise in family support resulting from high wages had standardised regression weights of 0.396 (p-value<0.05) (Table 4 and Fig.1).

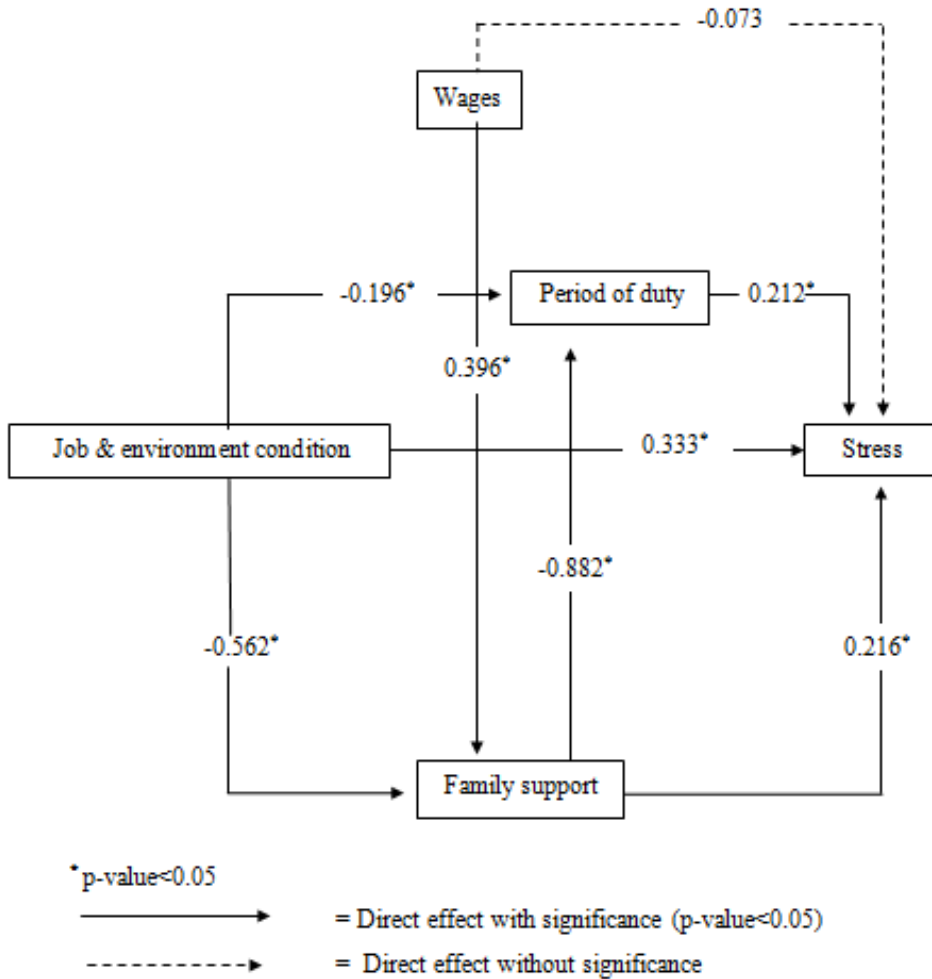


Fig.1: Causal relationship of occupational stress among male academic staff in universities in Thailand (N=2,000).

FINDINGS AND DISCUSSION

The findings in the perspective of occupational health as a component of public health focused on four dimensions (i.e. physical, biological, environmental and psychosocial dimensions). Occupational stress was one of the psychosocial dimensions in the field of occupational health (Gatchel *et al.*, 2012).

Causal relationship of occupational stress among male academic university employees in Thailand had goodness-of-fit indices that were most accurate for the 2,000 male academic university employees in Thailand. This implied that the important causal relationship due to occupational stress was the condition of job and environmental factors as given by hypothesis II (Fig.1).

The psychosocial hazard in the dimension of occupational health was connected with work-related factors and job task. Period of duty was an individual factor related to occupational stress. Besides this, except for the wages variable, the job and environmental, family support and periods of duty variables had direct effect on stress as given by hypothesis I. This indicated that these factors related to the psychosocial dimension of occupational health in the area of public health. It is associated with the psychosocial hazard of occupational health and social determinants of health in social and environmental factors (e.g. the job and environmental condition). These variables had an effect on occupational stress (Kaewanuchit, 2013a; Kaewanuchit, 2013b).

A major strength of this study is that it applies to questions in the field of public health, such as occupational stress, associated with social determinants of health. The results of this study were consistent with the study of male and female Chinese academic staff in universities. It showed that male and female academic staff were at high risk of succumbing to occupational stress due to the increase in job tasks and research tasks within universities in China (Wei *et al.*, 2011).

The incremental job and environmental condition among male and female academic staff in universities was a psychosocial factor linked to occupational stress (Gatchel *et al.*, 2012; Laws & Fiedler, 2012) while the environmental factor was linked to job satisfaction among

both male and female academic staff in universities (Dağdeviren *et al.*, 2011) and administrators including service employees who worked in universities found that both job and environmental conditions (e.g. a packed timetable and job performance) were factors related to occupation stress at the moderate level (Wei *et al.*, 2011).

The research found that occupational stress level among male academic university employees in Thailand was at the moderate stress level. It implied that moderate stress level of this study could accept to become active at individual level and could not link to severity stress level. However, occupational stress at the workplace can be increased. Individuals should be careful. In addition, male academic university employees who are heads of family/leaders in their universities may sometimes feel pressured from job conditions. They are able to cope using stress management techniques or by relying on social support. However, a qualitative study of this should be done to confirm these results. In addition, a comparison between female and male academic university employees should also be done in the future. This strength of this research study was that it focused on the psychosocial model based on causal relationship. In addition, the findings can provide an explanation on causal relationship related to occupational stress among male academic university employees. They are new employee groups or new type of civil servant in government universities in Thailand resulting from a new Thai government policy after the economic crisis of 1997.

The results of this study showed direct relationship over indirect relationship to stress. The results indicated that independent or causal variables to dependent or effect variable were the good questions to describe the causal relationship of occupational stress among male academic university employees in Thailand. Nevertheless, a limitation to this study was the low budget and delay in budget payment from research funding that proved to be a burden in carrying out this study. These should be looked into to ensure smoothing running of study projects in the future. This study selected only male academic university employees in government universities in Thailand because Thai society practices the patriarchal system, which accepts the male as leader of the family. Participants, who had Master's or doctoral degrees, had more workplace freedom than other groups in universities. In addition, they had family support, and therefore suffered only moderate stress. They make up an important group in the higher social rung of Thai society and are referred to as the "brain of Thailand." The Thai government should pay attention to them before stress leads them to other jobs with low levels of stress in other companies or abroad. This could apply especially to Thai male academic staff in universities, who face high expectations from their families and society in general.

CONCLUSION

The causal exogenous relationship of occupational stress among 2,000 male academic university employees in Thailand, which had a direct effect on stress the most, was the condition of job and environmental as a psychosocial dimension of occupational health in field of public health ($p < 0.05$). However, wages had a direct effect without significance whereas the causal endogenous relationship of occupational stress, which had a direct effect on stress, was family support, as a family factor, and period of duty, as an individual factor ($p < 0.05$). This showed that the condition of job and environmental, which was a psychosocial hazard of the occupational health perspective, was associated the most in this study with occupational stress among male academic university employees in Thailand.

ETHICAL CONSIDERATIONS

The quantitative questionnaire used in this study was submitted to the Ethics Committee for Human Research at Mahidol University, Thailand to verify the ethical considerations related to this research before approval was given. This study was a part of a research project, 'A causal relationship of occupational stress among university employees', with the human ethics code, COA. No. 2013/331.2811.

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The Acquisition of Scalar Implicatures by Second Language Learners: What Does Current Research Tell Us?

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ABSTRACT

This study investigates how Indonesian learners acquire scalar implicature. The objectives are to examine the robustness of the pragmatic effects of scalar implicature acquisition and to find out whether such variables as language proficiency (measured by the students' Grade Point Average), gender and previous English learning experience, which were not controlled in previous studies, can affect the interpretation of SI. Twenty-eight learners participated in this study. The instruments used were adopted from Noveck (2001) and Slabakova (2010). They included both factually universal and factually existential statements, to which the students were asked to choose *Agree* or *Disagree*. Results showed that despite an attempt to control such variables as language proficiency, gender and previous English learning experiences, the majority of the participants in the present study had a tendency of thinking more pragmatically than logically. The finding of the present study confirms the assumption held in previous studies that the pragmatic effect of the interpretation of scalar implicatures is robust.

Keywords: Scalar implicature, pragmatic effects, language proficiency, gender, previous English learning experiences, factually universal and factually existential statements, interpretation of scalar implicatures

INTRODUCTION

The recent interest in investigating scalar implicature (henceforth SI) inevitably

owes very much to Grice, whose theory of conversational implicature or Gricean implicature is widely known in most literature on pragmatics as the cooperative principle. This principle basically emphasises the parsimony of language use as a basic condition of informativeness, similar to the principle of Ockham's razor – "Entities should not be multiplied unnecessarily."

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Nevertheless, as influential as this theory might have been, critics have argued that speakers may flout it and not always be cooperative in a conversation. These critics, calling themselves neo-Griceans (most notably Laurence R. Horn), have attempted to dispute the status of one particular type of Gricean inference known as scalar implicature (Geurts, 2009). Specifically, both Gricean and neo-Gricean linguist-pragmatists have their own contention regarding the real status of SI (Papafragou, 2002). The former claim that SIs are derived on the basis of broadly Gricean quantity considerations, while the latter argue they are context-specific or generalised, default inferences.

It is well established that in many circumstances there is an indication that the speaker chose not to articulate a more informative term from the same scale. For instance, by uttering *Some of the students failed the exam*, the speaker intentionally uses the so-called weaker scalar expression (i.e. *some*) rather than a stronger one (i.e. *all*), thus inviting the hearer to infer the meaning of such an utterance. In the neo-Gricean literature, the investigation of SI has been particularly prominent mostly in theoretical linguistics. Studies on SI in the field of second language acquisition (SLA), for example, are still a sort of rarity. Papafragous (2002) has stated that studies on SIs have attracted relatively little attention in psycholinguistics, despite their prominent place in theoretical linguistic literature.

The present study was an attempt to replicate two previous studies conducted by Noveck (2001) and Slabakova (2010) (reviewed in detail in section 2 below) in the Indonesian context. It had two goals: first, to further investigate to what extent the pragmatic effects of the acquisition of SI by second language learners are robust; second, to find out whether such variables as language proficiency (measured by the students' Grade Point Average), gender and previous English learning experience, which were not controlled in the previous studies, can affect the interpretation of SI.

There are at least two reasons for the need to replicate studies on SI. To begin with, as studies on this topic are still in their infancy, replication assists us not only in testing, but also in extending the robustness and generalisability of previous studies conducted. Moreover, as studies often produce mixed results, replication allows us to further scrutinise them and to eventually provide correctives if, for example, any methodological flaws are found. In essence, replication in social sciences, be they quantitative and qualitative in approach, has become "a requirement of scientific inquiry" (Porte & Richards, 2012, p. 284).

Thus, despite its replicative nature, the present study offered a useful insight into the acquisition of SI by second language learners. In addition, the findings of the present study have enriched the findings of previous studies by either confirming their findings or highlighting the need for further research. Generalisability of the previous

studies can be extended if the results of the present study confirm those of the former; in contrast, the findings of the former can be nullified if the present studies dispute them.

SCALAR IMPLICATURES

As mentioned previously, SI is not a new notion in pragmatics. It has in fact been used as one particular type of Gricean inference (Geurts, 2009). In its development, neo-Griceans like Horn have treated SI not as restricted to quantifiers such as *<all, most, many, some, few>* but also including connectives *<and, or>* and modals *<impossible, unlikely, uncertain>*, all of which constitute informational scale (Papafragou, 2002; Verbuk, 2007).

SI arises when the speaker qualifies or scales what he/she intends to convey without necessarily using a stronger or more informative term. Linguists like Yule (1996) subsumes SI under generalised conversational implicatures, a kind of implicature that requires no special background knowledge in calculating the additional conveyed meaning. It is not uncommon to hear a speaker communicate on the basis of a scale of values. By uttering *Anne had some of the oranges*, the speaker uses a weaker scale *some*, and as such invites the hearer to infer what he intends to convey. In this respect, the speaker intentionally avoids using a more informative or stronger term on the same scale. This is probably motivated by the speaker's reasoning that none of the stronger term in the scale holds. The

relation between the weaker and stronger terms of the same scale can be easily understood using the entailment relations (Noveck, 2001). The stronger term entails the weaker, but not the otherwise. *All* is a stronger quantifier than *some* because the former entails the latter, not vice versa.

The computation of SI has been recently investigated from a developmental perspective and cognitive processing theory *a la* Chomskyan. Most studies on SIs are more interested in examining the status of the scalar *some*, which lies in the interface between semantics and pragmatics, by comparing children's and adults' cognitive processing of SIs (Slabakova, 2010; Barner, Brooks, & Bale, 2010; Foppolo, Guasti, & Chierchia, 2013). The subsequent section further discusses what research on SIs in the field of second language acquisition has revealed.

Previous Related Studies

To date, however, there seems to be growing interest in investigating SI from the vantage point of second language acquisition and psycholinguistic processing. These studies are undoubtedly beginning to enrich research literature on SIs in especially the field of applied linguistics. In this section, I shall review what research on SIs with a specific reference to SLA has revealed. These include the study by Noveck (2001), Papafragous (2002), Verbuk (2007) and Slabakova (2010). It should be noted that all of these studies, albeit different in their foci (i.e. they investigated Laurence

Horn's different informational scales), share a common goal, namely, the acquisition of SI by second language learners.

Noveck (2001), in an attempt to unravel the implicatures process described by contemporary post-Gricean linguistic-pragmatists, investigated linguistically competent children's developmental processes in acquiring scalar implicatures. To accomplish this goal, Noveck designed three experiments. Experiment 1 employed a reasoning scenario, which served as a background for a puppet uttering a series of statements with a modal *might*, which under certain circumstances can express necessity, non-necessity, possibility and impossibility. In this experiment, children ranging in ages and adult native English speakers were asked to evaluate a statement expressing the conversationally-infelicitous *Might be x*, which could be understood logically (i.e. compatible with *Must*) and pragmatically (i.e. exclusively means *Must*). Experiment 2, designed simply as an attempt to verify the findings of Experiment 1, tested the hypothesis that a more thorough understanding of a task would encourage logical interpretations. The tasks were provided in training sessions. Experiment 3 sought evidence of the developmental pragmatic effect with the French existential quantifier *certaines (some)*. In general these experiments demonstrated that SIs are present in adult inference-making, and that, as far as cognitive development is concerned, they occur only after logical interpretations have been well established. Based on

the results of these experiments, Noveck concludes that the representations of weak scalar terms tend to be treated logically by linguistically competent children and more pragmatically by adults.

Papafragous (2002) investigated the aspectual expressions such as *start* and *finish* and degree modifiers such as *half* using the data from Modern Greek. The goal of the study was twofold: to offer further data on the development of scalar inferences in children and to compare the behaviour of different scalar expressions at early stages. Involving a group of Greek-speaking children aged 5 and adult native speakers of Greek, Papafragous compared children's and adults' derivation of non-completion inferences from *arxizo* ('start'), *ksekino* ('begin') and *miso* ('half'). To familiarise children with the task of detecting pragmatic infelicity (a pragmatic judgment task), Papafragous provided a training phase for children. Adult participants, on the other hand, were randomly assigned to perform the same tasks. They were given a leaflet which contained in written form the instruction verbally given to children. It was expected that adult participants would overwhelmingly correct the children's statements. Results showed that the adults rejected the students' statements, leading Papafragous to conclude that adults regularly computed scalar inferences during language comprehension and readily drew non-completion inferences from aspectual verbs and proportional modifiers in contexts that support such inferences. By contrast, children failed to compute scalar

inferences of non-completion triggered by aspectual verbs in the same contexts.

Finally, Slabakova (2010) investigated how three groups of participants (i.e. Korean natives, English natives and advanced and intermediate learners of English) acquired SIs with English quantifiers such as *some*, *most*, *all*. To achieve this, Slabakova conducted two experiments: one replicated Noveck's (2001) on French *certaines* ('some') and the other used a context in the form of a series of pictures with written sentences below them. This context was used for judging under-informative sentences. Findings indicated that without context, Korean learners resorted to more pragmatic interpretations to SI than they do in their native Korean and more than English adults. Within context, they also exhibited a similar tendency by attributing to pragmatic interpretations. Thus, with or without context, second language learners behave more pragmatically than they do in their native language. With this finding, Slabakova concluded that SIs presented no problems to second language learners and that linguistic pragmatic principles are universal.

METHOD

Participants

The participants of this study were 28 Indonesian undergraduate learners (24 females and 4 males) of English studying at the English Department, Faculty of Education, Atma Jaya Catholic University. Their ages ranged from 21 to 25. They can be considered as young adult students.

The students had been studying English at this university for about two years. Before enrolling in the university, some of them had taken English courses, while others had not. Their current level of proficiency was measured using their Grade Point Average (GPA), which ranged from 2.23 to 3.94. Thus, they had mixed language proficiency. All of this background information (gender, GPA and experience in learning English prior to the enrolment in the university) was used as the controlled variables.

Materials and Procedure

As the present study was an attempt to replicate both Noveck's (2001) and Slabakova's (2010) studies, the test items used as an instrument were adopted from these scholars. They included factually universal and factually existential statements. In this test, students were asked to choose simply by putting a tick to either *Agree* or *Disagree* to the statements given. The test items were composed of eight universally true sentences (True *all*), eight infelicitous sentences with *some* (infelicitous *some*), eight sentences with all statements being both logically false and pragmatically improper (False *all*), and eight absurd statements. As has been commonly used in scalar implicature research, such test items were felt to be neutral (Slabakova, 2010). Like Noveck (2001) and Slabakova's (2010) studies, this study considered pragmatically infelicitous but logically correct sentences with *some* as the crucial test items. This is because such test items could trigger the learners

to draw inferences. Student responses to the test times were coded for logical interpretations: answering 'I agree' to 'True *all*' statements, 'I disagree' to 'False *all*' statements, 'I agree' to felicitous *some* and 'I agree' to infelicitous *some*. The absurd statements were deliberately not included in the calculation here as almost all of the participants had no problems detecting the absurdity of these statements. All the responses were analysed using descriptive statistics. This analysis was used to describe the data and could give us confidence that the description of the data was correct (Hatch & Lazaraton, 1991).

RESULTS

This section reports the results from the descriptive analysis techniques. The students were grouped under those whose GPA ranged from 2.23 to 2.99 and those who had the GPA between 3.14 and 3.94. These

two groups were further classified in terms of gender and previous English learning experience. What is of great interest here is the acceptance of pragmatically felicitous *some* and the rejection of pragmatically infelicitous *some* of the under-informative statements. This is because overall we can see a consistently striking difference in students' interpretations of these two regardless of their GPA, gender and English learning experience (see also Slabakova, 2010 for another reason for paying attention to both acceptance and rejection of under-informative *some* statements). It is also revealing that the judgments between True *all* and False *all* showed no striking results when the three variables were controlled.

In Table 1, for instance, we can see that both groups of students responded less to infelicitous *some* than they did to felicitous one, suggesting that they accepted fewer logical answers.

TABLE 1
Percentage of Logical Interpretations of Student Based on the GPA

Groups	True <i>all</i>	False <i>all</i>	Felicitous <i>some</i>	Inflects <i>some</i>
Students with a range of GPA of 3.14-3.94 (n=12)	90.6		85.4	100 38.5
Students with a range of GPA of 2.23-2.99 (n=16)	87.5		88.3	95 32.4

Similarly, when gender variable was controlled, a striking difference between both pragmatically felicitous and infelicitous statements could be seen. Both male and female students, as shown

in Table 2, gave fewer logical answers, but more to pragmatic interpretations, the exception being the male student with the GPA of above 3, who tended to be logical and pragmatic.

TABLE 2
Percentage of Logical Interpretations of Students Based on Gender

Groups	True <i>all</i>	False <i>all</i>	Felicitous <i>some</i>	Inflects <i>some</i>
Male (from the GPA of 3.14-3.94) (n=1)	100	100	100	100
Female (from the GPA of 3.14-3.94) (n=11)	89.8	84.1	100	32.0
Male (from the GPA of 2.23-2.99) (n=3)	91.7	100	100	25.0
Female (from the GPA of 2.23-2.99) (n=13)	88.5	85.6	96.5	30.4

TABLE 3
Percentage of Logical Interpretations Based on Previous English Learning Experience

Groups	True <i>all</i>	False <i>all</i>	Felicitous <i>some</i>	Inflects <i>some</i>
No previous experience (male with the GPA of 3.14-3.94) (n=1)	100	100	100	100
With previous experience ranging from 3 months-6 year (male with the GPA of 3.14-3.94) (n=5)	85.0	90.0	100	42.5
No previous experience (female with the GPA of 3.14-3.94) (n=6)	93.8	79.2	100	25.0
With previous experience ranging from 1-3 years (male with the GPA of 2.23-2.99) (n=3)	91.7	100	100	25.0
No previous experience (female with the GPA of 2.23- 2.99) (n=5)	80.0	70.0	72.5	17.5
With previous experience ranging from 4 months – 3 years (female with the GPA of 2.23-2.99) (n=8)	93.8	95.3	95.3	12.5

TABLE 4
Number and Percentage of “Pragmatic” and “Logical” Individual per Participant Group

Groups	Number who chose pragmatic answers over 75%	Number who chose logical answers over 75%
Students with a range of GPA of 3.14-3.94 (n=12)	9 (75%)	3 (25%)
Students with a range of GPA of 2.23-2.99 (n=16)	13 (81%)	3 (19%)

Finally, as Table 3 shows, when the previous English learning experience variable was controlled, and again with the exception of the same male student with the GPA of above 3, the students’ responses demonstrated consistent results, with pragmatic interpretations dominating logical interpretations.

When individual results were calculated, following Slabakova’s (2010) 75% point (six out of eight items), the present study found that the participants could be classified as “pragmatic” individuals, and those who chose 25% and less could be classified as “logical” individuals. However, as Table 4 shows, the individuals (in both groups) exhibited a strong tendency of being pragmatic rather than logical. Thus, this individual result revealed that the consistency in the choice of being pragmatic was not haphazard behaviour.

In summary, the results above have shown that despite an attempt to control such variables as language proficiency, gender and previous English learning experience, the participants of the present study had the tendency of thinking more

pragmatically than logically, the exception here being one male student with a GPA above 3.14 and with no previous English learning experience. The consistency in judging the under-informative sentences of the group result has been strengthened by the individual results, suggesting that the choice was not haphazard behaviour.

DISCUSSION

The result of the present study confirms the assumption held in the previous studies reviewed above that the pragmatic effects of the interpretation of scalar implicatures are robust. That is, adult second (language) learners show a tendency to interpret infelicitous *some* pragmatically rather than logically, thus further extending the findings of the previous studies. Of interest from the present findings is that the controlled variables above have no effects on the choice between felicitous *some* and infelicitous *some*, as indicated by the students’ consistent tendency of accepting the former and rejecting the latter. This consistent tendency, as the individual result has shown, is not haphazard behaviour, but instead systematic behaviour. Thus,

language proficiency, gender and previous English learning are irrelevant to account for the rejection of the under-informative statements *some*, and can therefore be disqualified at the outset as the potential explanatory candidates for accounting for the results of the present study. There are several factors that help explain this finding.

To begin with, as has been the case with Slabakova's (2010) subjects, the participants of the present study relied on their knowledge of the world in giving their judgment on the test items. The students who responded by choosing agree to the infelicitous *some*, despite low in percentage, conjured up alternative contexts, viewing it as plausible statements. An example of this is the male student who argued for the logical interpretation of all infelicitous *some* in the test items. He said that his preference to regard the under-informative *some* as acceptable was because in a certain context they hold true. Consider, as he further said, that some cats because of physical defects from birth have no ears. In this case, the integrative account as discussed by Slabakova (2010) gains further support in that the derivation to logical answers is more effortful than to pragmatic answers.

Nevertheless, such a theory may not be adequate to account for the students' rejection of the informative *some*. Although it has been proposed that the lack of processing resources of L2 learners to undo automatic pragmatic interpretations can be deemed a credible explanation of this

rejection, it is not entirely clear why this is so. Another viable alternative account of the finding above is the students' state of bilinguality (see Hamers & Blanc, 2000). A well-cognitive functioning (cognitive flexibility and metalinguistic awareness) has been suspected to contribute to the superiority of young adult second language learners' pragmatic competence. This is to say that the more flexible the learners' cognition and the more metacognitive awareness they have, the more pragmatic competence they will develop.

To fully account for the consistently striking difference of the felicitous and infelicitous *some* in the present study, we need to appraise the status SI in the light of the UG-based theory. Three plausible options are proposed:

1. SI is part of young adults' innate knowledge.
2. SI is not part of UG, whereas conditions on scalehood (e.g. entailment, adherence to semantic field) are part of UG.
3. Neither SI nor conditions of scalehood are part of young adults' UG-based innate knowledge. (taken from Verbuck, 2007 with slight modification)

As the result of the present study has shown, the second option seems to be the most plausible. This is due to the fact that SI is highly dependent on world knowledge, and is unlikely to be part of innate knowledge. However, the way the students consistently showed high percentage for accepting felicitous

some and lower percentage for rejecting infelicitous *some* as in the present study and other studies involving learners from different languages indicate that conditions on scalehood are innate. This further corroborates Slabakova's (2010) conclusion that "scalar implicatures present no problem to L2 learners, and that linguistic principles (the cognitive mechanism for calculating SIs) are universal".

Finally, the young adult participants' tendency to reject under-informative statements can be best explained in terms of what I shall propose here as the Blocking Hypothesis. To interpret SIs, one needs to resort to different semantic-pragmatic calculation; hence, the interface between semantic and pragmatic. The fact that the pragmatic effects (especially in the case of young adults and adults) are always robust suggests that cognitive blocking is taking place. If the prediction of the Integrative Account Theory, discussed by Slabakova (2010), is correct and remains constant as a credible explanatory factor in other studies (with other controlled variables) of SIs, then the effortfulness of the logical answer to infelicitous *some* statements has the potential to block the learners' processing mechanism. As a consequence, it inhibits the logical answer in favour of the pragmatic one.

Nevertheless, the effortfulness of the logical answers, and hence the blocking, cannot always be the basis for interpreting that adults are less logical than children, as Noveck's (2001) study seems to suggest. A

study on the acquisition of SIs by Feeney *et al.* (2004), quoted in Hendricks *et al.* (n.d.), has revealed that adults also exhibit the tendency to opt for logical response to under-informative *some* as adults' logical responses to infelicitous *some* take significantly longer to make than their logical responses to felicitous *some*. This suggests that the logical response to infelicitous *some* is accompanied by additional cognitive processing, viz. generating as well as subsequently inhibiting the implicature. The model by Feeney *et al.* (2004) assumes that people start out with logical interpretation, which can be strengthened into pragmatic interpretation, which can then be inhibited to yield a logical interpretation again. With the insight of this finding, the Blocking Hypothesis predicts that adults' logical cognitive processing is covert, and is thus blocked by the dominance of pragmatics.

CONCLUSION AND SUGGESTIONS FOR FUTURE RESEARCH

This study has demonstrated that despite an attempt to control variables such as students' language proficiency, gender and previous English learning experience, the pragmatic effects of SIs turn out to be robust. It thus not only confirms, but also extends the claims of the previous studies. Various explanations have been proposed to account for this robustness. Nevertheless, as the result of this study can at best be considered as an initial validation of the previous studies of the acquisition SIs, and as the precise mechanisms responsible for

the computation of SIs in second language acquisition are not really clear, future studies need to address this same topic to take another look. For instance, to what extent is the dominance of linguistics here with respect to scalar inference using negative sentences. It has been hypothesised that negated expressions are more complex than their positive counterparts as the former are longer to process, cause more errors and are harder to retain (see Pouscoulous, Noveck, Politzer, & Bastide, 2007) than the latter. Of particular interest here is the need to test the extent to which the Blocking Hypothesis generated in the present study holds true when applied to the negated expressions of SIs.

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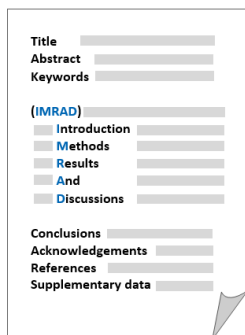
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