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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.

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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.

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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*).

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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**.

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

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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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Foreword

Welcome to the Third Issue 2016 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 **21 articles**, of which **one** is a review article and **20** are regular research articles. The authors of these articles come from different countries, namely, **Malaysia, Nigeria, India, Hong Kong, Iran, Indonesia, Thailand** and **Oman**.

The review article in this issue discusses the experience of Universiti Putra Malaysia in transforming agriculture research into commercial activities (*Mohd-Azmi, M. L., Jesse, F. F. A., Sarah, S. A., Roslan, S., Zuraidah, A. and Hambali, I. U.*). This review contributes to both academic and agricultural industry research, development and commercial activities by illustrating current innovation produced by UPM and industry-university collaboration, conducted at a leading agricultural university in Malaysia.

The regular research articles cover a wide range of topics. The first article is on the legal perspective of *khalwat* (close proximity) as a *shariah* criminal offence in Malaysia (*Siti Zubaidah Ismail*). The issue also contains a study on motivation and study engagement, focussing on Muslim undergraduates in Malaysia (*Arif Hassan and Ibrahim Al-Jubari*); a study that elaborates on potential barriers in professional women's journey to the top (*Surbhi Kapur, Ratika Mehrotra and Nandini Banerjee*); a study on customer complaining behaviour (*Nor Irvoni Mohd Ishar and Rosmimah Mohd Roslin*); a qualitative study of the post-80 generation in career development in Hong Kong, China (*Ng Yin-ling, Tabitha*); a study and exploratory factor analysis on blended motivation with reference to Malay students in learning Mandarin as a foreign language (*Tan, T. G., Hairul Nizam Ismail and Ooi, A. E.*); an instrumental study on hostile aggression among fans of Padideh Soccer Club of Iran (*Saeid Kabiri, Mohammad Mahdi Rahmati and Mahmoud Sharepour*); a study that describes the modelling business responsibility of SMEs, focussed on the stakeholder approach (*Ginta Ginting*); an elaborative study on the role of expert evidence in medical negligence litigation in Malaysia (*Ahmad, M. and Rohana, A. R.*); a study on ESL lecturers' perception of using i-MoL as a mobile-based tool for teaching (*Ganapathy, M., Shuib, M., Gunasegaran, T. and Azizan, S. N.*); a study that explores the washback effect of school-based English language assessment on students' perception (*Alla Baksh, M. A., Mohd Sallehuddin, A. A., Tayeb, Y. A. and Norhaslinda, H.*); a comparative study on a Pakistani English newspaper editorial in the case of the Taliban attack on Malala Yousafzai (*Hayat, N. and Juliana, A. W.*); a case study of Klang Valley online shoppers towards online shopping preference and M-Payment acceptance (*Penny, L., Chew, W. L., Raja, R. and Lim, H. A.*); a study on culture and teaching, focussed on the terrain of teachers' professional development (*Chantarath Hongboontri and Mananya Jantayasakorn*); a study on television audiences in Malaysia, focussed on the practice

of audience ethnography in Kampung Papitusulem, Sabak Bernam, Selangor (*Rofil, L. E. F., Syed, M. A. M. and Hamzah, A.*); a study and discussion on controversies in stylistics, leading to the culmination of new approaches (*Norhaslinda, H.*); an exploratory study on factors contributing to the survival of standard Arabic in the Arab world (*Al-Mahrooqi, R., Denman, C. J. and Sultana, T.*); a comparative study on the use of communication strategies and gender effects on Iranian EFL learners' perception (*Moazen, M., Kafipour, R. and Soori, A.*); a study on the dynamics of Makean ethnic identity in north Maluku, Indonesia and possible collaboration between competing approaches (*Amin, S. and Syamsiar*); and a study that describes ownership rights to university invention concerning a university's legal authority and the exertion of ownership interest or claim (*Ramli, N., Zainol, Z. A. and Tengku Zainuddin T. N. A.*).

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

I would also like to express my gratitude to all the contributors, namely, the authors, reviewers and editors, who have made this issue possible. Last but not least, the editorial assistance of the journal division staff is 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.

Chief Executive Editor

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Review Article

Transforming Agriculture Research into Commercialisation: Experience of Universiti Putra Malaysia

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ABSTRACT

One of the major goals of any high impact research and development is an overall improvement in the well-being and sustainable quality of life through innovations. As universities continuously disseminate innovations from R&D activities, many prototypes and lab-scale products, whether tangible or intangible, can be made available for public use. The success of bringing these innovations to the marketplace depends on the quality and capability of the technology transfer office to lead different types of activities, engagements, negotiation and inclusiveness towards fulfilling the needs of commercialisation partners and the market. This paper presented a general overview of transforming research output into commercialisation in the context of Universiti Putra Malaysia (UPM). Throughout this paper, different commercialization channels, the roles of technology transfer offices and multiple agencies are further discussed with a special focus on agricultural innovations and technologies. This review contributes to both academic and agricultural industry research, development and commercialization activities by illustrating current innovation

produced by UPM and industry-university collaboration, conducted at a leading agriculture university.

Keywords: Agriculture commercialization, innovation, research, technology transfer

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INTRODUCTION

Academia to many seems to be a routine between classrooms and offices. The truth remains that the world of academia has had its fair share of challenges. In addition to the conventional teaching and learning processes, academicians play a vital role in conducting and supervising research, publishing research findings and collaborating with other para-academia. These publications, coupled with public discourse and lectures, are the major windows of academic research transfer outputs. The trending demand on research expansion is geared towards floating research outside of the university and proffering lasting solutions to debilitating economic downturn in related sectors. Universities are now saddled with the responsibility of commercialising research findings and innovations as a way of cushioning the many problems of the rapidly growing human population.

To achieve the desired commercialisation of research findings and innovations, a wide range of activities ranging from market validation, identification of governmental or private partners or collaborators ready for developing these research findings and innovations into commercial or marketing products is a cardinal necessity (Razak et al., 2014). Other key factors include saleable innovations, managerial support (Thiruchelvam, 2004), appealing marketing environment and trained human resource (Asmawi et al., 2013). Sanberg *et al.*, (2014) and Mehta (2004) rated the average commercialisation of research findings

to be 5%, a crystal clear indication that most, if not all of the research findings and innovations in the Universities are but monumental adornments kept on the shelves of our libraries and laboratories.

Successful academic entrepreneurship is a complex target requiring a continuous process and series of events (Friedman & Silberman, 2003). Brainstorming, development of a multi-stage process model that identifies the key actors and activities and success drivers associated with each stage of the innovative commercialization process are a major part of the processes involved (Mehta, 2004; Perkman et al., 2013; Sanberg et al., 2014). Public and private financial involvement is a pillar for the success of academic commercialisation of research findings (Tansey & Stembridge, 2005). In this paper, an overview of agriculture research and its commercialization to the market place through patents, trade secrets, and copyrights was discussed and highlighted based on the experience of Universiti Putra Malaysia (UPM).

RESEARCH, DEVELOPMENT AND INNOVATION IN AGRICULTURE

Agricultural research and development have always received considerable funding for the single reason of maintaining a steady supply of food and animal products to match the increasing pace of human population. The most important key to sustainable food security is innovation, through which food safety, resource-efficiency, climate changes and quality of farm products can be improved while jobs opportunities

are being created (Godfray et al., 2010; Hoffmann, 2011). Within the past century, technology and innovation have been the major drivers of both agricultural productivity and financial success of many farms and agro-related marketing.

To actually bridge the gap and disseminate the products of academic research findings and innovations to the private sector, particularly farmers and end users of such products, certain technical skills and technology must be put in place to aid in achieving the sole aim of commercialisation. The challenges of bringing new technology to market in the agricultural industry are high because it is difficult to convince and educate farmers to adopt the technology that results from new invention. A typical scenario is the iCOW Technology in Kenya (called iCOWT), a simple mobile phone application, particularly for farmers involved in animal fattening and production where they can easily track and record parturition periods or the expected length of gestation of their animals. This Kenyan farmers aided technology (KFAT) allows farmers to send SMS codes to actually register individual animals on the farm and, for example, to register their insemination dates. The technology provider in collaboration with the professional academicians in the related field of study therefore sends a prompt notification to the farmers advising them of the expected date of delivery and best days for next insemination thereby increasing farmers' awareness of the modus operandi of insemination and economic expectations. There are other farmer-based technologies

with weekly tips on professional breeding systems, nutritional values, milk production and dairy management.

Hence, understanding farmers' needs, market signals and market needs is the main driving force behind successful research and innovation (Govindaraju et al., 2009; Mansori et al., 2015). In addition, upscaling agricultural innovations to determine the consistency of the results might be challenging. As an example, to obtain evidence of the efficiency of certain vaccines, fundamental research must be carried out before scaling up vaccine production (Lo et al., 2011; Ismail et al., 2012; Vakhshiteh et al., 2013). Efficiency and productivity of the world food systems must increase in order to ensure that people have access to high quality and quantity of food (Godfray et al., 2010). Achieving the substantial increases in demand for food will have greater global implications for livestock production systems in the coming decades (Kristensen et al., 2014). As a general background, the global livestock sector is growing faster than any other agricultural sub-sector and provides livelihoods to more than 1.4 billion people and contributes about 40% to global agricultural output. According to the Food and Agriculture Organization of the United Nations (FAO), global meat production is projected to be approximately 465 million tons in the year 2050. Between 2000 and 2050, the global cattle population may increase from 1.5 billion to 2.6 billion, and the global goat and sheep population from 1.7 billion to 2.7 billion. The majority of the increased demand will occur in Asia,

Africa and Latin-America. Therefore, research and innovations targeting increased animal production should be conducted to cater for the expected market demand.

A plethora of research and innovations could be carried out to include mechanical (tractors and combines), biological (crossbreeds), chemical (fertilizers and feed supplement), agronomic (new management practices) as well as biotechnological innovations (GMO) (Saenphoom et al., 2013; Abubakr et al., 2015). A total of 8075 livestock breeds are annually produced globally, which includes 1053 trans-boundary breeds, of which 490 are regional trans-boundary breeds occurring only in one region and 563 are international trans-boundary breeds with a wider distribution. These breed populations represent unique combinations of genes for production and functional traits but also the ability to adapt to local conditions, including feed and water availability, climate and disease conditions (Hoffmann, 2011).

In response to increasing demands despite limited farm lands, confined livestock production systems in industrialized countries are the source of the world's poultry and pork production and presently such systems are being established in developing countries, particularly in Asia. Moreover, modern smart farming systems (MSFS) using cameras, sensors and other forms of technology are being tested to improve irrigation efficiency or reduce use of pesticides by improving detection of diseases. Hence, any research towards improving the system will definitely benefit

farmers, particularly innovations that solve regional issues (Shanmugavelu et al., 2012). A typical illustration is Kilimo Salama mobile based Technology where farmers in Swahili are offered crop insurance against drought or excessive rainfall. The technology sends information through SMS to the farmers on expected weather conditions and its effect on crop production.

Another example is the increases in numbers of animals and the higher demand in feed supply. In the intensive mixed systems, food-feed crops are vital ruminant livestock feed resources. The prices of food-feed crops are likely to increase at faster rates than the prices of livestock products. Therefore, demand for a suitable feed that is easy to grow and contains high nutritional value is pursued by the industry. Moreover, any technology towards accelerating production of feedstock will be greatly accepted.

Environmental impact, labour assessment and public concerns are among the key points that will be assessed following an impact of innovation, whereby innovative agriculture should also protect the natural resources, biodiversity, landscape, soil and water, and increase the environmental and climate benefits that farming provides, however, each of the research outcomes may raise different concerns and policy questions (McClintock et al., 2014).

Among the biggest challenges in the livestock industry are management and control of infectious diseases through the use of various biosecurity approaches including the use of diagnostics, vaccines

and other therapeutics. The burden of infectious diseases in livestock and other animals continues to be a major constraint to sustained agricultural development, food security and participation of developing and in-transition countries in the economic benefits of international livestock trade and marketing (Fitzpatrick, 2013).

Vaccines are essential biologics to control and prevent disease occurrence. In Malaysia today animal vaccine production is a multi-million dollar business. Malaysia imports vaccines and pharmaceuticals worth RM650 million annually and there is a dire need to seriously look into ways to increase locally produced vaccines. Initiating successful development and production of locally produced vaccines involves strong collaborative efforts between the universities, industries, governmental and private agencies. Several fundamental research investigations aimed at understanding responses towards infection will need to be conducted before vaccine development (Zamri-Saad et al., 1999; Lo et al., 2011; Shin et al., 2014). Many of these works have already been conducted to develop effective vaccines against local strains in Malaysia. The examples mentioned above are only a small fraction of innovation in agriculture research. There are a lot more opportunities yet to be explored by researchers and later to be commercialized in the market.

COMMERCIALISATION: AN OVERVIEW

Commercialisation is a process aimed at generating academic impact as it constitutes immediate and measurable market acceptance for outputs of academic research and innovations (Markman et al., 2008). To increase the possibilities of producing commercial innovations, more engagement with the public and industrial partners is a process that must be targeted (Berman, 2008; Martinelli et al., 2008) as this provides platforms where scientists and researchers can comfortably discuss with people from relevant industries. It is also vital that key people within the system clearly understand important concepts in commercializing university innovations like intellectual property ownership, technology transfer, sharing revenues, licensing and start-ups (Govindaraju et al., 2009; Bruneel et al., 2010). Policies may represent organization's commitment and guide operational activities, but there should be enough flexibility for things to move quickly in unprecedented but controlled ways (Tansey & Stembridge, 2005).

Intellectual Property

The innovations created in the university and the technical know-how involved are normally the intellectual property (IP) of the university. The university usually bears the cost to file for the registration and maintenance of the IP based on the evaluation of their commercialization potential or further improvements. In the usual practice, revenue generated from any

commercial endeavour of these intellectual properties will be shared with the inventors, the scientists and researchers according to the institution's policy. As there are many types of intellectual properties, it is imperative that continuous training is given to educate scientists and researchers. Filing for intellectual property rights may also involve complex deliberations related to strategic planning.

Technology Transfer Office

Many universities have established specialised structures, such as technology transfer offices (TTOs), science parks and incubators to support the aforementioned activities. These offices manned by technology transfer professionals are responsible for managing innovations from registration to coordination of different aspects of technology transfer activities (Fishburn, 2014; Sanberg et al., 2014). This is to include creating supportive internal rules and procedures (Thursby et al., 2001). Established TTOs also have structures handling disclosures, evaluations and filings, customer discovery and marketing as well as business matching and negotiations. Once a deal is established, TTOs will work closely with the legal department towards drafting and signing of agreements by the designated signatories empowered by the board. TTOs will also monitor and facilitate post licensing activities to warrant complete and smooth technology transfer from the university to the industrial partner.

Essentially, the mission of the TTO is to ensure that the university's innovations are

disclosed, intellectual property protection is secured and to facilitate the transfer of the university's intellectual property to outside partners. As such, the TTO can be thought of as the coordinating hub of commercialization activities and often plays one of the most central roles in the academic entrepreneurship process (Markman et al., 2008; Wood, 2011). Policies developed will be adopted to protect the rights of researchers and to preserve core academic values as well as to protect the universities from conflicts of commitment and conflicts of interest.

In actual practise, commercialization is a complex, often non-linear process and with a lot of impediments in between stages. The challenges might start with finding public and private investment in R&D, the fluctuation and inconsistency of R&D performance, decisions about whether the innovation is worth the time, effort and expenses required to secure intellectual property (IP) protection, building a prototype to demonstrate the technology, the further development needed for commercialization and finally resulting in the successful acceptance or rejection of a product or service in the market (Boehm & Hogan, 2013; Perkmann et al., 2013; Jamil et al., 2015).

University and Industry Partnership

Universities in Malaysia have established a number of mechanisms to accelerate university-industry linkages especially in commercialization of research results (Table 1). Though UPM named its technology

transfer office as Putra Science Park, which serves as the pre-incubation hub for research commercialization, its function differs from five science parks which have been set up throughout the country by the Federal and State governments; 1) Kulim Hi-Tech Park in the northern state of Kedah, 2) Technology Park Malaysia in Bukit Jalil in Kuala Lumpur, 3) Selangor Science Park (SSP), 4) UPM-MTDC Incubation Centre in the state of Selangor, located in University Putra Malaysia (UPM) and 4) Technovation Park based at the UTM Campus in Skudai in the state of Johore. These science parks were mainly functioning as a platform to stimulate innovation among small and medium sized enterprises (SMEs) and to

enhance prospects for the development of technology-based companies through university–industry collaboration (Malairaja & Zawdie, 2008). Science parks are built to foster enhanced university partnership leading to greater utilisation of university research results. These parks serve as effective interfaces between university and industry.

The financing of university research is being scrutinized in Malaysia as governments increasingly demand measures of impact and outcomes such as scientific output and socio-economic values from the grants awarded (Payne & Siow, 2003; Kamariah et al., 2012). Moreover, the direction of research has progressed from

Table 1
Commercialization division under five Research Universities (RU) in Malaysia

University	Name	Function of commercialization unit
Universiti Sains Malaysia	Sains@USM (http://sains.usm.my/)	Support start-up companies, innovators and researchers with projects or products that are close to commercialization.
University of Malaya	UM Centre for Innovation and Commercialization (UMCIC) (http://umcic.um.edu.my/about/)	One Stop Centre for IP management and legal services, technology licensing, incubator centre management, start-up business development and provides commercialization support services.
Universiti Teknologi Malaysia	Innovation & Commercialisation Centre (http://www.utm.my/research/research-support-units/innovation-commercialisation-centre/)	Focuses on developing and commercializing UTM's research products by tapping into the University's ample facilities and experts
Universiti Kebangsaan Malaysia	UKM Technology Sdn Bhd. (http://www.ukmtech.com/v2/)	Accelerate the commercialization of UKM's R&D and Intellectual Properties. It is also the Holding Company for UKM start-up companies.
Universiti Putra Malaysia	Putra Science Park (http://www.sciencepark.upm.edu.my/aboutpsp)	Assists in securing and protecting novel innovations through intellectual property processes and identifying applicable commercialisation strategies for the created intellectual property. PSP becomes the middle entity between UPM and UPM Holdings regarding commercialisation.

basic science free of societal needs to a more demand-driven science that must meet certain objectives (Amran et al., 2014). Apart from public research grants that are generally associated with wide scope projects, private contracts concentrate on short-term objectives aiming at the production of knowledge that can rapidly be used as one of the resources to fund research as the potential for commercialization is high (Goldfarb & Henrekson, 2008; Kamariah et al., 2012).

Private funding of joint ventures with private organizations are among the useful instruments for sharing funding responsibilities (Amran et al., 2014). There are two major reasons for such joint ventures. First, it is somehow cheaper for private companies to contract certain types of research to the public sector, rather than establish or expand their own research facilities. Second, universities and players in the agricultural sector in particular, usually lack the skills needed to mass produce and distribute the production of particular generated technology, which has been identified as one of the main limitations to technology distribution (Perkmann et al., 2013). Joint ventures between public and private-sector institutions is currently being developed in many countries, whereby they share the costs and benefits of research in fields such as genetic improvement, seed production, plant propagation, and veterinary products.

However, the challenges are high when collaboration takes place between two entities with totally different backgrounds

and missions. The success of industry-university partnerships is determined by people who work in them. It is suggested that universities must have people capable of building and managing partnerships in order to attract industry involvement (Asmawi et al., 2013). Collaborations only work well when they are managed by people who cross boundaries easily and who have a deep understanding of the two cultures they need to bridge (Powell & Grodal, 2006; Boehm & Hogan, 2013).

Moreover, collaborators should not be troubled by intellectual property (IP). A broad comprehensive framework agreement should be developed and details must be well spelt out on a case-by-case basis. Hence, a framework agreement would save time and avoid the acrimony that might arise. Sometimes, no matter how good the innovation project, company executives tend to walk away from universities that have an inflexible approach to IP. Noteworthy, IP is an important element, but it should not be regarded as the core of industry-university relations. Moreover, it should not be viewed as the main income source. The income stream will be greater and benefits wider through university-industry partnership, where a form of partnership with industry helps to modernize teaching and learning as well as dissemination of research (Saguy, 2011).

From the traditional point of view, university-industry partnership seems difficult to apply to the agricultural field. It is generally believed that agriculture is a highly tasking profitable investment. However,

after the year 2000, the situation is changing. The upgrading of agricultural industry is increasingly prominent, which not only makes agricultural investment opportunities on the increase, but also provides good investment value for agriculture (Boehlje, 2004). However, partnerships could suffer when the focus changes. For instance, to please R&D, the research might aim to gain knowledge about emerging technologies. On the other hand, to please the business development group, it might look for start-ups that could become acquisition targets. While to satisfy the Chief Finance Officer, it might aim for a certain threshold of financial returns. Hence, it is important for each side of the partnership to understand the other's perspective, whereby all collaborators understand each other's roles and motive as incompatibilities hinder the development of productive collaborations (Perkmann et al., 2013). In Malaysia, the theory of research to commercialization has been successfully put into practise by University Putra Malaysia.

Commercialisation Experience

University Putra Malaysia has successfully established multidisciplinary research teams with cutting-edge science and technology projects. Most of these projects have been identified and developed in accordance with governmental policies and national needs. Academic entrepreneurship in UPM actually began well before the TTO's involvement (namely Putra Science Park). It started in the university's diverse array of laboratories and research centres, which is the place where faculty members and their research

teams engage in the wide range of research. The outputs and innovations produced later become the technologies which Putra Science Park (PSP) sought out for its commercial potential. There was enormous commercial potential derived from the effort and to date out of 1600 total IPs, 94 of them have been successfully commercialised. In total, UPM has recorded above USD 10 million gross sale.

Putra Science Park (PSP) UPM is a special dedicated division for commercialization and innovation of research work with researchers to attract corporate partners that can bring inventions and discoveries to the market through technology licensing agreements. PSP coordinates the entire process from negotiation to completion of licensing agreement towards granting rights to commercialise technologies to companies. PSP ensures the needs and interests of all parties involved are fulfilled. The participation of various financial hubs has been recognized and triggered to enhance the efficacy of PSP and university incubators for an expanded research commercialization. World Halal Innohub is one of the success stories of partnership effort between Halal Development Corporation and UPM to increase innovation capabilities for the Halal Industry. The program provides common office facilities, shared services and shared facilities, as well as centre's capacity building programme such as intellectual property protection services, education and training via mentoring and coaching programme. As an impact, this program has successfully created jobs, commercialization

of high-impact technologies and wealth creation for the halal industries.

For several years during the early establishment of UPM, technology transfer was conducted through informal mechanisms such as publications, training, and meetings with the clients as well organising technology exhibitions. To date, technology commercialization in UPM is realised in either business matching, negotiations or technology transfer with various funding opportunities (Figure 1). At this stage, the PSP serve as a platform to balance and align the broad interests of the university, including the researcher, with the external interests of entrepreneurs and external business partners needed to commercialize the technology. It is important to note that the PSP may engage

multiple partners or enter into exclusive agreements when commercializing, and the research shows advantages to both approaches depending on the nature of the innovation (Colyvas et al., 2002). Whether there are multiple partners or an exclusive arrangement, the collective group of key stakeholders must decide on the best way to move forward. This leads to the third stage in the academic entrepreneurship process: selection of the optimal commercialization mechanism. The most commonly used formal mechanisms by which universities transfer their intellectual property to any interested parties is via technology licensing agreements. Alternatively, the university may help potential entrepreneurs to incorporate a completely new start up business entity, typically called a ‘spin-off.’

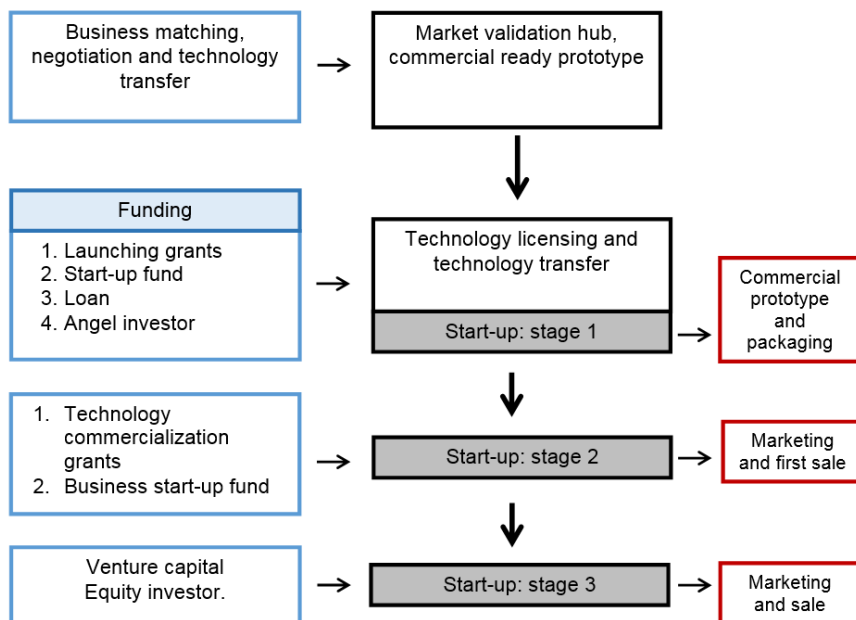


Figure 1. Route of commercialization: funding model at UPM

From the university perspective, technology licensing is often most preferred because of the speed to market, facilitation for optimization of multi-partner relationships, and also to minimize internal financial risk. Many showcases whether alone or by syndication with other organisation have been organized to attract entrepreneurs and investors to participate in commercialization process. Nevertheless, incorporation of start-up spinoff companies is entirely a new approach advocated as a sustainable mode for technology commercialisation. Start-ups can be wholly owned by the university or jointly owned with partners or investors.

UPM, with its prominent strengths in agricultural technology, its rigorous efforts in transforming and translating research output into commercialisation, have helped strengthen the primary university mission of improving and uplifting societal needs. Innovations from the university, particularly

in the agricultural field have improved the quality of agricultural practices in Malaysia. There are many examples of useful research output for agriculture applications. One of the most significant commercial products produced by UPM researchers is NDV:V4-UPM vaccine (Figure 2) for Newcastle disease which was recorded back in 1993 (Aini et al., 1990; Aied et al., 2011). A drastic increase in the mortality rate of poultry was observed following Newcastle disease virus infection which resulted in a serious drop of income level. An example of potential use of research output for agriculture application in the field is the use of virus that is non-pathogenic to humans for development of a biological control agent to control wild rat populations that have caused massive losses to rice growers (Loh et al., 2003; Loh et al., 2006). Interestingly, biological materials that resulted from extensive animal research were also used to safeguard human health



Figure 2. Example of commercial products derived from research activities conducted in UPM

(Razis et al., 2006; Vakshiteh et al, 2013; Hani et al., 2014).

Recently, UPM researcher have produced a new cross-breed chicken called 'AKAR PUTRA' characterised by robust growth with bigger body and higher capacity to lay eggs. This new cross-breed of village chicken and red jungle fowl will be of higher value for meat and eggs, an alternative to popular and expensive village chicken. Compared to village chicken, AKAR PUTRA can produce 120 to 200 eggs per year. Moreover, it produced larger eggs compared to village chicken with eggs of 60 grams each compared with village chicken eggs weigh at 45 grams each.

Currently, several researchers are working on clinic-pathology, biochemical and cytokine responses towards *Pasteurella multocida* infection, which is having an apparently high food security concern and commercial potential (Ali et al., 2014; Chung et al., 2015). This research is part of UPM'S effort to bring back buffalo farming to the glory times in the 1960s. Hence, the executive officer has been actively involved in assisting the researcher up to the commercialization stage. Advice and consultancy on consulting arrangements, joint publications with the authoritative body, industrial scientists, and collaborative relationships between university researchers, department of veterinary services have been given to facilitate the formation of formal innovation transfer agreements, all these in a calculated attempt to achieve the singular aim of "Transforming Agriculture Research into Commercialisation".

CONCLUSION

Overall, commercialization of agriculture research is very important and current trends to address food security and safety issues are actively pursued by scientists in an area consisting of environmental efficiency, optimal utilization of raw materials, production efficiency and healthy meat products. The less expensive and more effective technology, products or breed that addresses the need of the 9 billion people in the year 2050 market will generate more commercial value. To achieve this objective, proper management and execution with direct involvement of industrial players and investors via technology licensing and partnerships must be taken into place. The goal is to ensure that the products of world-class science research and innovations can address the needs of industrial players. Once barriers to innovation are halted or removed, research output from universities and institutes shall reach its full potential.

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The Legal Perspective of *Khalwat* (Close Proximity) as a Shariah Criminal Offence in Malaysia

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ABSTRACT

The original meaning of the word *khalwat* refers to a pious act of being connected to God. It was later given a technical meaning referring to an offence. When the Shariah Criminal Offences Enactment introduced the offence of close proximity or *khalwat*, it was not a new invention because *kheluat* – as it was used to be spelt – can be traced back as far as 1909. *Khalwat* is one of the ‘moral offences’ classified among the other offences against the precepts of Islam codified under the Enactment. The law relating to *khalwat* has attracted interest from many quarters, particularly due to claims that it encroaches on personal freedom and privacy. On the other side of the spectrum, the role and function of religious enforcement officers are also questioned, particularly surrounding the power they have when conducting investigations. This article seeks to examine how *khalwat*, originating from an act of piety, was then formulated into an offence involving a man and a woman being together in a private place to commit an indecent act. It also analyses the legal requirements that constitute *khalwat* and the challenges of its enforcement in Malaysia.

Keywords: *Khalwat*, morality, close proximity, moral offence, Islamic criminal law

INTRODUCTION

In a country like Malaysia where Islam plays an important role in shaping the norm, culture, and practices of the Muslim-Malay community, the issue of morality, its

transgression and intervention are matters of great debate. Among the questions raised are whether to have legal intervention or leave it to society to regulate their moral behaviour. Under the Penal Code which is the main criminal law statute for general application in Malaysia, there is no statutory provision criminalising moral wrongdoing except of those related to unnatural sexual activities. For example, there are offences

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of committing carnal intercourse against the order of nature (under Section 377A) and committing outrages of indecency (as in Section 377D). Furthermore, there are several other provisions prohibiting public indecency and disorderly behaviour under the Local Government Act 1976 and Park By-Laws 1981 (Federal Territory).

Since Malaysia has a dual-legal system of civil and shariah operating in parallel (Ismail, 2015), there is another set of statutes administered and applied specifically for Muslims. The Shariah Criminal Offences Enactment has numerous provisions with regard to decency and morality. This category of offences concerning morality and decency, also known as moral offences, attracts most public attention despite the fact that there are three other categories of offences provided under the statute, namely (i) offences against belief, (ii) offences against the sanctity of religion and its institution, and (iii) miscellaneous offences. Moral offences are said to take centre-stage in an attempt to allegedly limit certain acts or behaviours seen as falling within the purview of private domain. A particularly controversial issue is the alleged limitation of personal freedom involved in the offence of *khalwat* or close proximity. When a man and a woman are together in public places attracting onlookers, attention may normally be given to their looks, dress, and behaviour. Other than that, nothing is deemed as wrong, because being together does not simply turn the act into a *khalwat*. However, when a man and a woman who are not *mahram* (those who can be married to one another)

are together in any private place under circumstances that may give rise to suspicion that they might engage in immoral activity, then it can constitute *khalwat*. This has led to the accusation that the law pertaining to *khalwat* is an attempt to invade privacy and personal freedom. This article elaborates on the development of the terminology “*khalwat*” which originally meant an act of piety to enhance the relationship with Allah s.w.t. Then, it subsequently assumes a technical meaning referring to a specific action involving two or more *ajnabis* (people without a blood relationship) being together in a secluded place aiming to commit a sexual offence. This article also seeks to examine the legal context in which *khalwat* is framed as an offence, focusing in particular on the religious framework, elements that constitute an offence and the various issues related to the enforcement of this offence by the state’s religious enforcement unit.

The Conceptual Meaning of *Khalwat*: From Piety to Offence

Khalwat may be understood as a (moral) offence, but is *khalwat* a socially-constructed offence or is it directly prohibited by the religion of Islam? If we look at the original meaning in Arabic, the word *khalwat* comes from the word *khala*, which linguistically means empty or secluded place (al-Marbawi, 1990). The original meaning of *khalwat* as a term refers to an act of seclusion to increase piety. This is understood from the practice of the Prophet Muhammad (peace be upon him) when he resorted to being alone in the

Cave of Hira to submit himself to Allah. For that matter, the act of being alone in a secluded place for the purpose of *ibadah* is known as *khalwah* or *khalwat*.

In another situation, *khalwat* can also refer to an act of a husband being together with his wife in an intimate situation. When the Islamic criminal law jurisprudence was later developed, it gave birth to the specific context for *khalwat*. The Muslim jurists later made it an offence when two *ajnabis* were together in a close and secluded environment in a suspicious manner (Ibn Abidin, 1966). Al-Qurtubi (1935) defines *khalwat* as being together in a secluded place far from public vicinity and does not confine to *ajnabis*, but also to those who are married. To constitute *khalwat*, al-Jaziri (1969, p.146) states that the place must be secluded and not publicly accessible.

The Basis and Rationale for Criminalising *Khalwat*

The prohibition of this kind of act is derived from a hadith narrated by al-Tirmidhi to the effect: “*Do not be alone or in a close vicinity with a woman not permissible for you, because the third party would be the evil*” (al-Mubarakfuri, 1963, 126). The Arabic word used in the hadith, which is, *la yakhlū* (do not seclude) is the origin of the word *khalwat* as an offence. It can be understood from the hadith that if a man and a woman are alone in a place far from the crowd, it seems that the evil will be there to seduce them into committing an act of enormity, leading to adultery. “A man” in this hadith, as explained by Ibn Hajar al-Asqalani

(1986), refers to those who are not legally prohibited to be married to the woman.

In another hadith, Ibn Abbas reported that the Prophet (PBUH) says to the effect: “*Refrain yourself from being together with a woman except with a company of a mahram*” (al-Bukhari, 1950, p.104).

The Holy Qur’an enjoins upon people this reminder: *Do not come any closer to adultery for it is shameful (deed) and an evil, opening outlet (to other evils) (17:32)*. In view of this, *khalwat* if not prevented, can lead to adultery. Therefore, it is necessary to forbid and criminalise *khalwat* in order to prevent actions leading to adultery.

Islam places a strong emphasis on ethics because it is part of the pillars of Islam. According to a Muslim thinker, al-Mawdudi (1903-1979), Islam enjoins upon man a way of life that promotes goodness and frees society from evil. One of the values upheld and emphasised by Islam is duties of individuals rather than their rights. Individual interests are regarded as subordinate to social and public interests. Consequently, family, community and even state interventions in private affairs could be tolerated and justified for the sake of their social benefits. This is in line with the Islamic legal maxims: *al-maslahah al-ammah muqaddam ‘ala al-maslahah al-khassah*. It means public interest should come first before the personal interest (Al-Suyuti, 1998, p. 124).

As far as Islam is concerned, immoral acts or *maksiat* (vice) can constitute sinful acts. To avoid committing and accumulating sin, Islam encourages its followers to enjoin

good and forbids wrongdoing in public. When a vice is criminalised, the authority seeks to prevent the deed from having a direct consequence on the doer. *Khalwat* is one form of vice that will lead to negative implications if not prevented. Illegitimate sex, pregnancy out of wedlock, abortion, baby-dumping and so on are among the potential related consequences of immoral activities starting with *khalwat*.

Prohibiting *khalwat* will be able to prevent other grievous harm from occurring. If we compare *khalwat* with other social ills plaguing society today such as drug trafficking, alcohol consumption, gambling, prostitution among others, *khalwat* is related to one's morals. When laws are enacted to prohibit such act, they may be an indication of prevalence of immoral acts in society and passed by lawmakers to whom society has given full authority and power. It does not, in any way, invade the private rights of anybody. Furthermore, when it comes to freedom of action, there is no absolute freedom bestowed upon any citizen of a country. Freedom must be seen within the scope and values of the entire system, which in this case, is the Islamic moral system. Therefore, personal freedoms must always be in conformity with Islamic teachings.

Criminalising *khalwat* means that it is to be prevented and curbed from becoming rampant in society. Public moral offences such as obscenity, prostitution and gambling among others are those offences that offend the community's morality and are prohibited because they violate public norms and

values. Devlin (1965, p. 55) wrote that the function of the law is to preserve public order and decency, to protect the citizens from offensive actions and to provide sufficient safeguards against exploitation and the corruption of others, particularly those who are vulnerable. Therefore, in order to secure order and peace in society, outrageous acts must be prevented. Islam encourages enjoining rights and forbidding wrongs in public. When *khalwat* is criminalised, the authority is enjoining what is right and forbidding what is wrong for the benefit of the public.

***Khalwat* and its Place as a Moral Offence**

Khalwat is not a new offence created under the current statute. Its existence – originally spelled as *kheluat* – can be traced back as early as 1909 under the pre-independence statute called the Ecclesiastical Court Procedure Enactment 1909, long before the current Shariah Criminal Offences Enactment was enacted. The provision was soon amended to include a fine of RM50 for first time offenders in 1938 through an enactment to amend the Minor Offences Enactment, 1938. In the same year, the Muhammadan (Offences) Enactment 1938 was passed. Section 10 under the 1938 Act provided that any Muslim if convicted of *khalwat* can be fined not more than fifty ringgit or one month imprisonment. For a subsequent offence, the fine would be one hundred ringgit or imprisonment not exceeding two months. The provision stated:

- (1) Any male Muslim who is found in retirement with and in suspicious proximity to any woman, whether or not professing the Religion of Islam, other than his wife or a woman whom by reason of consanguinity, affinity or fosterage he is forbidden by Muslim law to marry, shall be guilty of *Kheluat* and shall be liable to be punished with imprisonment for a term not exceeding fourteen days or with fine not exceeding fifty dollars, or, in the case of a second or subsequent offence, with imprisonment for a term not exceeding one month or with fine not exceeding one hundred dollars or with both such imprisonment and fine.
- (2) Any female Muslim who is found in retirement with and in suspicious proximity to any male person, whether or not professing the Religion of Islam, other than her husband or a male person whom by reason of consanguinity, affinity or fosterage she is forbidden by Muslim law to marry, shall be guilty of *Kheluat* and shall be liable to be punished with imprisonment for term not exceeding fourteen days or with fine no exceeding fifty dollars, or, in the case of a second or subsequent offence, with imprisonment for a term not exceeding one month or with fine not exceeding one hundred dollars or with both such imprisonment an fine.
- (3) The Court may order in lieu of or in addition to any other punishment in this section provided that any female found

guilty of an offence under this section shall be committed to a home approved by the Department for such time, not exceeding six months, as to the Court may seem fit.

In 1952, the Administration of Islamic Law enactment was passed, thereby abolishing the 1938 Act. The offence of *khalwat* was inserted under this new Enactment. In 1953, a new development witnessed the merging of all federal Islamic statutes, which were compiled into one statute, namely The Council of Religion and Malay Custom and Kathis Court Enactment 1953. However, some states retained the previous name of the Administration of Islamic Law Enactment. This has become the major statute regarding Islamic law in states, containing more than 200 provisions regulating various matters ranging from the administration of Shariah Courts to marriage, *zakat* and the shariah criminal offences. In 1956 when the Civil Law Act was passed by the British administrator, the Federal Constitution was declared the supreme law of the land while English law and the principle of equity were made sources of the local law. Islam was made the federal religion; however, ironically, Islamic law was not part of the federal law. As a consequence, matters regarding Islam and Islamic law were affirmatively edged out of the federal jurisdiction and thereby relegated under state jurisdiction. State and Federal Lists were created under the Federal Constitution providing separate jurisdictions to administer.

In the 1980s, a more systematic change occurred which witnessed separate statutes being enacted dealing with each aspect of the jurisdiction of Islamic law. Six different enactments were established, namely, Family Law, Criminal Offences, Criminal Procedure, Civil Procedure, Islamic Evidence and Administration of Islamic Law. As far as the Shariah Criminal Offences Enactment is concerned, offences are divided into those relating to: (1) *`aqidah* (creed); (2) the sanctity of the religion of Islam and its institution; (3) decency; (4) miscellaneous; and (5) abetment and attempt. The Shariah Court is the forum to apply these laws where offenders will be charged and tried.

THE CONTEMPORARY SCENARIO OF *KHALWAT* IN MALAYSIA

Table 1 shows the current statistics of *khalwat* cases as registered in the Shariah court throughout the country between 2010 and October 2015. According to Chief Registrar of the Federal Territory Shariah Court, Mr Khairul Nizam, *khalwat* constitutes the highest registered cases compared with other offences. The official statistics from the Shariah Judiciary Department of Malaysia (JKSM), as shown in Table 1 below, shows that the number of *khalwat* cases has fluctuated over the past five years. Within that period, Selangor has recorded the highest number of *khalwat* cases (5696 cases), followed by Johor (5462 cases), Terengganu, Pahang and Penang.

THE LEGAL FRAMEWORK OF *KHALWAT*

As mentioned earlier, like any other Islamic enactments, the Shariah Criminal Offences Enactment (SCOE) are state-based. There are altogether 14 SCOE in Malaysia according to states, containing more than 40 provisions of offences triable at the Shariah court and, therefore, the provision for *khalwat* exists under each state's Shariah Criminal Offences Enactment. For the purpose of discussion, the provision in Selangor will be used. Section 31 of the Selangor Shariah Criminal Offences Enactment 1995 defines the situation where *khalwat* can occur:

Any man who is found together with one or more women, not being his wife or mahram: or woman who is found together with one or more man, not being her husband or mahram, in any secluded place or in a house or room under circumstances which may give rise to suspicion that they were engaged in immoral acts shall be guilty of an offence and shall on conviction be liable to a fine not exceeding three thousand ringgit or to imprisonment for a term not exceeding two years or to both.

Based on the above provision, *khalwat* is when two persons of different gender not married to each other meet or are together in a private place away from the public eye, thereby exposing themselves to suspicions for committing *khalwat*. This is subjected

Table 1
Total number of *Khalwat* Cases according to States 2010-2015

STATES	2010	2011	2012	2013	2014	2015	TOTAL
Johor	1472	1390	1126	586	415	473	5462
Kedah	177	152	396	171	327	200	1423
Kelantan	547	622	524	554	493	395	3135
Melaka	181	812	459	269	121	287	2129
Pahang	713	492	471	1085	565	289	3615
Perak	471	420	421	482	656	567	3017
Perlis	73	54	91	49	28	4	299
Penang	494	818	591	521	570	559	3553
Sabah	24	67	32	10	27	21	181
Sarawak	17	9	12	8	1	3	50
Selangor	960	537	999	1191	1292	717	5696
Terengganu	775	1006	814	603	804	609	4611
Federal Territory	460	240	140	174	80	139	1233
TOTAL	6364	6619	6076	5703	5379	4263	34404

(source: JKSM 2015)

to the manner or circumstances they put themselves in. It can be clearly understood that there are specific elements that can constitute *khalwat*. Merely being together in a secluded place is insufficient if lacking in any suspicion of possible advancement of an illegitimate act, as detailed below.

i. The Participation of Man and Woman

The offence of *khalwat* requires the participation of at least two Muslims of the opposite sex. They must not be *mahram* to each other.¹ *Khalwat* can also involve more than two persons. An issue arises when the case involves a non-Muslim as a party to *khalwat*. Previous records show

¹ *Mahram* means a man and a woman prohibited to marry each other according to Islamic law. When both are not *mahram*, it means that both can marry one another. List of *mahram* is outlined in the Quran 4:23.

that there were cases where *khalwat* was occasionally committed by a Muslim and a non-Muslim partner. Since the Islamic law is only applicable to Muslims, it would be unlawful to charge, convict, or punish a non-Muslim in a Shariah Court. In that case, the implication is that only Muslim offenders will be charged but the non-Muslim party will not be asked to present him/herself at the Shariah court. This has created unease and seems to be unfair because only Muslims get caught and charge and the non-Muslim is free to go (Hashim, 2006). There should be a provision to prosecute non-Muslims for abetment or incitement for the commission of *khalwat* or any shariah offences.

When the state is given power to enact Islamic law, including powers for the “creation and punishment of offences by persons professing the Muslim religion against precepts of that religion” as provided

by the List 2 of the Federal Constitution, it means that the laws can only be applied to Muslims. This phrase undoubtedly restricts the legislative body. First, the offences which they can create are those against the precepts of the Muslim religion, and second, only Muslims can be made liable to punishment for committing shariah criminal offences. Any state law that purports to make a non-Muslim liable for offences against the precepts of the Islamic religion will therefore be *ultra vires* to the Federal Constitution. It was once decided that a non-Muslim involved with *khalwat* should be tried under the Penal Code for abetment, which was what happened in the case of *Re Barathan Kunju* ([1962] MLJ c1iv) more than 50 years ago.

Under the Shariah Courts and Muslim Matrimonial Causes Enactment of 1966, there used to be a provision penalising abetment for the commission of Islamic criminal law. The prosecution was done in the Magistrate court and punishable under the Penal Code. Tun Salleh Abas (Abas, 1984, pp. 90-95), the then Chief Justice, in his judgement, contended that when dealing with non-Muslim involvement with the shariah offences, it should not be associated with religious law, but should be seen as a violation of a moral conduct and social standards for the purpose of maintaining law and order. Action against all parties involved in a crime must be seen as a fair and just reaction from the authority. A. Aziz (2011, 63) argues that the spirit of this recommendation is not to bind the non-Muslim to Islamic criminal law, but

to maintain the effectiveness of the Islamic criminal law.

As explained above, the involvement in *khalwat* requires persons that are not *mahram* to each other. *Mahram* is explained under Surah al-Nisa' in al-Qur'an (4:23), where Allah says to the effect:

Prohibited to you (for marriage) are: your mothers, daughters, sisters, father's sisters, mother's sisters, brother's daughters, sister's daughters, your step daughters under your guardianship, born of your wives to whom ye have gone in. No prohibition if ye have not gone in. (Those who have been) wives of your sons proceeding from your loins, and two sisters in wedlock at one and the same time, except for what is past, for Allah is oft-forgiving, most Merciful. (4:23)

Prohibition of marriage between two persons related by consanguinity or affinity are considered absolute or a permanent prohibition (*mu'abbad*) and are called *mahram* (Md Nadzeri & Ismail, 2010). Consequently, when two persons who are *mahram* to each other are together in a secluded place, it does not constitute a *khalwat*.

ii. Secluded Place

His Lordship Azmi Ahmad in the case of *Mohd Ibrahim bin Mohd Sharif v. Syarie Prosecutor of Penang* ([1999] 13 JH 185) gave examples that secluded places might

include a house, a room, hotel room or any other places which are outside the vicinity of people which can give rise to a suspicion that *khalwat* is or about to take place. Most cases showed that *khalwat* occurred in a hotel room like in the cases of *Syarie Prosecutor vs. Mohd Naim bin Abu Bakar* (08012-143-0017-2009, *Syariah Court of Perak*) and *Syarie Prosecutor vs. Zawawi Said* (08012-143-0041-2008). A man and a woman caught in an indecent manner in open space is insufficient to be connected with the offence of *khalwat*.

iii. The Suspicion of Engagement in an Immoral Act

The couple must not only be together, but the manner and circumstances they are in must be capable of showing that sexual activity is about to or have taken place. His Lordship Ismail Yahya in an appeal case of *Mohd Ibrahim bin Mohd Sharif* (above) explained that any conduct that might lead to adultery is prohibited in Islam, and, therefore, being together in a hotel room is highly suspicious that some immoral behaviour is taking place. In most cases, the accused couples are convicted upon confession of being together in a hotel room. This is clearly shown in the case of *Perak Syarie Prosecutor vs. Mohamed bin Abdul Rahman and Norlia* ([1989] *Jurnal Hukum* 143), where the couple were found to be living together in a house and acted as a married couple. However, the fact that a couple was found together is not in itself sufficient to constitute *khalwat*, unless it can be proven that they were going to be

involved in an immoral act. In the case of *Syarie Prosecutor vs. Mohamad bin Sabu* ([1997] 10 JH 61) it was argued that being together for a short time “doing nothing”, cannot be interpreted as raising suspicion for *khalwat*. Even though they were alone in a hotel room, the circumstances and manner they were in, i.e., fully dressed, swift moment together, and the tidiness of the room meant that it was unlikely any suspicious acts were going to take place. Both the accused were subsequently acquitted by the court. Similarly, in the case of *Syarie Prosecutor of Negeri Sembilan vs. Ahmad Rashid and Another* ([1995] 10 JH 113), the couple were in a private house at 4.00 p.m. and were about to discuss a matter pertaining to a business proposal. This failed to raise the issue of *khalwat*. The court held that the Syarie Prosecutor must establish the fact that not only the accused were together behind closed door, but they must also be proven to have committed something suspiciously immoral. Comparing this with the case of *Mohd Ibrahim bin Mohd Sharif* (above), the accused, at the time of the offence, was in a highly suspicious state with a prostitute. He was convicted of *khalwat* after pleading guilty to the charge.

From the above discussion, the conditions needed to constitute an act as *khalwat* have been clearly laid down by the statute. The court interprets the conditions through cases and it helps to further understand the legal requirements of the offence. The next section examines the enforcement agency mandated with the power and authority to enforce the

shariah criminal offences and the challenges they face when establishing the required conditions for *khalwat*.

THE ENFORCEMENT OF *KHALWAT*

While it is understood that the sets of rules regarding *khalwat* and its enforcement have been regulated through the Shariah Criminal Offences Enactment and Shariah Criminal Procedure Code, enforcing such a law is never easy and is not free from criticism. The Religious Enforcement Officers (hereinafter REOs) under the States' Religious Department is entrusted with the task of enforcing the law, including to handle complaints, to investigate, arrest and so on as provided for under the Shariah Criminal Procedure Code. The duty of enforcement will be initiated by the First Information Report (F.I.R), usually lodged by the public on the suspicion of *khalwat*. This is where the challenge lies because the suspicion will have to lead them into encroach into a private space in the name of investigation. In some occasions, they are accused of harsh handling of the *khalwat* suspect (Ismail, 2008, p. 538). Accusations of peeping, harsh raiding and arrest are not uncommon, even though REOs have the power and authority to investigate the offence. Acting on public complaints, the REOs embark on investigation by frequenting the private "crime scene" and conducting interrogations. This does not amount to peeping as they are accused of (Zainul Abidin, 2007).

The issue of invasion of personal freedom has always been used as the basis

to criticise the REOs. Accusation has it that there is a conflict of interest between upholding the law and justice and personal interpretations of what constitutes personal freedom, individual privacy and rights. Some Muslims are very particular with the subject of choice and personal rights and come out blatantly criticising the existence of *khalwat* law and its enforcement by the Religious Enforcement Division. Zainah Anwar, an activist, accused *khalwat* as a "religious sin (that) has become a crime against state" (Anwar, 2005) while a group which called itself as G25 want the *khalwat* law to be abolished. For some others, it is not about the law, but arguably, more on the issue of the manner of enforcement. Zainul Abidin (2007) described the investigation procedure by REOs as snooping and spying, but he failed to realise that in order to investigate the public complaint, REOs should go to the alleged location, not simply any private residence as claimed by the former Mufti. Zainul Abidin, the former Mufti also suggested that REOs prioritised their job and one of the examples he gave was regarding the menace created by the so-called *Mat Rempit*, the street-racers, but he clearly failed to understand the law and jurisdiction of REOs, as such a matter is not within REOs area of enforcement.

The REOs have also been accused of being the "moral police" and were urged to leave the policing to the parents. The fact is that they are duty-bound to enforce the law that was passed by the Parliament – signed and sealed by His Royal Highness the *Yang DiPertuan Agong*. Questioning

the law is like criticising the power of the *Yang DiPertuan Agong*, as the ruler of the country (Ismail & Awang Mat, 2007). The good thing is that since 2007, the Standard Operating Procedure (SOP) has been created to facilitate and standardise the proper manner of the enforcement and application of the law by the REOs in their daily operations. Some REOs admit that the real challenge is in establishing the evidence to meet the legal requirement or element of suspicion and not the public perception of them. Another challenge is the capacity of legal understanding among newly-appointed REOs. Most REOs do not have a legal background because it is not required for the position of a REO.

CONCLUSION

The discussion shows that the term *khalwat* in the context of an offence has been given a technical meaning in a legal sense. It is distinctive from the literal meaning of the word *khalwat* as an act of *ibadah* to improve the relationship with Allah. The term *khalwat*, at least in the Malaysian context, is well-known as one of the offences provided for under the Shariah Criminal Offences Enactment and applied to Muslims only. Even though the law outlines the definition of *khalwat* and lays down the ingredients to be fulfilled in order to establish the offence, the challenges in the investigation and the establishment of facts are still there, not to mention the opposition by certain quarters of the public or the so-called the “freedom fighters”. The most typical complaint adduced by them is that the *khalwat* law

is a violation of personal freedom. If we scrutinise the provision of *khalwat*, we understand that it regulates the moral conduct of the people so as to ensure that society is free from immoral conduct and wrongdoing that jeopardise its value and system. In general, the law is to protect the reputation of Muslims by prohibiting unmarried couples from becoming involved in an intimate relationship in private. The enforcement of this law is in line with the responsibility of the authority as well as society to enjoin the right and prohibit the wrong (*amr ma'ruf nahi munkar*). This is how a Muslim should look at the issue of enforcing moral law. It does not deprive any Muslim of their basic rights but is a means of strengthening and safeguarding them.

The discussion touches on the legal issues of enforcing *khalwat* for Muslims. The provision concerning *khalwat* and other related offences seek to protect the Muslim community from anti-social activities related to morals, beliefs, and the nobility of Islam. In the context of moral offences, challenges revolve not only around its enforcement, but also its existence. As for *khalwat* and indecency in public, their prohibition can be understood from the teachings of Prophet Muhammad. A devout Muslim should understand that it is forbidden to be with any woman alone without a third person, preferably her *mahram*. Regulating *khalwat* is an approach to implement this hadith and therefore, the law of *khalwat* was not enacted to invade one's privacy or violate the basic freedom.

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Motivation and Study Engagement: A Study of Muslim Undergraduates in Malaysia

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ABSTRACT

There has always been a serious concern about students' academic performance in schools and institutions of higher learning. Mostly, it has been seen in terms of lack of motivation. However, little attention has been given to the reasons for poor motivation. The Self-Determination Theory (SDT) of motivation provides a new perspective on motivation. This paper investigates students' motivation and study engagement using the SDT framework. It examines the role of learning climate, intrinsic motivation resulting from basic needs satisfaction, self-perception of choice and self-awareness on students' study engagement. This study attempts to validate SDT propositions on students' motivation and study engagement in the Asian context and within an Islamic institution of higher education. Data were collected from 432 undergraduate students (Females = 62.2%) representing several study disciplines. Standardised instruments were employed to measure the constructs of learning climate, basic needs, perceived self-determination and study engagement. Results provided strong support for the SDT propositions suggesting that an autonomy supportive learning climate significantly contributed to intrinsic need satisfaction of autonomy, competence and relatedness. It was also found that the autonomy supportive learning climate and satisfaction of competency need contributed to greater study engagement. This study provides good empirical support to the SDT propositions from a non-Western cultural context.

Keywords: Self-determination, Intrinsic motivation, learning climate, study engagement

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INTRODUCTION

Student engagement has re-emerged to become one of the most popular constructs in the educational context (McCormick & Plucker, 2013). It has been found that student engagement is related to improvement in their overall academic performance and greater achievement and thus, it is considered a key component of their success (Schaufeli et al., 2002). Engaged students usually have intrinsic motivation and thus, they invest time and effort in learning, attend classes and actively participate in their academic activities (Bakker et al., 2014). They ask questions out of curiosity and enjoy learning challenges. They feel energetically immersed in their studies and feel vigorous and dedicated, and that what makes them successful (Salanova et al., 2010).

To get students engaged in their learning, they need to be motivated. As motivation and engagement are inherently linked and each influences the other, engagement is seen as an outcome of the motivational processes and motivation as a source of engagement (Reeve, 2012). Motivation is traditionally being viewed as something that differs in degree, hence, parents and teachers would like to *increase* the motivation level of less motivated students. However, the Self-Determination Theory (SDT) of motivation by Ryan and Deci (2000) places more emphasis on the type rather than degree of motivation. They argue that people differ in motivation based not only in terms of degree but also in types. Thus, an individual may engage in an activity because

it is of interest to him/her. Another person may do the same but expect some outcomes such as better grade for example. Therefore, SDT distinguishes between two types of motivation, namely intrinsic motivation which means doing something because it is interesting and enjoyable, and extrinsic motivation which means doing an action because it leads to separable outcomes.

Motivation can arise from various sources including needs, cognitions, emotions and environmental events (Reeve, 2012). However, in the present study, it is viewed from the needs perspective within the SDT framework, where motivation is equated with the satisfaction of students' inner psychological needs. The SDT argues that students' performance and the quality of experience in learning are much better when their needs of autonomy, competence and relatedness are satisfied while the opposite is true when these needs are frustrated (Deci & Ryan, 2000). Further, social context plays a key role in facilitating or thwarting students' needs as they interact with teachers and peers in classrooms.

RESEARCH MOTIVATION AND OBJECTIVE

The theoretical propositions of SDT on motivation need to be tested in different cultural as well as organisational contexts. In particular, SDT along with student engagement have not been tested in Muslim countries and Islamic institutions. Some of the unique cultural characteristics that may be observed in Asian as well as Muslim countries such as Malaysia include

collectivism, relationship orientation, conformity to social and religious norms, face saving, power distance and obedience to authority (Abdullah, 1996; Fontaine & Richardson, 2005; Terpstra-Tong et al., 2014). There are arguments that the basic propositions of SDT should not apply in such cultures (Bond, 1988; Markus et al., 1996; Markus & Kitayama, 2003, as cited in Jang et al., 2009). According to these scholars, in Eastern collectivistic cultures like Malaysia, priority is given to maintaining social obligations over autonomy support. The preferred parenting and teaching styles, therefore, are characterised by controlling rather than encouraging autonomy (Quoss & Zhao, 1995). As such, psychological needs satisfaction proposed in SDT may not yield the same impact on positive educational outcomes (namely engagement) as found in Western contexts (Iyengar & DeVoe, 2003; Tseng, 2004). Though studies have been conducted to examine parenting as well as teaching styles in Asian cultures, no study has challenged the validity of SDT propositions. The theory proposes that the need for autonomy, competence and relatedness are universal needs and when satisfied, will promote positive learning outcomes among students. Therefore, the objective of this study was to test the premises of SDT in Malaysian as well as institutional (Islamic) context.

THEORETICAL BACKGROUND

Students' Study Engagement

Educational researchers would agree that engagement features three highly interrelated

yet distinct aspects, namely behavioural, emotional and cognitive (Fredricks et al., 2004). Behavioural engagement is about the active involvement of students in learning activities such as their effort, attention and concentration (Fredricks et al., 2004). Emotional engagement refers to the presence of emotions that help in facilitating learning tasks such as interest and the absence of emotions that may cause withdrawal from tasks such as distress (Reeve, 2012). The last aspect of student engagement, which is cognitive, refers to what Reeve (2012) calls "sophisticated rather than superficial learning strategies" (p. 150). According to Reeve, sophisticated learning strategies entails energy (i.e., intensity and vigour), direction (i.e., purpose and guidance) and durability (i.e., tenacity and commitment)

Another slightly different approach to engagement was proposed by Schaufeli et al. (2002) who define engagement in the work context as a positive, fulfilling state of mind that is characterised by vigour, dedication and absorption. As such, study engagement may be defined as students' positive and fulfilling mental state that is reflected in their vigour, dedication, and absorption levels in studies. Vigour refers to high levels of energy and resilience while studying. Dedication is characterised by being strongly involved in one's activities and experiencing a sense of significance and enthusiasm. Absorption is the state of being fully concentrated and happily engrossed. Such conceptualisations could be seen as consistent with other conceptualisations where behavioural, emotional and cognitive

aspects entail vigour, dedication and absorption aspects, respectively. It is argued that engaged students are very energetic and enthusiastic about their studies and they can be fully immersed in their learning activities to a degree that time passes without them noticing (Bakker et al., 2014). Therefore, engaging students in classroom settings is very important. Not only can engagement predict important outcomes such as learning and development, it also reveals the underlying motivation (Guay et al., 2001)

Self-Determination Theory

Self-Determination Theory (SDT) is a macro theory of motivation. It posits that all students, regardless of their backgrounds, possess inherent growth tendencies and readiness to learn, to explore, to grow and to assimilate knowledge and to develop new skills (Ryan & Deci, 2000). These tendencies (e.g., intrinsic motivation, curiosity, psychological needs) could provide a motivational foundation for students to be highly engaged and positively function in classrooms (Ryan & Deci, 2000; Reeve, 2012).

The SDT classifies motivation into two main categories, namely intrinsic and extrinsic motivation. When intrinsically motivated, students engage in activities for the potential fun, excitement and challenge. These behaviours originate from within the self-associated feelings of curiosity and interest, rather than being brought about by any external contingencies (Niemi & Ryan, 2009). Due to the fact that not all

activities are intrinsically interesting and enjoyable to derive satisfaction from them, an individual needs some instrumental and extrinsic factors to get him/her motivated. Extrinsic motivation refers to doing an activity with the expectations of external reward or avoidance of punishment. The SDT argues that extrinsic motivation can vary in degrees and not as one category (Ryan & Deci, 2000). Extrinsic motivation can vary in degrees from fully controlled by contingencies external to individuals, such as expecting rewards or avoiding punishments (doing an assignment because students fear losing their grades), to autonomous motivation (doing an assignment because students perceive it valuable to their careers) which can be considered as identical to intrinsic motivation. Doing an assignment because of fear of loss and because it is perceived valuable are still extrinsic motivation but they vary in their degrees. What differentiates both behaviours is that in the first one, students are pressurised to do so. However, in the second behaviour, it involves some sort of endorsement and relative autonomy (Ryan & Deci, 2000).

Given the classification of motivation (intrinsic and extrinsic) and how extrinsic motivation can be further divided into sub-groups, SDT proposes that people have three universal, psychological needs in order for them to develop and function optimally. These three needs are autonomy, or the perception that one's behaviour is self-congruent and volitional; competence, or the perception that one is capable of influencing the environment in desirable ways and

relatedness, or the feeling of closeness and connectedness with others (Weinstein & Ryan, 2011). It is suggested that the social, contextual factors that provide people the opportunity to satisfy these needs will facilitate intrinsic motivation and the integration (the fullest type of internalisation) of extrinsic motivation, whereas those that prevented satisfaction of these needs will decrease intrinsic motivation and the integration of extrinsic motivation (Deci & Ryan, 2000). Weinstein and Ryan (2011) argue that individuals move towards motivational states that are characterised as self-volitional or autonomous when their environments support their needs. But, if environmental factors do not support the basic needs, motivation is pressured or controlled.

Benware and Deci (1984) conducted a study on university students to test whether those who learn with an active orientation (learn to teach) would be more intrinsically motivated than those who learn with a passive orientation (learn to take exam on the same material given to the active orientation group). Findings show that students with the passive orientation were less intrinsically motivated, had lower conceptual learning scores and had lower perception of themselves to be more actively engaged with the environment than the students with the active orientation. Niemiec and Ryan (2009) report that two studies conducted in the USA (Grolnick & Ryan, 1987) and Japan (Kage & Namiki, 1990) found that evaluative pressures undermined students' intrinsic motivation

for classroom topics and materials, as well as their performance in school, whereas autonomy support facilitated it.

As postulated by SDT that satisfying students' needs is vital for their academic motivation internalisation, Jang et al. (2009) found that experiencing the feelings of autonomy and competence enhances intrinsic motivation. They conducted a series of studies testing SDT in South Korea, which is collectivistic, using middle-class students as samples. As it is argued that collectivistic culture does not value autonomy, the authors, specifically, wanted to examine whether those students enjoy learning activities that afford basic psychological need satisfaction. Findings show that the basic assumptions of SDT held true even in a collectivistic culture. It was found that basic needs satisfaction led to more satisfying learning experiences and greater academic achievement.

Some scholars have questioned the universality of SDT. Brickman and Miller (2001, cited in Zhou et al., 2009) for instance, argue that students acquire their needs, values and attitudes from their culture which in turn influence their motivation for learning. Accordingly, children in collectivist cultures are inclined to develop a strong sense of belonging as these cultures do not value autonomy, whereas children in individualistic cultures are raised to develop a strong need for autonomy. To be autonomously motivated, the three needs should be met. However, it has been suggested that autonomy is not important for school outcomes in collectivist cultures

such as China. Using a sample of elementary school students, Zhou et al. (2009) applied SDT in a study to investigate the motivation for learning among rural collectivist Chinese children. Findings supported SDT as it shows that students' autonomous motivation was associated with a higher level of interest, perceived competence and choice whereas controlled motivation was related to a lower level of perceived choice and reduced interest. Further, students' perception of teachers' autonomy supports positively predicted changes in autonomous motivation, controlled motivation and perceived competence (Zhou et al., 2009).

In their review of SDT application to education, Niemiec and Ryan (2009) concluded that intrinsic motivation and autonomous types of extrinsic motivation are essential to students' engagement and optimal learning in educational contexts. They also reported that students' academic performance and well-being are facilitated by the perceptions of their teachers' support of their basic psychological needs for autonomy, competence and relatedness. Students' academic performance was also found to be influenced by their perceived autonomy and competence (Fortier et al., 1995).

Teachers' Motivational Support

Students differ in their perception of the learning environment and thus, their engagement relies on what they perceive. Hardré et al. (2006) mention that students' outcomes are the results of systematic interactions of factors that involve students,

teachers and their educational institutions. The characteristics that teachers and students bring to their educational settings and culture of that setting interact and affect students' outcomes either positively or negatively. Guay et al. (2001) argue that the congruence between students' self-determined inner motives and their classroom activity are facilitated by autonomy-supportive teachers through identifying and nurturing students' needs, interests and preference. In contrast, these inner and self-determined motives could be degraded by controlling teachers as they shape their agendas of what students should think, feel and do. As teachers' agendas are shaped, controlling teachers introduce extrinsic incentives in order to shape student adherence to those agendas, which essentially bypass students' inner motives.

According to Guay et al. (2001), teachers can be supportive of students' inner resources if they are trained to do so. They reported that trained teachers, who participated in an informational session on how to support students' autonomy and who engaged themselves in independent study on the study-specific website, were able to display greater autonomy-supportive behaviours than the non-trained ones. Furthermore, they found that students' engagement was more enhanced with teachers who used autonomy support during instruction.

Lack of motivation towards learning among students is one of the pressing issues in academic contexts. Students lose the desire to do the tasks assigned to them and thus,

feelings of frustration and discontentment arise and their productivity and well-being can be encumbered (Legault et al., 2006). Generally, various positive outcomes are associated with self-determined motivation and negative outcomes are associated with less self-determined forms of extrinsic motivation. In the academic context, boredom and poor concentration in class, higher perceived stress at school, poor psychosocial adjustment to college while studying, and high school dropout have been associated with *Amotivation* (Legault et al., 2006). Amotivation is defined as a state in which students lack the intention to learn. Amotivated students are not able to sense the connection between their behaviour and its subsequent outcomes (Deci & Ryan, 2000). Amotivation and factors affecting it have been given little attention whereas motivation has been extensively studied (Legault et al., 2006). Amotivation has been treated as one-dimensional when it is believed to be multidimensional. Legault et al. (2006) conducted three studies to explore and validate this claim and to determine the factors that give rise to academic amotivation. Four dimensions were identified: (1) ability beliefs, (2) effort beliefs, (3) characteristics of the task and (4) individual values relative to the task. Results show support and validation of the four sub-dimensions of amotivation. They also show distinct classes of reasons that give rise to students' amotivation. These include lack of belief in their ability, lack of belief in their effort capacity, unappealing characteristics of the academic task and

finally, lack of value placed on the task (Legault et al., 2006). Also, the study further shows that inadequate social support (from parents, teachers and friends) gives rise to amotivation and thus, negatively affects students' academic outcomes (e.g., achievement, academic self-esteem, intention to drop out).

As SDT is argued to be universal and that its propositions predict several positive outcomes, the following hypotheses were developed for examination:

H1: *The autonomy supportive learning climate, sense of choice and self-awareness foster the satisfaction of the three basic needs of undergraduate students.*

H2: *The satisfaction of the three basic needs, which constitute the ingredients of intrinsic motivation, contribute to undergraduate students' study engagement.*

METHODOLOGY

Sample

A sample of 432 undergraduates from several faculties participated in this study. They included 270 (62.2%) females. The sample largely conformed to the population distribution in terms of female versus male students in the university where data were collected. All 432 students were Malaysians and Muslims. Stratified random sampling was used for sample selection. One department each was randomly selected from the total seven faculties located in one campus of the University. Subsequently, two

lecturers were randomly selected from these departments to distribute the questionnaires in their classroom. All students attending the class sessions responded to the questionnaire.

Measures

The following scales were used to measure the constructs, namely basic needs satisfaction, self-determination, learning climate, and study engagement. All the scales were adopted from the published sources.

Basic Psychological Needs Scale (BPN). This 7-point scale included three sub-scales that measure autonomy (7 items), competence (6 items) and relatedness (8 items) needs. However, one item measuring relatedness need was removed as it obtained low reliability value. Examples of items are: "I feel like I am free to decide for myself how to live my life" (Autonomy), "People I know tell me that I am good at what I do" (Competence) and "I get along with people I come in contact with" (Relatedness). The BPN scale was developed by Deci et al. (2001) and has been widely used in several studies (Kasser, Davey & Ryan, 1992; Ilardi, Leone, Kasser & Ryan, 1993; Deci et al., 2001) and has provided good empirical validity.

The Self Determination Scale (SDS). This scale was designed by Deci and Ryan (2000) to assess individual differences in the extent to which people tend to function in a self-determined way. It is thus considered as a relatively enduring aspect of people's personalities which reflect: (a) being more

aware of their feelings and their sense of self and (b) feeling a sense of choice with respect to their behaviour. The SDS is a 10-item scale with two 5-item sub-scales. The first sub-scale measures awareness of oneself and the second is perceived choice in one's actions. Responses were recorded on a 5-point scale. The scale has been extensively used by researchers in several contexts thus, providing it the empirical validity (Sheldon et al., 1996; Sheldon, 1995).

Learning Climate Questionnaire (LCQ). The 15-item scale developed by Williams and Deci (1996) was adapted to measure students' perception of autonomy support provided to them by faculty members. Responses were solicited on a 7-point scale (1 = strongly disagree; 7= strongly agree). Example item is: "I feel that my lecturers provide me choices and options." Several studies using this scale in different contexts have provided good empirical support to this scale (Williams et al., 1994; Black & Deci, 2000).

Study Engagement Scale (SES). This scale measures the degree to which students feel engaged in their studies. Items of this scale were adapted from Utrecht's Work Engagement Scale (UWES) (Schaufeli & Bakker, 2004). The construct of work engagement includes vigour, dedication and absorption. This 9-item scale has been reworded to measure students' study engagement. Responses were obtained on a 5-point scale. Items included: "I am immersed in my studies". The alpha value measured in the present study for this scale is .86 (See Table 1).

Background Information. A few relevant pieces of background information were also collected such as gender, nationality (local/international), faculty, department, and year of study. Apart from these demographics, the survey was anonymous.

Method of Data Collection

Data were collected during class time with the support extended by the faculty members. Instructions were provided on the cover page of the printed questionnaire. Respondents were requested not to disclose their identity anywhere on the questionnaire to ensure anonymity and to encourage candid responses.

RESULTS

General Findings

Table 1 summarises the general findings. The mean values of the three basic needs satisfaction indicate endorsement in the following order: autonomy, competence and relatedness. Learning climate was also rated slightly above average. The self-

determination constructs (self-awareness and choice) and students’ engagement too received moderate to high scores on a five-point scale: choice (Mean = 3.31), self-awareness (Mean = 3.58) and engagement (Mean = 3.44). The reliability for all scales was generally good (alphas ranged from .70 to .91). Almost all the variables were significantly correlated to one another. Though not reported in Table 1, no significant mean differences was found between male and female students on any variable.

Learning Climate and Basic Needs Satisfaction

According to SDT, teachers play an important role in creating a learning climate that is either controlling or providing choice to the students which in turn would determine student satisfaction of the three basic needs, namely autonomy, competence and relatedness.

The theory also posits that individuals differ in the extent to which they tend to function in a self-determined way. It is considered as a relatively enduring aspect

Table 1
Descriptive Statistics, Alpha and Correlations

	Mean	SD	Alpha	1	2	3	4	5	6	7
1. Autonomy (6)	5.22	.84	.70	-						
2. Competence (6)	4.50	.74	.72	.54**	-					
3. Relatedness (8)	4.96	.81	.78	.42**	.50**	-				
4. L. Climate (15)	4.53	.88	.91	.27**	.24**	.28**	-			
5. Self-awareness (5)	3.58	.77	.79	.33**	.27**	.31**	.23**	-		
6. Choice (5)	3.31	.85	.86	.38**	.25**	.27**	.17**	.30**	-	
7. Engagement (9)	3.44	.57	.86	.29**	.37**	.19**	.37**	.29**	.17**	-

** p < .01; *p < .05, Numbers in parentheses are number of items in the scale.

of people’s personalities which reflects: (a) being more aware of their feelings and their sense of self and (b) feeling a sense of choice with respect to their behaviour. This could be the result of the way they are exposed to the social environment. Thus, a strong and supportive family, school and community environment should foster greater sense of choice in life and the awareness of one’s own feelings and cognitions. Tables 3 present multiple regression results to test the hypotheses.

The results were in the expected direction. It supported the universality of SDT. The three independent variables that entered into equations significantly predicted satisfaction of autonomy, competency, and relatedness needs and explained 26%, 17% and 19% variances respectively. Thus, the results suggest that if teachers were perceived as less controlling and more autonomy supportive and if students developed a better sense of choice in life and were more aware of their thoughts and feelings, then satisfaction of the basic needs for autonomy, competence and relatedness is facilitated.

Basic Needs Satisfaction, Learning Climate, and Self-Determination as Predictors of Students Study Engagement

Overall, the model explained 22% variance and was highly significant. However, only two variables, namely competence and learning climate, significantly predicted the dependent variable i.e., study engagement. Table 3 presents the results.

DISCUSSION

The study was planned to test the universality of the Self Determination Theory of motivation in the institutional context which was non-Western, collectivistic and Islamic. It is argued that in Eastern collectivistic cultures, priority is given to maintaining social obligations over autonomy support. The preferred parenting and teaching styles, therefore, are characterised by controlling rather than encouraging autonomy (Quoss & Zhao, 1995). This holds true as well in traditional Muslim societies. For instance, it is expected that a good child should be obedient to parents and teachers, and should be forced into submission. Although

Table 2
Multiple Regressions Predicting Autonomy, Competence and Relatedness Need Satisfaction from Learning Climate, Self-Awareness, and Choice

	Autonomy		Competence		Relatedness	
	Std. β	t	Std. β	t	Std. β	t
Learning climate	.28	6.32***	.21	4.55***	.27	5.81***
Self-awareness	.18	3.94***	.21	4.52***	.20	4.22***
Choice	.27	6.04***	.17	3.75***	.15	3.23***
	Adj. R ² = .26, (F= 50.67, p<.000)		Adj. R ² = .17, (F= 30.85., p<.000)		Adj. R ² = .19, (F= 33.66, p<.000)	

*** p<.000

Table 3
Multiple Regressions Predicting Study Engagement

Predictors	Std. β	t-value	Significance
Autonomy	-.07	-1.36	.17
Competence	.30	5.38	.00
Relatedness	.00	.05	.96
Learning Climate	.29	6.18	.00
Self-awareness	.07	1.42	.15
Choice	.06	1.23	.21

Adj. $R^2 = .22$; ($F = 21.15$, $p < .00$)

Malaysia is a country in transition, family values and religious beliefs are still core foundations for successful parenting in most families (Selin, 2014). Similar parenting styles are found in other Muslim countries. For instance Al-Khawaja (1999) reported that among Egyptian college students, 64.4% of women and 33.1% of men favoured “absolute submission” to parents. As such, psychological need satisfaction proposed in the SDT should not yield the same impact on positive educational outcomes as found in Western contexts (Iyengar & DeVoe, 2003; Tseng, 2004). The results, however, did not find this to be true. On the contrary, the result supported our first hypothesis that the autonomy supportive learning climate as well as sense of personal choice and self-awareness foster satisfaction of the three basic needs, i.e., autonomy, competence and relatedness.

When it came to predicting students’ study engagement, the results partially supported our second hypothesis. Among the three basic psychological needs, the need for competence contributed significantly to students’ study engagement. The finding is consistent with previous research findings

on fulfilment of competence need and students’ positive learning outcomes and well-being (Jang et al., 2009; Skinner & Chi, 2012).

The SDT posits that the basic psychological needs function as the requisite nutriment for students’ active engagement and positive school functioning (Jang et al., 2009), and as the essential ingredient for optimal learning and well-being (Zhou et al., 2009). That is, people whose psychological needs are satisfied will be psychologically healthier and more effective in learning regardless of differences in the institutional and cultural context. Because of the claim that autonomy is insensitive to culture differences, the SDT received criticism, where it is argued that the Eastern culture may not value autonomy as much as the Western culture does (Zhou et al., 2009). Since the study was conducted in Malaysia which ranks high on collectivistic culture (Fontaine & Richardson, 2005) and moreover in an Islamic institution of higher education, the findings partially supported this argument. Neither autonomy nor relatedness need made any significant contributions to students’ study engagement.

However, students' perceptions of autonomy-supportive learning climate enhanced their engagement. This is consistent with previous research where autonomy-support predicted increase in perceived competence, autonomous self-regulation and enjoyment (Black & Deci, 2000). Also, Roth *et al.* (2009) found that autonomy-support predicts choice and academic engagement.

The contributions of other variables on study engagement, namely choice and self-awareness, were positive though not significant. As posited by SDT, choice can be either motivating or otherwise. It can promote engagement when it is offered in a way that meets students' needs. For instance, "choice is motivating when the options are relevant to the students' interests and goals (autonomy support), are not too numerous or complex (competence support), and are congruent with the values of the students' culture (relatedness support)" (Katz & Assor, 2007).

CONCLUSION

This study was mainly planned to address the issue of student motivation and engagement and how they are facilitated in the unique context of an Asian collectivistic culture and within an Islamic institution of higher education. The SDT has been largely examined in the western cultural context. Additionally, no such study has been conducted in any Islamic institutional environment. As such, this study assumes significance. The Self-Determination Theory, which proposes that humans naturally have innate needs, which when

satisfied result in optimal functioning and positive outcomes, guided this research. The findings provide empirical validity to the SDT by showing that autonomy supportive learning climate and an individual's sense of choice in life as well as being self-aware of thoughts and feelings contributed to the satisfaction of three basic needs for autonomy, competence and relatedness. The results also provided strong support for the effects of competence and learning climate (autonomy support) on study engagement. Future research should examine how the SDT proposition predicts students' academic performance while controlling for factors such as intelligence and aptitude.

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This Far and No Further: Barriers in the Managerial Woman's Journey to the Top

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ABSTRACT

Though various studies are available on the education, competence, professional prowess and dexterity exhibited by women in management and ample research has clearly indicated enhanced profitability and employee productivity in organisations with more women in managerial positions, their presence, especially at the highest hierarchical levels, remains grossly discouraging. Much water has flowed under the bridge since the gender equality trumpets reverberated the business corridors. Yet, a study in the December 2014 issue of Harvard Business Review stated that the disparity between the two sexes with respect to movement to top positions remained nearly intact and according to the recent International Business Report by Grant Thornton, 14% of women represented senior management in India, 24% globally and only 12% businesses had a female CEO. Surprisingly no noteworthy change has been observed and the figure remained almost the same in 2015, 2014, 2013, 2009 and 2007. Against this backdrop, the present paper aims at probing further into the reasons which stall the progress of women using a mixed method design. Without pointing fingers only at the male bastion, it also attempts a two pronged focus - the role of women themselves and the veracity of lack of support from other women in the workplace in thwarting their progress.

Keywords: Women, management, progress, barriers, mixed method design

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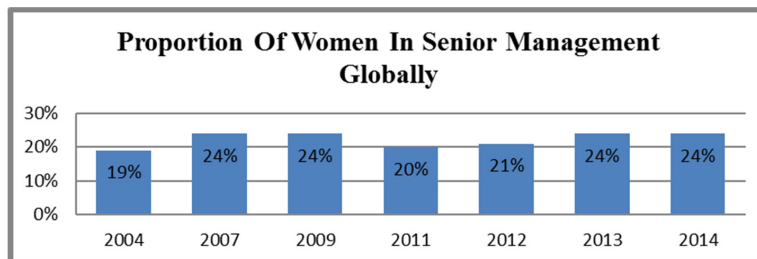
INTRODUCTION

With similar beginnings, education, credentials, men and women step out with similar goals, aspirations and hopes for their careers. Both look forward to and talk about “job titles, job levels and professional achievements at roughly the same rates”. A survey of more than 25000

HBS graduates across age groups ranging from 26 to 67 revealed that the goals aspired for are realised differently across genders even by the top tier B school graduates who step out equally equipped and adept with ample openings and opportunities. “Among HBS graduates working full-time, men were significantly more likely than women to have direct reports, profit-and-loss responsibility, and positions in senior management.” Men across three generations were much more satisfied on the four prime dimensions: “meaningful work, professional accomplishments, opportunities for career growth and compatibility of work and personal life” (Ely et al., 2014). The discrepancy between the ascent of men and women to top positions remains almost unharmed despite sharp progression in number of women equally accomplished for top notch roles across organisations and increased impetus on developing women employees. In fact, barely 5% of Fortune 1000 CEOs are women. Only 20% of Fortune 500 board seats are held by women and even “fewer women of colour (below 5%) occupy Fortune 500 board seats”. Again,

the Grant Thornton International Business Report 2014 states that the proportion of women in senior positions in India is only 14%. Surprisingly, this seems to be almost a global phenomenon and recent statistics show disappointing results with Denmark and Germany also at 14%, US and Spain at 22%, UK at 20%, Switzerland 13%, Netherlands 10% and Japan a miniscule 9%. The Southeast Asian countries exhibit more promising results with Indonesia at 41%, Philippines at 40% and Thailand at 38%. China has made some headway and is now at 38% but globally the figures show no progress in 2014 and remain the same as in 2007 and 2009. Moreover, only 12% of businesses have a female CEO.

In 2015 too, “the proportion of the top jobs in business held by women has barely changed” In fact the women in senior management globally has reduced from 24% in 2014 to 22% in 2015. They “remain concentrated in management support functions rather than in leadership roles [indicating] a bottleneck for women upon reaching the management level” (Grant Thornton International Business



*did not include China or Brazil

Figure 1. Proportion of Women in Senior Management Globally (2014)
Source: Grant Thornton IBR 2014

Report (IBR), 2015). This glaring gender gap has been comprehensively discussed. Extensive research and academic studies record a host of barriers from societal and organisational prejudices to gender pigeonholes, the iniquitous glass ceiling, pay variation, childcare, inadequate career development, promotion pathways and mentoring provision. It could be argued that if Harvard graduates with the best of opportunities could be plagued with stereotypes, maybe to a lesser degree, as compared to their less fortunate counterparts from the not so elite B schools, then this demands further attention. Having said that, this study probes further into the reasons which impede the progress of women to top positions and without blaming only the male stronghold, it also attempts a focus on women themselves. It could be a male pulling the rug from under her feet but the emphasis here would be more on the hindrances due to stereotypical baggage etched in the women’s psyche or their own gender blocking their upward clamber.

REVIEW OF LITERATURE

The implicit presumption behind the study is the glass ceiling phenomenon which has become a metaphor that has been discussed and dissected but is supposedly still prevalent despite rebuttals. The popular phrase was defined by the US Glass Ceiling Commission as “the unseen, yet unbreachable barrier that keeps minorities and women from rising to the upper rungs of the corporate ladder, regardless of their qualifications or achievements” (Recommendations of the Federal Glass Ceiling Commission Washington, D.C. November, 1995). After more than three decades of its maiden appearance in the *Wall Street Journal* in 1986, the glass ceiling still seems to be current, relevant and in the thick of discussion. Research reveals that though the number of girls going to school has multiplied and in many parts of the world girls have received better tertiary education than the boys, majority of women have not found it easy to reach the top management jobs. Therefore, despite efforts towards gender equality, minimal number of women

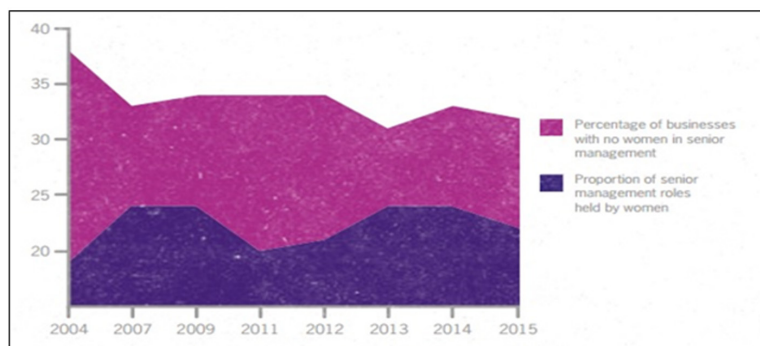


Figure 2. Proportion of Women in Senior Management (2015)
Source: Grant Thornton IBR 2015

have been able to make it to the senior management levels in the corporate world (Wallace & Smith, 2011). Equipped with the reality of higher educational levels and the promise of gender equality, more and more women are entering the corporate world. But it has been found that the strength of women at lower management levels is more than that in the higher level managerial jobs. Statistics and studies have shown that the cardinal tenet is still the same – higher the position, fewer the women. The Centre for Social Research (CSR) 2009 report titled *Women Managers in India: Challenges and Opportunities* states that women hold only 1 to 3 per cent of top executive jobs and the organisations without women in senior management positions have stood at 38% since 2004. Further, if 70% of the women in developed countries and 60% in developing countries are working and 40% of women contribute to global labour force, the representation of women in senior positions worldwide seems dispiriting. Women in management in India represent a nominal 2 per cent of the entire executive strength despite a phenomenal increase in the number of women in the corporate world. It has been observed that women are a key part of a company's success and companies having women in top positions have a positive financial impact. Even at the time of economic downturn, women who owned hedge funds lost less than those owned by men (Wallace, 2013). Studies have discussed how “women in senior management positions” can “offer different perspectives” resulting in “corporate

financial success” (Fitzpatrick & Maggie, 2013). Research on women leadership too has revealed positive results. Jack Zenger and Joseph Folkman's article based on a survey conducted on 7280 leaders in 2011 concludes that women are undoubtedly better leaders at each level and women at the top management levels are found to be more impressive than their male counterparts. The study also showed that companies with a higher representation of women at the management levels are more profitable and exhibit enhanced employee productivity. If this is a reality then why are women so sadly under-represented at the senior most levels? Findings indicate that women don't self-promote. They take the back seat in management and remain complacent at their level of achievement and rank (Zenger & Folkman, 2011). Many other core issues affecting women's progress to senior management positions have been repeatedly cited. Though family responsibilities and child care remain as major barriers, long working hours, less flexibility at workplace, low levels of self-confidence, society's negative attitude towards women as leaders also add up to the list. The gender centred theorists have attributed the differences between the sexes to common heritage, beliefs and assumptions. It is assumed that women give greater weightage to family lives than to their careers. Women's own expectations of their performances and their relatively depleted levels of self-confidence are also a setback. Factors such as societal and institutional practices, expectation, corporation's culture, history as well as

its structure affect the women's limited ability to attain high level position (Sposito, 2013). The barriers notwithstanding, we do witness a sea change in the present scenario with women outshining men in academia, in certain areas and with companies implementing programmes to counter "structural biases against women". So, do we believe that women "are finally poised to make it to the top" or is this a "delusion of progress" (Carter & Silva, 2010) where we happily judge that there is no gender disparity? The women are making it but the flip side is that the last decade has showed slower growth than what was expected. Even after years of experience, women lag behind because of their slow start up and the gap becomes difficult to breach. Those who taste success probably start post-MBA at middle level management or above. The first boss, low salary, lower satisfaction in job than men have also come up as reasons behind women not breaking the glass ceiling. "Reports of progress in advancement, compensation, and career satisfaction are at best overstated, at worst just plain wrong" (Carter & Silva, 2010). An investigation conducted by Ann Howard and Richard S. Wellins revealed that the presence of women at executive levels "was half" as compared to "that in first level management" and in "all major global regions, women were more likely than men to fall off the management ladder before reaching the top". It was also found that the probability of having men in high, international leadership positions is twice as compared to that of women.

They were unable to reach the executive status in the industries where leaders were mostly men whereas in "industries where the gender ratio was balanced at first level management", one third of the women slipped off the ladder before attaining the managerial rank. So regardless of the ratio of women in the leadership stratum, "men are significantly more likely to be in high potential programs" (Howard & Wellins, 2008, 2009). The article *The Corporate Boardroom: Still a Male Club* underscores the "lack of women on company boards and distinguishes the wasted resource of female talents". It reveals that women are "often demoted to lessen their pay and responsibility" (Broome, 2007). Reasons from boardrooms being perceived as a "man's world" and old executives not being comfortable with the idea of having women at the apex to women themselves being responsible due to their lack of confidence, insecurity, fear of disapproval on appearing too ambitious are spread all over the research firmament. Are women less self-assured than men? Is it all this or is it "prioritising family over work"? Is it the continuous career graph of men which does not exhibit any break due to family and child-rearing constraints that make them more likely than women to have direct reports, profit and loss accountability and top management positions (Ely et al., 2014). Finally, is women's exclusion from their organisations "old boy's network" or the unofficial power citadel composed of men who operate and take decisions at the golf course or during the more than occasional

drink or lunch together? Does this prevent women from “being privy to important inside information that might have helped them to position themselves to move up” (Glaser & Smalley, 1995). The present study tries to revisit the barriers to women’s career advancement and addresses two research questions: Are women responsible for their plight and does lack of support from other women at the workplace act as an encumbrance?

The Inner Demons: Are Women themselves to Blame?

The thought that they are probably not smart enough and the fear of appearing overtly ambitious and hence not liked by their peers/superiors are a part of the stereotypical baggage that women carry with them. These have roots in the psyche which have been nurtured and watered through their childhood, adolescence and possibly adulthood. These restrictive beliefs limit their ability to succeed. Girls who were taught to be “seen and not heard” might be “interrupted more” and “viewed by men as invisible”. At meetings while men do most of the talking and table thumping some women hold themselves back waiting for the “right moment” to offer ideas “and then do so without conviction and confidence”. There are chances then that they are ignored, are “not taken seriously” and don’t get credit for their ideas (Glaser & Smalley, 1995). Does “speaking up first at meetings” involve the risk of “being disliked” or “being labelled a bitch”? The confidence wavers and according to Katty Kay and

Claire Shipman, women keep grappling with lack of confidence in strange ways. They blame themselves when things go wrong at the professional front and easily shower accolades and bestow credit on others when something goes right. What holds women back is not their actual ability to do well at the higher levels. They are indeed as able as the men. What holds them back is the choice to quit or not to try. Women are perfectionists and would normally abstain from soliciting a promotion till “they met 100% of the qualifications” while a man could strut confidently even with 50% information and surety (Kay & Shipman, 2014). The germs can be traced in their childhood when they were repeatedly expected to look better, perform better, be better daughters and sisters. They do not ask for a raise because again they have to be better wives, better mothers and better employees. We do have innumerable corporate women who are supremely confident but they might be playing safe and obeying rules which was a lesson learnt during childhood. But when this spills over to adulthood quite a few of them appear hesitant to take risks and disinclined to make their own rules. Other allegations are that women are “consensus seekers” which is fine but that can “translate into indecisiveness on the job” (Glaser & Smalley, 1995). Is this the case or do we encounter a role of the other women in the workplace who create roadblocks in the progress of their own sex?

Does the other Woman (Read Older and Peer) Support or Foil the Upward Ascent?

A number of studies have shown that women who succeed in a male dominated environment tend to resist the rise of other women and sometimes become obsessive about retaining or safeguarding their position. According to a survey in 2011, 95% of working women alleged that they were destabilised and demoralised by another woman in certain phases of their career. The women superiors “exploit female vulnerabilities that men may not see” through strategies that would escape the attention of their male counterparts and this makes these queen bees very effective and damaging. (Drexler, 2013). Though successful women link their achievement to one or more mentors at some stage of their careers, they mostly give credit for guidance, support, perspective and ideas to men rather than women. They have often voiced their preference for a male boss rather than a female one. Research by Workplace Bullying Institute indicates that when women bully, 71% of their targets are women but when men do the same, women constitute only 57% of their victims. This is the reason why women are more comfortable working with men (Roszbacher, 2013). Do these queen bees want to make it tough for others as they themselves climbed the corporate ladder the hard way? Does the queen bee syndrome or the tendency of senior successful women in male-dominated environments to impede the progress of junior female colleagues

and of being intolerant of competition from members of their own sex constitute a major barrier? Or is this issue overhyped? The article *Sisters in Arms* contradicts the perception of female same sex conflict at the workplace. The article talks about attribution theory to propose that female same-sex conflict is more “problematized” by third parties. The issue of women being unsupportive and spiteful towards other female employees has been exaggerated. It has to be noted that there is a lack of research similar to the queen bee syndrome among men although men use indirect aggression more than women. The same-sex conflict among women is highlighted because of the prescriptive stereotypes and the evaluations that occur when women violate them. Further, only few women relative to men attain the top position and when they do, they often hold token status, thereby creating the perception that there is limited room for women at the top (Sheppard & Aquino, 2014).

OBJECTIVE AND SCOPE OF THE STUDY

In the fast changing scenario of women making their presence felt in all fields and their increasing numbers in the corporate world, the figures of progress to the senior most levels too should be quite encouraging. But the disparity between the two genders with respect to movement to top positions remains almost stationary. “In fact, there has been a decline, and now only 15 per cent of women believe that they have equal opportunity (compared with 20 per cent last

year) for promotion to senior management positions”. Despite all talk and emphasis on gender equivalence, the “slow pace of change is confounding” and “some upward momentum on the perceptions of equal opportunity for women” is expected (Sanders et al., 2011). This generates a genuine need to return to the issue and verify the facts. Hence, the objective of this paper was to revisit the barriers obstructing the managerial woman’s movement to the top and to identify the prime barriers in present times. It also aims to explore whether women themselves are responsible for their plight or do other women in the workplace play a role in preventing their progress. The target group was middle and senior level women managers in the age groups ranging from 35 to 55 across the IT, Telecommunication, Finance and Retail Intelligence sectors. These sectors were chosen owing to the sizable presence of women at the managerial level there. Three companies from IT, three from Finance, two from Telecommunications and two from Retail Intelligence sectors were identified in the Indian cities of Bhubaneswar, Bangalore, Pune, Mumbai and Delhi. The responses received manually and electronically were almost equally distributed across the sectors. All companies identified were large except two which were medium sized.

METHODOLOGY

To delve deeper into the present paradox of a sharp influx of qualified women in management and the discouraging figures of their progress to the senior most positions, a

mixed method design with both a qualitative and quantitative component was selected. The goal of a qualitative approach is to “understand how individuals make meaning of their social world” which is “created through social interactions of individuals with the world around them”. This makes the respondent “the expert” as “it is his or her view of reality that the researcher seeks to interpret” (Hesse-Biber, 2010). From the multiple theoretical variations of the qualitative domain, this study deals with the feminist theory (Denzin & Lincoln, 2007) which “seeks to understand the lived experiences of women”. Moreover, the postulation central to feminist theories is “that knowledge does not exist outside of the social world. There is no view from ‘nowhere’; instead, all knowledge contains a perspective” (Hesse-Biber, 2010) and in the present case, the perspective has to be of the women in management and their take on the glass ceiling. Differently put, the participants have much more experience with issues being studied by the researcher and hence, may have valuable insights to share. Therefore, a study must give importance to the perspectives of the respondents, “rather than relying entirely on established theoretical views or the researcher’s perspective”. This does not imply that “participants’ perspectives are necessarily beyond criticism or that other perspectives are illegitimate” (Menzel, 1978).

Hence, keeping in mind both the “perspectives” of the participants and the “established theoretical views”, the

research instrument (questionnaire) was developed in two parts. The first part was an in-depth interview with the women in question (senior and middle level women managers across organisations) for their views regarding women falling off the corporate ladder with very few reaching the pinnacle and the barriers thereof. The second part was an exhaustive review of relevant literature to probe into existing research about the veracity of the same. As mixed method research drifts towards “a more positivist methodological orientation” and “employs qualitative data as ‘handmaiden’” to help in developing “more robust quantitative measures, such as survey research questions” (Hesse-Biber, 2010), this study adopts the same methodology to build the research instrument

(questionnaire) for the quantitative survey. This mixed method design was inspired by Catherine M. Fuentes’ (2008) sequential exploratory mixed methods model (Figure 3) which she used in her study ‘Pathways from Interpersonal Violence to Sexually Transmitted Infections: A Mixed Method Study of Diverse Women’. In the first phase, a convenience sampling of 28 women from diverse ethnicities was conducted and in the second phase a quantitative survey of 215 women was done “to generalise the results of her qualitative study” (Hesse-Biber, 2010).

Similarly, in the present study, an in depth interview (IDI) with 26 senior and middle level women managers from IT, Telecommunications, Finance and Retail Intelligence sectors was conducted to

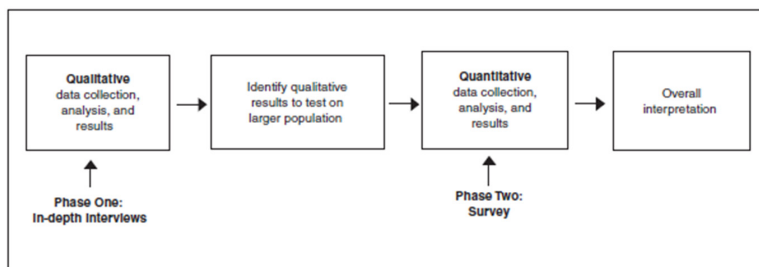


Figure 3. Fuentes’ (2008) sequential exploratory mixed methods design

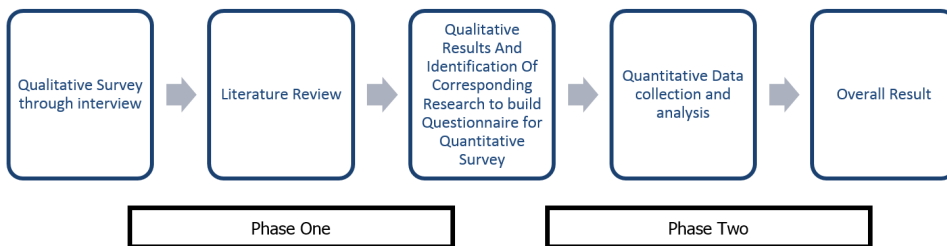


Figure 4. Research framework of the study

discern their views about the existence and nature of barriers. An extra component of relevant literature review in phase one was added to the original design as illustrated in Figure 4.

The research review was included to support the result obtained from the qualitative IDI. For instance, the basic premise of this study that a miniscule number of women reach topmost positions and quite a few women fall off the management ladder before reaching the top found almost complete agreement from the target group during the IDI. Additionally, it was corroborated by multiple existing research sources such as *Women in Management: Delusions of Progress* (Carter & Silva, 2010), *Rethink What You “Know” about High-Achieving Women* (Ely et al., 2014), *What Stops Women from Reaching the Top? Confronting the Tough Issues* (Sanders et al., 2011), *Holding Women Back Troubling Discoveries and Best Practices for Helping Female Leaders Succeed* (Howard & Wellins, 2008, 2009) and reports like Grant Thornton IBR 2014 and The Centre for Social Research (CSR) 2009 report on *Women Managers in India: Challenges and Opportunities*. A total of 25 variables were identified from the IDI which were also supported by the literature review. The variables encompassed the basic premise (a. Very few women have reached the senior most positions b. Quite a few women fall off the management ladder before reaching the top positions), the possible barriers to the movement of women to topmost positions (including the two research questions: a. the role of women themselves and b. the

role of the other women in the workplace in preventing the climb) and the prime barrier. However, after a pilot study, only 19 variables were retained. Therefore, the IDI served a dual purpose. First, it helped to identify the barriers that the participants experienced which, in turn, assisted in the development of the questionnaire and second, it gave the views of the managerial women on the identified barriers and the prime barrier to their progression to senior-most positions. Each barrier which emerged during the IDI was noted along with the broad category suggested by the interviewee under which it fell. The transcript of the interview therefore, helped in grouping of similar barriers under the category umbrella. The four categories so finalised were also substantiated by scholarly articles and books whose authors and years of publication are mentioned below:

1. Importance to family and family constraints (Sanders et al., 2011), (Wallace & Smith, 2011),
2. Unsupportive work environment, organisational culture and societal pressures (Sposito, 2013),
3. Women themselves and their inner demons (Glazer & Smalley, 1995; Zenger & Folkman, 2011), and
4. Other women in the workplace prevent the climb (Drexler, 2013; Rossbacher, 2013).

The 19th and the final statement in the questionnaire was open ended seeking the respondents' opinion regarding the prime or topmost hindrance in organisational

Table 1
Main Premise and Barriers

Main Premise

1	Fundamental Assertion	a	Despite efforts towards gender equality, very few women have reached the senior most positions
		b	Quite a few women fall off the management ladder before reaching top positions

Barriers

	Categories of Barriers		
1	Family constraints and importance to family	A	Women give more priority to family than to their careers
		B	Breaks in career due to family and child care constraints limit their experience as compared to continuous record of male counterparts
		C	A woman's commitment to family and child rearing is the main reason in turning down offers of promotion
2	Unsupportive work environment, organisational culture and societal pressures	A	Unsupportive work environment, organisational culture, societal pressures affect women's ability to attain high level position
		B	Women often do not get the critical inside information which forms a part of the informal male social networks that women frequently avoid
		C	Women managers are not utilised and developed to the same extent as male counterparts
3	Women themselves and their inner demons	A	Women managers are less self-assured and confident than their male counterparts
		B	Women lack the desire to advance to senior level
		C	Gender stereotypes and fear of appearing too ambitious and not likeable prevents progress up the ladder
		D	Women don't self-promote and themselves take a back seat.
		E	Men overestimate their abilities and performance and women underestimate both
		F	Women have to work harder to prove themselves
4	Other women in the workplace preclude the climb	A	Other women in the workplace play a role in obstructing their progress
		B	Most senior women do not mentor younger women
		C	Women who succeed in male dominated work environments oppose the rise of other women to maintain their authority
		D	One good female friend in the workplace can become a principal support.

Prime Barrier

1	Prime barrier	A	The topmost hindrance in upward progression or organisational ascent is _____
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ascent. This was also classified under the categories of ‘importance to family and family constraints’, ‘unsupportive work environment/societal pressures’ and ‘women themselves with their inner demons’. The Table 1 shows the statements of the questionnaire, including the main premise, the barriers clubbed into four categories and the prime barrier to the progress of women in management as discussed earlier.

The results of the interview showed almost complete denial of the last two categories (women themselves and their inner demons and other women at the workplace obstruct their way to the top) and suggested that unsupportive work environment/societal pressure was a bigger culprit (prime barrier) as against the normally accepted family constraints. Therefore, in the first phase, the qualitative IDI and the literature review helped in building the questionnaire. The questionnaire was finalised after being tested through a pilot study. This was followed by a quantitative

survey (which was conducted on a larger population of 200 women managers, out of whom 134 responded) to validate what had been achieved by the qualitative interview method. The 5-point likert scale containing response options of strongly agree, agree, uncertain, disagree and strongly disagree was used to assess agreement and disagreement to the statements in the questionnaire.

RESULTS AND FINDINGS

The quantitative study led to the following observations: An overwhelming 79% of the women agreed to our fundamental assertion that despite efforts towards gender parity, very few women have reached the senior most positions while 9% disagreed. Further, 63% agreed that quite a few women fall off the ladder before reaching the top position while only 16% disagreed. This is clearly indicated in the Figure 5.

As mentioned in the methodology, the barriers to women’s progress to senior most positions were classified into

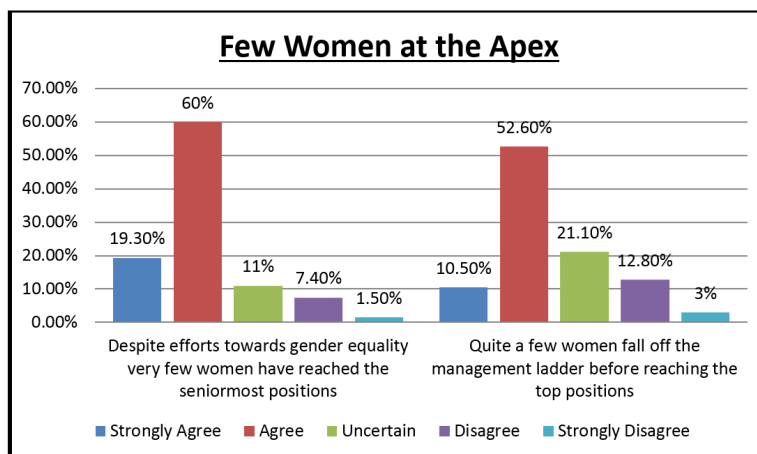


Figure 5. Percentage distribution of the result of the study’s basic premise

four categories. The leading category - Importance to family and family constraints - gave expected results. The oft cited and the most commonly declared barrier of giving more importance to family fetched 52% agreement but retardation in progress due to family constraints gave predictable results. Seventy four per cent of women managers agreed that breaks in career due to family and child care limit their experience in workplace and 62% agreed that a women's commitment to family and child rearing is the main reason in turning down offers of promotion.

The second category - Unsupportive work environment, organisational culture and societal pressures - has almost usurped the crown from the generally reigning prime barrier of family constraints. Sixty eight per cent are sure that unsupportive

work environment, organisational culture and societal pressures can be a major barrier in attaining high level position while 49% agree that women do not get the critical inside information discussed in the informal power networks or the old boys club which proves to be a deterrent to their advancement. Table 2 shows the response to the first two categories.

The reactions to the third category (illustrated in Table 3), which is also the first research question, exhibit that women themselves and their insecurities (inner demons as we call them) seem to be emerging from under the shadows of their fears with 76% disagreeing that women lack the desire to advance to senior level and 75% vehemently denying that they are less self-assured and confident than their counterparts. Though 56% agree

Table 2
Results for the first and second categories of barriers

Barriers		SA	A	N	D	SD	
Family constraints and importance to family	A	Women give more priority to family than to their careers	16%	46%	22%	9%	7%
	B	Breaks in career due to family and child care constraints limit their experience as compared to continuous record of male counterparts	31%	43%	12%	13%	1%
	C	A woman's commitment to family and child rearing is the main reason in turning down offers of promotion	19%	43%	13%	25%	0%
Unsupportive work environment, organisational culture and societal pressures	A	Unsupportive work environment, organisational culture and societal pressures affects women's ability to attain high level position	24%	44%	14%	15%	3%
	B	Women often do not get the critical inside information which forms a part of the informal male social networks that women frequently avoid	7%	42%	27%	16%	9%
	C	Women managers are not utilised and developed to the same extent as male counterparts	7%	21%	20%	27%	25%

that they have to work harder to prove themselves, a meagre 20% agree that women underestimate their abilities as well as performance. Twenty eight per cent agree that women don't self-promote while 42% feel that fear of appearing too ambitious, hence not likeable, obstruct their path to reach higher positions.

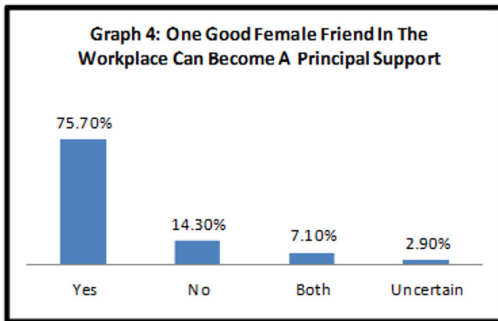


Figure 6. One Good Female Friend in the Workplace Can Become a Principal Support

The fourth category (other women in the workplace preclude the climb) answers the second research question. This is the surprise package and refutes the conjecture that other women in the work place create road blocks and are unsupportive towards their own sex. Only 20% agreed that senior women do not mentor younger women while 21% agreed that women who succeed in male dominated work environments oppose the rise of other women and 23% of the women agreed that other women in the workplace play a role in obstructing their progress. Table 3 showcases the results of category 3 and 4 mentioned above. Further, responses to the statement that 'one good female friend in the workplace can become a principal support' showed an interesting result. An overwhelming 75.7% agreed that women can become a prime support in their workplace (Figure 6).

Table 3
Result of the third and fourth category of barriers

Barriers		SA	A	N	D	DA
Women themselves and their inner demons	A Women managers are less self-assured and confident than their male counterparts	5%	9%	11%	33%	42%
	B Women lack the desire to advance to senior level	7%	7%	10%	40%	36%
	C Gender stereotypes and fear of appearing too ambitious and not likeable prevents progress up the ladder	7%	35%	38%	16%	4%
	D Women don't self-promote and themselves take a back seat.	6%	22%	28%	25%	18%
	E Men overestimate their abilities and performance and women underestimate both	4%	16%	30%	32%	18%
	F Women have to work harder to prove themselves	16%	40%	15%	17%	11%
Other women in the workplace preclude the climb	A Other women in the workplace play a role in obstructing their progress	4%	19%	33%	33%	11%
	B Most senior women do not mentor younger women	5%	15%	20%	44%	16%
	C Women who succeed in male dominated work environments oppose the rise of other women to maintain their authority	5%	16%	22%	40%	18%

Finally, to the query regarding what they think was the prime hindrance to their organisational ascent, quite interestingly, 52% of the women stated that unsupportive environment at workplace and societal pressures were the topmost barriers. This statement which solicits the respondents' judgement about the jewel in the crown, that is, the topmost barrier is also analysed under the first three categories and the responses received revealed that 22% give importance to family and family constraints, 26% to women themselves and 52% to unsupportive environment at work place and societal pressures (Figure 7). Out of the 52%, a whopping 34% of the women managers considered unsupportive environment at workplace as their chief obstacle. A chi-square test was done to check if there exists a significant relationship between 'societal pressures, organisational culture and unsupportive work environment' and 'women who have to work harder to prove themselves'. The chi-square test (value was 16.89 at 5 per cent level with one degree of freedom) establishes here that both factors are very much dependant.

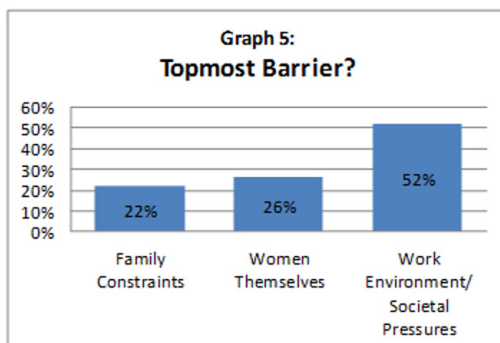


Figure 7. Topmost barrier

DISCUSSION

The important pronouncement about the prime barrier was found to be 'unsupportive work environment/societal pressures' with over 52% of the women managers across middle and senior levels supporting it. This is especially interesting as most of the research has repeatedly suggested that family constraint is the main barrier. Though that does remain an important barrier, the chief barrier in the present study was found to be 'unsupportive work environment/societal pressures' with family constraints showing a meagre 22% and women themselves 26%. This reveals a shift as it indicates that families are more supportive these days as compared to the past. Besides, women can and do make alternate arrangements to tackle family constraints but the workplace needs to take more effective measures and change their mind-sets and culture. Future research could include the men's perspectives to help strategise more inclusion at the top organisational strata despite the perception that men either present a rosier picture of acceptance of female executives especially at the higher most wrung or tend not to see the barriers (Carlson et al., 2009).

In addition to revisiting the barriers and identifying the current prime barrier, the present study addresses two research questions, namely: are women themselves responsible, and does lack of support from other women at the workplace act as a hindrance? In this context, the statement 'women are less self-assured and confident than men' received a vehement disagreement

from 84% of the respondents. Similarly, the response to the other query on whether ‘women lack the desire to advance to senior level’ also got a clear no with as high as 84% respondents not agreeing with it. On the issue of senior women not mentoring younger women, 75% of the women managers disagreed. Also the statement of successful, senior women opposing the rise of other women fetched a clean 75% disagreement from the respondents. Therefore the much publicised myth of ‘other women at the workplace obstructing their progress’ was busted. The detailed response is given in Table 4.

As mixed method research can “complement, develop, initiate, or expand a current or future study” (Hesse-Biber & Leavy, 2011), the qualitative method (IDI) was used to develop the instrument to be employed for the quantitative method. The IDI gave a clear insight into how the women managers make sense of their reality by fully agreeing to the problem addressed and providing a window to the

impediments of the organisational climb that they experienced. This helped in building the questionnaire for the quantitative survey. Again, as mixed methods “can enhance the validity and reliability of findings” and test “pertinent results”, the qualitative study was “followed” by a quantitative study “on a wider population” leading to “triangulation” or “convergence in findings” (Hesse-Biber, 2010). The results of the survey conducted by the present study clearly indicate that though family constraints, including child rearing, remains a major barrier, unsupportive work environment and organisational culture are equally responsible or maybe more for the almost static figures from 2004 to 2015 representing progress. The quantitative results corroborate the initial findings of the qualitative IDI (which had also refuted that women themselves and other women at workplace were responsible for their limited growth and revealed that unsupportive work environment could be a bigger evil than family constraints) exhibiting convergence of findings.

Table 4
Women themselves or other women at the workplace

Barriers	SA	A	N	D	DA	% *
A Women are less self-assured and confident than men managers	7	12	15	44	56	0.84
B Women lack the desire to advance to senior level	10	9	13	54	48	0.84
C Women have to work harder to prove themselves	21	54	20	23	16	0.66
D Most senior women do not mentor younger women	7	20	27	59	21	0.75
E Women who succeed in male dominated work environments oppose the rise of other women to maintain their authority	7	21	29	54	24	0.73

[*Note: Percentages calculated after ignoring ‘neutral’ responses and finding the proportion of ‘yes’ to ‘no’.]

CONCLUSION

Like an encouraging family, a supportive work culture and environment can go a long way to help women finally break the glass ceiling and in more numbers. There is no denying to changing times, changing mind-sets, education, opportunities and steps forward but the change is probably not enough and definitely not adequate to see larger number of women at topmost levels. Research has repeatedly shown family limitation as the main barrier. But the present study indicates that women might be able to figure out ways to handle family demands but the workplace needs to be more open to change and diversity. The inner demons may still haunt the women occasionally but as the study showcases, lack of confidence, insecurities seem to be receding into history and as the women make giant strides towards their not-so-distant goal, other women at the workplace do not obstruct their scramble but, in contradiction to the inflated stereotypical perspective, support their sisters in their efforts.

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Customer Retaliatory Complaining: An Extension of Customer Complaining Behaviour (CCB)

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ABSTRACT

Customer complaining behaviour is universal and studies relating to it have received substantial attention over recent years. Customers expect fair treatment from service providers for the effort invested in the relationship. Perceived unfairness would make customers feel as though they have been betrayed. Hence, they are likely to express their dissatisfaction through complaining. In certain cases, they might also resort to exhibiting aggressive behaviour to compensate for the unfairness they experienced. This paper proposes a conceptual framework by investigating the effect of customer's dissatisfied service experience attribution (DSEA) on aggressive complaining and its motivation in achieving fairness of treatment in a business relationship. Through a review of relevant literature on this topic, this paper attempts to conceptualise the framework of customer retaliatory complaining behaviour (CRCB). Understanding the implications could help service providers create more robust strategies to overcome negative consequences. Such an understanding is likely to contribute to the existing body of knowledge on how dissatisfaction can be dealt with effectively as empirical evidence could now be established on the importance of dealing with retaliatory behaviours in the service industry.

Keywords: Aggressive complaining, conceptual paper, customer complaining, dissatisfaction, emotional reaction, retaliatory complaining, service experience attribution

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INTRODUCTION

Customer satisfaction is one of the most researched areas in the marketing literature and it has been proven to produce positive responses from customers such as an increase in intention to repurchase and giving positive recommendations to others (Han & Kim, 2009). Dissatisfaction on

the other hand, could trigger customers to behave in the opposite way. There is empirical evidence that shows some of the most common responses from dissatisfied customers include exit, voice, switch, and negative word-of-mouth (Richins, 1983; Fornell & Wernerfelt, 1988; Singh, 1990a; Smith & Bolton, 2002; Bechwati & Morrin, 2003; Panther & Farquhar, 2004; Blois, 2008; Tronvoll, 2011). In contrast, there are also studies that indicate incidents where unsatisfied customers would rather remain passive than to complain (Oliver, 1993, 1994). Of the two responses, however, complaining is seen as a more attractive option although it may or may not lead to retaliation.

Creating superior customer experience seems to be the central objective in today's service environment but to gain complete satisfaction among customers would indeed be a difficult if not an impossible task. There will still be customers who will not be happy with the level of services rendered. Customers' dissatisfaction may be for reasons such as delayed service, receiving bills with unnecessary charges, or even having to wait in a long queue for service. However, these incidents are not necessarily strong enough to force them to behave aggressively. In order for aggressive behaviour to occur, a strong trigger linked to emotions such as anger would need to be present (Westbrook, 1987; Phillips & Baumgartner, 2002). Indeed, marketing researchers have established that emotions do play a role in determining customers' aggressive responses after service failures

(Richins, 1997; Svavi & Olsen, 2012). For example, they may resort to a more extreme dysfunctional behaviour such as vandalism and theft as a way of venting their anger (Fisk et al., 2010). This types of behaviour is supported by psychological research findings which posit that in order for aggressive behaviour to occur, a strong affective trigger is required (Verona et al., 2002), which often times is in the form of emotion (Roos & Friman, 2008). Therefore, in the context of this study, the affective trigger is linked to angry emotions that will motivate customers into displaying aggressive complaining behaviour (CRCB) after experiencing bad service.

Although complaining is not a new research area in marketing literature, very little attention has been given to study the link between customer's blaming attribution and their actual aggressive complaining behaviour (Keng et al., 1995). This is particularly so for Malaysia because such issues have the tendency to be viewed as confrontational (Ndubisi & Ling, 2005) and therefore studies that examine such behaviour or attributes may not be seen as providing positive inputs for marketing. This view, however, should change as studies on retaliatory behaviours in business settings can enhance our understanding on how to deal effectively with such behaviours. Therefore, in order to advance our comprehension of CRCB, it is necessary to have an in-depth understanding of how and why customers react to unsatisfying service experiences and whether complaints that evolve from such experiences ultimately

lead to retaliation by the customers. This is still an area that has not been dealt with comprehensively in the literature on services marketing.

PROBLEM STATEMENT

In a service-based industry, managing customer experience is an important element in building long-term relationships as repetitive patronage is sought by service providers. Customer service experience includes every point of contact at which the customer interacts with a business (Sandström et al., 2008; Grewal et al., 2009). For example, providing a conducive service atmosphere is crucial for customer satisfaction as it plays an important role in customer evaluation of the quality and value of service (Martín-Ruiz et al., 2012), which can also be the source of customer dissatisfaction. Further, research findings have revealed that customers do not only blame service providers for their bad experience, but also make inferences to factors that are beyond the control of the service provider (Brocato et al., 2012). For example, service disruption due to the inability to follow instructions properly will be considered as internally caused. Hence, self-blame will most likely be the dissatisfying outcome for not being able to comply with a service requirement (Svari et al., 2011). These two varying causes (service atmosphere, and customers themselves) would motivate customers to act differently in their complaining behaviours. Therefore, in dealing with dissatisfied customers, it is crucial for organisations to understand who

or what is to be blamed for the shortcomings. However, in more serious cases, it has been said that customers have also resorted to exhibiting aggressive behaviour as a way of expressing their emotions for the service shortcomings (Bougie et al., 2003).

The Malaysian National Consumer Complaint Centre's (NCCC) annual report showed a total of 40,560 complaints were received by the centre in 2013 which costs RM61,700,640.62 in expenditure. Although the number of complaints had dropped compared with 2012, there was a dramatic increase of 34.2% on the expenses incurred for dealing with such complaints in 2013. The followings are the top five areas of complaints received by NCCC based on sector category; (1) General Consumer Products, (2) Telecommunication, (3) Retailers (including e-commerce), (4) Automobile, and (5) Travel and Leisure Industry (including Airlines). Malaysia should therefore take consumer complaints seriously as it could provide essential information to help improve the quality of life and contribute to the country's economy in its efforts to becoming a developed nation by 2020.

Although there has been extensive research conducted on CCB, understanding of the overall concept is still scarce and does not reflect the full spectrum of the subject. Indeed, past research conducted on reaction from dissatisfied customers focused only on certain aspects of behavioural responses such as switch and complain, commonly known as complaining behaviour (Singh, 1988). It overlooks other possible response

behaviours that might be exhibited by customers such as aggressive complaining (Huefner & Hunt, 1994, 2000; Funches et al., 2009).

Pertinent concepts such as emotional reactions (ER) are ignored and this omission creates a knowledge vacuum that fails to highlight the severity of the complaining behaviour. The CCB taxonomies (Singh, 1988) that were referred to by many researchers in the past only focused on two main behavioural aspects, which were complaining and non-complaining. This perspective therefore left researchers and practitioners with limited information in understanding the full spectrum of customer complaining responses when faced with poor services and where emotional elements are likely to be inherent. This issue has received limited attention in the academic literature. To address the gap in the literature which focuses specifically on complaining responses (such as exit, voice, and third party complaining) and in order to expand the current CCB taxonomy (Singh, 1990b), the elements of ER will be investigated, and vindictive word of mouth and online word of mouth will be included in the CCB to reflect CRCB. As dissatisfied customers are the ones displaying retaliatory behaviours, elements influencing such actions will be a subject of interest. As such, service conditions including the atmosphere and customers' perceived inclinations when confronted with service situations will be included in the study. It is proposed that CRCB displayed by dissatisfied customers may be driven by service atmosphere and

customer self-evaluations, and the existence of ER may mediate the DSEA – CRCB relationship.

LITERATURE REVIEW

This section discusses customer aggressive complaining behaviour (CRCB), dissatisfied service experience (DSEA), and emotional reaction (ER) as a mediator. In this conceptual paper, relevant literatures were reviewed and four hypotheses proposed accordingly.

A. CRCB – an extension of CCB

Although studies on complaining behaviour have received considerable attention in the West, there are very few studies on the topic conducted in Southeast Asia. Keng et al. (1995) conducted the first study with the aim of profiling complaining behaviour of Singaporean consumers. The study concluded that complainers who resorted to public actions were assertive and possessed greater self-confidence with strong individualistic traits. Another study by Phau and Sari (2004) investigated the complaining and non-complaining behaviour of consumers at a shopping mall in Indonesia. The study revealed that consumers were more inclined to make a complaint when they attribute blame to sellers and manufacturers for their bad experiences.

In Malaysia, the research study by Aizzat et al. (2004) was among the first conducted to discriminate between complainers and non-complainers in the manufacturing company in the Northern region. The

findings revealed that consumers with a more positive attitude were more likely to complain, which is consistent with the findings by Keng et al. (1995). Another attempt to investigate gender differences in complaining was conducted in the context of banking services (Ndubisi & Ling, 2005, 2007). The study investigated the relationship between private complaint, public complaint, and customer defection. The findings show that both public and private complaints are associated with defection. More recently, a study carried out by Norazah (2011) attempted to investigate complaining behaviour of public library users in Malaysia. The study focuses on five types of user responses to dissatisfaction. What is clearly missing in all these studies is the cause of aggressive complaining. Additionally, none of the studies investigated customer retaliatory complaining behaviour in the Malaysian context. Therefore, it is timely for such studies to be conducted in order to advance our understanding and provide a full spectrum of CCB.

The basic premise of CRCB is to reach equitable business relationship. Unlike normal complaining, aggressive complaining is performed with specific motive(s). In particular, the purpose of retaliatory complaining exhibited by customers is to cause inconvenience (Bechwati & Morrin, 2003), restore fairness (Grégoire & Fisher, 2006, 2008), or to get even (Funches et al., 2009; Huefner & Hunt, 2000) with a service provider as a way of coping. This perspective posits that the main motive for CRCB is to restore balance in a relationship

through the act of complaining. Therefore, to better understand CRCB, it is deemed important to first understand CCB.

The original work of Hirschman (1970) on complaining behaviour has attracted significant attention among behavioural researchers where several attempts have been made to extend the model (Rusbult et al., 1982; Singh, 1988; Hunt, 1991; Huefner & Hunt, 2000). This work was an early attempt to understand how customers respond to poor consumption experiences. In the framework, three behavioural responses were introduced, which are: exit, voice and loyalty. Exit and voice are the two main recuperative mechanism of a dissatisfying experience. Loyalty on the other hand, is a more subtle way of expressing dissatisfaction where consumers give the organisation time to make corrections before they decide to exit the relationship. Other applications of Hirschman's exit-voice-loyalty includes investigating consumer's complaint in China's retail industry (Jin, 2010), complaint behaviour among library users (Oh, 2008), and in an online shopping context (Kim et al., 2003). Huefner & Hunt (2000) extended this work into the realm of and theory of retaliatory behaviour.

Another classic work on CCB is the taxonomy proposed by Day & Landon (1977) which generated a starting point for studying the variation in possible CCBs. In the study, the authors introduced a three-tiered classification of CCB. The first tier distinguishes between action and no action. Here, a dissatisfied customer may choose to either take action or take no action. If

the customer decided to take action, he can either decide between private actions or public actions. Private action entails specific behaviours such as boycotting, negative word of mouth, and redress seeking behaviour. Alternatively, for public action, he can choose to take legal action, or complain to consumer agencies. Using the same model, Broadbridge & Marshall (1995) investigated levels of post-purchase dissatisfaction of customers regarding domestic and major electrical appliances. The result of their study showed that for electrical goods, customers prefer to take public actions rather than undertake private complaints.

Another study on complaining behaviour that has been commonly cited is the work of Singh (1988). He collected empirical data from four different consumer categories namely banking services, medical services, grocery stores, and automobile repairs. The study revealed that customer complaint intention can be divided into three dimensions of private response, voice, and third party complaining, which was later known as Singh's CCB Taxonomy. Private response refers to negative word-of-mouth to friends and relatives, while voicing relates to complaining directly to sellers to seek redress. The final dimension of CCB Taxonomy signifies a consumer taking legal action, or complaining to a third party to address dissatisfaction. Attempts have been made to extend Singh's Taxonomy to different environments. Among them are conceptual studies by Davidow and Dacin (1997) with a new addition of exit / boycott,

and Stern (1997) with an addition of exit and loyalty dimension. Two empirical studies subsequent to Singh's were conducted by Dart and Freeman (1994) on clients in accounting firm, and Hansen, Swan, & Powers, (1997) on organisational buyer complaints behaviour. Both studies support Singh's three dimensional CCB taxonomies.

Studies concerning CCB continue to receive significant attention from the marketing scientist in the new millennium. Researchers continue to advance their understanding on dissatisfaction and the various possible complaining behaviour due to the richness of information obtained that could help organisations strategise appropriately. For example, switching, negative word of mouth, exit, voice, neglect, inertia, and avoidance (Huefner & Hunt, 2000; Bougie et al., 2003; Zeelenberg & Pieters, 2004; Mattila & Ro, 2008; Fisk et al., 2010; Ferguson & Johnston, 2011; Tronvoll, 2011; Petzer et al., 2012) are among the specific behaviour being studied. These behaviours are generally known as complaining.

In contrast, CRCB requires a strong trigger to occur (Verona et al., 2002). It demands that an individual experiences a negative emotional reaction prior to aggression in his or her behaviour (Bennett, 1997). As such, in consumer studies, triggers are factors that could influence customer perceptions resulting in actual behaviour (Roos & Friman, 2008) and often occur in the form of emotions. For example, a study conducted on customer response to dissatisfaction indicates that emotional

response (irritated/annoyed) is a trigger to a customer's aggressive behaviour (Huefner & Hunt, 2000) such as vandalism and theft (Fisk et al., 2010). Very few studies however, have delved into verbal aggression (Huefner & Hunt, 2000) as a way of coping.

In getting even with a service provider, a customer's aggressive complaining may come in many forms. Among others are vindictive complaining, spreading negative words of mouth or third party complaining for publicity (Grégoire & Fisher, 2008). Conversely, it is also argued that motivations for customer aggression goes beyond just getting even (Funches et al., 2009). Customers may behave aggressively for many other reasons such as to teach the service provider a lesson, save others from the same fate and seek redress, or revenge (Friend et al., 2010; Grégoire et al., 2010; Funches, 2011).

Although different aspects of aggression have been identified and studied in many research areas, the topic has only received a passing mention in the area of consumer dissatisfaction and complaining behaviour (Huefner & Hunt, 2000). Huefner and Hunt (2000) conducted the first exploratory study to discover the types of retaliation in which dissatisfied consumers engage. The study revealed that cost/loss demands, vandalism, trashing, stealing, negative word of mouth, and personal attack are among the most common retaliatory behaviours of consumers who are dissatisfied with services deemed as poor. Subsequent study by Huefner et al., (2002) on shopping behaviour in malls confirmed the findings

of their first study that in addition to exit and voice, retaliation independently occurs as a standard response to consumer dissatisfaction. Grégoire and Fisher (2008) in another study as well as Funches et al. (2009) looked at anti-consumption behaviour where customer retaliates not just to get even, but instead to teach service providers a lesson, or to save others from experiencing the same fate. Recent studies however, have not extensively investigated how or why a particular situation arise (Phau & Baird, 2008) which limits the CCB taxonomy to only certain behavioural outcomes.

B. Dissatisfied Service Experience Attribution (DSEA)

While studies on satisfaction have received considerable academic attention in the past due to the nature of its continuous enriched positive findings, study on dissatisfaction may also yield valuable knowledge for organisations. For example, studies conducted to investigate satisfaction revealed that satisfaction does have a positive impact on customer's behavioural intention (Ali & Amin, 2014), loyalty (Martensen et al., 2000), willingness to return (Bowen & Chen, 2001), business performance (Morgan & Rego, 2006), and profitability (Hallowell, 1996). Similarly, studies on dissatisfaction may also generate important findings for business organisations as it could provide important cues in understanding a customer's negative responses such as switching (Panther & Farquhar, 2004), negative word of mouth (Zeelenberg & Pieters, 2004),

exit (Phau & Sari, 2004), boycotting (Day & Landon, 1977), and retaliation (Huefner & Hunt, 2000), all of which will tarnish an organisation's reputation (Svari et al., 2011; Tronvoll et al., 2011) and hence, loss of business and profit for the service providers in the long run (Grégoire & Fisher, 2006). Therefore, organisations should look at dissatisfaction as an opportunity to improve service offerings, which will lead to the enhancement in the strength of the relationship and not as a threat to business.

Dissatisfaction occurs when customers' prior expectation is disconfirmed by the evaluation made on actual service received. Disconfirmation here refers to the inadequate return to the effort invested in the relationship (Fornell & Wernerfelt, 1988) felt by customers. Similarly, Michel (2001), defined dissatisfaction as the disconfirmation of service expectation due service failure where expectations are determined by a variety of factors. This perspective posits that customers may feel dissatisfied with their purchase experience when service providers fail to meet the expectation of at least one or more aspects of a service, product specification and operations (Ferguson & Johnston, 2011). When customers feel dissatisfied, they will form a negative cognitive and emotional impression (Tronvoll, 2007) towards the service and will then start to question what or who is responsible for the situation. Sometimes, they may also end up complaining or, in a worst case scenario, behave aggressively (Singh, 1985, 1988; Keng et al., 1995; Mattila & Ro, 2008; Funches et al., 2009; Svari & Olsen, 2012).

On a loyalty premise, Fornell & Wernerfelt (1988) find that dissatisfied customers, once persuaded to stay, are more loyal and valuable and are likely to generate positive word-of-mouth communications. This is because they feel that the service provider appreciates and values them as customers. Therefore, it is very important for organisations to take customer dissatisfaction seriously as it could be the source of untapped competitive advantage, or organisations' disruption. However, despite the importance of creating superior service experiences, our understanding of what customers actually experience during a service remains limited (Esbjerg et al., 2012) mainly because most of the prior studies were focused on service failures and recovery (Mattila, 2001; Xin, 2006; Ngai et al., 2007; Vázquez-Casielles et al., 2007; Gelbrich, 2009; McColl-Kennedy et al., 2009; Gelbrich & Roschk, 2010; Varela-Neira et al., 2010; McColl-Kennedy et al., 2011; Tsarenko & Tojib, 2011; Ro, 2013) and not service dissatisfaction.

Unlike product consumption, the production and consumption of a service takes place simultaneously. Therefore, in any service transaction, both the service provider and customers' involvement are required to create a successful exchange. For example, in a retail banking setting, the service provider will rely on customers to explain what kind of service is needed. Conversely, the customer depends on the service provider to execute his or her request, thus a creating a successful exchange. Any unsuccessful exchanges between the two parties will lead to dissatisfaction and

will be perceived as relationship inequity causing the customer to respond in order to cope with the situation (Varela-Neira et al., 2010). Besides these two elements, service atmosphere is also important in ensuring successful exchanges (Pareigis, Edvardsson, & Enquist, 2011). Indeed, service atmosphere was found to have direct effect on service dissatisfaction and thus influenced customers' behavioural responses (Ryu & Han, 2011). This is because when customers undergo a dissatisfying episode, specific emotions will be triggered. The occurrence of emotions will distinguish the blaming attribution either to one's self, or other factors (Menon & Dubé, 2004; Yi & Baumgartner, 2004; Sviri et al., 2011). For example, if the service disruption was due to matters such as failure to provide necessary supporting documents; then the dissatisfaction will automatically be attributed to customers themselves. If the failure was caused by factors such as the service environment, then the customer will blame the service provider for their dissatisfaction.

With regards to Malaysia, past studies on dissatisfaction have focused on factors such as demographics, psychographics, attitude toward businesses, and product attributes (Aizzat et al., 2004). Alternatively, a study by Osman (2011), used four dimensions (e.g. perceived control, self-monitoring, procedural perception, and low efficacy) to study the extent of complaints by consumers. In a more recent study, Tam and Chiew (2012) used general attitude towards business, sense of justice, likelihood of

success in complaining, and difficulty of complaining as antecedents in profiling young adults' complaining behaviour in Sabah.

Despite the many studies that have demonstrated the link between factors of service experience such as store environment, service environment, convenience, and hedonic service (Gelbrich & Roschk, 2010; Walter, Edvardsson, & Öström, 2010; Esbjerg et al., 2012; Wong, 2013), and customer dissatisfaction behaviour, our understanding of the relationship between these elements remain limited, especially in Malaysia. Indeed, most of these studies were conducted in the context of western culture focusing on service failures, recovery, and behavioural intention, and not on customers' actual aggressive response behaviour. Similarly, for the case of Malaysia, none of the studies (Aizzat et al., 2004; Ndubisi & Ling, 2005, 2007; Norazah, 2011; Syahmi, Daleela, & Khasimah, 2013; Tam & Chiew, 2012) focused on the customer's aggressive complaining or retaliation as a way of responding to dissatisfaction. This fact may be due to the lack of formal data on retaliatory complaining behaviours compiled within the Malaysian context. Therefore, it is important to consider the dynamic aspect of service experience when investigating the situation. As suggested by Varela-Neira et al. (2010), further studies should be conducted to investigate whether different causes of service dissatisfaction produce different customer reactions in different parts of the world as a number of studies have reported that individuals

in different cultures focus on different factors when evaluating services. These differences may well be linked to ethnic factors embedded in cultural underpinnings as posited by Ali (2012), who looked at the effects of ethnicity and religiosity on customer loyalty. Therefore, based on the above, the research hypothesised [H₁] that:

H₁: There is a significant relationship between DSEA and CRCB.

C. Emotional Reaction (ER) as mediator

Studies have proven that dissatisfaction alone is not enough to cause customers to behave aggressively but instead such a behaviour is triggered by the negative emotional state produced by the appraisal of unfavourable consumption (Fornell & Westbrook, 1979; Smith & Bolton, 2002; Tronvoll, 2011). For example, when a customer experiences dissatisfaction, he or she will tend to evaluate the causes that are important and relevant (Bagozzi et al., 1998; Folkman & Lazarus, 1988; Smith & Lazarus, 1990). These causes will then influence their affective state of thoughts and affect their emotional stability (Bougie et al., 2003); hence, the generation of ER [H₂].

H₂: There is a significant relationship between DSEA and ER.

Emotions positive and/or negative, are said to have effects on a customer's behaviour (Chebat & Slusarczyk, 2005). Marketing research has also provided support for this claim that customer's

feelings or emotions determine their aggressive responses after a service failure (Bechwati & Morrin, 2003; Smith & Bolton, 2002; Tronvoll, 2011).

Consequently, it was also revealed that ER is a significant predictor of customer response to dissatisfaction (Bougie et al., 2003). Often times, emotionally affected customers tend to feel more betrayed and this feeling influences them to react negatively to a greater extent (Grégoire & Fisher, 2008). This link can be also equated with angry responses that occur as a result of dissatisfactory service experiences. Indeed, customer's actual behaviour is also said to be mostly driven by emotions, where even if the complaints can be fixed, customers do not necessarily remain loyal if the emotions are not properly taken care of (Chebat & Slusarczyk, 2005). Therefore, based on the above, the following hypothesis [H₃] is developed for further testing.

H₃: There is a significant relationship between ER and CRCB.

Empirical evidence indicates that emotion mediates the relationship between service dissatisfaction and behavioural responses (Bougie et al., 2003; Chebat & Slusarczyk, 2005; Ng & Hodgkinson, 2005; Schoefer & Diamantopoulos, 2008). Customers who experienced unfavourable service will be motivated to search for the cause and, depending on the attribution, related emotions will be triggered which will influence their subsequent behaviour (Casado-Díaz, Más-Ruiz, & Kasper, 2007; Vázquez-Casielles et al., 2007).

For example, in a retail banking setting, a customer who went through a dissatisfying experience (too crowded space, or inability to provide supporting documents) would feel uneasy with the moment and therefore will be motivated to find the cause for his or her inconvenience. They would question who or what is to be blamed for the shortcomings. In this case, dissatisfaction caused by the space management issue will be attributed to the service provider while the latter will be attributed to the customers themselves. Depending on the blame attribution, specific emotions will be triggered, thereby resulting in specific response behaviour. Hence for this research, we consider that the different evaluations made on the attributions of service dissatisfaction (e.g. service atmospheric, and customer own-self) does have an effect on customers' emotions, which may in turn influence their specific aggressive complaining behaviour. This reasoning is in line with the findings of DeWitt et al. (2008) who posits that

emotions either positive or negative have important mediating roles on customer behaviour. Therefore, based on this, ER will be investigated as a mediator [H₄].

H₄: ER mediates the relationship between DSEA and CRCB.

D. The Conceptual Framework

Review of relevant literatures provides enough evidence to show the linkage between DSEA and CCB. Specifically in this study, the independent variable (DSEA) influences the dependent variable (CRCB) with the mediation of ER in place. The inclusion of ER is to understand how retaliatory complaining can result from service dissatisfaction. With Huefner and Hunt's Theory of Customer Retaliatory Behaviour (CRB) as the platform of conceptualisation, Figure 1 addresses the influence of dissatisfied service experience.

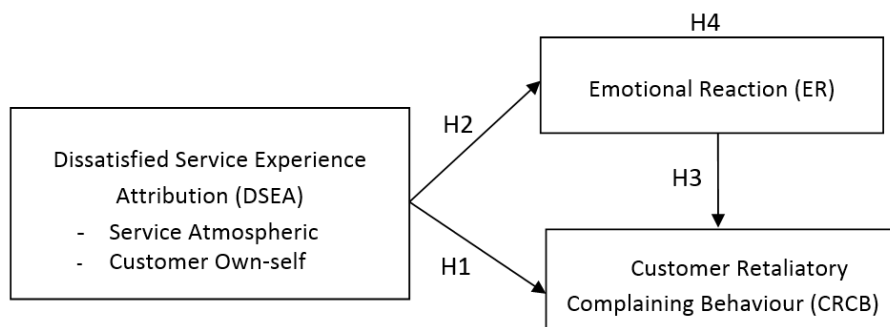


Figure 1. The mediating effect of emotional reaction on dissatisfied service experience attribution – customer retaliatory complaining behaviour

In essence, the CRB theory addresses specific complaining behaviours brought about by dissatisfaction experienced by the customers which may reach an extreme point leading to retaliation. This study is extended to propose that much of the retaliatory behaviours may be affected by the customers' emotional reactions. Although this model is merely an excerpt of a much larger model of retaliatory complaining behaviours, what is posited here is the core element of dissatisfactory service experience and its influence on retaliation in a service setting. As consumers and as humans, it is the emotions that often trigger a reaction that can be either accepting or retaliating. It is envisaged that retaliation is the conduct of emotions even in a situation involving the transaction of buying and selling. Figure 1 illustrates the proposed role of ER as mediator. To test this model empirically, a Structural Equation Modelling (SEM) tool would be appropriate. Generally, for mediation to be demonstrated, four conditions must be present (Baron & Kenny, 1986). The conditions are:

- i. there must first be a statistically significant relationship between the independent variable (DSEA) and the dependent variable (CRCB);
- ii. there must also be a statistically significant relationship between independent variable (DSEA) and the mediator (ER);
- iii. after controlling for the effects of the independent variable (DSEA), there must be a statistically significant relationship between the mediator (ER) and the dependent variable (CRCB);
- iv. complete mediation is demonstrated when, after controlling for ER, the relationship between DSEA and CRCB is zero.

The more likely scenario in this example is one of partial mediation, where after controlling for ER, the relationship between DSEA and CRCB is reduced. In other words, part of the relationship between DSEA and CRCB is explained by ER. This example provides an illustration of how identification of potential mediators can increase theoretical richness, and may enhance both the predictive and explanatory power of the underlying theory.

CONCLUSION AND RECOMMENDATION

In a competitive business environment, organisations offer more or less the same product or services like the others. Thus, any feeling of dissatisfaction will trigger emotional reactions (ER) that will influence how a customer reacts towards an organisation. In the past, studies have indicated that dissatisfaction could create conflict in the buyer – seller relationship and could cause or force customers to react in specific ways in order to cope with unfavourable situations (Athanasopoulos, 2000; Keaveney & Parthasarathy, 2001; Yang et al., 2009). Some, would respond by complaining (Singh, 1990b; Singh & Wilkes, 1996; Ngai et al., 2007; Sharma et al., 2010) while others would do nothing (Day & Landon, 1977). However, there will

also be those who would resort to displaying aggressive behaviour as a way of coping.

Therefore, understanding customer aggression brought about by dissatisfaction related to services is crucial for service providers including government agencies where satisfactory level of services are demanded by the general public utilising such services. Comprehending what constitutes acceptable and unacceptable service provision levels from a theoretical perspective will ultimately enhance practical offerings of services leading to a more concrete service provision by service providers and also related policies by the government.

From a practical perspective, the findings from this research are likely to benefit high customer contact service organisations that deal predominantly with services in which customers are highly dependent such as banking services, telecommunication and public utility companies. Viable approaches of how to handle retaliatory complaining behaviours may well assist such organisations in dealing with critical encounters that has the potential to affect public image of the organisation.

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A Qualitative Study of the Post-80 Generation in Career Development Realm in Hong Kong, China

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ABSTRACT

The transition from school to work is a critical milestone in the life of young people and plays a crucial role in how their future careers develop. This transition is a complicated process which not only involves a change of identity from a learner to a worker, but also a transition from adolescence to adulthood where one's life planning is at stake. This paper examines the views of young Chinese in relation to career development in a society where East meets West. The study is a qualitative research with an in-depth semi-structured interview approach to explore the career concerns and issues faced by the post-80 generation in Hong Kong. Data is collected in audiotaped individual interviews with 10 young people aged 18 to 24. The sample is selected purposively in terms of their socio-economic backgrounds and thematic analysis is used to explore a number of key themes including ideas about career development, readiness for continuing education, constraints to career planning, gender differences in acceptance of cross-border work and overtime work, and single child problem for career development. The findings revealed insights on the career development of the post-80 generation and the interplay of ecological system in the Hong Kong context. Practical measures to facilitate a better transition to young adulthood were discussed in the paper as well. The insights from this study would be useful for human resource practitioners, policy makers and interested parties who together can jointly devise appropriate career interventions to assist young people in their transition to adulthood.

Keywords: Career development, lived experience, post-80 generation, ecological system

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INTRODUCTION

Youths are in a critical period of identity formation during which they separate from their family of origin and develop a sense of the self through their interactions with others in new social relationships in the

wider society (Erikson, 1968; Kroger, 1996; Henderson et al., 2007). The transition from school to work is a critical milestone in the lives of young people and plays a crucial role in how their future careers develop. This transition is a complicated process which not only involves a change of identity from a learner to a worker, but also a transition from adolescence to adulthood where one's life planning is at stake.

CHANGING SOCIOECONOMIC CIRCUMSTANCES AND THE POST-80 GENERATION IN HONG KONG

In the mainland China, the post-80s generation is a product of one-child policy. The media has portrayed the single-child families as "4-2-1 syndrome", namely four grandparents and two parents pouring their attentions onto one child (Wu, 1997). They are regarded as a spoiled generation with best available education and electronic gadgets (Stanat, 2006). In contrast, as a Special Administrative Region of China, Hong Kong was in the administrative transition and unaffected by the one-child policy with its post-80s generation raised in an era when it was on the road to affluence. This generation has not encountered poverty, unlike their. As shown by statistics on the proportion of youths living with parent(s), the proportion of the generation living with parent(s) rose from 86.3% in 1996 to 94.6% in 2011 (Census & Statistics Department, 2013). There is a trend of prolonged 'adolescence' as young people become more financially dependent on their parents (Hong Kong Federation of Youth

Groups, 2006a). Continued education, employment, Chinese cultural factors, economic concerns and housing issues all contributed to young people's prolonged financial dependency on families (Hong Kong Federation of Youth Groups 2006a, 2013). Therefore, the research on post-80s generation in mainland China cannot be generalised to its counterparts in Hong Kong.

This younger generation has also been the main beneficiaries of the expansion of higher education 1990s in Hong Kong as the colonial government spent more resources on education to tackle the problem of 'brain drain' due to handover of sovereignty of Hong Kong in 1997 and to enhance the workforce for the structural transformation of the economy. The number of subsidised university places quadrupled within a decade. Owing to the increased post-secondary education opportunities in the past 10 years, the youth population with post-secondary education increased substantially both in number and in their share of the population. In 2001, 173,225 youths (or 19.5% of the youth population) had attended post-secondary education and the number reached 338,301 (or 39.3% of the youth population) in 2011 (Census & Statistics Department, 2013). The development of the economy created more employment opportunities for young people. However, the occupational progress made by young people lag behind the pace of the expansion of higher education (Wu, 2010). As a result, it was more difficult for college degree holders in 2006 to find a managerial

or professional job than it would have been a decade ago.

The number of Hong Kong residents working in the mainland territory has been on the rise according to the survey conducted by the Census & Statistics Department of Hong Kong (2011) over the past years. The figures show a rise, from around 157,000 in 1998 to 175,000 in 2010. With the increasing pace of globalisation of the world economy, the mobility of workforce resources becomes a key factor. Creating international awareness among youth and enabling them to become multi-talent mobile workers so as to adapt to the changing work environment are a matter of concern to the government.

There is rising concern regarding young people who are not (N) in education (E), employment (E) or training (T), i.e. the so-called 'NEET generation' (Inui, 2005; Pemberton, 2008; Yates & Payne, 2006; Yuji, 2007). Hong Kong has been regarded as a world city and one of the wealthiest societies in the world in terms of per capita GDP. However, some young people do not share the fruit of economic growth and prosperity. In 2010, 7 per cent of the 837,700 young persons in Hong Kong were non-engaged or not employed. The proportion of NEET youths in the total youth population have fluctuated in tandem with the changes in the level of youth unemployment and overall unemployment (Hong Kong University of Science and Technology, 2012). Concerns have been raised that this group of young people are at higher risks of developing poor mental health and becoming involved in criminal activity (Ngai, 2007).

Against a background and unique context of Hong Kong, the post-80s generation is confronted with many career-related issues. The social and economic environment young people now face and their unique experience in terms of upbringing may have inculcated in the post-80s generation different attitude to work and career aspirations (Yip, 2012). Young people have to adjust to a work environment and resolve issues regarding their career direction and manage life demands in their transition to adulthood. They have to manage such career-related tasks in the midst of family and peer expectations. The stress in managing the career-related tasks can be regarded as career concerns (Super et al., 1996). Career concerns of young adults show their worry about a current task and career development (Code & Bernes, 2006). It is understandable that different generations have different values and preferences towards work attitudes and work environment (Yi et al., 2010) and they have to be motivated in new ways (Lynton & Thogerson, 2010). For the human resource practitioners, the study provides insights into what could be the most effective approach to developing the ambitions of young people in Hong Kong. For example, the human resources practitioners can acknowledge their roles in helping the transitions of young people from school to work. By understanding young people's career concerns such as job security, inadequacies at work, importance of intrinsic rewards, gender differences in acceptance of cross-border work and overtime work for career development among others, human resource management

can take these into account in recruitment and succession planning as well as motivate and retain this group of young people in the labour market.

Although many studies have been conducted on generation Y (Bynner, 2001; Raffe, 2003; Alan, 2007; Henderson et al., 2007; Vinken, 2007; Jones, 2009; Twenge & Campbell, 2008) in the western countries and in mainland China, there is a dearth of work of research that explores the experience of their Hong Kong counterparts in the career development realm (Hong Kong Federation of Youth Groups, 2006a, 2013; Wu, 2010; Yip et al. 2011), particularly among Hong Kong Chinese, a gap this paper is designed to address. This research paper aims to add to existing literature on young people in Hong Kong. It aims to fill the gaps in our understanding of the concerns of the post-80s generation in relation to their career aspirations, need for continuing education, constraints in career development, differences in choices in cross-border work and overtime work and concerns of single child between career choice and family responsibility. Such themes were not explored by previous studies in Hong Kong. The eco-systemic approach adds to the literature as the complex eco-system of personal ability, class background, gender, educational attainment, ethnic status and identity, labour market and family resources impact on the life chances and career development of young people. The eco-systemic approach can be used to analyse the constraints and opportunities for young people in transition

to career development in a local context. To conclude, this study examines two research questions: First, what are the career concerns and problems that the post-80s generation in Hong Kong may encounter? Second, what are the opportunities and measures that can assist young people for better transition to career development?

AIM OF STUDY

This study seeks to explore the career concerns and issues faced by the post-80s generation in Hong Kong. By examining the lived experiences of a group of young people from Hong Kong in the career development realm, this study could provide a picture of career-related challenges and opportunities that they may encounter in a changing global world.

METHODOLOGY

This study is a qualitative research with semi-structured individual interview design with a view to obtaining a deeper understanding of the post-80s generation's lived experience and concerns about their career development. This study provides useful input for human resource management and policy agenda that can, where needed, assist young people for better transition to career development.

Sample

The sample of this study was selected purposively so as to gain an insight and understanding through interviews with youths coming from some very different walks of life. Ten interviewees were identified

from a survey on the basis of their replies and willingness to be interviewed individually. They were selected from a subset of youth participants from a survey of 1,132 respondent returns (the survey related to the young people's perceptions on family-building conducted between 2009 and 2012 by the researcher) as willing to engage in an interview in order to explore more deeply their views on career development. A total of 10 young people were interviewed as they were representative of some key characteristic of the post-80s youth profile based on the statistics of the Hong Kong 2006 Population By-census Report (Census & Statistics Department, 2006). There were several criteria for selecting the above sample of youth purposively. First, regarding gender, the sex ratio of the youth population (Census & Statistics Department, 2006) is relatively evenly distributed. Based on the statistics shown, the selection of gender was 5 female and 5 male for the 10 interviewees in the qualitative individual interviews. Second, there is greater chances for education available to the Hong Kong youth population. However, improved education does not necessarily mean more employment opportunities. Unemployment rates have been increasing in the past decade among young people, especially the post-80s and post-90s generations, even those with tertiary education. Hence, it was important to select some interviewees with higher education (degree or above) and with lower education level (junior high school or below) respectively to elicit their views on career development in the context of

socio-economic background. Third, from the By-census 2006, a large proportion of working youths were engaged as service workers and retail workers (29.4%) and clerks (27.9%) in 2006. Youths were highly represented in these occupations and hence, some respondents were chosen from these occupations. Fourth, with regard to the median monthly income from the main employment of youths, the census in 2006 showed that it decreased by 13.3% over the past 10 years, from HK\$7,500 in 1996 to HK\$6,500 in 2006. By contrast, the median monthly income from the main employment of the working population increased by 5.3%. The median monthly income from main employment of working youths in 2006 was about 65% of that of the whole working population. Since the earnings of young people relative to the general working population have been declining over time, it was considered important to select for the interviews youth representing disparities of income. Fifth, Hong Kong as a world city and with the integration with mainland China since 1997, more and more people undertake cross-border work in order to earn a living and for better work prospects. Additionally, with intense competition brought about by globalisation, more and more people pursue further studies or work overtime with a view to maintaining their competitiveness. Hence, cross-border work, overtime work and continuing education may be significant factors affecting the work life and career development of the post-80s generation. As such, respondents who were chosen for interviews were

known to be undertake cross-border work, overtime work and continuing education. Sixth, there is a group of persons with no jobs, no study and receiving social welfare assistance. Such 'hidden youths' often withdraw from and neglected by the community. Prolonged unemployment is known to be associated with depression, anxiety, low self-esteem, and poor health among youth (Bjarnason & Sigurdardottir, 2003; Mossakowski, 2009). Hong Kong has 1,418,200 youths aged 15-29 representing 20% of the total population (Census & Statistics Department 2010a). However, young people face high unemployment rates. The 2010 unemployment rates (July-Sept) for the 15-19 and 20-24 age groups was 21.7% and 13.6% respectively, while the rate for the general population during the same period was only 4.4% (Census & Statistics Department, 2010b). Higher unemployment rates, lower starting salaries and insecure jobs have put many young people in disadvantaged positions, protracting the transition from school to work and from childhood to adulthood and alienating them from society generally. Hence, young people from this background were targeted and included in the interviews. Lastly, as a Special Administrative Region of China, there are quite a number of new arrivals from the mainland who come to Hong Kong for family reunion or for life improvement. The vulnerability of youth is often associated with some social characteristic such as immigration status, particularly in view of the various adjustment issues encountered by newly

arrived youngsters. Issues related to new immigrants who have been previously living under the Communist regime need further study to see whether there are any differences in their values and attitudes towards career development. Here, we define these new immigrants as arrivals from mainland China to Hong Kong and who have been living in the latter for a period of less than seven years. Returnees from overseas after their study were also one of the target sub samples who might provide different insights into their career plans in the context of global and local culture and values.

Hence, five categories were created based on the selected youths' socio-economic backgrounds, namely gender, educational attainment, job status and working conditions, income and immigration status. The five types consisted of (a) those with low skills and academic achievement with low income (i.e. less than the median monthly income of youth from main employment - HK\$8,000 in 2011) (C&SD, 2013); (b) those with high skills level, high academic achievement and high income; (c) those undertaking cross-border work, overtime work or with continuing education; (d) those with no jobs, no study and no training (the so-called 'NEET generation'); and (e) new arrivals to Hong Kong from mainland China, or returnees from overseas study. They ranged in age from 18 to 24. Five were males and five were females. In this study, youths or young people (these are used interchangeably) refer to those aged 15 to 24 for both sexes.

Data Collection

Before the interviews, the subjects were sent via post an invitation letter together with a consent form and an information sheet with a brief introduction to the research

project. Participants were asked to sign the consent forms agreeing to participate. The interviews were conducted in private settings convenient to the participants, i.e. the researcher’s office and coffee shop.

Table 1
Characteristics of Participants

Name	Age	Gender	Current Status	Educational Level	Remarks
Lok	23	Male	Drawing class tutor	Secondary 5	Low monthly income (around HK\$3,000) and limited occupational skills
Irene	19	Female	Programme assistant in a welfare agency	Secondary 5	Low monthly income (HK\$6,500) and limited occupational skills
Victor	24	Male	Management trainee	Bachelor degree in public administration	High monthly income (HK\$24,000) with professional qualification and undertook overtime work (around 15 hours per week) and also continuing education (following a banking course 10 hours per week).
Abi	24	Female	Secondary school teacher	Bachelor degree in education	High monthly income (HK\$24,000) with professional qualification and worked overtime (around 15 hours per week)
Ken	19	Male	Dog trainer	Secondary 4	Undertaking cross border work (went to the mainland China 1-2 times per week) and overtime work (around 10 hours per week)
Blossom	24	Female	Private housing management officer	Post-secondary education	With continuing education (taking management course 6 hours per week) and overtime work (around 25 hours per week)
Ting	21	Male	Not in education, employment or training	Secondary 5	Few tangible connections with the local community, had no paid employment, was not studying and had no income
Ching	18	Female	Not in education, employment or training	Secondary 5	Few tangible connections with the local community, had no paid employment, was not studying and had no income
Chak	23	Male	Printing machine assembler	Secondary 5	He had migrated from the mainland China in the last 3 years
Portia	22	Female	Student	University Year 1 student (major in Geography)	A single child, overseas returnee from US

The interview environments were safe, comfortable and relaxing. The interviews lasted 60 to 75 minutes, were tape recorded and transcribed verbatim. The questions were asked in Cantonese on the subjects' career aspirations and plan, and factors affecting their transition from a dependent youth to a completely independent adult in terms of career development. The major questions included "Do you have any career plan or career aspirations?", "Why do/ don't you have a career plan?", "What are your career concerns?", "What kind of difficulties do you encounter when you start your career?", "Do you accept/ undertake cross-border work or overtime work? How far does cross-border work or overtime work affect your career development?", "Do you have any continuing education after work? How important continuing education would affect your career plan or development?", and "What policies, measures or service provision can facilitate or help you develop your career?"

Data Analysis

Thematic analysis was employed in this study as it is a commonly used method (Davies, 2007; Bryman, 2008) that identifies themes or patterns within data (Braun & Clarke, 2006). It was used to seek qualitative insights in relation to the predetermined categories of discussion in a systematic and replicable manner. Overall, the thematic structure reflected the frequency of material that addressed the lived experience of the Post-80s Generation in Career Development Realm in Hong Kong. In this instance, the

method adopted was the six-stage model of Braun and Clarke (2006). In the first phase, the researcher becomes familiar with data by reading all of the transcripts and field notes which assists in grasping broad patterns. The next stage involves initial coding and being reflexive about my own assumptions and views and to be open about these in the analytic process. In phase three, the codes are grouped into potential themes and compared and connections traced. These clusters of initial themes and sub-themes are organised into an initial thematic map. Phase four entails reviewing, refining and reducing these themes. This process involves going back and forth between these different stages in a recursive process. Phase five entails a fresh comparison both within and across themes in order to generate their shared and dissonant features and to establish links that help grasp the systemic aspects of the perspectives of the respondents. In the final stage, the themes are defined in ways that capture the core of the theme and its relationship with the overall narrative on data and its analysis.

Regarding reliability of this qualitative research, pre-test of the interview schedule was conducted among three youth samples to ensure each respondent understood the questions in the same way and that answers could be coded without the possibility of uncertainty. Reliability in this study was also addressed by using standardised methods to write field notes and prepare transcripts. The researcher followed the conventional contrastive procedure of taking field notes as well as audio-taping and drafting the

transcripts of the individual interviews and comparing both sources to help ensure the reliability of the study. This study also addresses the issue of validity by taking data and findings back to the 10 interviewees for verification.

FINDINGS

The themes identified from data describing participants' experience and views on career development are outlined below:

Theme 1: Career Aspirations were based on Young People's Preferred Value and Belief, Primary Interest, Job Stability and Income Trajectory over Time

A few respondents in this group had some idea about career development. In the interviews, some interviewees had career aspirations except for those with no job, no income and not involved in the study. They wanted to climb a career ladder with various career aspirations such as being a designer, social worker, senior bank manager, a professional dog trainer, a human resources officer and a beautician among others. Their choice of career practices was based on reasons such as their preferred value and belief, primary interest in the specific occupation, career availability and job stability, and the income trajectory over time.

I would like to seize every chance to get promoted to the middle management in a few years and getting higher salary in return... Actually I don't like routine jobs. I

want more exposure and prospects in my career. (Victor)

It should be noted that one young adult was not satisfied with doing a job just for financial gain but was primarily attracted to the intrinsic rewards of a career.

Because I love it (design). The second reason is that I do not want to do a job just for a living... oh! I want to do a job that I enjoy, ah... with a sense of achievement... and a sense of satisfaction... (Lok)

Theme 2: Young People Pursue Continuing Education to Remain Competitive at Workforce

It is relevant to note the influence of globalisation which emphasises a fast and keen competitive culture, in which one may have to pursue further education to remain competitive. Some interviewees have indicated that they have pursued or had plans for continuing education. They felt the need for continuing education in order to remain competitive. Those with undergraduate qualifications would study for a Master's degree or related qualifications in order to find or keep a career on track.

There is more competition. As a teacher, you have to get many qualifications and licenses, you have to learn Putonghua... (Abi) Now I'm studying CFA (Chartered Financial Analyst) and preparing for examination for this profession...

Though I feel tired sometimes I hope to have career achievement before 30, I have many continuing education plans for the near future.
(Victor)

Those without an undergraduate degree tended to study for other applied courses such as human resource management or an art course delivered by a private organisation in order to gain better employment prospects. Some interviewees realised the importance of continuing education in maintaining their competitiveness in the workplace. As more people enter the job market with higher qualifications, they find that they had to re-equip themselves in order to reach their goals or stay competitive in their particular labour market. Thus, Victor, a banking trainee at a local bank wanted to gain professional qualifications in banking and an MBA before the age of 30, while Blossom, an officer at a real estate management company, wanted to study for a human resource management course in order to climb up the career ladder. Ken, 19, and a dog trainer was a high school dropout who did not enjoy school work but changed his mind after working several years in different jobs and acknowledged the importance of qualifications. He planned to save enough money to acquire a professional qualification and licence in dog training.

Theme 3 - Constraints to Career Development

Sub-theme: Declining or Relocation of Industries Increase Uncertainty in Career Prospect

Some young adults were uncertain about their futures in the fast growing economy of Hong Kong whereby many factories had moved to mainland China because of lower operating costs. Chak was a fairly recent immigrant from the mainland and worked in a printing factory and unsure of his career prospects as many similar factories had moved to the nearby Guangdong province of China where production costs (notably labour) were cheaper.

We are worried that this industry could disappear suddenly. This year, the number of printing factories is much smaller. Many factories moved across the border. (Chak)

Sub-theme: Unstable Contract-based Employment Affected Longer-term Career Planning of Young People

It is noteworthy that nowadays many young adults are not confident about their career prospects as their jobs are mostly on fixed term contract basis (Wu, 2010). They were not sure whether these contracts would be renewed, which in turn affected their longer-term career planning. Abi was a good example of this dilemma, feeling uncertain in employment:

In the past, there were permanent posts, but now many teachers have

been employed on a contract term basis... The principal may say one day that the school needs to cut staff redundancy because of low birth rate. In fact, there is much uncertainty. (Abi)

Sub-theme: Lack of Resources and Financial Support Hindered Young People to Pursue Continuing Education and Career Training, and to Run a Business on Their Own

Such constraints were encountered by the interviewees in pursuing their career plans who spoke of high tuition fees and time commitments. Blossom, a private housing management officer indicated that she has hardly enough time to pursue continuing education because she had to work overtime. Irene, a programme assistant at a non-government organisation, wanted to be a social worker but she worried about the high tuition fees for a professional qualification. The travelling expense was another consideration as she could not afford to go far beyond their local district to pursue training opportunities located elsewhere. The following outlines her perception of constraints to further study:

Further study depends on money! A degree or sub-degree social work course costs over HK\$50,000 a year. I need to save enough money before re-entering university to study the course... I think that the transport costs should be lower... (Irene)

Some young people like Irene would like to start a business. However, it is argued that the labour retail market was dominated largely by big conglomerates and that it was very difficult or impossible for young people to develop their entrepreneurial skills by setting up small businesses. Young adults with no financial support could not pursue their own business interests or develop related skills.

... Dream? I once dreamt of starting a small business, but in Hong Kong it would be very difficult because the shopping malls are all controlled by big enterprises... (Irene)

For this group of young people, Ting and Ching were in the NEET status. Being in the NEET status did not seem to be interesting. Ting who had no job, no income and was not in education did not have any career plans and held little hope for the future having a history of brief employments, poor interpersonal relationship at workplace, complicated working environment, tiring tasks, and poor health etc.

I have worked as an assistant cook in a bar but I cannot stay long on the job. I changed to another job to deliver meals in a fast food shop. But I resigned a month later 'cos I have bad relationship with my colleagues. Now I am unemployed for several months. The district I live in has a lack of working opportunities... I worry about the family expenditure. My mom was

unemployed recently and my father is a security man with low salary. I don't want to be a financial burden to my family. (Ting)

Interviewees with low education and low skills generally had trouble finding jobs easily. Ting and Ching, both Secondary 5 school leavers, had been unemployed for several years and relied on parental financial support. They always stayed at home, playing computer games and seldom engaged directly with other people and lacked communication and interpersonal relationship skills.

Unsurprisingly, those who failed in the competitive school system and found no way to compensate for this had much more difficulty in climbing up the social ladder (see Hong Kong Federation of Youth Groups, 2006a, 2013). Ting's family was poor and could not support him in career training. He was not sure of his area of interest and had no money to pursue further study.

(on future career plan) I have not thought of it... Now I have no further study because I have little money.' (Ting)

Sub-theme: Sexual Harassment and Discrimination Affected Career Adjustment

Although women are legally protected against discrimination under the Sex Discrimination Ordinance in Hong Kong,

nearly 30% of people thought that sexual harassment against female employees were common in the workplace in Hong Kong, according to a survey by Women's Commission (2010). A female respondent who worked in a male-dominated property management industry indicated that she had to deal with many male clients and professionals whose behaviour was annoying and threatening. Because of frequent sexual harassments, she had planned to change her job.

Those around age 40 and thereabouts are very interested in young ladies of my age, regardless of whether the young ladies are beautiful or not. I can be easily their love target... They would like to touch you...ugh! (Blossom)

Historically, many of the new arrivals from mainland China have lacked adequate education and skills and could only take up low-skilled jobs (Siu, 1999). As a result of the influx of young One-way Permit holders from the mainland over the past 10 years, there were more youths who were born in the mainland of China/Macao/Taiwan. The percentage rose from 16.2% in 2001 to 21.9% in 2011. Chak claimed that this led to problems of discrimination against him as a new immigrant in the work place.

When I came to Hong Kong, I cannot speak Cantonese... I face discrimination by others... Even the customers would avoid approaching

me when they know that I speak Putonghua. They know I'm coming from China. (Chak)

Theme 4: Differences in Gender, Income and Educational Levels had Different Choices in Cross-border Work and Overtime Work for Career Development

Some male interviewees accepted cross-border work for reasons such as overseas working experiences and career exposure that in turn increased their opportunities especially in the expanding labour markets of contemporary China. Victor was an example. He was an ambitious young adult eager to enhance his career prospects.

I am very willing to do so or maybe I should say I am very eager to have the opportunity to work across the border, or in USA or in ... because this would be a good opportunity for training and bringing benefits to my career. (Victor)

Conversely, some female interviewees did not indicate an interest in cross-border work because they wanted to stay near their parents or were not attracted to what they perceived as lower standards of living in some parts of the mainland China compared with Hong Kong.

Cross-border work... it is very difficult for me to accept it because all my family members are in Hong Kong. I do not want to leave my family members... (Irene)

In addition, interviewees with higher income, higher educational level and higher skill were more willing to accept overtime than those with lower income, lower educational level and lower skill levels. The latter were less satisfied about career opportunities and preferred to have more leisure time and private leisure activities with family members or friends. Thus Victor, a highly ambitious young man working as a bank trainee, accepted overtime work from 9:00 am often until 20:00 pm. He was also opposed to the enactment of legislation on maximum working hours by the Government believing this would hinder his career development.

For social justice, the enactment of legislation on maximum hours is to protect the lower working class. But I don't support the enactment of legislation applying to me as I need to work hard in spite of overtime work in order to meet the work quota. (Victor)

Theme 5: Single Child's Problem to Keep a Balance between Career Choice and Family Responsibility

Portia is a typical case of a single child who in future sees herself supporting her parents. She worries about how to cope with this responsibility when they retire and age. As a single child, she considers that she has to sacrifice her dream of being a coach and has to find a decent job to support her parents.

Portia (a returnee from overseas study):

I want to be a coach to teach young people the knowledge and skills in adventure-based programmes. But I think it is only a dream. I can't take it up as a future full-time job as the income is not stable. I'm the single child and when my father retires one day, my salary equates to their income. I can't be so selfish to pursue my own interests. I need to consider my responsibility to care for them when they get older. I need to find a job with a stable and good salary.

DISCUSSION

Interviews with these young people revealed some crucial information for further discussion. Some important findings and issues raised with implications for human resources are listed below:

An Eco-Systemic Framework Analysis

The finding of this study indicates that an eco-systemic framework proposed by Bronfenbrenner (1974; 1979; 1989; 1993) could be used for understanding the situation of the sampled youths and help inform the analysis of the respondents' subjective life experiences in career realm as shown in the diagram. Ecological systems theory (Segall et al., 1999; Crawford & Walker, 2007) places the individual with his/her personal qualities and abilities e.g. sex, age, health, character etc. interacting actively

with the environment, structured in terms of different levels of the microsystem, the mesosystem, exosystem, and macrosystem. The microsystem represents the face-to-face interactions with the immediate, physical or social, surroundings. It also includes institutions such as the family, school, hospital, church and so forth. The mesosystem reflects the linkages between two or more of these settings. The exosystem comprises such linkages with settings of which the individual is not a part, but that nevertheless exert an influence. The macrosystem is equal to culture in that it consists of values and belief systems. The framework highlights that the developing individual cannot be isolated from the immediate and wider social context, and that interactions are reciprocal (Segall et al., 1999). In this study, the ecosystem is utilised to examine the barriers at different levels of the ecosystem and the possible effects on the career development of the youth.

Using Bronfenbrenner's model of development to explain young people's career development would enable us to break down the many barriers that the researcher has found in this study. For example, when looking at the constraints surrounding career development of the respondents (Theme 3: Constraints to Career Development) at the micro and mesosystem level, young people from poor and lower educational backgrounds typically had little in the way of academic qualifications or financial support from family to entertain career development, such as undertaking further and costly study in career training. Youths

from single-child family (Theme 5: Single Child Problem to Keep a Balance Between Career Choice and Family Responsibility) or newly arrived youths from mainland China (Theme 3: Constraints to Career Development) also had problems as sole supporters of their parents or in gaining work because of discrimination against them as a new immigrant.

At the exo-system level, those living in remote areas such as new towns in Hong Kong found it difficult to travel long and expensive distances to urban centres to attend courses that might advance career development (Theme 3: Constraints to Career Development). The trend of unstable contract-based or freelance jobs in the local community also affected long-term career planning of the youths as they were unsure whether these contracts would be renewed (Theme 3: Constraints to Career Development).

At the macrosystem level, some interviewees pursued or had plans for continuing education in order to remain competitive in today's knowledge-based economy (Theme 2: Young People Pursue Continuing Education to Remain Competitive at Workforce). They had different career aspirations which were partly affected by their preferred values and beliefs (Theme 1: Choice of Career Aspirations). For some interviewees, without resources to start a small business and having to compete with big enterprises, there was little hope in self-actualising their ambitions at the macro-system competitive market level, (Theme 3: Constraints to Career Development).

The global and socio-economic changes over the past 20 years have led to the decline or relocation of industries from Hong Kong to the mainland China, cross-border work and overtime work which can be witnessed

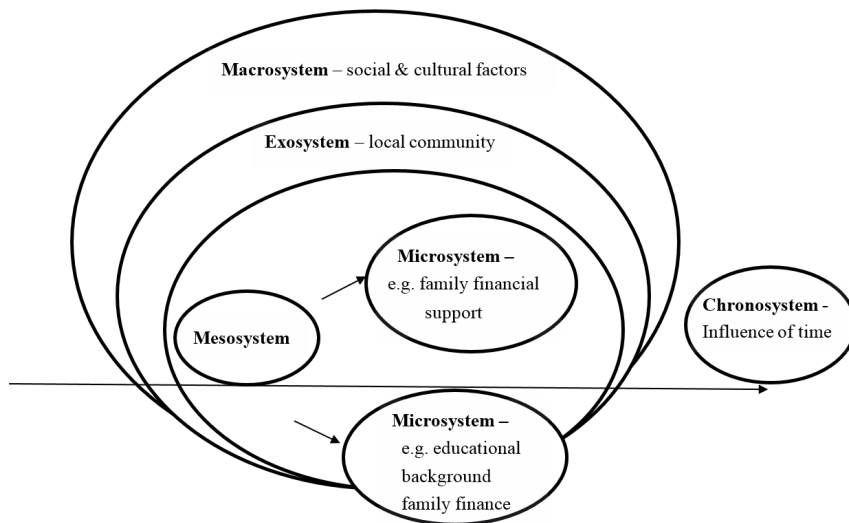


Figure 1. Diagram of Bronfenbrenner's Ecological Systems (Crawford & Walker, 2007)

in the young people's career development through the chronosystem (Theme 4: Differences in Gender, Income and Educational Levels had Different Choices in Cross-border Work and Overtime Work for Career Development) affecting the work pattern of the younger generation. Thus, an eco-systemic analysis provides researchers, the managerial sector and policy-makers with valuable insights into the complexity and interplay of the ecologies of young people in career development, from micro to the chronosystem level.

Those young people without a job, or income, or desirable qualifications, or who have poor interpersonal skills, or were living some way from urban centres where jobs or training might exist, were particularly ill equipped for self or career development to face the future with hope. The influx of low skilled migrant labour from mainland China also reduced chances of work for Hong Kong youths who are less qualified. In contrast, those with higher educational attainment had more concrete and ambitious career plans in mind that might include gaining new professional qualifications. The complex eco-system of personal ability, class background, gender, educational attainment, ethnic status and identity, labour market and family resources have an impact on the life chances and career development of the participants.

To conclude, the eco-systemic approach can provide a comprehensive framework to analyse the constraints and opportunities for young people in transition to career development in a local context. This

approach suggests that the social and environmental influences are significant contributing factors in young people's career development. Nevertheless, this approach tends to lack a global perspective that can capture the influence of wider effects such as the likely impact of global values and competitive culture of late modernity on individual career aspiration, career choices or work life styles and patterns. It is suggested to deploy a mix of concepts combining the eco-systemic approach and late modern notion of reflexive biographies for further research, in order to capture something of the orientation of youth today.

Young People Voices to Address their Career Concerns

Under a competitive global economy, many young adults feel the need to pursue further education in order to maintain their competitive edge or to be employable. Those without resources may be left behind. As we have seen above, there are a number of complex inter-weaving factors which affect the career development of young people.

In this research, Ting, being in the NEET, indicated that he would welcome training in interpersonal relationships and interviewing skills. It is likely that some disadvantaged young adults will need basic training in developing social skills, particularly in the way they relate to people when seeking a job. "There was little mention of job searching skills at school" (Ting).

As young adults enter the job market, they may not be confident of their abilities,

for example, in leading a team composed of older staff. Human resources management may consider providing suitable coaching and training to young people. Blossom, a private housing management officer, suggested that the NGOs or the Government could provide interpersonal relationship courses or stress management courses to help the younger generation tackle the adversities they face. She suggested the private sectors could employ social workers to provide counselling services or stress management courses for employees. Victor was fortunate to find a job with a higher rank and income (compared with peers), but had the following challenges in the early part of his career. "You have to know how to lead a team, that is, you should be capable of motivating the team to work..." (Victor).

IMPLICATIONS AND LIMITATIONS OF THE STUDY

From a research perspective, it appears that the single child issue has been misunderstood. Previous studies on single child issue have suggested that single child was being 'spoilt' and dependent (Fong, 2004; Stanat, 2006). But this research finds that single child such as Portia had to sacrifice her own career aspiration in order to support her elderly parents. She had to shoulder a heavier family responsibility. This is a subject needing further research.

From the human resources perspective, it is also necessary to acknowledge role of companies and firms in helping the transitions of young people from school to work. As revealed by the respondents

in this study, the transitions from school to work have become more precarious and unstable than before (Wu, 2010) as there are many challenges facing this group of young people. Their career concerns such as job insecurity, inadequacies at work, readiness for continuing education, importance of intrinsic rewards, lack of time and money for further study, sexual harassment and discrimination at workplace are all important issues for human resources practitioners in order to motivate and retain this group of young people. The gender differences in acceptance of cross-border work and overtime work for career development are also important for human resources management to take into account in recruitment and succession planning. It may also be advisable for human resources practitioners to help set up formal career system whereby young recruits can discuss their career aspirations or problems. For the smaller companies with fewer than 100 employees, supervisors can help young people to set goals through informal counselling or mentoring. Smaller organisations should also consider offering employees studying opportunities through sponsorship to external courses as young people may be ready for continuing education (Lau & Pang, 2000).

The findings from this study contributed to the understanding of the lived experiences of young people in career development realm in Hong Kong. The complex ecosystem of personal ability, class and ethnic status and identity, gender, educational level, work market and family support

and resources brought constraints and opportunities for career development of the post-80s generation. The findings suggested that social and environmental influences were significant contributing factors in young people's career development. This qualitative study has provided insights into the experience of post-80s generation in Hong Kong and these insights can be viewed as a first step or reference for human resources practitioners or interested parties in mapping effective strategies in recruitment and career development of youths.

The study has its limitations. Since this a preliminary study on youth's perceptions on career concern and issues, individual interview approach with a small size and purposive sample has weak generalisations in qualitative analysis as data may be less representative. Despite its limitations, the study can provide a springboard for further research.

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Exploratory Factor Analysis: Blended Motivation of Malay Students Learning Mandarin as a Foreign Language

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ABSTRACT

It is believed that motivation to learn a language is strongly influenced by the target language, location and the learners. Nevertheless, the questionnaires administered in the Eastern countries are usually developed in a Western context to a culturally specific context; this means the original questionnaires are adopted or adapted to suit local conditions. This study aims to identify key motivational factors for learners and affirm the suitability of a set of adapted questionnaire namely Language Learning Motivation for Mandarin (LLMM), for a survey on foreign language learning. A total of 148 Malay students at a public university in Malaysia voluntarily participated in answering the LLMM questionnaire. The completed questionnaires were used in an exploratory factor analysis procedure to identify what motivates learners of foreign language. A principal component analysis with varimax rotation obtained five-factor solution; these motivational factors are: *Requirement Motivation, Interaction and Better Understanding, Interest and Pleasure, Leisure and Entertainment, and Future Career*. The study concludes that blended motivation with Requirement Motivation as the most influential factor. The study also suggests that LLMM questionnaire be replicated to other Asian learners who are learning Mandarin as a foreign language. This is to ascertain its validity and applicability to the learners of Mandarin as a foreign language in the Asian context.

Keywords: Language learning motivation, Exploratory Factor Analysis, foreign language, Mandarin

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INTRODUCTION

Motivation is believed to be one of the main determining factors in the success of second/ foreign language learning. Gardner and Lambert (1959, 1972), in their classic, seminal studies of socio-educational model,

introduced the constructs of integrative and instrumental motivation in the learning of non-native language. Integrative motivation is characterised as a learner's desire to learn a language in order to interact and integrate into the target-language community. Instrumental motivation on the other hand reflects a desire to gain some social or economic rewards through learning the language (Gardner & Lambert, 1959).

Gardner (1985) expanded the socio-educational model to include socio-psychological elements which emphasise strongly on "integrativeness". Integrativeness is the strong willingness of the learner to associate and assimilate into the target-language community.

However, the validity of integrative and instrumental classification and the concept of integrativeness were challenged by many scholars. Many past studies (see for example Ely, 1986; Takayuki, 2002) indicate a desire to learn a second/foreign language is not related to either integrative or instrumental motivation. Some researchers also found that integrativeness is not the principal goal of learning the target language (e.g. Benson, 1991, 2002; Warden & Lin, 2000). The continuous criticisms led to the identification of new types of motivation such as Requirement motivation, Self-efficacy and Linguistic self-confidence among others. Efforts were also taken by scholars to find alternative theoretical framework by incorporating motivational concepts from other fields. Deci and Ryan's (1985) self-determination theory, which was not initially considered to gain insight

into language learning motivation, has been adapted and used extensively in this field.

The self-determination theory distinguishes between intrinsic and extrinsic motivations, and contrasts intrinsic-extrinsic motivation with amotivation (Deci & Ryan, 1985). Intrinsic motivation refers to the behaviour of an individual performing an activity simply for the pleasure and satisfaction that accompany the action without expecting a reward. As for extrinsic motivation, it is referred to as a behaviour where the activity is performed to receive positive and avoid negative incentives, such as earning a reward or avoiding punishment. Amotivation which is always "side-lined" by scholars, is described as a non-motivational behaviour.

Although the close proximity of intrinsic-extrinsic motivation and integrative-instrumental motivation has been noted (e.g. Dickinson, 1995; Noels, Clement & Pelletier, 2003), theorists have emphasised the distinctiveness of these two models (see Schmidt et al., 1996; Brown, 2007). According to Schmidt Boraire and Kassabgy (1996), and Brown (2007), situations which include both intrinsic-extrinsic motivation and integrative-instrumental motivation may coexist. In view of the coexistence of intrinsic-extrinsic motivation and integrative-instrumental motivation, many researchers especially in the Asian regions accommodate both dichotomies together with other motivational models in their research framework (e.g. Gonzales, 2010; Chin & Chan, 2011). Findings show what motivates learners to learn an

Asian foreign language is a mixture of instrumental, integrative, intrinsic and extrinsic motivations.

However, a move towards accommodating the Self Concept from mainstream psychology has been noted while maintaining the roots of previous integrative-instrumental and intrinsic-extrinsic dichotomies. Dörnyei (2009) is the premier and leading scholar who started this movement by introducing a L2 Motivational Self System model consisting of three dimensions, namely the Ideal L2 Self; the Ought to L2 Self and L2 Learning Experience. The Ideal L2 Self is defined as a “desire to reduce the discrepancy between our actual and ideal selves” (p. 29), while, the Ought to L2 Self concerns “the attributes that one believes one ought to possess to meet expectations and to avoid possible negative outcomes” (p. 29). L2 Learning Experience focuses on “situated executive motives related to the immediate learning environment and experience” (p. 29).

Researchers who study motivation for second or foreign language learning in the East, usually adopt or accommodate some elements from Western language learning motivational inventories; this is to enable them to identify motivational factors. The empirical evidence obtained might not be accurate due to the fact that the East and West are culturally different. Dörnyei (1994) has stated that motivation is strongly influenced by the target language, location and the learners. In addition, cultural backgrounds have an impact on the learners’ motivational patterns (Yu & Watkins, 2008).

This study accepts the challenge in filling the research gap by studying key motivational factors for target language learners and their location through a set of questionnaires known as Language Learning Motivation for Mandarin (LLMM). The study thus aims to identify the motivational factors as well as to affirm the suitability of LLMM for Mandarin as a method for foreign language learner survey. With the development of this inventory, it is hoped that the results of this survey can identify the factors that motivate learners of Mandarin as a foreign language in Asia. Identification of key motivational factors based on types of students, will enable instructors to implement suitable teaching strategies to enhance and sustain student interest in learning.

METHODOLOGY

Participants

A total of 148 Malay students from a population of 360 students who were learning Mandarin as a foreign or third language in one of the universities in the northern region of Malaysia, voluntarily participated in the study. All the participants are Malay students who were born in Malaysia. Most of them are from the rural areas. They have completed their education in the national primary and secondary schools before pursuing their studies in the university. They have been learning English as a second language since six years of age. At the university, they are required to take up a foreign or third language from a choice of Arabic, Germany,

Japanese, Korean or Mandarin. All the languages used a standardised syllabus and assessment. Although the third language is a compulsory elective course, there is no final examination. The assessment is based on tests and group assignments. The participants in this study learned Mandarin at level one (introductory), two and three. The syllabus emphasises on communicative skills but very limited amount of Chinese characters are introduced. The participants' age ranges from 21-24 years and 38 (25.7%) of them are male while the rest (74.3%) females. As for level of study, 22 (14.9%) of them study Level One Mandarin, 105 (71%) of them study Level Two while the rest (14.1%) study Level Three.

The sample size for the study (factor analysis procedure) is based on Hair, Anderson, Tatham, and Black's (2009) suggestion, that is, to have at least five times as many observations as there are variables to be analysed. As there are 22 items in the questionnaire, the sample (1 item : 6 observations) is deemed adequate based on the general rule as suggested.

Instrument

The items used in the instrument of this study were adapted from many previous works. This questionnaire Learning Motivation for Mandarin (LLMM) consists of two parts. Part A consists of items regarding the participant's demographic description such as age, sex and Mandarin level. Part B consists of 22 items on learning motivation for Mandarin.

The LLMM was administered to the participants during their Mandarin classes in the first week of the semester. Students completed the questionnaire anonymously within 10-15 minutes. All the 22 items are prefaced by the statement: "I learn Mandarin because..... ." Participants were expected to respond to the 5-point Likert scale ranging from 1 (never or almost never true of me) to 5 (always or almost always true of me). All questionnaires were administered and collected by the instructors teaching in the respective classes.

The 22 items of LLMM is the final version after content-related validation. It had been subjected to content-related validation to establish its psychometric value of learning motivation for Mandarin. The LLMM is written in Malay and it has undergone back translation. The initial version had 29 items. It was reviewed by 13 Mandarin practitioners and three experts in cognitive psychology. The practitioners and experts noted some problematic and vague items. In response to their comments and suggestions, all the items were critically examined for readability and clarity. Seven items were discarded and vague items were reworded. Thirty Mandarin students were also invited to take part in the content validation process. The researchers discussed the items with the students to find out if there are any ambiguous terms, unsuitable items, problems or ambiguity they might encounter with the items in the questionnaire.

Procedure

Data collection took place in the first week of the semester. The participants were Mandarin class students who agreed to take part in the survey voluntarily. Verbal instructions and explanation were given to the participants before they responded to the LLMM questionnaire. The participants took 10-15 minutes to complete the questionnaire.

Data collected was analysed using SPSS Version 20. Participant particulars were obtained through descriptive statistics by means of frequency counts and percentages. This was followed by exploratory factor analysis procedure on the data collected from LLMM using principal axis factoring and varimax rotation to extract the underlying motivational factors. Finally, the Cronbach's alpha coefficient was computed on each factor to determine internal consistency and reliability of the scale.

Exploratory Factor Analysis

Exploratory factor analysis method was performed on the items in order to extract the underlying factors characterising motivation. Factor analysis is a statistical procedure which is able to bring together a cluster of items bound together by one common underlying factor (Macaro, 2003). Factor analysis in this study involves four major steps suggested by George and Mallyert (2001).

- i. Computation of the correlation matrix,
- ii. Factor extraction – to determine the number of factors necessary to represent the data,

- iii. Factor rotation through the Varimax rotation method with Kaiser normalisation to make the factor structure more interpretable,
- iv. Determining how many factors to interpret and then assigning a label to these factors.

Principal Component Analysis (PCA) was used for analysis whereby varimax rotation was conducted to determine the construct validity of the data collected. Prior to assessing assumptions, a visual inspection was carried out by examining the correlation matrix. The inspection indicated that a considerable number of correlations exceeded 0.3 in the output. The inspection of the anti-image correlation matrix revealed that most of the measures of sampling adequacy were well above the acceptable level of 0.5. This shows that the items were deemed suitable for factoring as the correlation matrix and anti-image correlation fulfil the general rule (Coakes & Steeds, 2003).

Next, the Kaiser-Meyer-Olkin (KMO) Measure of Sampling Adequacy and Bartlett Test of Sphericity were conducted to assess assumptions for the correlated variables in the initial solution.

Table 1
KMO and Bartlett's Test

KMO Measure of Sampling Adequacy		.867
Bartlett's Test of Sphericity	approx. Chi-Square	2371.808
	df	231
	sig.	.000

As shown in Table 1, the KMO of Sampling Adequacy is .867 which is far greater than .5, a necessary value for factoring (Spincer, 2005). As it is a meritorious value according to Hair, et al., (2009), it shows that there is good correlation among the items. The Bartlett’s Test of Sphericity is also significant and this indicates that the set of items is sufficient to support PCA.

The above results provide evidence that the items are acceptable for factor analysis. Subsequently, factors were extracted based on the following criteria:

- 1.) Eigenvalue >1 (Spincer, 2005)
- 2.) The loading score for each item >0.50. (Hair et al., 2009)
- 3.) At least three items integrating under a factor (Shur, 2009).

RESULTS

The PCA with varimax rotation retained only factors with eigenvalues greater than 1, thus producing an initial 5-factor solution for 22 items. As shown in Table 2, the 5-factor solution for 22 items obtained from the PCA with varimax rotation accounted for 66.65% of the total variance.

Table 2
Total Variance Explained

	Eigenvalue	% of Variance	Cumulative %
1	7.94	36.12	36.12
2	2.74	12.46	48.58
3	1.66	7.55	56.13
4	1.26	5.72	61.85
5	1.06	4.80	66.65

Two items were subsequently discarded from the list as they received a loading lower than .50. These items are item 11, “I want to be a Mandarin speaker”(loading: 0.301); item 12, “It is good for my personal development” (loading: 0.389). The loadings, their constituent items, and the Cronbach’s alpha for each factor are displayed in Table 3.

The Cronbach’s alpha (α) values of all the factors are between 0.79 to 0.99, and the total Cronbach’s alpha for all the 20 items is 0.89 which indicates that the internal consistency reliability of each identified factor met the established reliability criterion at a satisfactory value (Sekaran, 2003).

There are three items (item 1, 2, 22) loaded under factor 1. These three items receive very high loadings which are .97; .97 and 92 respectively. Factor 1 reveals the reason to learn Mandarin is to fulfill the course/university academic requirement and pass it for graduation. The alpha value of this factor is .99 which indicates singularity among the items. There is no doubt this factor should be labelled as *Requirement Motivation*.

Six items (item 3, 4, 5, 6, 7, 8.) which receive loadings ranging from .42 to .73 are loaded under factor 2. All these six items demonstrate the learners’ hope to interact and to be closer with the target language community as well as to understand better the target language community culture. As such, this factor is labelled as *Interaction and Better Understanding*. Similar motivational factors concerning interaction have been identified in previous studies (Ely, 1986;

Dörnyei, 1990; Guo, 2004; Chang & Huang, 2006; Chan & Chin, 2011).

Factor 3 consists of three items (items 17, 18, 19). The items generally receive moderate loadings which range from .55 to .72. These three items illustrate the features of interest and pleasure such as joy, like and proud. Thus, this factor is labelled as *Interest and Pleasure*.

Five items (items 13, 14, 15, 20, 21) whose loadings range from .46 to .78 are grouped under factor 4. The items concern leisure and entertainment purpose such as sing/listen to songs, watching movies and TV programmes, and learning as a hobby. Therefore, this factor is labelled as *Leisure and Entertainment*.

Table 3
Factor Loading of the Motivational Items

Factor	α	Loadings
Factor 1 = Requirement Motivation	.99	
1. My university requires me to learn a foreign language.		.97
2. I need to learn a third language as my elective course.		.97
22. I must pass a third language for graduation.		.92
Factor 2 = Interaction and Knowledge	.81	
4. It will strengthen my relationship with my Chinese friends.		.73
3. It will allow me to be more at ease with my Chinese friends.		.66
7. It will allow me to meet more people from different backgrounds.		.57
8. It will enable me to understand better and appreciate Chinese art and literature.		.50
6. It will enable me to know Chinese culture better.		.42
5. I want to be actively involved in Chinese community activities.		.42
Factor 3 = Interest and Pleasure	.85	
17. Learning Mandarin is a joyful experience.		.72
18. I really like learning Mandarin.		.61
19. I feel proud when I can say something in Mandarin.		.55
Factor 4 = Leisure and Entertainment	.79	
14. I want to sing/listen to Mandarin songs.		.78
20. Learning Mandarin has become my hobby.		.66
13. I like to watch Mandarin movies/drama in TV.		.56
21. I feel happy when I can accomplish difficult Mandarin exercises.		.50
15. I want to understand the Mandarin programmes and movies on TV.		.46
Factor 5 = Future Career	.83	
16. I believe it will help my career in the future.		.83
9. I may need it for my future career.		.71
10. I think it may help me to get a good job.		.61
ALL ITEMS	.89	

Finally, factor 5 consists of three items (items 9, 10, 16). These three items receive loadings of .61; .71; and .83. They clearly show that Mandarin is perceived as valuable for one's future occupation. Therefore, this factor is labelled as *Future Career*.

DISCUSSION

The major factor, *Requirement Motivation*, explains 36.2% of the total variance indicating that it provides the motivational push for majority of the students to learn Mandarin. It can be concluded that the motivation of Malay students learning Mandarin as a foreign language is inclined strongly towards fulfilling the academic requirement of the university. The findings of this study are consistent with most previous studies in which students requiring to learn a foreign language show a strong inclination to Requirement Motivation (Ely, 1986; Peng, 2002; Kan, 2003).

Although students are required to learn a foreign language as an elective course, they are given a choice to select the language they like. Thus, the existence of other motivational factors such as the desire to interact with the target language community, self interest and other motives is not surprising. The learners' motivational types are also closely related to their social context. Malaysia is a multi-racial country and the Chinese make up the second largest ethnic group. Participants can easily meet Chinese people and watch Chinese movies in the cinema, or watch Chinese dramas at home. Most of them also have Chinese neighbours and friends.

Interaction and identification with the target language community are two components in Integrativeness. However, the second factor in this study, *Interaction and Better Understanding*, shows that only one component, interaction, exists among students. This suggests that the learners only hope to foster closer friendship, to gain more knowledge about the Chinese community and their culture, but do not hold any interest in identifying themselves with the target language community. This could be directly related to government policy to promote national unity by urging the people to interact and to understand each other's culture. The government is always proud of its people showing unity in diversity.

The same findings showing the existence of Integrative-ness without identification component were found in most of the studies on Asian motivational studies (see for example, Yashima, 2000; Irie, 2003). The findings of past studies show participants demonstrate positive disposition towards native speakers and the cultures of the target language community, but little or no motivation to truly integrate in the original sense. The Asians, generally, learn a foreign language for instrumental purposes and intrinsic needs.

The third and fourth factors, *Interest and Pleasure*; and *Leisure and Entertainment* also explain the total of variance (7.55 % and 5.72% respectively). These two factors suggest that learners are motivated to learn Mandarin because they like the language looking at it as a joyful experience as well as for better understanding of Chinese

entertainment. The students were given a choice to choose a foreign language they like. Most of them usually choose a language which they think might give them enjoyment and satisfaction via the learning process. Furthermore, as mentioned above, Chinese TV drama from Hong Kong, Taiwan and China are easily available in Malaysia. It would certainly help them to appreciate Chinese movie entertainment if they know the language. Enjoyment and satisfaction are two main characteristics of intrinsic motivation. The findings are congruent with past studies which show intrinsic motivation as the reason for learning the target language (Chan & Chin, 2011).

The findings also indicate that students learn Mandarin for their future career. Career-related orientation is important in instrumental motivation; the extraction of future career factor in this study clearly replicates the results of most of the past studies (see for example Gonzales, 2010; Chan & Chin, 2011). Most of the local factories and companies are owned by Malaysian Chinese. Some of them require competency in Mandarin when they advertise for job vacancies. Thus, for many learners, their chances of getting a job or promotion are better if they know Mandarin.

In short, the findings reveal that besides learning the language to fulfill their university academic requirement, students learn it because of their own interest and as a source of pleasure. It is also to develop new friendships through better communication and understanding, and which also be of use in their future career. The findings bear

implications for the design and methodology of the present Introductory Mandarin course and future Mandarin courses in the university under study. As Requirement Motivation appears as the major factor, it is important to focus on it. This is because amotivation is likely to set in among learners who learn the language for purposes of fulfilling a requirement rather than as a choice. The instructors are encouraged to conduct their teaching in an attractive manner, employing more active learning strategies as a way to align their teaching to suit other motivational factors in order to boost motivation.

The absence of identification with the target language community suggests that the learners desired to learn Mandarin for social contact but not to identify themselves with the Chinese community. The findings suggest that the curriculum and syllabus of the language in this university under study should continue to use communicative approach to conduct the course. The communicative approach which emphasises on social contact and language use for survival is suitable for learners who learn a foreign language for instrumental purposes. Topics on culture should be taught to the learners for additional information and to better understand the target language community.

Instructors are recommended to exploit students' intrinsic values to sustain and strengthen the learners' motivation. Besides textbooks and workbooks, Mandarin songs, movies, TV dramas, and TV advertisements can also be used as media-

based supplemental teaching aids in the course. It is not only analogous to student need, but also exposes students indirectly to Chinese society and culture

In order to satisfy students' future occupational needs, the university as suggested to introduce Mandarin courses for specific purposes such as Mandarin for Business Purposes, Mandarin for Medical Study, Mandarin for Judiciary, Mandarin for Banking, etc. to help students develop their proficiency in handling communicative task in career-related situations.

The findings of this study are consistent with most research findings on this topic which argued that integrative-instrumental and intrinsic-extrinsic motivations emerged concurrently among the language learners. (Chalak & Kassaian, 2010; Masoud & Ali, 2010; Chan & Chin, 2011; Lee, 2012). It also reaffirms findings of earlier studies on Asian language learning motivation that they (Asian learners) are strongly inclined towards requirement motivation (if they are required to learn the language), intrinsic motivation, and instrumental motivation.

On the other hand, since Dörnyei's L2 Motivational Self System has gained empirical support from various national contexts (Hsu, 2013), the findings of this study were also compared with Dörnyei's L2 Motivational Self System. This study partially supports Dörnyei's L2 Motivational Self System. L2 Ideal Self definitely exists where the learners hope to utilise the language in their future career. However, L2 Ought-to Self and L2 Learning Experiences were not found among the

participants. Learning a compulsory elective language with no final examination as part of requirement cannot be viewed as 'one believe one ought to possess to meet expectations and to avoid possible negative outcomes' (Dörnyei, 2009). Furthermore, it is at the introductory level where the syllabus is easy for students to get good grades or hardly fail the course to get negative consequences. The results of this study are congruent with Beatrix's (2009), and Csizér and Kormos' (2009) findings which are also partially support Dörnyei's L2 Motivational Self System.

As a few sub-components of integrative-instrument motivation, intrinsic-extrinsic motivation and requirement motivation are found in this study. Thus, we can postulate that the motivational factors of foreign language are better viewed as blending of a few motivational models or theories rather than one model or theory. It is contended that a blended type of motivational framework may be more applicable and appropriate for language learning motivation among Asian learners.

CONCLUSION

The present study has verified that the LLMM is a reliable and valid instrument to identify motivational factors among learners who learn Mandarin as a foreign language. However, the sample for this study is limited to Malay learners. The outcome may be different if it is applied to learners from other races. It is recommended that this instrument be adopted by other non-Chinese Asians to investigate their foreign language

learning motivation, especially motivation for learning Mandarin as a foreign language.

The study has identified the blended motivational factors of Malay students learning Mandarin at the university level in Malaysia. Using the exploratory factor analysis procedure, five factors were extracted from the data provided by the students. The factors were labelled as *Requirement Motivation, Interaction and Better Understanding, Interest and Pleasure, Leisure and Entertainment, and Future Career*. As this is a pioneer study on Malay students' motivational factors for learning Mandarin as a foreign/third language and it only involves 148 students, future study should be conducted with larger sample to reaffirm the findings. As this is a quantitative study, a qualitative study is encouraged to consolidate the findings of the present study. As the language learning motivation of the students is contended to blended type, it is important that language educators look at motivation as a multifaceted and hybrid phenomenon where learners can be motivated in multiple ways, besides understanding the how's and why's of learner motivation.

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Instrumental and Hostile Aggression among the Fans of Padideh Soccer Club of Iran

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ABSTRACT

Hostile and instrumental aggression are very popular among soccer fans, The goal of hostile aggression is just to cause harm to the target like rival fans while instrumental aggression refers to actions intended to harm another person with the goal of achieving a result, such as assisting their favourite team to win the match. The body of research on sport fans' violence shows that this aggression emerges through various social, psychological and situational factors. Thus, a few factors such as team identification, sport identity and team's performance are crucial but hardly considered in Iranian research. However, the purpose of this current research is to examine the impact of aforementioned factors on instrumental and hostile aggression in football stadiums. The paper uses the social identity theory and survey method for data collection. The results of Mann-Whitney U test among 356 male spectators from the Padideh football club, demonstrate that fans that have high sport and team identification, also have more willingness to commit hostile and instrumental aggression compared with those with low sport and team identification. The study also found that the fans with high sport and team identification show more hostile aggressive actions against their opponents and officials than the fans with low sport and team identification. The fans with high sport and team identification showed a greater trend to commit instrumental aggression against their opponents compared with fans who have low sport and team identification. There are no differences between high and low sport and team identification

in instrumental aggressive actions toward officials. Further, the rate of hostile and instrumental aggression in losing a game is higher than winning one. Considering the hostile and instrumental aggression, the fans with low sport and team identification don't report any significant differences in

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winning/losing games. However, the fans with high sport and team identification indicate significant differences in winning or losing games with respect to hostile and instrumental aggression.

Keywords: Iranian football fans, instrumental/hostile aggression, sport/team identification, team's performance

INTRODUCTION

Sports fandom is a kind of sports participation. Fans are defined as "individuals who are interested in following a sport, player, and/or team" (Wann et al., 2001). Generally, a fan is viewed as an obsessed individual who has a very dedicated interest in a certain team, or athlete. When the term fan is used, it usually refers to popular culture. Fandom has not always been thought of as a positive phenomenon, for example, sports fans have easily been labelled as hooligans (Crawford, 2004). In other words, sports fans have generally not been portrayed positively, especially in social science research which have reported aggressive actions among high identifying fans (Jacobson, 2003) In this way, one of the most important topics in the area of fandom is the study of social, psychological and situational factors' effect on fans' violence and illegal activity (Wann et al., 2015). Recently, social scientists have become more interested in fans' willingness to commit aggressive actions during matches classified as hostile or instrumental aggression (Wann et al., 1999). These types of aggressive behaviours are separated by the spectator's intent. The goal

of hostile aggression is just to cause harm to the target (for example, rival fans), whereas the purpose of instrumental aggression extends beyond harm to additional goals (End & Natalie, 2010). Thus, in hostile aggression, harming another person is a key factor while the instrumental spectator aggression refers to actions intended to harm another person with the goal of achieving a result, such as assisting a favourite team to win the match (Wann et al., 2015). A good example for instrumental aggression is when a person yells at opposing players to increase their teams' chances of success (Wann et al., 2015).

In this way, researchers indicate that there is a significant relationship between team identification, sport identity and fans' aggressive behaviours. In other words, high identifying fans would report higher levels of hostile and instrumental aggression than low identifying fans. Research on fans behaviour found that team identification is a significant and positive predictor of a variety of aggressive reactions among fans (Wann et al., 2015). For example, Wann et al. (1999) showed that high identifying fans compared with low identifying fans report a higher level of hostile and instrumental aggression. In addition, aggression directed toward the officials naturally would tend to be hostile. Moreover, Wann found a positive relationship between a fan's team identification/sport fan identity and willingness to injure an opposing player or coach anonymously. Fans were more aggressive only when the target was a player or coach of a rival team compared

with officials because they realise that officials are trained to be impartial in their judgments. Another research conducted by Wann and his colleagues (2003) showed sizeable minority admitted to considering engaging in anonymous acts of instrumental aggression directed toward rival players and coaches. Dimock and Grove (2003) indicated that high identifying fans felt less control over their behaviour at games than moderately identifying fans and low identifying fans. Rocca and Vogl-Bauer' (2009) reported that fans who were verbally aggressive in trait were (a) more likely to see verbal communication directed at the players and coaches during sporting events, and (b) less likely to see their apparent support for their teams as an appropriate form of communication at sporting events. Participants who were high in fan identification were more likely to see the team's obvious insignia and verbal communication toward players and coaches. End and Natally (2010) measured the impact of seat location and ticket cost on sports fans' instrumental and hostile aggression. Their finding indicates that two main factors, namely seat location and ticket cost, did not predict aggressive behaviour (instrumental or hostile aggression), though high identifying fans reported greater intent to be aggressive than low identifying fans. Further, Wann and his colleagues (2015) studied the relationship between aggressive actions of youth baseball spectators and team identification. The results showed that team identification predicted a willingness to commit verbally aggressive acts. However,

identification did not predict physical aggression. Sports fandom has many advantages and social benefits such as creating feelings of camaraderie, community and solidarity or enhanced social prestige or self-esteem of fans and the research especially in Iran has focused on this. Aggressive behaviours such as instrumental or hostile aggression types in stadium are one of the crucial drawbacks of sports fandom, which has been neglected in the research literature. Therefore, the main purposes of the current research are:

- i. To observe any relationship between fans' identification (sport-team identification) and aggressive behaviours (hostile-instrumental).
- ii. To observe the team's performance impact on fan's aggression.
- iii. To observe the differences, if any, between high identifying fans and low identifying fans in aggressive behaviours with respect to team performance.

MATERIALS AND METHODS

Theoretical framework

When we study sports scientifically, relevant theories help us to question and gain information that enable us to see sports in new ways, understand communication between sport and social life and make reasonable decision about sports and its precedence in our life, family and society (Coakley, 2001). To answer the question as to why high identifying fans display

aggressive behaviours more than low identifying fans, social identity theory is a good theoretical framework. The two dominant theories in social psychology are: identity theory and social identity theory. Identity theory is rooted in the concept of roles and role-identities (Jacobson, 2003) and social identity refers to the ways in which individuals and collectives separate him with others (Jenkins, 1996). Tajfel (1972) stated that social identity refers to the individual's knowledge that s/he belongs to certain social groups together with some emotional and valuable significance to him/her of this group membership (Kim & Kim, 2009). The main features of social identity theory are: intergroup relations, group processes and the social self (Hogg et al., 1995). According to Tajfel and Turner (1986), one way to achieve positive social image and self-esteem is by associating oneself with successful groups. Group identification has been shown to be an important aspect of one's self-concept (Kraszewski, 2008).

From the definition of team identification, the concept of social identity is gained because team identification is a manifestation of social identity (Absten, 2011). With this membership, fans become members of their favourite team because they believe team performance has the same consequences for them (Kim & Kim, 2009). In this situation, fans who connect themselves with favourite teams or athletes attain feelings of vicarious achievement simply by associating with the team while being fans (Kimble & Cooper, 1992).

Laverie and Arnett (2000) claimed that team identification explains significantly about fans' behaviour, such as event attendance, reading their favourite team's news, discussion with friends about sport team's performance and so on. Accordingly, sport identity in high identifying fans become the main part of their social identity, so display of aggressive behaviours among high identifying fans can be accurately explained by this sport team identity (Wann et al, 1999). In other words, high identifying fans display aggressive actions, when their favourite teams lose the match or when opposing fans, players and coaches make them angry. Aligned with this aspect, the body of research, revealed significant positive relationships between identification and willingness to aggressive actions (Wann et al., 2003). Thus, Onovan et al. (2005) argued that the social identity theory is an appropriate perspective to understand fan behaviours (Kerr, 2009). In addition, social identity theory is a proven and appropriate framework to explore issues with regard to sports fan aggression.

Thus, the main purpose of this research was to examine the relationship between team identification, sport identity and willingness of aggressive actions among soccer fans. However, it was assumed that high identifying individuals would report higher levels of instrumental/hostile aggression compared with fans with low levels of identification. In addition, it was also assumed that there would be an interaction involving aggression type (i.e., hostile and instrumental) and aggression target (i.e.,

officials and opposing players). Moreover, the impact of situational variables-team performance or game outcome- has crucial repercussions on fans' reactions. Actually, game outcome was assumed to be one situational variable that should have an impact on instrumental/hostile aggression. It is hypothesised that, there is a significant relationship between sports identification –team identification, sport identity- and team's performance; in fact, the highest levels of aggressive acts would be reported by high identifying fans who consider their reactions as a retaliation to a loss or poor performance by their favourite team. In this area, two supporting data indicate that the outcome or poor performance of a game will have an impact on willingness to aggressive actions by the fans. First, from the frustration theory perspective which claims feeling of frustration that comes from losing or poor performance could explain fans' aggressive actions (Wann et al., 2005). According to aggression-frustration theory, aggressive behavior is a direct result of frustration that occurs when goal blockage and fan's expectations fail (Vaezmousav & Shojaie, 2005); when a fan's favourite team is losing the game or displays weak performance, aggression could be expected as a reaction to frustrated outcomes. Research on sports fans' behaviours have found that the favourite team loses the game or shows poor performance, it has negative impacts on high identifying fans' state (End & Natalie, 2010) and increasing the possibility of aggressive behaviours among them. So, the third purpose of this study is

examining of the impact of game outcome or team performance on instrumental/hostile aggression among fans. It was assumed that high identifying fans compared with low identifying fans, in losing conditions, are more willing to commit instrumental and hostile aggression.

Research Hypotheses

- a.) There is a significant relationship between levels of sport, team identification and the level of hostile/instrumental aggression.
- b.) There is a significant difference between high identifying fans and low identifying fans in representation of hostile and instrumental aggression by target (against officials and opponents).
- c.) There is a significant difference between game outcome (win or lose) and the level of hostile/instrumental aggression.
- d.) There is a significant difference between game outcome (win or lose) and the level of hostile/instrumental aggression by target.
- e.) There is a significant difference between game outcome (win or lose) and the level of hostile/instrumental aggression by target (against officials and opponents) and fans' identification (sport and team identification).

Methodology

Survey method was used for data collection to answer the research questions. The population of this research was supporters

and fans of Padideh soccer club in Mashhad city. Using random sampling, 356 soccer fans were selected for data gathering and completed the questionnaires. Because the distributions of samples were not normal, we have used non-parametric test (Mann-Whitney U test). Sports identity which is commonly defined as the degree to which a person identifies with the role of a fan and categorise as private and public sport identity. Private athletic identity refers to the extent to which the individual thinks and feels like a fan, while public athletic identity is the extent to which an individual is known and recognised by others as a fan. (Nasco & Webb, 2006). Team identification is defined as a fan's psychological connection to a team, that is, the extent to which the fan views the team as an extension of him or herself (Wan et al., 2001; Clipert, 2010, p. 3). Sport aggression is defined as: "Aggression is any form of behavior directed toward the goal of harming or injuring another living being who is motivated to avoid such treatment." (Baron & Richardson, 1994). Hostile and instrumental aggression: The goal of hostile aggression is solely to cause harm to the target while the intent of instrumental aggression extends beyond harm to additional goals. Thus, an example of instrumental aggression relevant to sports fan behaviour would be a fan verbally abusing an opposing player hoping to impair her/his performance (End & Natalie, 2010), and in instrumental aggression type, fans may yell obscenities or throw objects at players and officials because they are angry at them and want to physically or

psychologically harm them (Wann et al., 1999).

Procedure

The first section of the questionnaire contained demographic items assessing age group, marital situation and education; the second section contained the Sport Spectator Identification Scale (SSIS, Wann & Branscombe, 1993). This reliable and valid 5-item scale has been used in a number of studies to assess sports fan identification (Wann et al., 1999). The Sport Spectator Identification Scale (SSIS) (Wann & Branscombe, 1993) contains the following seven questions designed to measure level of identification with a specific sport team: How important to YOU is it that this team wins?, How strongly do YOU see YOURSELF as a fan of this team?, How strongly do your FRIENDS see You as fan of this team?, During the season, how closely do you follow this team via ANY of the following: a) in person or on television, b) on the radio, or e) television news or a newspaper?, How important is being a fan of this team to YOU?, How much do YOU display this team's name or insignia at your place of work, where you live, or on your clothing? Responses are provided on a Likert Scale where 5=Strongly agree and 1=Strongly disagree. Wann and Branscombe (1993) demonstrated that the SSIS possesses internal consistency (Cronbach's alpha=.91). Cronbach's alpha for the SSIS in the present study was .86. The Sport Fandom Questionnaire (SFQ) (Wann, 2003) was used for data gathering

from participants. The SFQ consists of the following five questions designed to measure an individual's identification with his/her role as a sport fan: I consider myself to be a soccer fan, My friends see me as a soccer fan, I believe that following soccer is the most enjoyable form of entertainment, My life would be less enjoyable if I were not able to follow soccer, Being a soccer fan is very important to me. Responses are provided using a Likert Scale where 5= Strongly agree and 1=Strongly disagree. It was found that the SFQ possessed strong internal consistency (Cronbach's alpha =.96 in Wann, 2003). Cronbach's alpha for the SFQ in the present study was .83. The hostile and instrumental aggression of spectator's questionnaire contained the eight-item Hostile and Instrumental Aggression of Spectators Questionnaire (HIASQ) used in Wann et al. (2000). Wann et al. maintained that the scale was reliable, valid and contained two items assessing each of the four combinations of aggression target (i.e., officials and opposition) and aggression type (i.e., instrumental and hostile). The question was: how likely is it that you would have yelled at the officials because you were mad at him/her and wanted to express anger?" Responses are provided using a scale where 1= not at all likely and 6= absolutely likely. Thus, a higher score indicates a greater intent to aggress. Low scores indicate little or no intentions to aggress. Four items measured hostile aggression, aggression for purposes of hurting or injuring another person, with

two items pertaining to officials and two at the opposition. The remaining four items measured instrumental aggression, an act of aggression motivated by reasons other than aggression (i.e. to help your team win). Two instrumental aggression items pertained to officials and two to the opposition. The hostile aggression items were summed up to create a single hostile aggression score (Cronbach's alpha =.82), as were the instrumental aggression items (Cronbach's alpha =.89). Previous research has also shown the HIASQ to be valid and reliable (Wann et al., 1993; Wann et al., 1999; End & Natalie, 2010). In addition, participants were randomly assigned to one of two conditions. In one condition, participants read that the team had just won a game against their rival (the "won" condition). In the other condition (the "lost" condition) participants read that their team had just lost to the major rival. Then, we asked respondents to fill the above-mentioned questionnaire that consisted of five items, namely demographic, team identification, sport fandom identity, instrumental and hostile aggression scales.

RESULTS AND DISCUSSION

Findings of this research showed that 91.1% of the respondents are unmarried and only 8.9% of fans are married. Moreover, statistics indicate that the mean age of fans is 25.53 years (SD=6.35 years, range=16 to 55 years), and the level of education of most respondents is up to year 11 (high school).

Soccer Fans’ Hostile and Instrumental Aggression by Sport and Team Identification

To examine the differences between high identifying fans and low identifying fans in total hostile and instrumental aggression scale (Table 1), mixed factor analysis of variance (Mann-Whitney U test) was used and scores of hostile and instrumental aggression were analysed by sport and team identification.

The result of Mann-Whitney U test indicate that high identifying fans have more willingness to commit hostile and instrumental aggression compared with low identifying fans based on sport identification [high identifying fans’ mean rank for hostile and instrumental aggression was 253.81 and 228.9 respectively and & low identifying fans’ mean rank for hostile and instrumental aggression was 124.92 and 146.67 respectively and thus $p > .05$] and team identification [high identifying fans’ mean rank for hostile and instrumental aggression was: 286.88 and 269.19 respectively and low identifying fans’ mean rank for hostile

and instrumental aggression was 119.05 and respectively 130.5 and thus $p > .05$].

Hostile Aggression Target (Opponents and Officials) by Sport and Team Identification

The mean rank appears in Table 2. The results indicate that the effects of sport and team identification are significant. Univariate tests show that according to hostile aggression against officials and opponents, there is a significant difference between high identifying fans and low identifying fans. As Table 2 shows, in sport identification section, high identifying fans show more hostile aggressive actions against opponents and officials [high identifying fans’ mean rank for hostile aggression against opponents and officials was 251.72 and 239.66 respectively, $p < .05$] compared with low identifying fans [low identifying fans’ mean rank for hostile aggression against opponents and officials was 126.74 and 137.28 respectively, $p < .05$].

In addition, in the team identification section, these results repeat too [high

Table 1
Mann-Whitney U test for differences between high identifying soccer fans and low identifying soccer fans in total hostile and instrumental aggression by sport and team identification

		N	Mean Rank	Mann-Whitney U	Sig. (2-tailed)
Total Hostile aggression	Low sport identification	197	124.92	5106.500	.000
	High sport identification	172	253.81		
Total instrumental aggression	Low sport identification	197	146.67	9391.000	.000
	High sport identification	172	228.90		
Total Hostile aggression	Low team identification	224	119.05	1467.500	.000
	High team identification	145	286.88		
Total instrumental aggression	Low team identification	224	130.50	4032.500	.000
	High team identification	145	269.19		

identifying fans' mean rank for hostile aggression against opponents and officials was 282.78 and 267.47 respectively and low identifying fans' mean rank for hostile aggression against opponents and officials was 121.71 131.61 respectively, $p < .05$].

Instrumental Aggression Target (Opponents and Officials) by Sport and Team Identification

To examine the differences between high identifying soccer fans and low identifying soccer fans in instrumental aggression scale (Table 3), mixed factor analysis of variance (Mann-Whitney U test) and scores of instrumental aggression were analysed by sport and team identification.

Results demonstrated that in the sport identification section, high identifying fans have more willingness to commit instrumental aggression against opponents [high identifying fans' mean rank for instrumental aggression against opponents

was 282.48, $p < .05$] than low identifying fans [low identifying fans' mean rank for instrumental aggression against opponents was 121.90, $p < .05$].

In the team identification section, the same results were replicated [high identifying fans' mean rank for instrumental aggression against opponents was 244.69 and low identifying fans' mean rank for instrumental aggression against opponents was 132.89, $p < .05$].

Instrumental aggression against officials in sport identification and team identification section was also analysed. Univariate tests indicated that there were no differences between high identifying fans and low identifying fans in instrumental aggressive actions toward officials by sport identification [high identifying fans' mean rank for instrumental aggression against officials was 188.11 and low identifying fans' mean rank for instrumental aggression against officials was 182.99, $p < .05$] and team

Table 2. Mann-Whitney U test for differences between high identifying soccer fans and low identifying soccer fans in hostile aggression by sport and team identification

		N	Mean Rank	Mann-Whitney U	Sig. (2-tailed)
Hostile aggression against opponents	Low sport identification	197	126.74	5465.500	.000
	High sport identification	172	251.72		
Hostile aggression against officials	Low sport identification	197	137.28	7540.500	.000
	High sport identification	172	239.66		
Hostile aggression against opponents	Low team identification	224	121.71	2062.000	.000
	High team identification	145	282.78		
Hostile aggression against officials	Low team identification	224	131.61	4281.500	.000
	High team identification	145	267.47		

identification [high identifying fans' mean rank for instrumental aggression against officials was 175.97 and low identifying fans' mean rank for instrumental aggression against officials was 192.88, $p < .05$].

Fans' Hostile and Instrumental Aggression Types – Total, Opponents and Officials - by Game Outcome (Win or Loss)

We assumed that there were significant differences between a game outcome (win or loss) and the level of hostile/instrumental aggression. Univariate test (Table 4) shows that, the aforementioned differences have been proved. In fact, the rate of hostile aggression in loss condition [loss condition' mean rank for hostile aggression types -total, opponents and officials- respectively: 221.95, 215.68, 223.91, $p < .05$] is higher than win condition [win condition's mean rank for hostile aggression types, total, opponents and officials, respectively were 148.65, 154.82, 146.72, $p < .05$].

Also, in instrumental aggression type, these significant differences in lose condition [lose condition's mean rank for instrumental aggression types, total, opponents and officials, respectively were 220.62, 218.54, 198.11, $p < .05$] and winning condition [win condition's mean rank for instrumental aggression types, total, opponents and officials, respectively were: 149.96, 152.01, 172.10, $p < .05$] had been repeated too.

Fans' Hostile and Instrumental Aggression toward Target – Opponents and Officials - by Game Outcome (Win or Loss) and Fans Identification (Sport and Team Identification)

After splitting team and sport identification in two parts – low and high identification - we execute Mann-Whitney U test (Table 5) for each hostile and instrumental aggression in win and loss condition. As Univariate test shows, in the first section, namely sport identification, by regarding team performance –win or loss - there

Table 3
Mann-Whitney U test for differences between high identifying soccer fans and low identifying ones in instrumental aggression by sport and team identification

		N	Mean Rank	Mann-Whitney U	Sig. (2-tailed)
Instrumental aggression against opponents	Low sport identification	224	121.90	2105.000	.000
	High sport identification	145	282.48		
Instrumental aggression against officials	Low sport identification	224	182.99	15789.000	.646
	High sport identification	145	188.11		
Instrumental aggression against opponents	Low team identification	197	132.89	6676.000	.000
	High team identification	172	244.69		
Instrumental aggression against officials	Low team identification	197	192.88	15389.500	.122
	High team identification	172	175.97		

are significant differences between low identifying fans and high identifying fan. In fact, low identifying fans don't report any significant differences in win or loss condition by considering of hostile [win/hostile aggression against opponents: 93.61, loss/hostile aggression against opponents: 107.05, $p>.05$, win/hostile aggression against officials: 97.24, loss/hostile aggression against opponents: 101.63, $p>.05$], and instrumental aggression [win/instrumental aggression against opponents: 94.62, loss/instrumental aggression against opponents: 105.54, $p>.05$, win/instrumental aggression against officials: 96.33, loss/instrumental aggression against officials: 102.99, $p>.05$]. On the other hand, high identifying fans indicate significant differences in win or loss condition by considering hostile [win/hostile aggression against opponents: 65.76, loss/hostile aggression against opponents: 100.06,

$p<.05$, win/hostile aggression against officials: 50.46, loss/hostile aggression against opponents: 110.07, $p<.05$], and instrumental aggression [win/instrumental aggression against opponents: 60.90, loss/instrumental aggression against opponents: 103.24, $p<.05$, win/instrumental aggression against officials: 70.90, loss/instrumental aggression against officials: 96.70, $p<.05$].

In the second section – team identification - by regarding team performance, win or loss, data indicated significant differences between low identifying fans and high identifying fans and in fact, low identifying fans don't report any significant differences in win or loss condition by considering hostile [win/hostile aggression against opponents: 110.96, loss/hostile aggression against opponents: 114.75, $p>.05$, win/hostile aggression against officials: 109.46, loss/hostile aggression against opponents: 116.95, $p>.05$], and instrumental aggression

Table 4

Mann-Whitney U test for differences between game outcome (win or loss) and hostile/instrumental aggression types (total, against opponents and officials)

		N	Mean Rank	Mann-Whitney U	Sig. (2-tailed)
Total hostile aggression	Win condition	186	148.65	10258.000	.000
	Loss condition	183	221.95		
Hostile aggression against opponents	Win condition	186	154.82	11405.000	.000
	Loss condition	183	215.68		
Hostile aggression against officials	Win condition	186	146.72	9898.000	.000
	Loss condition	183	223.91		
Total instrumental aggression	Win condition	186	149.96	10501.000	.000
	Loss condition	183	220.62		
Instrumental aggression against opponents	Win condition	186	152.01	10882.000	.000
	Loss condition	183	218.54		
Instrumental aggression against officials	Win condition	186	172.10	14619.500	.000
	Loss condition	183	198.11		

[win/instrumental aggression against opponents: 108.80, loss/ instrumental aggression against opponents: 117.91, $p > .05$, win/ instrumental aggression against officials: 107.50, loss/ instrumental aggression against officials: 119.81, $p > .05$]. On the other hand, high identifying fans showed significant differences in win/loss condition by considering hostile [win/ hostile aggression against opponents: 48.69, loss/ hostile aggression against opponents: 87.01, $p < .05$, win/ hostile aggression against officials: 34.96, loss/ hostile aggression against opponents: 94.91, $p < .05$], and instrumental aggression [win/instrumental aggression against opponents: 45.36, loss/ instrumental aggression against opponents: 88.92, $p < .05$, win/ instrumental aggression against officials: 64.82, loss/ instrumental aggression against officials: 77.71, $p < .05$].

CONCLUSION

The findings of this research indicate that high identifying fans express more aggressive behaviour compared with low identifying fans in situations when their team play poorly, lose the match or the opponents' players are better than them. Moreover, the result of this research shows that there are significant differences between high identifying fans and low identifying fans in hostile/instrumental aggression. In other words, high identifying fans are more willing to commit aggressive action. They commit hostile/instrumental aggression to protect their sport team identity in comparison with low identifying fans. This result confirms previous works of Wann

et al. (1999), Dimock and Grove (2003), Wann et al. (2003), Rocca and Vogl-Bauer' (2009), End and Natally (2010) and Wann et al. (2015). In fact, as recent studies revealed, high identifying fans reported more willingness to aggressive actions toward opposing players and officials than low identifying fans (Wann, Carlson & Schrader, 1999) and it is best to distinguish them from low identifying fans (Wann & Branscombe, 1993).

The result of this research also indicates that the fans with high sport and team identity have more willingness to commit hostile and instrumental aggression compared with the fans with low sport and team identity. Moreover, there are significant differences between high identifying fans and low identifying fans. Interestingly, this research demonstrated that high identifying fans have more willingness to commit instrumental aggression against opponents than low identifying fans. When instrumental aggression against officials were analysed, univariate tests indicated no differences between high identifying fans and low identifying fans in instrumental aggressive actions toward officials through sport and team identification; this is because the role of a team follower is a central part of fans' sport identity (Wann et al., 1999) and the team's performance highly pertains to self-esteem, positive self-image (Wann et al., 1998). For fans with a low level of identification, the role of team follower is only a peripheral component of their self-concept (Crocker & Major, 1989). As a result, the team's performances have

Table 5

Mann-Whitney U test for soccer fans' hostile and instrumental aggression types – total, opponents and officials - by game outcome (win or loss) and fans identification (sport and team identification)

			N	Mean Rank	Mann-Whitney U	Sig. (2-tailed)
Low sport identification	Hostile aggression against opponents	Win condition	118	93.61	4025.000	.097
		Loss condition	79	107.05		
	Hostile aggression against officials	Win condition	118	97.24	4453.500	.585
		Loss condition	79	101.63		
	Instrumental aggression against opponents	Win condition	118	94.62	4144.000	.178
		Loss condition	79	105.54		
	Instrumental aggression against officials	Win condition	118	96.33	4346.000	.415
		Loss condition	79	102.99		
High sport identification	Hostile aggression against opponents	Win condition	68	65.76	2125.500	.000
		Loss condition	104	100.06		
	Hostile aggression against officials	Win condition	68	50.46	1085.000	.000
		Loss condition	104	110.07		
	Instrumental aggression against opponents	Win condition	68	60.90	1795.000	.000
		Loss condition	104	103.24		
	Instrumental aggression against officials	Win condition	68	70.90	2475.500	.001
		Loss condition	104	96.70		
Low team identification	Hostile aggression against opponents	Win condition	133	110.96	5847.000	.660
		Loss condition	91	114.75		
	Hostile aggression against officials	Win condition	133	109.46	5647.000	.380
		Loss condition	91	116.95		
	Instrumental aggression against opponents	Win condition	133	108.80	5559.500	.290
		Loss condition	91	117.91		
	Instrumental aggression against officials	Win condition	133	107.50	5386.000	.154
		Loss condition	91	119.81		
High team identification	Hostile aggression against opponents	Win condition	53	48.69	1149.500	.000
		Loss condition	92	87.01		
	Hostile aggression against officials	Win condition	53	34.96	422.000	.000
		Loss condition	92	94.91		
	Instrumental aggression against opponents	Win condition	53	45.36	973.000	.000
		Loss condition	92	88.92		
	Instrumental aggression against officials	Win condition	53	64.82	2004.500	.070
		Loss condition	92	77.71		

little consequence for their self-image and therefore, they are less likely to react aggressively.

This research also indicates that there are significant differences between hostile/instrumental aggression and aggression target (officials and opposing players). Consistent with Wann, Carlson and Schrade's (1999) research, aggression toward rivals' players, coaches and spectator was hostile or instrumental, while the aggression toward officials was more hostile than instrumental. In addition, when aggression target was analysed by sport and team identification, the finding showed that there were no differences in hostile/instrumental aggression toward opponents and officials by low identifying fans. In contrast, high identifying fans show more willingness to commit hostile and instrumental aggression against opponents than officials which are displayed only in instrumental aggression toward opponents rather than officials. Therefore, the prediction that high identifying fans would report greater levels of both hostile and instrumental aggression was confirmed. Also, aggression directed toward the officials in high identifying fans was more likely to be hostile than instrumental, while aggression directed toward the opposition was equally likely to be hostile or instrumental. Wann et al. (1999) argued that these different patterns may be a result of socialisation whereby fans learn officials are impartial in their judgments. Consequently, the spectators are less likely to act aggressively (instrumental) against these people in an attempt to

assist their team. Rather, they tend to act aggressively (hostile type) toward these people as a reaction to poor judgment. (Wann et al., 1999).

Regarding the team's performance, the results of analysis variance shows that win or loss condition has different impact on fans reactions. For instance, when a team's performance (loss condition) is poor, the high identifying fans have more willingness to commit hostile and instrumental aggression against opponents than low identifying fans and the significant relationship failed between the team's performance (win or loss condition) and tendency to hostile or instrumental aggression. According to the frustration theory, aggression is the direct result of a frustration that occurs because of failure or goal obstruction (Vaezmousav & Shojaie, 2005). When fans couldn't achieve their goal or expectation (winning the game, high team performance) the likelihood of negative reactions such as aggressive actions will increase. In fact, in their opinion, such reactions could be appropriate and logical. As this study indicates, in lose condition, the intent of aggressive action in high identifying fans will increase compared with win condition that spectators' expectation of good performance will obviate. Therefore, in win condition, spectators as frustration theory claims, have less willingness to commit aggressive action.

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Modelling Business Responsibility of SMEs: A Study Based on the Stakeholder Approach

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ABSTRACT

This study applies the stakeholder theory in understanding the importance of managing good relationships between stakeholders which are useful in establishing network capital for SMEs in practising business responsibility that puts emphasis on calculative, economic, rational and professional factors. This study aims to advance our understanding of how SMEs practise business responsibility by referring to the proposed model. This study was conducted to bridge the gap between the research approach that has been widely used by social capital theory and the stakeholder approach. An exploratory case study research methodology was applied to investigate the research problem. Data was collected from 30 semi-structured open ended interviews with owner-managers of SMES in Java Island, Indonesia. Findings of this study indicated that business responsibility relies on SMEs because there is a demand from important and primary stakeholders such as buyers, suppliers and customers for economic objectives. The results of this study showed the importance of strategic and legitimacy aspects in maintaining sustainability of small and medium business.

Keywords: Business responsibility, stakeholder, SMEs

INTRODUCTION

The concept of business responsibility began in 1970 with the emergence of Corporate Social Responsibility or CSR (Elkington, 1998; Maten & Moon, 2005;

Welford, 2005; Carrol, 2006; Asongu, 2007; Mahyuni, 2013), followed by Corporate Sustainability or CS (Katsoulakos & Yanis, 2007; Munkelien et al., 2010), and today, it is discussed in a broader field - Global Corporate Citizen or GCC (Katsoulukos & Yanis, 2007; Hoivik et al., 2009; Hoivik & Shankar, 2011; Ning-ning, 2014). Basically, an enterprise' responsibility can be defined using the three concepts utilised to conduct

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businesses - in an economically viable, socially responsible, culturally acceptable and environmentally friendly manner in order to maintain sustainability by building a good relationship with stakeholders. The business responsibility movement is still a mainstream issue in various organisations. This movement has influenced the mindset of businesses to see the effects that companies have on the public and other stakeholders as the core of the company's operations, not only in the scope of local and regional, but also at the global levels.

In the context of Small and Medium Enterprises (SMEs), debates focusing on the pros and cons of interest still continue to this day, especially regarding the usefulness of SMEs practising business responsibility, where most of them only have a small scope of operation in the local market and a small capital. Among the empirical studies conducted in this field, Morillo and Lozano (2006), Perrine et al. (2007), Kechiche and Soparnot (2012) and Demuijnck and Ngnodjom, (2013) stand out in investigating how SMEs that were implementing business responsibility carried out an assessment of the application of social responsibility as an informal CSR, CSR minimalist, low commitment and small benefits. Studies concerning the implementation of business responsibility movement (see Morillo & Lozano, 2006; Cachet & Vo, 2012) which indicated the need for further empirical studies highlighted two important questions: 1) Can business responsibility of CSR-SMEs implemented nationally be extended to the international/global level? 2) Can business responsibility be applied by SMEs

with limited resources? Another research question posed by Perrini (2006) and Sangeetha and Pria (2011) is: which theory of social capital is more appropriate for SMEs and which stakeholder theory is more suitable for large companies? The latest study by Kechiche and Soparnot (2012) posed another question: should the implementation of CSR in SMEs be the same with the large businesses?

Business responsibility practices can affect the competitiveness of SMEs through: 1) high motivation and loyal employees' publicity, effective word-of-mouth of the company's product and services and better position in the labour market (Morillo & Lozano, 2006), 2) improvement of products and production to better customer satisfaction and loyalty (Kechiche & Soparnot, 2012), 3) better network with business partners, increased profits due to more efficient deployment of human resources and the use of production resources, as well as increased sales turnover (Torugsa et al., 2012). Furthermore, Perrini (2006) states that the implementation of CSR in SMEs offers greater market access, productivity, and broader social benefits such as education and community development. More specifically, Hoivik and Shankar (2011) proposed two important reasons why business responsibility should be taken into account by SMEs, particularly entrepreneurial nature and drives innovation, as these can have major strategic impacts on their businesses.

The stakeholder approach to understanding the practice of business responsibility in SMEs is to look at it from

the perspective of economic theory (unique resources and survival challenge). Several empirical studies such as those by Williamson et al., (2006), Den and James (2012), and Campin et al., (2013) investigating the CSR-SMEs relationship showed that they are more aligned to the fundamental social capital theory, which explores building relationships and networking with a range of stakeholders, and not judged by their stake in the business but the social capital. The research question posed by Beckman et al. (2009) and Sangeetha and Pria (2011) highlights that stakeholder approach needs to be supported by the capabilities of SMEs to build capital to access network resources and knowledge owned by the stakeholders (network capital). The network capital consists of strategic and calculative relations and networks held by firms (Huggins, 2009). Huggins (2010) emphasises that the concept of network capital can be used to access the available resources between the company and other parties/partners based on logical, professional, strategic, and calculative principles.

In the Indonesian context, SMEs have not yet fully concerned themselves about business responsibility, because business responsibility is mostly active in the local/national markets. However, SMEs which are beginning to expand their markets through exports are required to meet the demand of primary stakeholders such as buyers, government, suppliers, agents and customers. In general, the demands of stakeholders are as follows: internationalisation, standardisation of product, most of the SMEs financing being

not feasible to offer credit, quality standards, innovation, an increase in capacity of human resources as well as the various rules imposed on the products to enter the world market (Wengel & Rodriguez, 2006; Tambunan, 2007; OECD, 2009)

Based on the earlier explanation, the research question posed in this study was how business responsibility is perceived by SMEs and which stakeholders influence business responsibility participation. When compared with previous studies, this paper has several differences in that it bridges the research gap. First, larger companies have already incorporated business responsibility in their strategic plan as an essential element for long term sustainability, while SMEs participating in business responsibility remain undefined (Jamali, 2008). Second, most previous studies adopted the social capital theory and among them, Gibson (2000) were primarily concerned with significance of relationship as a resource for social action; Jamali (2008) stated that organisations participate in social activities with the aim of increasing social capital, whereas this study used the stakeholder theory putting emphasis on economic aspects rather than social. In the earlier studies, Mitchell et al. (1997) stated the stakeholder salience model and ranked business stakeholder on the basis of their power, urgency and legitimacy. Freeman (1984) stated that stakeholders are groups on which the organisation is dependent for its continued survival. Huggins (2010) emphasised that the concept of network capital can be used to access the available resources between the company and

other parties/partners based on logical, professional, strategic, and calculative principles. While the previous studies had used quantitative data (Perini 2006; Morillo & Lozano 2006 & Campin et al., 2013) data in this study were analysed through an exploratory method which is appropriate for the focus of the research area which was little understood. Finally, this study proposed a conceptual model and combined it with the empirical research.

The rest of the paper is organised in the following manner: Section 2 provides a conceptual model. This is followed by a discussion of the research methodology and empirical results in Section 3 and 4 respectively.

THE PROPOSED CONCEPTUAL MODEL

In order to respond to the development of business responsibility activities, the concept of stakeholder approach is important as it has entered the global arena, whereas the one that affects the continuity of the company is a multi-stakeholder approach with extensive networking. The proposed model is built on several previous models developed by Donalson and Peterson (1995), Rowley (1997) and Pederson (2010).

The stakeholder modelling developed by Donalson and Peterson (1995) is based on the argument that all individuals and groups have the legitimacy to participate in the company and the company benefits from stakeholders (see Figure 1). In this model, there is no special priority as all stakeholders have equal access and position

and each will get benefit. The network modelling developed by Rowley (see Figure 2) looks at the aspect of networking effect built by stakeholders where they have a direct a relationship with one another. Yet, the nature of the relationship between the stakeholders still affects the company. Pederson modelling (2010) is the right model to be used as a reference in balancing the interests of stakeholders (see Figure 3). This model explain that it is possible to develop marketable high quality products, ensure a comfortable working environment and reduce negative environmental impacts if a manager implements social responsibility and manages to attain good relationships with multi-stakeholders. In other words, managing external stakeholders means “environmentally friendly” SMEs business give positive impacts on communities, customers, government and employees.

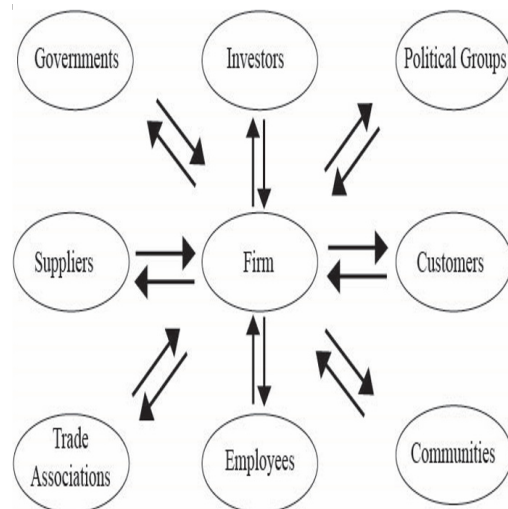


Figure 1. Stakeholder Modelling
(Source: Donalson & Peterson, 1995, p. 80)

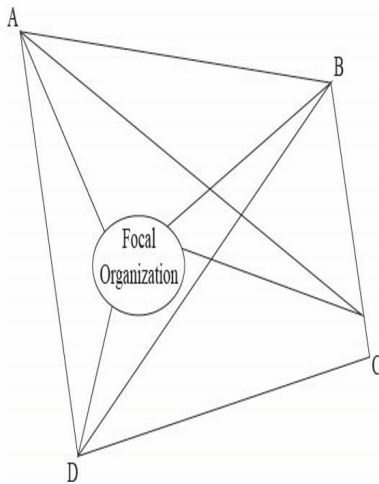


Figure 2. Stakeholder Networking Model (Source: Rowley, 1997, p. 901)

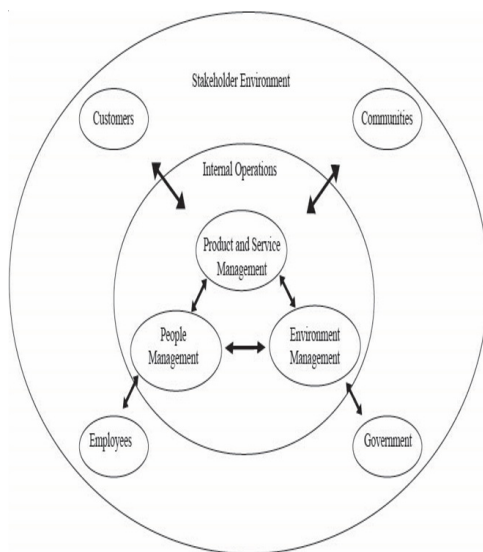


Figure 3. Pederson's CSR Model (Source: Pederson, 2010, p. 155)

Pertaining to the third model, this paper proposes a conceptual model that can be applied in the context of the implementation of business responsibility (blending the three concepts of Corporate Social Responsibility/

SCR, Corporate Sustainability/CS and Global Corporate Citizen/GCC). This model fulfils the requirement of SMEs in Indonesia which are currently facing the phenomenon of “growing interest in entering the international/global market” (Wismiarsi et al., 2009). The proposed model takes into account important aspects, namely SMEs engaging in international/global business start to realise the impact of applying business practices responsibly. With limited resources owned and the ability to successfully support business responsibility practices, it is necessary to understand the importance of building relationships with stakeholders to take full advantage of the network capital of relationship with them. Meanwhile, the aspects of centrality and density as well as the multiple stakeholders faced by owners/managers of SMEs should be important considerations in ensuring the relationships built could provide economic, rational and investment benefits of the network resources owned by stakeholders as a partner of the business activities.

The model of the business responsibility proposed is an appropriate model to be used as a reference in balancing the interests of stakeholders associated with business responsibility practices in Indonesia (see Figure 4).

This model could be used to explain that owners/managers internally managing the relationships with stakeholders in implementing business responsibility would have developed and marketed high quality products, ensured a comfortable

working environment, and reduced negative environmental impacts. Managing relationships with external stakeholders in the context of business responsibility involves a company to deliver products that satisfy consumers and employ disabled people, build good relationships with suppliers on the basis of a win-win solution, collaborate with agencies and universities in order to encourage innovations and build networking with the government in order to overcome limitations in terms of regulation, bureaucracy, and information of international market opportunities. By doing

all these, managers can be convinced that the company would be a good corporate citizen. In a broader scope, it would be a global corporate citizen that creates value for the company, the community and the society.

METHODOLOGY

Further step to assess the proposed model involves the application of the concept of business responsibility in SMEs. For this purpose, data were collected using in-depth face-to-face interviews to obtain more complex and detailed issues required for this study. This study used open-ended

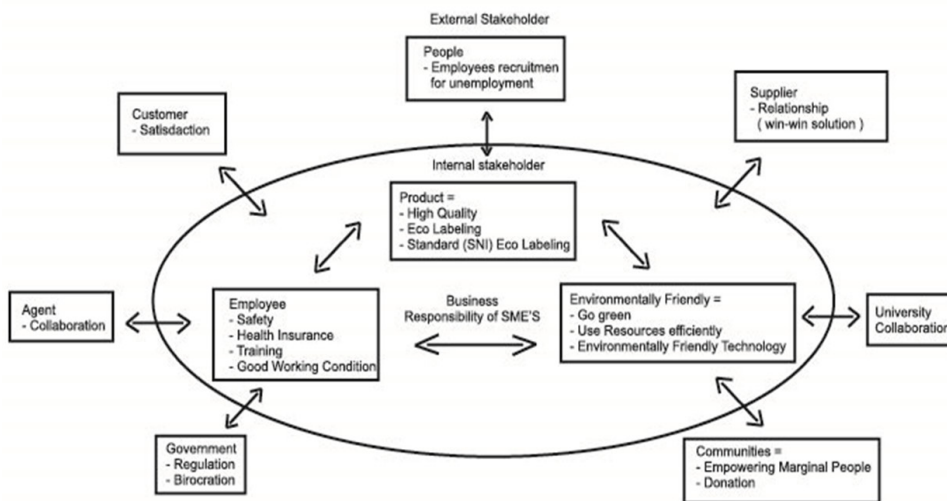


Figure 4. Proposed Model for Business Responsibility for SMEs (Source: Author)

Table 1
Target Population

No	Industry	DKI Jakarta	Banten	West Java	Population SMEs	Sample
1.	Garment- Fashion	20	13	25	58	9
2.	Handicraft	27	32	51	110	12
4.	Agrobusiness	34	18	32	84	4
5.	Furniture	15	13	35	63	5
Total		96	76	143	315	30

questions. Interviews were conducted with 30 business owners/managers of the Small Medium Enterprises (SMEs) that are involved in international/global activities (exports) in the three provinces: West Java (Garut, Cirebon, Tasikmalaya, and Bandung Regency), Jakarta (Klender – East Jakarta) and Banten (Tangerang). The reason for selecting the four industrial sectors in three areas, namely Jakarta, Banten and West Java is based on the consideration that the entrepreneurs of SMEs in these industries are doing business internationally as well as being the primary national exporters. Selection of the area is considered due to the presence of a number of export-oriented SME representatives in the group of some industries, namely handicraft, furniture, agrobusiness, garment and fashion. It is different from SMEs in other provinces in Indonesia. All three provinces constitute the target of the Indonesian government to encourage SMEs to enter international markets (export). Based on data from the Ministry of Industry (2012), the target population of SMEs in these three areas is as follows:

Research using judgment sampling involved as many as 30 SMEs, which is about 10 % of the population, and they were interviewed to obtain comprehensive information. Selection was done based on proportion of the number of SMEs as follows:

1. Sample DKI Jakarta
 = 96/315
 = 31% X 30 SMEs
 = 9 SMEs

2. Sample Banten
 = 76/315
 = 24% X 30 SMEs
 = 7 SMEs
3. Sample West Java
 = 143/315
 = 45% X 30 SMEs
 = 14 SMEs

The minimum sample size was 30 respondents as a consideration when collecting data in the field having problems. The interview period was between June 20 and July 4 2014. Each interview lasted for about 30 to 60 minutes.

Samples were taken from four industries, namely handicraft, furniture, fashion and agribusiness: there were 12 companies from the handicraft industry, five companies representing the furniture industry, nine companies from the fashion industry and four companies representing the agribusiness industry (food and drinks). Although the samples were taken from different industries and were different in size (number), all four of the industries are categorised as belonging to the creative industry sector. This sector has similar characteristics where a large number of its business actors are challenged to do several things such as innovation, international standardisation especially in terms of product quality, creativity and environmental issues.

Results of the interview were translated into transcripts and a matrix to summarise the questions (open-ended questionnaire). The

questions sought information in relation to: 1) how business responsibility is perceived by SMEs; 2) which stakeholders influence business responsibility participation.

RESULTS AND DISCUSSION

The purpose of this study was to investigate the practice of business responsibility among SMEs in the three selected provinces (West Java, Jakarta and Banten) from the perspective of the owners/managers. This study was a response to the empirical studies by Den and James (2012) and Campin et al., (2013), which called for more research investigating the perspective of the stakeholder theory. In-depth interviews (open-ended questions) provided the opportunities for researchers to understand the perception of the owners/managers and to obtain detailed information about factors that encourage the practice of business responsibility in SMEs. Interviews with the 30 owners/managers of SMEs were used to determine their perceptions and motivations for SMEs engagement in business responsibility practices.

The model used was based on responses to the research questions related to how business responsibility is perceived by SMEs and which stakeholders influence participation of business responsibility. Research questions were summarised in a model that can describe the extent to which the role of stakeholders supports SMEs practising business responsibility. Proposed modelling emphasised the importance of internally and externally balancing the interest of the stakeholders associated

with business responsibility practices. Practising business responsibility for SMEs means that SMEs have to build good relationships with internal stakeholders such as employees, market high quality products and ensure a comfortable working environment. Managing good relationships with external stakeholders can be observed from the business interests of the consumer, government, suppliers, agents, buyers, community and universities.

Managing internal stakeholders

For SMEs, the engagement of business responsibility practices with the internal stakeholders can be associated with the operational aspects of management. In relation to the practice of the internal operation, the application of business responsibility is generally undertaken by the owners/managers of SMEs. Buyers' and consumers' high demands in the global/international market for quality and design of products have prompted SMEs to improve their optimum operational aspect (production). The understanding of business responsibility in the SMEs sub-sector is not uniform. Mostly, SMEs from the handicraft and furniture industry are aware of their social responsibility along with the economic and legal aspects. The SMEs from fashion and the agrobusiness industry are more aware of the short-term economic perspective, that is, the economic conditions that are important for SMEs to survive and participate in business responsibility.

Specifically, the interviews carried out in this study indicated that several SMEs agents,

mainly those who engage in the handicraft and furniture industries, have begun to apply environmental concepts known as eco-design in their design considerations. This is in response to international issues, such as green design which aims to produce innovative products called green products. At the moment, consumers in the European market enjoy traditional and classic furniture and handicraft products. Products that are environmentally friendly and that have the aesthetic values produced by SMEs have a competitive advantage. Based on the findings from the interviews, the sustainability of the export business activity could last more than 10 years because the business responsibility practices have become an important part of the daily activities of their production.

Next, regarding the relationships with the employees, owners/managers of SMEs have attempted to provide a comfortable working environment. Most SMEs' working environments are adjacent to residences because human resources are generally recruited from the surrounding areas. To improve the design of existing products, there are owners/managers who have recruited consultants from the Academy of Art & Design to provide training to their employees. Thus, maintaining good relations with employees among others, by improving their skills and knowledge, will bring positive impacts on the production of quality products and encourage creative innovation. In relation to this matter, two respondents from the handicraft and furniture industries who have successfully worked on the export market stated:

"...In order to survive in the international market, SME agents should strive to produce quality products with unique and attractive design, offering competitive prices ..."

"... For SME agents who have just entered the international market, to be able to compete they have to be innovative, creative and have a good track ..."

Business responsibility is said to be implemented in SMEs if the owners/managers consciously attempt to reduce negative impacts on the environment, place emphasis on efficient utilisation of natural resources and use friendly technology. Although not all owners/managers have consciously complied with the business responsibility issues, the international market that demands products which pay attention to the importance of environmental balance has been understood and the SMEs' efforts receive appreciation from the buyers. Among them is a businessman of *batik* (handicraft) from Tasikmalaya who stated:

"...Our company tries to use technology appropriately in order to be able to develop attractive, unique and original product design yet, still accommodate the global nuances. For example, we create global motifs using mollusk motif in batik, making batik more attractive... In addition, we also use natural dyes from the leaves of guava etc."

Managing External Stakeholders

Managing the relationships with external stakeholders in the context of business responsibility involves SMEs producing products that satisfy consumers, employ disabled people, and establish good relationships with their suppliers. These are in addition to collaborating with agencies, associations and universities in order to encourage innovation and building network with the government to overcome the limitations in terms of regulation, bureaucracy, and information on the international market opportunities.

In relation to the influence of stakeholders in practising business responsibility in SMEs, the majority of the respondents rated building relationships with primary stakeholders (customers, supplier, agent, buyer, government) higher than that with community stakeholders. Mostly SMEs from the handicraft, fashion and furniture industries stated that quality service, buyer satisfaction, profit making are of significant value. However, SMEs from the agroindustry stated that taking responsibility for the society and environment is important to balance stakeholder interests. Some of the SMEs from the furniture industry mentioned that they have limited interactions with the community as their buyers and customers are mainly business oriented.

In general, one of the important stakeholders with whom good relationships should be built is buyers or agents. This is due to the fact that the majority of SMEs in Indonesia do not export directly but through intermediaries such as traders, exporting

companies, and trading houses. The support from buyers is obtained by getting information related to issues concerning green products, eco-design, requirements of eco-labelling, and compliance with EPTIK (Professional Ethics of Information and Communication Technology). Most owners of SMEs revealed that design development was carried out together with buyers in order to meet the requirements of eco-labelling and EPTIK. Buyers from some countries in Europe and America are very concerned with the issue of green products, so these ideas were taken into consideration when developing designs for the products.

Other stakeholders who support the implementation of business responsibility practices are partners associated with the supply chain including the suppliers of raw material so that SME agents can obtain raw materials at affordable prices. Some of the SME agents stated that building network with suppliers of raw materials is essential so that the production process will not be affected. For the SMEs, accommodating the community interests through group gatherings and associations is important so as to share knowledge and to improve skills, especially in dealing with the many issues related to the welfare of the surrounding community. One of the SMEs engaged in the handicraft industry in Tangerang, which has successfully been doing business internationally (export) for 10 years, revealed:

“... I run this business because of the help of some colleagues who have been formerly doing business

in the creative industries of rattan ... so I always try to build a business relationship with the principle of mutual support. In the present situation, many entrepreneurs around my area went bankrupt... I try to help them by utilising idle employees to fulfil orders from increasing number buyers from different countries such as the Netherlands, Japan, Africa and Malaysia”....

Hence, applying business practices responsibility is one reason why SMEs maintain legitimacy by providing support to the programmes involving both local government and local society. Business responsibility practices are generally undertaken to give donations to commemorate Independence Day, contribute to religious ceremonies and provide assistance for the supply of sports facilities. All the works undertaken by business owners are not other than maintaining sustainability in harmony with the environment. Similarly, building good relationships with other stakeholders is important to provide support to government programmes and avoid the irresponsible disposal of hazardous wastes into rivers, and burning arbitrarily and to plant around the business environment for reforestation. Collaboration with the government is also important for SMEs to overcome bureaucratic and cumbersome regulations such as Eco-labelling and EPTIK.

This study also found business responsibility practices implemented for

strategic reasons. The owners/managers SMEs especially in the handicraft and furniture industries agreed that providing satisfaction to their customers is a competitive advantage. Buyers' perception of Indonesian handicraft and furniture products is still positive because they believe in the business process that is environmental friendly. In comparison, products from Vietnam and China are more concerned with low price and low quality.

The most crucial finding in this study, based on the research question, was that SMEs are always profit driven. The economic interest of owners as definitive stakeholders (Mitchell et al., 1997) possessing all three attributes (power, legitimacy and urgency) was found to be the priority of the respondents. Data analysis indicated that relationship building (primarily with customers, employees, buyers and agents) is more crucial than being responsible to the community. From the stakeholder perspective, the findings of this research are consistent with Roloff's (2008) and Reynolds et al.'s (2006) theories.

In terms of influencing stakeholders on SMEs business responsibility practices, the SMEs' owners/managers have consistently identified their stakeholders which include customers, buyers, agents, government and employees. However, communities are not considered as stakeholders who influence business responsibility decisions. This finding closely aligns with the fundamental stakeholder theory (Mitchell, 1997; Freeman, 2004)

CONCLUSION

Based on the exploratory studies, the findings indicate that managing internal stakeholders has been practiced, and this is associated with the company's operational activities such as producing products that are safe, environmentally friendly and harmless using natural raw materials and empowering employees by constantly providing them with the necessary training to improve design and quality of the products. In terms of managing important external stakeholders, business responsibility practices have been carried out through a variety of activities such as maintaining legitimacy to build good relations with the community and local government through various donations/aids as well as through providing employment opportunities to the surrounding communities. Meanwhile, collaboration with buyers and universities has benefitted the SMEs in terms of encouraging innovations and products that are environmentally friendly. Building a good relationship with the government is one of the key factors to provide positive benefits, particularly in relation to regulatory compliance related to marketing of products to international markets such as eligibility of Eco-labelling, Sucofindo and EPTIK that have become great obstacles for most SMEs to go international.

Based on the discussion above, two initial concepts are proposed: 1) business responsibility can be applied to SMEs from the start of the business right through its development into a large business; and 2) building network with stakeholders on

the basis of the principle of relationship requires a good management in order to achieve success. The main stakeholders who can be business partners among others are the governments, trade associations, large companies, agents, suppliers, buyers, and any other parties who are interested in the development of enterprises. One important thing that owners/managers of SMEs need to do is manage their stakeholders so as to maintain the viability of the company in international activities

The challenge that lies ahead is on how the SMEs will evolve in applying the concept of business responsibility. The importance of SMEs in applying this concept is to strengthen the sustainability of the business so that it can turn into a large-scale business offering global careers. Through the application of the concept of business responsibility, SMEs can be the economic sustenance of a country at the grassroots level, such as reducing unemployment, increasing entrepreneurship, and reducing poverty in rural areas. To be able to develop SMEs that are concerned with business responsibility, an effective design model needs to be developed so that it can be used as a reference for the implementation of real programmes.

The dynamic challenge for SMEs is to deal with international market to justify the importance of building good attitude towards business responsibility practices. The proposed model may still be valid to some extent where SMEs have the power in terms of resources. For future research, the advanced perception

of business responsibility can be seen beyond the traditional model of stakeholder theory which considers SMEs like in large organizations.

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The Role of Expert Evidence in Medical Negligence Litigation in Malaysia

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ABSTRACT

The courts are continuing to allow greater participation in the justice system by experts. Expert evidence is admissible in court whenever there are matters or issues which require their expertise in terms of observation, analysis, description and resolution. In medical negligence litigation, the '*Bolam*' test is cited as the starting point. The test requires doctors to conform to a 'responsible' body of medical opinion. However, it has failed to define what a 'responsible' body of medical opinion is. The article aims to examine the role of expert evidence in medical negligence litigation cases. The scope of this article is limited to expert evidence in medical negligence litigation in Malaysia in the context of the standard of care required from doctors in the course of treatment, diagnosis and provision of information to their patients. The methodology is a legal, library-based research focusing mainly on primary and secondary sources. The findings indicate a need for reforms such as improving the quality of medical expert witness testimony by strengthening the qualifications for serving as a medical expert and providing more specific guidelines that govern the conduct of physicians throughout the legal process.

Keywords: *Bolam* test, expert evidence, medical negligence, litigation, doctors, course of treatment, diagnosis

INTRODUCTION

In medical negligence litigation, a key step is for the claimant to prove the doctor failed to meet the required standard of care. The traditional test in law in such cases is what is known as the *Bolam* test to prove a doctor is not negligent if what he/she has done is endorsed by a responsible body of medical opinion in the relevant specialty at

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the material time (*Bolam vs Friern Hospital Management Committee* (1957) 2 All ER 118). The standard has been criticised as one set by the medical profession and evidenced by expert testimony with minimal court scrutiny, and it has been suggested that stricter evaluation of such opinion is timely (Teff, 1998). The decision in *Bolitho v City and Hackney Health Authority* [(1992) PIQR P334, (1997) 39 BMLR 1, HL] suggests that the court should adopt a more interventionist stance in assessing expert evidence and in setting the standard of care. One such approach towards a more objective measure in determining the legal standard of care could be through the use of clinical guidelines.

In Malaysia, the tort system regulates and governs medical negligence litigation. It provides for compensation in cases where a doctor or any other medical personnel assisting in the treatment of a patient is proved to be negligent. The element of fault plays a vital role in negligence cases from the very beginning thus, the tort system has been criticised on the grounds that burden of proof rests on the patient or the plaintiff (in medical negligence claims) (Puteri Nemie, n.d.). Although this is the stance of the law, it has to be noted to prove that a doctor had positively breached a standard of care is onerous for the plaintiff due to the existence of the *Bolam* test. Due to the fact that the plaintiff has the burden of proving the doctor or defendant had strayed from the recognised standard of care, the profession imposes upon the plaintiff the burden of establishing first what the professional

standard of care is in any given case and that the defendant has departed from it (Puteri Nemie, n.d.). It should be noted that the only acceptable manner of proof of the standard of care is another doctor's testimony. This has led to a situation where a patient has to face the unwillingness of one doctor to provide evidence against a fellow doctor. This kind of scenario has been dubbed as "conspiracy of silence" (*Salgo v Leland Stanford Jr. University Board of Trustees* 317 O 2d 1093 (1960)), which has effectively prevented plaintiffs of numerous medical negligence cases from prevailing at trial and deterred others from instituting litigation.

This article examines the role of expert evidence in the context of the standard of care required in the medical profession in medical negligence litigation in Malaysia. The *Bolam* principle has long been the criterion in Malaysia in assessing a doctor's level of competency (Norchaya Talib, 2010). However, being aware of some of the criticisms of the *Bolam* principle, the authors of the present study are of the opinion that the interests of the public and the medical profession are best served when scientifically sound and unbiased expert evidence testimony is readily available to plaintiffs and defendants in medical negligence litigation. In this article, the authors argue that although expert medical opinion of accepted practice is relevant, it should not be conclusive of the standard of care.

THE *BOLAM* PRINCIPLE

Before addressing the *Bolam* principle, it is important to briefly state the facts in *Bolam v Friern Hospital Management Committee* [(1957) 2 All ER 118]. In this case, the allegation was that a doctor had been negligent in administering electro-convulsive treatment (ECT) or therapy to a patient without a relaxant drug or restraining his convulsive movements. There were two medical opinions about the treatment of patients who receive ECT. One recommended that relaxant drugs should be used, and the other advised against it because of the risk of fractures. The patient, who had not been warned of the risks involved, had not been given the relaxant drugs, and had not been restrained when receiving the treatment. He suffered fractures as a result of not being properly restrained when receiving the treatment. The patient filed a suit on the basis of negligence against the doctor. McNair J in his direction to the jury at p.121 stated:

... A doctor is not guilty of negligence if he has acted in accordance with a practice accepted as proper by a responsible body of medical men skilled in that particular art. Putting it another way round, a doctor is not negligent if he is acting in accordance with such a practice, merely because there is a body of opinion that takes a contrary view...

Although the statement above was only a direction to the jury in a High Court case, it was adopted by the House of Lords with approval in later cases and has regularly been restated in clinical negligence cases. The *Bolam* principle states that a doctor is not negligent if he or she has acted with a practice accepted as proper by a responsible body of medical professionals skilled in that particular art: it is immaterial that there exists another body of opinion that would not have adopted the approach taken by the doctor in question. As long as a “responsible body of medical opinion” exists that approves of the actions of the doctor, then the doctor escapes liability (Harpwood, 2009; Kian, 2003). What the law requires from the doctor is to prove that what he or she did is acceptable within the medical profession.

It cannot be denied that the *Bolam* principle puts a patient or a plaintiff in a very difficult position to prove that the doctor or the defendant had breached a standard of care owed to him or her. The *Bolam* principle allows the doctor to rely on a body of responsible medical professionals or medical opinion to absolve him or her of professional medical negligence. The courts have always interpreted the *Bolam* principle by stating that they cannot find a defendant negligent as long as there is a common practice or custom that supports the defendant’s actions. However, the problem with the “custom test” is that it is viewed as purely descriptive as opposed to what ought to be done by medical practitioners (Puteri Nemie, n.d.). Hence, the most commonly

accepted manner of proof of professional standard as per the *Bolam* principle is another doctor's testimony.

The authors are of the opinion that the *Bolam* principle despite being criticised has its own merits. For example, if the *Bolam* principle is not followed, there can be adverse effects to the medical profession and society at large. Doctors will opt for "defensive medicine" namely the treatment for their patients they consider to be "legally safe" even if they believe such a treatment may not be strictly warranted. This may be unnecessarily expensive and time-consuming. Apart from that, it will also encourage medical litigation, which in turn will increase premiums and overall healthcare costs. This might affect good doctor/patient relationships and possibly dissuade young doctors from joining high risk specialist fields for fear of litigations (Shanmugam, 2002).

Cases before the Advent of *Bolam* Principle

In the context of this article, a short analysis of several contentious cases is important as to what prompted the court to come up with the *Bolam* principle. This is relevant in understanding the *Bolam* principle as well as the reasons why courts have left such an important matter in the hands of the medical profession instead of enacting it into a law. Before the courts established the *Bolam* principle, they found it difficult to set a standard for the medical profession and majority of them opined that such matters should be left to medical judgments.

In *Mahon v Osborne* [(1939) 2 KB 14], the plaintiff was admitted to the hospital for an abdominal operation. He later died and a swab was found in his body. The plaintiff was entitled to call expert evidence that the accident would not have occurred without negligence. In this case, the Court of Appeal held that the standard of care is to be measured by expert evidence. Lord Justice Goddard at p.47 stated:

I would not for a moment attempt to define in vacuo the extent of a surgeon's duty in an operation beyond saying that he must use reasonable care, nor can I imagine anything more than disastrous to the community than to leave it to a jury or to a judge, if sitting alone, to lay down what is proper to do in any particular case without the guidance of witnesses who are qualified to speak on the subject... As it is the task of the surgeon to put swabs in, so it is his task to take them out, and in that task he must use the degree of care which is reasonable in the circumstances and that must depend on the evidence.

From the above, it is important to note that Justice Goddard seems to be aware of the fact that the medical profession has always been shrouded with a lot of complications and technicalities, which a judge may not be able to comprehend. Therefore, the message seems to be very clear that in order to reach a just and accurate decision, medical experts should be the ones helping the court to deal

with such complex issues. Hence, a doctor cannot be said to be guilty of negligence if he or she has acted in accordance with a practice accepted by a responsible body of professional opinion. In other words, a doctor who is in breach of his or her duty has to be judged by his peers and not by the court.

In the case of *Roe v Minister for Health* [(1954) 2 QB 66] the plaintiff became paralysed after receiving an injection in hospital. Phenol had leaked into the syringe causing the paralysis. At this time, it was known that phenol could get into the syringe through invisible cracks. The court held that the defendants were not negligent as, judged by the standard of a reasonable person at the time of the accident, they could not have avoided the accident. The court would not condemn a defendant with 'the benefit of hindsight'. Perhaps, it is vital here to make a reference to the passage from the judgment of Denning LJ which indeed provides a clue to the philosophy of the *Bolam* principle. His Lordship at p.83 said:

If the anaesthetists had foreseen that the ampoules might get cracked with cracks that could not be detected on inspection, they would no doubt have dyed the phenol a deep blue; and this would expose the contamination. But I do not think that their failure to foresee this was negligence. It is so easy to be wise after the event and to condemn as negligence that which is only a misadventure. We ought always to be on our guard against

it, especially in cases against doctors and hospitals. Medical science has conferred great benefits on mankind, but these benefits are attended by considerable risks. Every surgical operation is attended by risks.

Based on the statement above, Denning LJ had in mind that medicine as a profession has pros and cons in the course of treatment. Being aware of the considerable risks in the medical profession, perhaps it is justified the decision taken by the courts that a doctor or defendant should be judged by his peers in medical negligence cases.

The other relevant case to cite here is the case of *Hunter v Hantley* [(1955) SLT 231, (1955) SC 200]. In this case, the plaintiff claimed the doctor treating him was negligent in using a needle which was unsuitable. Lord President Clyde at p.217 stated:

To succeed in an action based on negligence, whether against a doctor or anyone else, it is of course necessary to establish a breach of that duty to take care which the law requires, and the degree of want of care which constitutes negligence must vary with circumstances... But where the conduct of a doctor, or indeed of any professional man, is concerned, the circumstances are not so precise and clear as in the normal case. In the realm of diagnosis and treatment there is

ample scope for genuine difference of opinion and one man clearly is not negligent merely because his conclusion differs from that of other professional men, nor because he has displayed less skill or knowledge than others would have shown. The true test for establishing negligence in diagnosis and treatment on the part of the doctor is whether he has been proved to be guilty of such failure as no doctor of ordinary skill would be guilty of acting with ordinary care.

From the above, there is no doubt that there is a heavy burden of proof on a claimant in order to file a case against the doctor or a professional man on the basis of negligence. This is due to the fact that the claimant would have to establish that the doctor or a professional man deviated from the ordinary skill that is required as far as the profession is concerned. In order to succeed in his or her claim, the claimant would have to establish that no professional man of ordinary skill would have followed the course taken by the defendant i.e. in the course of diagnosis and treatment. Thus, the usual practice of other professionals in the same area will be a significant factor in determining this issue.

“Looking at the decisions of the courts before the advent of the *Bolam* principle, it is evident that the earlier cases have paved the way for the development of the *Bolam* test as used in medical negligence cases. Medicine is clearly an inexact science of

which its outcome is rarely predictable. It would be a disservice to the community at large if liability were to be imposed on hospitals and doctors for everything that happens to go wrong (Puteri Nemie, n.d.). Hence, there must be a proper tool to gauge the standard of care of a doctor in determining his or her liability in medical negligence cases” (Puteri Nemie, n.d.).

Challenges to the *Bolam* Principle

The justification for the *Bolam* principle was stated by Lord Scarman in *Maynard v West Midlands RHA* (1985) 1 All ER at p. 635 when he said:

Differences of opinion exist, and continue to exist, in the medical as in other professions. There is seldom any one answer exclusive of all others to problems of professional judgment. A court may prefer one body of opinion to the other; but that is no basis for a conclusion of negligence.

Based on this, the authors would like to point out that regardless of the justification of the *Bolam* principle a number of criticisms were expressed over the years. Some of the criticisms are: first, it failed to draw a distinction between ‘what is done’ and ‘what ought to be done’. The key point of contention is that ‘what is done’ even if by most people, could still be considered negligent if it falls below the standard of what ought to be done. Second, the *Bolam* principle is seen as unfair to claimants and

too protective of professionals. This is due to the fact that the doctor is only considered to be negligent based on what is determined by a body of professionals. Third, the rule is yet another example of professions protecting one another. It is important to note that in the case of medical negligence following the *Bolam* principle, courts have resorted to doctor's testimony for help. Fourth, the *Bolam* principle requires the defendant to conform to a 'responsible' body of medical opinion. However, the *Bolam* principle has failed to address or define what is a 'responsible' body of medical opinion? The case has also failed to address the issue of how many doctors would be required to form a 'responsible body of medical opinion? Moreover, we are bound to face some daunting tasks in dealing with the issue of a 'responsible' body of medical opinion especially where the practice or specialty has few registered practitioners. Fifth, the *Bolam* principle rests on the assertion that it is entirely up to the medical profession to decide how much information they should give to their patients. Although this approach appears to be favourable to those in the medical profession, we ought to remember that issues involving ethics and the fundamental rights of individuals should not be disregarded at whatever cost (Teff, 1998).

Despite the challenges to the *Bolam* principle, the authors are of the opinion that the principle strikes a win-win situation between the rights of doctors, patients and the general public. If the *Bolam* principle is not followed, there can be adverse effects

to the medical profession and society at large. For example, doctors will opt for "defensive medicine" as well as choosing the treatment for their patients they consider to be "legally safe" even if they believe that such treatments may not be strictly warranted. This may be unnecessarily expensive and time-consuming.

THE DEVELOPMENT AND APPLICATION OF THE *BOLAM* PRINCIPLE IN MALAYSIA

This section will address the developments in the application of the *Bolam* principle in Malaysia. In Malaysia, the *Bolam* principle has long been the criterion in assessing a doctor's level of competency (NorchayaTalib, 2010). In other words, the *Bolam* principle has been well received by the Malaysian courts in determining the doctor's standard of care in medical negligence cases. In the context of this article, the authors do not intend to highlight all the cases, but only a few for the sake of better understanding. The selection of these cases is based on two criteria. First, where the *Bolam* principle was applied especially in cases of diagnosis and treatment. Second, where the *Bolam* principle was not applied especially in cases of seeking information or medical opinion/advice before a treatment could be administered by a doctor. One of the earliest cases where the *Bolam* principle was applied is the case of *Swamy v Mathews* [(1968) 1 MLJ 138]. In this case, the majority judgment accepted the testimony of the defendant doctor and his explanation that the prescription and the dosage given

to the plaintiff, although at variance with the manufacturer's recommendation, were made based on his personal experience. The majority decision in discounting the contrary evidence clearly showed the reliance of the court to the so-called medical opinion. The reasonableness of the treatment was not examined by the court. The medical practitioner was not found to be negligent on the ground that medical practitioners need not have the highest degree of skill.

The development in the application of the *Bolam* principle in Malaysia can also be seen from the decision of the Privy Council in *Chin Keow v Government of Malaysia* [(1967) 2 MLJ 45]. In this case, the trial judge, Ong J., adopted the *Bolam* test of negligence and found the doctor to be negligent for prescribing a penicillin injection as a routine treatment for the patient and that he did so without asking a single perfunctory question to attempt to discover whether she was sensitive to the drug. Such is not considered a proper practice by a responsible body of medical opinion. The Federal Court, however, rejected Ong J.'s findings of negligence but on appeal, the Privy Council adopted Ong J.'s decision. The basis for the Privy Council's adoption of Ong J.'s decision was due to the fact that it was expressly written on the patient's card that she was allergic to penicillin.

Another relevant case law demonstrating the development in the application of the *Bolam* principle in Malaysia is the case of *Elizabeth Choo v Government of Malaysia & Anor* [(1970) 2 MLJ 171]. In this case,

Raja Azlan Shah J stated that a professional will not be deemed to be negligent if he or has taken steps that would normally be taken by others who are in the same position. However, a professional who takes a different view from another professional in the same profession is not necessarily in breach of his duty of care provided that his opinion is still in accordance with what is regarded as proper by a body of similarly skilled professionals. Thus, applying the *Bolam* principle to this issue, the court held that the anaesthetist is not negligent as he had followed the general and approved practice. The technique that he adopted was approved by a responsible body of medical professionals since 1956. Therefore, it did not matter if there was another body of opinion that would have taken a contrary view.

It is also important to note that the judicial decision in *Elizabeth Choo* was further consolidated in the case of *Kow Nan Seng v Nagamah & Ors* [(1982) 1 MLJ 128]. Here, the Federal Court held that the duty of a doctor to his or her patient is to adhere to the reasonable standard of care and expertise. If there were differences in opinion in terms of the types of plasters that may be used, the defendant would not be liable as long as he or she opted for a treatment that was generally accepted within the profession. The court applied the *Bolam* test and held that in this case, the defendant was liable as all doctors were aware of the fact that if a plaster was applied blood circulation would be affected. It is important to note that in this case there were

conflicting opinions whether a complete plaster cast or a plaster slab is to be used.

In Malaysia, being aware of the challenges to the *Bolam* principle, the courts on certain occasions have departed from this well established principle - a familiar concept to most doctors. This departure perhaps could best be understood in the context of the existence of a different test for the medical profession in cases of provision of information. The first decision in which the court refused to apply the *Bolam* principle and instead adopted the principles set forth in *Rogers v Whitaker* [(1992) HCA 58; (1992) 175 CLR 479] was in *Kamalam a/p Raman & Orsv Eastern Plantation Agency (Johore) Sdn Bhd & Anor* [(1996) 4 MLJ 674]. In *Rogers vs Whitaker*, Mrs Whitaker became almost totally blind in her left eye as a result of a condition known as sympathetic ophthalmia, after a surgery was conducted on her right eye. The surgery was not conducted negligently, but the plaintiff's allegation was grounded on the defendant's failure to advise her of the risk of sympathetic ophthalmia, which resulted in her condition. In *Kamalam a/p Raman & Ors vs Eastern Plantation Agency (Johore) SdnBhd& Anor*, the trial judge did not regard himself as being bound to find medical practitioners negligent if there is a body of medical opinion that approved the doctor's practice. In this case, Mr D was taken to the estate clinic after complaining of giddiness and having fainted at work. The attending doctor (D1), having examined Mr D, prescribed medication and discharged him. On two subsequent occasions thereafter,

Mr D was attended to by D2. Eight days after the first visit to the clinic, as a result of giddiness and fits, Mr D was taken to a hospital for emergency treatment and was subsequently transferred to another hospital. He died the next day, the cause of death being stroke, which could and should have been diagnosed much earlier.

The full reception of the *Whitaker* test (i.e. as laid down in the Australian case of *Rogers v Whitaker* [(1992) HCA 58; (1992) 175 CLR 479] in Malaysia may be seen in the Federal Court judgment in *Foo Fio Nav vs Dr Soo Fook Mun* [(2007) 1 MLJ 593]. In this case, the plaintiff was injured when the car she was travelling in was involved in a collision. She was taken to the nearest hospital, the Asunta Hospital. The plaintiff had dislocated her cervical vertebrae which caused much pain in her neck region. A cervical collar was placed around it to prevent unnecessary movement. After conservative treatment for a few days, the defendant surgeon performed two surgeries. After the first surgery, the plaintiff was paralysed and when medication failed to improve her condition, the defendant performed the second surgery. The plaintiff claimed that the defendant failed to explain the risk of paralysis arising from the first surgery, and instead informed her that it was a minor procedure, on the basis of which she gave her consent. The second surgery was performed without her consent being obtained. The plaintiff stated that had she been warned of the risk of paralysis she would not have readily agreed to proceed with the first surgery.

The Federal Court held that the applicable test in determining the standard of care of a medical practitioner in relation to disclosure of information and risks is not the *Bolam* test. Instead, the medical practitioner has a duty to warn a mentally competent patient of the risks of a proposed procedure so as to enable the patient to decide whether to proceed or decline it accordingly. Professional opinion and acceptable professional practice, but its reasonableness may be questioned by the courts (PuteriNemie , 2007).

Bolitho- Reinterpretation of the *Bolam* Principle

Having addressed the development in the application of the *Bolam* principle above, it is important to make a reference to the decision of the House of Lords in *Bolitho v City & Hackney Health Authority* [(1997) 4 All ER 771] as a reinterpretation of the *Bolam* principle. *Bolitho* was a clinical negligence case that reached the House of Lords. The central legal issue was whether or not non-intervention by a doctor caused the plaintiff's injury. The facts of the case were that Patrick Bolitho, a two-year-old child, suffered catastrophic brain damage as a result of cardiac arrest due to respiratory failure. The senior paediatric registrar did not attend to the child, as she ascribed to a school of thought that medical intervention, under those particular circumstances, would have made no difference to the end result. Liability was denied on the grounds that even if she had attended to the case, she could not have done anything that would

have materially affected the outcome. This view was supported by an impressive and responsible body of medical opinion. However, Lord Browne-Wilkinson rejected the argument put forward. According to Lord Browne-Wilkinson, the court has to be satisfied that the exponents of the body of opinion relied upon can demonstrate that such an opinion has a logical basis.

The judgment in *Bolitho* might impact upon the principle of *Bolam* in that, the court is likely to take a much more interventionist stand in appraising the professed standard of care (Samanta & Samanta, 2003). This is due to the fact that the courts will still have a say in the hearing of medical negligence cases by looking at two stages during the trial process. The first stage would be for the court to assess whether the decision had responsible peer support, based on an approach that was structured, reasoned and defensible. The professed opinion must withstand 'logical analysis'. This broadly reflects the *Bolam* test as it is known. The second stage, and this is where *Bolitho* might really take effect, is to assess on a 'risk analysis' basis the validity of accepting the treatment or course of action offered by the defendant and, more importantly, the validity of rejecting competing decisions. In undertaking such an analysis, the court may look at a number of factors, including the magnitude of the risk, the comparative risks of alternative interventions and treatments, the seriousness of the consequences, the ease by which the risk might be avoided, and the implications of such avoidance in terms of finances and resources of healthcare (Samanta & Samanta, 2003).

CONCLUSION AND RECOMMENDATIONS

The test for the standard of care in law expected of doctors is based on the principle laid down in *Bolam's* case. Hence, a medical practitioner is deemed as failing to reach the standard of care if a responsible body of medical peers does not support the action in question. However, the judgment in *Bolitho* suggests that expert opinion now has to withstand rigorous scrutiny from the judiciary. But the *Bolam* principle had not given much scope to the judiciary to intervene and had ensured that any medical treatment that conforms to a body of professional opinion is not negligent.

The authors are of the opinion that *Bolitho* has not curbed the power delegated to the medical profession by *Bolam*. *Bolitho* simply requires the judge to scrutinise medical evidence in the same fashion as they would do to expert evidence in any other type of cases of negligence. The decision only allows them to scrutinise medical opinions. To that extent, a faithful application of both *Bolam* and *Bolitho* would mean that the court will accept the views of a respected body of experts. It is useful to remind ourselves that the House of Lords in *Bolitho* was careful to say that it is only in rare cases and would “very seldom” be right for a judge to reach a conclusion that the views genuinely held by a competent expert are unreasonable. *Bolitho* has still not changed the status quo and judges have not been made more knowledgeable in medical matters through the outcome of the case (PuteriNemie, n.d., 2004, 2007).

Despite the acceptance of the *Bolam* test in Malaysia, there is still room for improvement especially regarding the quality of medical expert witness testimony. First, doctors need to be better educated and trained with necessary skills and knowledge so that they could perform a better job as expert witnesses in medical negligence cases. Second, a doctor who is called as an expert witness by the court should be very familiar and well versed with the medical field in question that is being heard by the court. Third, doctors should not protect their peers in the profession without putting forward a solid justification during the course of trial. Medical/expert opinions need to be scrutinised thoroughly. So doctors who are summoned as experts in medical negligence cases must act fairly, objectively and above all impartially in the process of providing their expert opinions to the court. Fourth, doctors/physicians appearing as expert witnesses in court should be very familiar with the medical standards required before accepting the role of an expert witness. Fifth, it is also vital that doctors/physicians expert witnesses’ exercise care in assessing the relationship between the breach in the standard of care and the patient’s condition.

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ESL Lecturers' Perceptions on using i-MoL as a Mobile-Based Tool for Teaching Grammar

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ABSTRACT

Having a good grasp of the English grammar is vital especially for students at the tertiary level as accuracy in speech and writing is highly important when engaging in academic activities. In the 21st century, also known as the digital age, pedagogical approach to teaching grammar is changing dynamically in relation to factors that encompass social, economic and technological entities. The traditional approach to teaching grammar using 'chalk and talk' is becoming irrelevant as technology pervades students' learning environment. Learning grammar via mobile phone is seen as a potential solution that will enable language learners to enhance their skills as they are digitally designed, flexible and mobile. This study facilitated the development of grammar modules for the purpose of a mobile learning reinforcement tool for English grammar, known as an intelligent mobile learning tool (i-MoL). Data was collected through semi-structured interviews with five ESL lecturers in order to gain an in depth perception on the feasibility of using grammar modules via i-MoL to promote the learning of grammar. Three themes were identified through phenomenological qualitative analysis. Lecturers perceived the grammar modules as having the potential to improve student proficiency in a flexible and convenient manner. The i-MoL could be both a barrier and motivator for learning grammar. Lecturers also reported

that i-MoL could be a useful supplementary tool for them to deliver effective grammar lessons which engage students and motivate them to learn in an interesting environment. Findings suggest that grammar modules can be advocated via i-MoL for teaching and reinforcing student grammar learning.

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INTRODUCTION

In today's knowledge-driven economy, it is essential to acquire good communication skills in English, considered a global language. The rise of English as the 'language of opportunity' has created a necessity for Malaysians to master the language to survive and compete in the 21st century. Scholars noted that mastering English enables Malaysia to achieve a cosmopolitan identity (Dumanig et al., 2012). In this regard, the Ministry of Education Malaysia (MoE) is in tune with the demand to enhance language proficiency to produce better human capital with necessary language knowledge, competency and skills to guide a knowledge-based economy. The ministry is aiming to raise the standard of English among students by imposing a ruling that from 2016, it becomes a mandatory passing subject for all students sitting for their Malaysian Certificate of Education (SPM) examination from 2016; it is also part an initiative to raise the level of knowledge among Malaysian students and the community at large (Singh, 2013). Deputy Prime Minister Muhyiddin Yassin, who is also Education Minister announced today.

He said the government has placed emphasis on English to strengthen students' grasp of the subject, with an intention of producing a globalised generation.

"English will be given emphasis and as announced earlier this year, it will be made a compulsory passing subject for SPM students by 2016," Muhyiddin said today during the launch of the National Education Blueprint (PPPM) 2013-2025 here.

According to the then Deputy Prime Minister (DPM), who was also the Education Minister, "the ministry is currently in the process of increasing contact hours (between teachers and students) in classes so deeper immersion in the English language for the students". The DPM also said it will be compulsory for English teachers undergo the Cambridge Placement Test (CPT) to gauge their knowledge in the language. ([http://www.freemalaysiatoday.com/category/nation/2013/09/06/english-to-be-made-compulsory-passing-subject /](http://www.freemalaysiatoday.com/category/nation/2013/09/06/english-to-be-made-compulsory-passing-subject/))

Nevertheless, despite efforts to raise the level of English language proficiency, the standard of English among Malaysian undergraduates is still considerably declining (Shuib et al., 2015). Even though students have been learning the language for approximately 11 years in schools, studies reported that many still fail to achieve a reasonable level of English literacy (Naginder, 2006; Jalaludin et al., 2008; Pawanchik & Kamil, 2010). This further affects their employability as reported by JobStreet.com, a Malaysian recruitment agency, in 2005. The survey by JobStreet.com indicated that the main reason for unemployment is due to weakness in English language (Omar et al., 2012). Thus, there is a need to revisit the teaching and learning process, policies and curriculum

to ensure future generations of Malaysians are well-versed in the language to enhance their employment opportunities. In order to communicate well, non-native English speakers need to have a proper command of English by understanding and using the grammar correctly in its proper form and function.

In the Malaysian context, English is considered a second language. Therefore, it is expected students would encounter some difficulties in acquiring the language compared with native English speakers. According to Md Yunus et al. (2013), Malaysian students struggle with low levels of English literacy and that ESL (English as Second Language) students in particular face cultural and linguistic challenges in their efforts to master the language. Studies have revealed that this problem occurs due to Bahasa Malaysia being the first language (Maros et al., 2007) and its "interference" in student ability to acquire good English grammar skills (Ghabool et al., 2012). Che Musa et al. (2012) reported that factors contributing towards low or limited English literacy achievement among Malaysian learners were due to the strong "influence" of Bahasa Malaysia when learning English and neglecting sociocultural elements of language learning. Findings from a study conducted by Ghabool et al. (2012) showed that Malaysian ESL learners face writing problems particularly in using correct grammar and punctuation.

Learning English can be a frustrating experience as it requires persistent effort to master the language (Metom et al.,

2013). Hence, it is essential to identify the right teaching method to deliver effective grammar lessons in the classroom. The teaching approach has change from a traditional "teacher-centred" one to a more collaborative and interactive style so that the learning process will be livelier and interesting. This would attract student attention to appreciate the language. Studies conducted by Bligh (1998) and Gabbin (2002) found students fail to master language learning skills, thinking skills, problem-solving skills and communication if that approach is "lecturer-centred". Innovative approaches have to be incorporated into the teaching process in accordance to current style of learning among young learners.

Teaching languages using traditional methods will only disappoint learners who need constant motivation, inspiration, and guidance to express their creativity and innovation using technology (Eaton, 2010). Traditional face-to-face classroom setting alone is inadequate to help students retain existing knowledge, in particular pertaining to mastering English grammar. In this vein, Maarof and Munusamy (2015) reiterated that Malaysia's tertiary education is still lacking in terms of critical thinking and creative learning approach for ESL learners, and thus, educators needs to be versatile in their use of teaching strategies by incorporating new learning methods and materials. For this reason, teaching a language using mobile applications would be interesting, providing enhanced motivation for learners, as well as sustain their interest and focus in learning. Teaching and learning of English

grammar via mobile phone application would be an innovative approach due to its unique flexibility, ubiquity, and convenience that allows anywhere-and-anytime learning experience creating a lively environment for learners. Therefore, this study aimed at gaining insights into lecturers' perceptions with regards to the feasibility of employing a mobile-based tool for grammar learning, namely the Intelligent Mobile Learning Tool (i-MoL). The i-MoL is a mobile learning application developed by a mobile learning research team from Universiti Sains Malaysia. The application consists of grammar learning modules which are developed and disseminated based on students' identified learning styles.

LITERATURE REVIEW

Mobile Learning

Effective and interesting English language teaching-learning approaches should be considered in order to address the issue of low English proficiency among Malaysian students. Nowadays, traditional face-to-face classroom setting alone is inadequate to help students retain their knowledge. Today's students are generally digital natives who prefer digital motivation, flexibility and mobility in their learning (Shuib et al., 2015) experience. Technology has been part and parcel of everyday life as they are often considered inseparable entities, particularly among today's younger generation.

Currently, mobile devices, particularly mobile phones, have become the must-have gadget of the 21st century (Mun et al., 2011). A report by Smartphone Futures (2012)

stated that smartphone shipment worldwide is expected to achieve 823 million units in 2013 to reach 1.3 billion in 2017. Nielsen's survey (cited in Azman et al., 2014) showed a trend in ownership of Information and Communication Technology (ICT) devices in 2013 in almost all ASEAN countries whereby there was a shift to smartphones and tablets from desktops and laptops. The Malaysian Communication and Multimedia Commission (MCMC) reported that the highest percentage of mobile phone users those in the age range of 20 and 49 years which make up 73.3% of all users (MCMC, 2012). In terms of mobile phone ownership, the report revealed that 63.3% of users possess one phone, 29.6% have two, 5.0% have three and 2.1% own four or more. This shows that mobile phone usage among youths in Malaysia has been increasing exponentially. In 2012, there was a dramatic increase in smartphone usage among Malaysians compared with 2010 and 2011. This indicates preferences towards mobile applications (MCMC, 2012).

Mobile learning offers several benefits to learners, particularly in terms of its ubiquitous and convenient qualities for education. Mobile learning is beneficial to learners for two primary reasons: it is personal and it is connected (Trucano, 2014). It combines practices, strategies, tools, applications and resources with proven advances in technology which can support learning at anytime and anywhere (Wagner, 2005). Mobile learning has the potential to enhance learning with the introduction of new education strategies in

the context of new learning environments (Romero et al., 2000), particularly where the learning process occurs in isolated contexts.

Additionally, mobile learning can motivate students to learn more efficiently and acquire knowledge in their field. Studies have shown that contents delivered via mobile devices can better engage students to learning a meaningful, organised and enjoyable way (Mockus et al., 2011; Mohd Johari & Ismail, 2012). Thus, mobile devices can be an invaluable tool offering students a conducive learning environment. Realising the educational benefits of mobile technologies, researchers have initiated efforts to develop learning applications through mobile learning (Thornton & Houser, 2005; Levy & Kennedy, 2005; Stockwell, 2007; Rahimi & Miri, 2014).

Mobile-based English Language Learning

A current technological phenomenon is the increasing use of mobile technologies evidenced by a drastic increase in the number of mobile devices used nowadays (Hashim et al., 2010). Mobile learning undoubtedly holds potential to improve language teaching as well as enhance learning, and development. It exposes learners to a flexible and convenient environment to learn the language on the go, especially when learners have geographical limitations that preclude campus-based learning. The flexibility and convenience of mobile learning have been supported by several studies which explored the potential of mobile technologies in assisting students

to learn various aspects of the English language (Cavus & Ibrahim, 2008; Miangah & Nezarat, 2012; Liu et al., 2014).

Studies have also revealed effectiveness of mobile-based approach for teaching and learning of the English language. Başoğlu and Akdemir (2010) conducted a comparative study on English vocabulary learning involving two groups of learners: the experimental group with mobile phones and the control group with paper flash cards. It was reported in their study that the mobile-based vocabulary learning programmes improved students vocabulary more than the flash cards method. Wang and Smith's study (2013) lends support to this finding. The researchers studied the feasibility of an on-going language learning project called "Ubiquitous English" in which research involved the development and dissemination of short English essays and grammar quizzes to student mobile phones. Their study found that mobile phone-assisted learning is perceived positively by respondents as an effective method for improving their reading and grammar abilities in English. However, Wang and Smith (2013) cautioned on the security and privacy concerns for mobile learners since the application involves internet connectivity.

Mobile technologies have the potential to benefit language learners in the community. Surveys conducted by the MCMC have shown that mobile phone ownership per 100 inhabitants in this country exceeds 100% (MCMC, 2013) and furthermore, mobile phone usage has grown tremendously in most states in the country (MCMC, 2008).

In recent years, studies have been focused on the potential of mobile learning in the Malaysian educational setting (Siraj, 2004; Mohamad & Woollard, 2009; Abd Rahman & Mohd Hashim, 2011; Lim, et al., 2011; Ismail et al., 2013). According to Mohamad and Woollard (2009), mobile phones offer educational benefits in developing countries like Malaysia since they are relatively low in cost and accessible to all, especially in the lower-income group. Siraj (2004) claimed that Malaysia has a huge potential to implement mobile learning in its curriculum since the approach is generally accepted and feasible for students and teachers. Therefore, the use of mobile technologies could be the next boon as new educational approaches or methods in Malaysian educational institutions.

Despite the numerous benefits and potentials of mobile learning for the teaching and learning of English language, there are challenges that need to be overcome. According to Liu et al. (2014), “none of the hand-held mobile devices were specifically designed with education in mind and usage in an educational setting can present difficulties” (p.5). Mohamad et al. (2012) reported challenges in implementing mobile learning include device misuse, existing prohibitive policy, issues of management and maintenance, stakeholder attitude, digital divide and personal space invasion. Moreover, researchers have agreed that Malaysia is still in its embryonic stage in terms of employing mobile approaches for English language learning and there is still more space to accommodate for diversity

of research trends in this area (Mohamad & Muniandy, 2014). In fact, little is known about the pedagogical effects of integrating mobile learning in English language courses (Hussin et al., 2012).

There is a dearth of studies to determine the effectiveness and feasibility of using mobile applications in the teaching and learning of English grammar (Wang & Smith, 2013; Jin, 2014), especially in Malaysia (Shuib et al., 2015). Grammar determines student good proficiency in English language. Scholars reiterate that one of the most important elements in mastering English is the acquisition of good grammar skills (Sawir, 2005; Zhang, 2009; Shuib et al., 2015). There is a need to move away from traditional teaching methods to one that employs methods which are fun, meaningful, and memorable (Wu, 2008). Yet, making grammar learning interesting and useful is always challenging for practitioners (Gunawardena, 2014). According to BaSaeed (2013), “the question is not whether grammar should be taught to students, but rather how it should be taught” (p.21).

In addition to that, Malaysian ESL learners face challenges that might deter their efforts in enhancing their English language proficiency level. A study by Zare and Othman (2013) revealed that Malaysian ESL learners are high-strategy users who would resort to a frequent use of strategies in order to learn the language effectively. A study by Hiew (2012) noted ESL learners’ perceptions pertaining to their experience in learning English language

in secondary schools, colleges and local universities. The author highlighted that one of the reasons that led to students' negative perceptions towards learning English is due to the teaching approaches that are less interactive and more textbook-based. Respondents suggested that ESL teachers and lecturers incorporate more creative, fun and interactive teaching approaches in their lessons, rather than merely using the conventional 'chalk-and-talk', PowerPoint presentation, and relying on the textbook. A study by Maarof and Munusamy (2015) identified why ESL undergraduates face difficulties in the classroom. Findings suggested that ESL learners face challenges in terms of the learning environment which needs improvement, the quality of education, the role of educators and the teaching approach.

Therefore, the above studies point to the need for innovations in ESL teaching approaches as well as the environment in which new and interactive learning methods and materials are a must. Taking this into consideration, mobile learning could be a potential approach to enhance English grammar teaching and learning for Malaysian ESL learners. This study seeks to present ESL lecturers' perceptions on the feasibility of employing a mobile-based tool, namely i-MoL, to promote the teaching and learning of grammar for undergraduate students in the ESL programme.

RESEARCH QUESTIONS

The study was guided by the following research questions:

- 1.) To what extent is the use of i-MoL feasible in the learning of grammar?
- 2.) What are ESL lecturers' perceptions of using i-MoL to promote the learning of grammar?

METHODOLOGY

Research Design

The design is an exploratory study which employed in-depth semi-structured interviews to provide reliable, detailed and accurate observation of the feasibility of using i-MoL to enhance the learning of grammar and gain insights into ESL lecturers' perceptions of using i-MoL to promote the learning of grammar.

Research Sample

The research sample was five ESL lecturers from a research university in Malaysia. As a measure of safeguarding the privacy of the lecturers involved in this study, their names will not be revealed. Instead, they will be named Lecturer A, Lecturer B, Lecturer C, Lecturer D and Lecturer E respectively. The lecturers were chosen based on purposive sampling where their teaching experience (10 years above) was taken into account. One lecturer was selected from the School of Humanities, two from the School of Education and another two from the School of Languages, Literacies and Translation at the said university. The interviews were conducted for one hour at the respective lecturer's office and this venue was the preferred choice by all respondents.

Research Instrument

The research instrument used in this study was a semi-structured interview adapted from Shuib et al. (2012). An interview schedule was designed to enable the formulation of appropriate questions to facilitate data collection; this will allow the research questions to be answered. The construction of interview questions for the ESL lecturers was given due consideration in regards to the research questions, objectives and VARK's theoretical framework of this study. This procedure involved segregating themes and issues in relation to the area of study which is closely aligned to the teaching and learning of grammar using modules via the i-MoL approach. A phenomenological qualitative method was used to analyse data gathered from interviews. This emergent strategy; was vital to allow the method of analysis based on the type of data. The responses provided by the lecturers were transcribed and analysed deductively.

Procedure

This study is part of a larger scale study that focused on the feasibility of using i-MoL to promote the learning of grammar. It was vital that lecturers were informed of related information pertaining to the development of i-MoL tool before they were interviewed. They were also briefed on features and application of i-MoL. The grammar modules were developed by five experienced senior Malaysian TESL lecturers specialising in grammar and were distributed among the five lecturers one month prior to the

interview sessions; this approach taken was to ensure that they had sufficient time to review the content. The grammar modules encompassed Tenses, Interrogatives, Verbs and Sentences.

Figure 1 shows the i-MoL's architecture as an intelligent mobile learning application which is supported through low-end to high-end mobile platforms including Android, iPhone and even basic mobile phones with SMS and MMS capabilities. The i-MoL tool is equipped with several mobile-based applications for grammar learning including notes, quizzes, enrichment, and forum. The i-MoL tool is available in the form of web-based portals and mobile learning applications providing ready-to-use templates for lecturers to help and reinforce grammar learning among students. The intelligent part of the application provides interfaces for lecturers to automatically send the reinforced contents according to students' identified learning styles and the interface of the learning style mechanism is available for all visual, kinaesthetic, reading, writing and auditory learners, which relate to the VARK's learning style model (Fleming, 1992). This study was grounded on VARK's (Visual, Aural, Reading or Write and Kinesthetic) model to ensure that when i-MoL is used to teach grammar, lecturers are able effectively promote diverse learning styles in the teaching of grammar.

The following features (Figure 1) of the i-MoL tool were also conveyed to the lecturers where various elements of VARK's model were embedded in each of the features:

- Reinforces content: ready-to-use notes dissemination template with scheduling, header and footer, grouping and reinforcement setting interface.
- Game-based application: a selection of interactive game-like mobile modules that incorporate quiz, enrichment, inquiry-based and ranking games.
- Discussion room: forum application to facilitate group-based learning
- Alert and reminder: a reinforcement tool to help students obtain instant information on grammar learning content that include:-
 - a.) Learning style identifier: SMS-based and mobile application that can automatically identify students' learning style through a series of questions
 - b.) Query: a student-centred mobile application that helps students to get instant feedback from their lecturer regarding the subjects.

RESULTS

The majority of the respondents perceived i-MoL as having the potential to promote the learning of grammar via various grammar modules. Three themes were identified

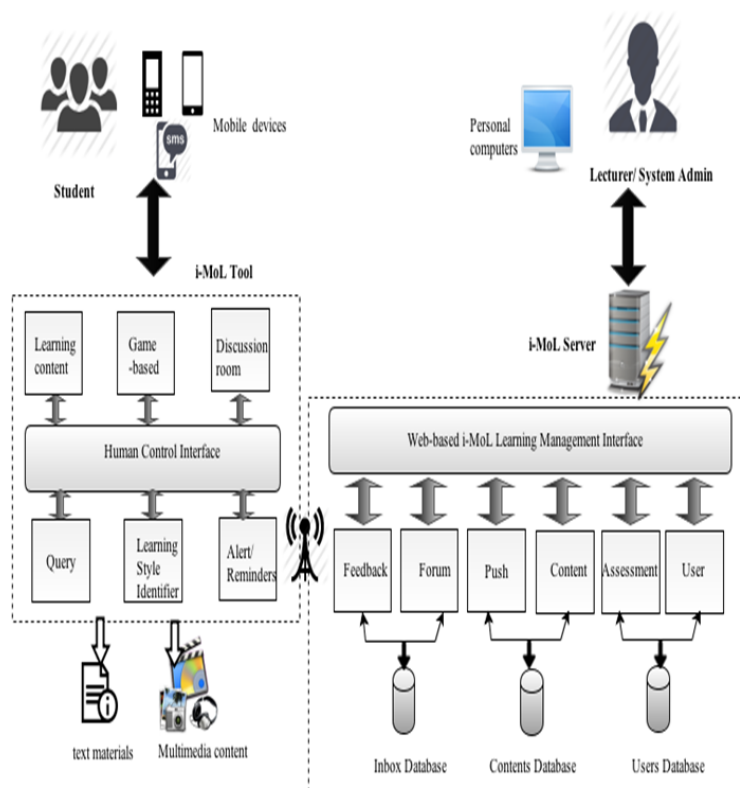


Figure 1. i-MoL System Architecture (source: Shuib et al., 2015)

using a phenomenological approach that articulates the influence of i-MoL in the learning of grammar. The themes are: (a) the perceived potential of grammar modules to improve students' proficiency, (b) i-MoL as a barrier and motivator for learning grammar, (c) the perceived potential of i-MoL as a supplementary tool to deliver effective grammar lessons.

The Perceived Potential of Grammar Modules to Improve Students' Proficiency

Results from the semi-structured interview revealed that grammar is an "important aspect" of language to be taught but a "great hurdle to teach". Lecturer A and lecturer B explained that:

It's frustrating to teach and so much so that I am on the brink of giving up as students don't understand their mistakes. Even after lengthy explanation, students repeat their mistakes. These modules that range from Modals, Sentences, Tenses and Verbs will serve as effective reinforcement exercises for students which they can do at their convenience. I'm sure these modules will have the ability to improve students' proficiency.

Lecturers D and E shared the same perspective where they stressed that the modules are very thorough delving into intensive exercises for each sub-section of grammar component. They added that the quiz section in the modules is

pivotal in reinforcing students' grammar understanding where the three levels ranging from easy, average and difficult are deemed "excellent" in catering for the different proficiency levels. Lecturer C said, *"I bet students will improve on these four main grammar components as the modules are user-friendly."*

All lecturers shared the same perception that the enrichment exercises will promote student understanding of the various grammar components and build student confidence in terms of engaging in reinforcement exercises. Lecturer C pointed out:

The modules systematically represent the important grammar components. Using the modules independently by students will not be an issue as it is well laid out clearly.

Lecturer B added, *"I am confident that the modules can help students build their proficiency and at the same time improve tremendously if well utilised through their mobile devices.* Majority of the lecturers suggested that language games should be incorporated in the modules as *"it will have the potential to engage students in a fun and exciting way using their mobile devices."*

i-MoL as a Barrier and Motivator for Learning Grammar

The majority of participants explained that mobile learning, like every other technological devices, has pros and cons.

Participants perceived that learning grammar via i-MoL could be both a motivator and a barrier.

Lecturers A, C and D indicated that mobile learning could serve as a barrier to learning in terms of displacing learning time, being distracted during learning and dependent on the answer key when completing exercises. Lecturer A described how students who have no discipline “*will have the tendency to go on social media and get carried away and procrastinate on attempting the modules through i-MoL.*” Lecturers C and D agreed in unison that i-MoL could “*distract students from concentrating on their tasks as they may rather choose to indulge in their social media platforms while engaging on their tasks.*” Lecturer A had also pointed out that, “*there may be a high tendency for students to rely on the answer key without attempting the exercises on their accord.*”

However, all lecturers acknowledged that i-MoL will serve as a motivator in spurring students to learn grammar in an “*exciting and interesting manner.*” The following are extracts of the lecturers' responses:

I am very certain that mobile phones will play a role in helping students to learn grammar effectively because I'm very sure that they will be interested and excited to use their smart phones to learn during their classroom activity.

(Lecturer C)

Students will surely be motivated to reinforce their learning of grammar experience and this will promote the achievement of learning objectives.

(Lecturer B)

Over the years, my students have perpetually bugged me to integrate learning through mobile phones which I have resisted due to time constrain. Now when I look at these very structured grammar modules, I look at it in a positive light as to cater to students' interest and motivation to learn grammar via i-MoL.

(Lecturer E)

Perceptions of i-MoL as a Supplementary Tool to Deliver Effective Grammar Lessons

The lecturers believed that majority of university students are likely to own a smartphone nowadays and in this way, mobile learning can complement the traditional teaching and learning method. Lecturer D conveyed that “*the content structure of the modules are excellent to be used in the classroom via i-MoL as each grammar component and sub-sections encompass definitions, forms and functions and activities. The sections on quiz and enrichment can be administered as reinforcement tasks that can be done at students' flexible phase of learning.*”

Lecturers A and E pointed out that i-MoL is an “*effective tool to engage students in learning grammar based on their*

own interest.” Mobile learning is perceived as flexible and convenient for students to use in the classroom to engage in the various activities of the grammar modules while having the opportunity for reinforcement at their own pace (Lecturers B, D and E). According to Lecturer C. *“I am confident that by using the modules in the i-MoL, my grammar lessons will be interesting and effective. Learning outcomes will be achieved as targeted”*. However, they stressed that the barriers of using mobile phones have to be *“kept in mind”* in order to ensure that they *“don’t pose challenges”* in the teaching and learning process.

DISCUSSION

Technology connotes a fluid notion, and any attempts of understanding this notion, at its very best, vary across different contexts of discussion, both in academic, professional and personal practices. With the advent of rapid digital technological development especially in the educational landscape, there are bound to be varying degrees in the manner in which a lecturer perceives and interacts with technological tools in the teaching of grammar.

This study discussed ESL lecturers’ perceptions of using modules via i-MoL to promote the learning of grammar. The lecturers perceived grammar as an “important aspect” to be taught in the ESL classroom and the grammar modules via i-MoL “will serve as effective reinforcement exercises for students which they can do at their convenience”. In this regard, the modules are deemed feasible as supporting

materials and this finding is consistent with other studies (Cavus & Ibrahim, 2008; Miangah & Nezarat, 2012; Liu et al., 2014) where the quality of pedagogical design is more important than the medium of communication being used. As such, mobile learning needs to be properly planned based on a pedagogical outline so that the system would benefit both learners and instructors.

The finding related to the lecturers’ concerns about mobile learning being a barrier to student learning is pertinent. They pointed out the barriers when using mobile technology in the classroom such as student displacing learning time, being distracted during learning and depending on the answer key when attempting exercises. This finding further strengthens the claim that in the classroom, the lecturer’s role is a facilitator and thus, students must be guided, monitored and closely supervised when engaged in mobile learning (Wang & Smith, 2013).

Interestingly, even though not entirely unanticipated, the findings also corroborated with other studies where mobile learning is perceived as having the potential to promote effective learning of grammar where students are motivated to learn in a different way when they use their favourite gadgets (Siraj, 2004; Mohamad & Woollard, 2009; Lim et al., 2011; Abd Rahman & Mohd Hashim, 2011). In general, the findings reflected positive perception of lecturers in using grammar modules via i-MoL, to engage their students in enrichment and reinforcement activities respectively where students are able to effectively utilise

technology in a meaningful and comfortable manner to enhance their learning process. To this effect, the lecturers pointed out that “students will be motivated to learn grammar based on their own interest of using mobile gadgets” and this is in line with Wang and Smith’s study (2013) where mobile phone-assisted learning is perceived positively as an effective method for improving students’ grammar abilities.

Lecturers A and E pointed out that i-MoL was an “*effective tool to engage students in learning grammar based on their own interest*” and this finding supports the VARKS’s model as being the underlying theoretical framework of i-MoL.” Mobile learning is perceived as flexible and convenient for students to use in the classroom to engage in the various activities of the grammar modules while having the opportunity for reinforcement at their own pace of time (comments from lecturers B, D and E)

The findings are consistent with other studies where mobile learning is deemed a useful complement to the traditional teaching and learning method. Thus, ESL lecturers have to diversify their approaches in teaching to address challenges especially in higher learning institutions (Shuib et al., 2012; Tayebinik & Puteh, 2012; Mohamad & Muniandy, 2014; Shuib et al., 2015).

CONCLUSION

This study investigated ESL lecturers’ perceptions of using i-MoL to promote the learning of grammar and the feasibility of using i-MoL to teach it. Interview findings

indicated positive perceptions of using grammar modules via i-MoL as a learning tool to engage students in the ESL teaching environment. This suggests lecturers are enthusiastic in utilising technology to enhance their second language teaching and learning process.

The results indicate that students will be motivated to learn grammar in a manner that interests them which will facilitate positive learning outcomes. However, concerns were raised for mobile technology being a barrier to student learning in terms of displacing learning time, being distracted during learning and depending on the answer key when attempting exercises. Findings however, show grammar modules can be advocated via i-MoL specifically, to teach and reinforce grammar learning and which has been proven by several studies which explored the potential of mobile technologies in assisting students’ learning in various areas of English language (Cavus & Ibrahim, 2008; Miangah & Nezarat, 2012; Liu et al., 2014).

This study was not without limitations. As an exploratory study, a small purposive sampling procedure was appropriate, but this limits the generalisation of the results. First, the reported study involved five ESL lecturers from one public research university in Malaysia only. Future research should attempt to involve a bigger number of interview participants which could be purposively selected from a number of other universities in order to present a clearer picture about the feasibility of using mobile-based application for Malaysian ESL

English grammar teaching and learning. Additionally, this paper did not specifically focus and investigate the feasibility mobile learning which could be tackled through quantitative survey.

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Washback Effect of School-based English Language Assessment: A Case-Study on Students' Perceptions

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ABSTRACT

This paper reports on the preliminary findings of an on-going study on the washback effect of the newly introduced school-based assessment (SBA) at the lower-secondary level in Malaysia. This study specifically investigates how the school-based assessment has affected the perceptions of students in relation to learning English as a second language. In addition, the study attempts to explore the students' responses to a call for change from a purely testing culture into a learning culture at the beginning of its implementation. The objectives of the study are therefore twofold: *to gauge the washback effect on students' overall perceptions of SBA and external examinations and challenges of implementing School-based Assessment (SBA)*. Drawing on the data collected by means of questionnaires, it was found that the sampled students were equally pessimistic about external examinations and SBA. In addition, some barriers in implementing SBA as perceived by the students in the given context are reported. It is hoped that the findings of this small-scale study which was carried out after two years into the implementation of SBA, would contribute to a better understanding of the complex phenomenon of "washback" in relation to SBA in Malaysia.

Keywords: Washback effect, school-based assessment, students' perceptions, English language, lower-secondary level, low-stakes, Malaysia

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INTRODUCTION

Malaysia as one of the British colonies has adopted many of its administrative systems which includes its education system (Saw, 2010). Students in Malaysia undergo 11 years of compulsory schooling which requires them to sit for three major public examinations. The first public examination i.e., Primary School Assessment or the UPSR (Ujian Penilaian Sekolah Rendah) is carried out in the sixth year (end) of the primary level. The lower secondary assessment i.e., the focus of the study, was initially known as *PMR (Peperiksaan Menengah Rendah) before it was named as Pentaksiran Tingkatan 3 (PT3) or Form 3 assessment in the year of 2014, was the next public examination conducted at the end of lower-secondary level (year 9) till 2013 and the third public examination is the Malaysian Certificate of Education or the SPM (Sijil Pelajaran Malaysia) which is carried out in the fifth year of secondary level (year 11).

The assessments at the national schools till the mid-nineties were centralised as they were entirely handled by two central bodies namely the Malaysian Examinations Syndicate (*MES*) and the Malaysian Examinations Council (*MEC*). The aforementioned standardised public examinations at the primary (*UPSR*), lower-secondary (*PMR/PT3**) and upper-secondary (*SPM*) levels in schools fall within the jurisdiction of the Malaysian Examinations Syndicate (*MES*) in ensuring their validity and objectivity (Chan et al., 2009; Baidzawi & Abu, 2013). The Malaysian Examinations

Council (*MEC*) on the other hand, exercises similar jurisdiction over the Malaysian Higher School Certificate or the STPM (*Sijil Tinggi Persekolahan Malaysia*) and MUET (*Malaysian University English Test*) which are sat by sixth-form or the pre-university (*year 12 and 13*) students who are in their final stage of school education before gaining entry into higher learning institutions either at local or international institutions acknowledged by the Malaysian government (Saw, 2010).

Considering the overarching examination oriented-culture which had been in practice for over 30 years, the Malaysian government embarked on a major assessment reform at both primary and lower-secondary levels of education in 2011 and 2012 respectively. An entirely school-based assessment shifting the paradigm of teaching duties of teachers from 'teaching only' into a 'teaching and assessing their own students' at both levels were introduced. Hence, there are various implications for the students from such a transition in the assessment system whereof they may need to make necessary adjustments in 'what' and 'how' they prepare for the newly-introduced assessment system.

School-based assessment was introduced at both primary and secondary levels. However, considering the years and levels they were introduced, the researchers had to investigate the lower-secondary level assessment as the first batch of students at this level were about to experience the new assessment system (*PT3*) compared with their counterparts at the primary level

who will experience a revised assessment system in 2016. Thus, the scope of this paper is on the English language assessment reform at the lower-secondary level only. Specifically, it attempts to gauge the consequences of the newly-introduced English language assessment system on the ultimate stakeholders (of any assessment) as claimed by Bailey (1996) - the students. These consequences of assessment affecting teaching and learning at the micro level (classroom) is referred to as 'washback' or 'backwash' by language testing scholars. Hence, this study looks into the washback effect of a school-based English assessment on the perceptions of a group of students at the lower-secondary level in one of the schools in Penang.

First, this paper briefly introduces the construct of school-based assessment and discusses the type of school-based assessment practised at the lower-secondary level in Malaysia. The language testing construct "washback" is then introduced and is linked with the newly-introduced school-based assessment in Malaysia. Next, methods and instruments employed for the study are discussed followed by significant results and discussion. Finally, conclusions and some recommendations are drawn along with the limitations of this study.

SCHOOL-BASED ASSESSMENT IN MALAYSIA

Standardised public examinations at different stages of education are prevalent in many education systems around the globe. However, a review of literature

on language assessment reveals that traditional assessment systems in which the policymakers (stakeholders at the macro level) judging the efficacy of language teaching and learning in classrooms by means of student achievement in one-off standardised summative tests do not always have a beneficial impact. In this regard, Alderson and Wall (1993) have clearly disputed the claim made by scholars like Morrow (1986) that 'a test is valid when it has good washback and it is invalid when it has negative washback'. In today's reality, many education systems have the examination questions constructed by policymakers who do not teach the subject and teachers who teach the subject, not being directly involved in constructing the exam questions. Notwithstanding, the stakeholders at both macro (policymakers) and micro (teachers and students) levels should make every effort to harmonise the relationship between the curriculum, teaching and learning activities and the assessments which may lead the stakeholders in achieving positive washback (Shohamy et al., 1996). Unfortunately, this does not happen as has been proven by many empirical studies carried out in various contexts to date. Hence, systems of this kind have mostly pressured the students in choosing between either to pass the test or improve their language proficiency (Wall, 1996; Qi, 2005).

Therefore, education specialists around the world in realising the shortcomings of such one-off standardised tests have gradually begun looking into the gaps

identified in the approaches of assessments employed in the 20th and addressing them in 21st century. “While the former pursued the evidence at the end of the learning process (summative), the international agenda for twenty first century is the recognition of using assessment for learning purposes (formative)” (Berry, 2011).

In line with this global shift in assessment practices, the Malaysian government introduced standards-referenced school-based assessment into its education system at the primary and lower secondary levels in 2011 and 2012 respectively. The rationales and stages of implementation were discussed in the Blueprint (2013).

Shohamy (1991) argued that the use of tests for power and control is a very common practice in countries which the educational systems are centralised: the curriculum is controlled by central agencies. Malaysia is one of these countries which controls its curriculum, teaching and learning, and assessment through MES and MEC. The government’s intention of implementing SBA is to promote real learning of the subject matters among the students instead of rote-learning and memorisation (MES, 2014). However, given the stakes attached to assessments at different levels along with the society’s (macro-level stakeholders) faith in teachers grading their own students without fear and favour, the Malaysian government had to choose the lower levels of education namely primary and lower-secondary levels in implementing an entirely school-based assessment in which the role of central

agencies is minimised but the teachers’ role as assessors is increased.

On the other hand, Malaysia has actively been participating in international assessments like PISA (*Program for International Student Assessment*) and TIMSS (*Trends in International Mathematics and Science Study*). A below-average performance by 15 year old Malaysian students in such international assessments was another factor that led the government to consider and embark on assessment reforms. It was discovered by means of recent PISA results that the Malaysian students were not able to deal with items which required higher-order thinking skills. Therefore, the Malaysian government has set a target of being ranked top-third in such international assessments by 2025 (MES, 2014).

Comparatively, implementing an entirely school-based assessment system with a minimal involvement of central agencies in a high-stakes test like SPM may not be accepted by society due to the impact the tests have on students’ future: scholarships and other perks are awarded based on the test results. However, in its effort to promote assessment for learning at this level, the government has implemented school-based oral assessment (SBOA) since 2002. Thus, considering the stakes/consequences of assessments on students’ lives along with the formative stage of learning of the students, SBA began with the primary and lower-secondary levels of education (low-stakes) (MES, 2014).

The assessment reform undertaken by Malaysia is a synergistic school-based assessment at the lower-secondary level (MES, 2014) in which four assessment components are contained within the new Form 3 assessment system.

They are:

- i. Form 3 (central) assessment
- ii. *School assessment*
- iii. Physical Activities, sports and co-curriculum, and;
- iv. Psychometric assessment

The first two assessments are categorised under the academic component whereas the other two are non-academic ones. At the end of the lower-secondary level, students now are provided with four different forms of results representing each component of the broad school-based assessment. The non-academic component of the school-based assessment is, however, beyond the scope of this paper.

The Form 3 (central) assessment is a summative paper-and-pencil test which involves an evaluation of all four language skills. Hence, it is assessment *of* learning as it comes at the end of the term. The MES provides the schools nationwide with sets of question papers to choose from (comparative standards). Teachers grade the exam scripts of their own students by strictly adhering to the guidelines provided by the ministry. It is, however, worth noting here that the previous assessment (*PMR*) focused mainly on the reading and writing skills only.

The school assessment on the other hand is a combination of formative and summative components. Three aspects are contained within the school assessment: assessment *for* learning, assessment *of* learning and assessment *as* learning. Researchers (Black et al., 2003, as cited in Yu, 2010) have opined that while raising students' achievement is the first priority of assessment *for* learning, it also involves teachers in multiple formal and informal assessment methods such as unit tests, quizzes, oral presentations, listening activities and homework to judge the quality of their students' learning against a set criteria or standards. In this regard, the MES has provided the teachers with a band scale of 1 to 6 in which 1 indicates weak and 6 indicates advanced learners. Students are required to achieve the highest bands possible over the year. Black et al. (2003, as cited in Yu, 2010) also highlighted that an assessment activity should, ideally, be able to provide feedback to both teachers and students which may assist them in assessing each other and also adapting their teaching and learning activities. The school assessment as stated in the official documents of the ministry (moe.gov.my), requires the teachers to identify their students' actual performance and their desired performance as required by the ministry (intended washback) and provide their students with necessary feedback with an aim to bridge the gap. Besides, students also have the opportunity to be assessed by their peers (peer-assessment) and themselves (self-assessment).

As mentioned earlier, Malaysia has implemented a one-off summative examination system at the lower-secondary level for about 30 years. Considering the recent shift in policies and practices in relation to the assessment at the lower-secondary level and the students who are one of the most affected key stakeholders, studies investigating their perceptions of such an assessment reform are deemed necessary.

A PANORAMIC VIEW OF WASHBACK

Learners' achievement in standardised examinations has been widely used as a tool to measure the performance of stakeholders at the micro level (*classrooms*), schools and educational systems (*administration*) for accountability purposes. Alderson and Wall's (1993, p.4) remark that 'tests are held to be powerful determiners of what happens in classroom' clearly supports this statement. The phenomenon of examinations influencing the teaching and learning activities is defined as washback in the area of language testing (Alderson & Wall, 1993). This phenomenon sparked an interest among scholars in both general and language education.

However, scholars, in exploring this phenomenon, have been divided in their definition. Though their definitions broadly deal with examinations influencing teaching and learning, there are some differences in relation to the scope of stakeholders affected by the examinations. Some significant definitions which have widely been reported

in the assessment literature are reported here and the definition identified for the study is then stated. Some scholars have argued that examinations may affect stakeholders at the micro level; classroom at the macro level; schools (administration), education systems and society at large. Bachman and Palmer (1996), Wall (1997), Andrews (2004) and McNamara (2010) refer to this phenomenon as 'test impact'.

Frederikson and Collins (1989) on the other hand introduced the term '*systemic validity*' which means effects of instructional changes brought about by the introduction of tests into the educational systems. Messick's (1996) *consequential validity* revolves around concepts ranging from the uses of tests, the potential misuse, abuse, and unintended usage of tests, the impacts of testing on test takers, teachers and the decision makers. Popham (1987) introduced the term *measurement-driven instruction*, Shohamy et al. (1996) defined *curriculum alignment* as altering the curriculum in line with the examination results and Morrow (1986) introduced *washback validity* which refers to the value of the relationship between the test and any associated teaching.

This family of terms have all one thing in common: curriculum, teaching and learning are controlled by means of either introducing new or altering existing examinations within the education systems. Washback or backwash is broadly defined as the effects of tests on teaching and also on learning (Cheng & Curtis, 2004). According to Alderson and Wall (1993), the term washback is widely used in British Applied

Linguistics but backwash is prevalent in educational literature. After reviewing the existing literature on the available definitions and taking into account the context in which a different assessment system has just been introduced, the present researchers adopted the term 'washback' propagated by Alderson and Wall (1993) at the micro level, classroom, to gauge the kind of washback on a group of learners' perceptions at the beginning of implementing a new assessment system in the current context. Therefore, this study uses the term washback to be used throughout as it deals with language education.

THEORETICAL DISCUSSION

Scholars (Morrow, 1986; Frederikson & Collins, 1989; Khaniya, 1990) from both general and language education have widely asserted the existence of washback without any empirical evidence. Washback in language testing domain came into prominence in early 1990s when Alderson & Wall (1993) disputed the assertions made by other scholars over the years that a good test will produce beneficial teaching and learning (positive washback) and vice versa. They argued that a test alone may not be the reason for the kind of teaching and learning observed in a language classroom but there might be other factors within classrooms, schools, educational systems and society at large at work which hinder washback from happening. They subsequently proposed 15 washback hypotheses in their seminal paper "Does washback exist?" which deal with 'what' and 'who' are affected

by tests. The 'whats' according to them are teaching - rate, sequence, degree and depth of teaching, and, learning - rate, sequence, degree and depth of learning and the 'whos' are teachers and learners. Hughes (1993) in his attempt to enhance the understanding of backwash (as he referred to it), broke the consequences down into three broad categories: participants, processes and product. Bailey (1996), combining both Alderson and Wall's (1993) and Hughes' (1993) insights, presented the ideas with an addition of 'researchers' into the participants' category in the form of a diagram (see figure 1)

Bailey (1996) propagated Hughes' (1993) message in her diagram that learning is the ultimate goal (product) of any assessment introduced into education systems. Hence, beginning anywhere in the diagram would eventually lead us to the 'learning' construct. The straight arrows in her diagram refer to the intended washback as required by policymakers and other beneficial consequences (research results). On the other hand, the dotted arrows refer to the washback effect observed within specific territories (teachers, learners, etc.) in relation to their perceptions, attitudes, teaching methods, learning strategies and so on. Finally, the product of the assessment system as claimed by Hughes and Bailey is the learning of the language.

The present study adopted Bailey's (1996) model to look into the washback effect of a school-based English language assessment on a group of learners' perceptions in one of the schools in a

northern state of Malaysia. In reference to Bailey's model, the participants involved in this study are the students and the processes of the students are as stated below:

- I. Students' overall perceptions of school-based assessment (SBA) and external Examinations.
- II. Challenges of Implementing School-based Assessment (SBA).

Washback on Students' Perceptions

It was argued in empirical washback studies that the perceptions of the key stakeholders (teachers and students) were among the significant factors which greatly influenced the teaching and learning activities in classrooms. Yu (2010) in her study on

the washback effect of the school-based oral assessment reported that the students had little knowledge of school-based assessment and they did not perceive any benefits that SBA claims to bring to learning (teacher feedback and peer-assessment). Considering the standards-referenced school-based assessment recently introduced by the Malaysian government at the lower-secondary level to promote learning, an investigation into the perceptions and attitudes of students in relation to the new assessment system is therefore necessary. The paucity of students' perspectives on the washback effect as reported in the literature internationally (Hamp-Lyons, 2000; Stoneman, 2006; Shih, 2009) and the need to know what is intended by the ministry

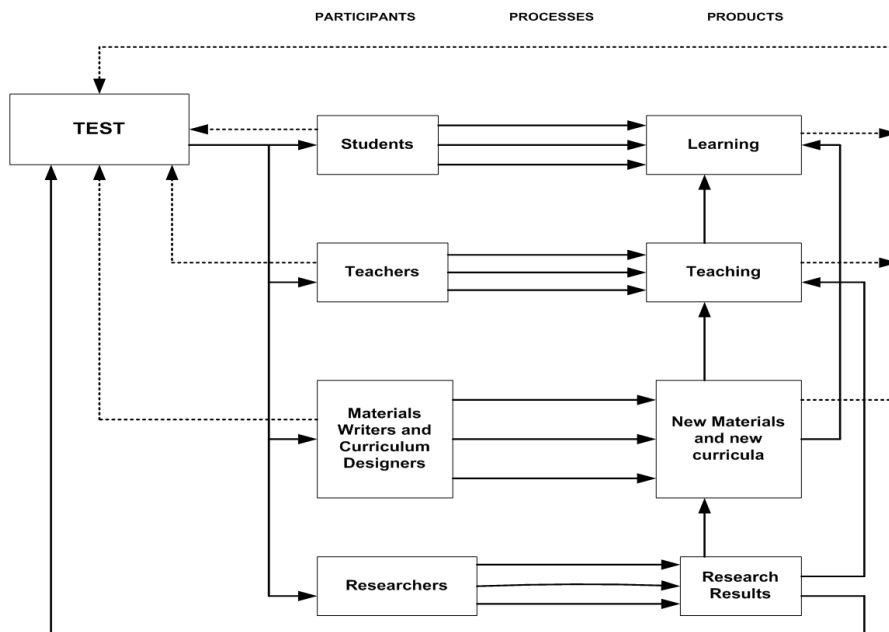


Figure 1. A basic model of washback (Bailey, 1996, p.264).

and what is happening in reality within classrooms warrants an investigation into the washback effect of the newly introduced school-based assessment on learners at the beginning of its implementation.

As the previous studies on school-based assessment in Malaysia have been centred on concerns among teachers with regards to its implementation (Faizah, 2011; Baidzawi & Abu, 2013; Nair et al., 2014), it is deemed significant and timely to carry out a study on the washback effect of school-based assessment on students' perceptions as they are one of the direct stakeholders of any assessment reforms.

Shih (2009) in her study on 'how tests change teaching?' highlighted that research on washback to date has been centred on washback of tests on teaching or they investigated the impact of teachers' educational backgrounds or beliefs on their teaching. However, scant attention has been paid to the role played by student factors in affecting teaching within the washback mechanism, and the researchers believe this is particularly so in Malaysia. According to Shih (2009), some of the potential areas of washback in relation to student factors are like 'how do students' feedback affect teaching?' and 'how do students' learning motivation influence teaching?'

METHOD

Participants

The participants of this study were from the lower-secondary level i.e., PT3 of a co-education national secondary school in Seberang Perai Tengah, Penang. The state

of Penang and the district of Seberang Perai Tengah were chosen for convenience purposes. The sampled school had requested anonymity. The researchers were able to sample a balanced number of both genders, 17 males and 17 females ($n=34$) from this school. Schools in Malaysia are ranked by bands: band 1 being the highest and band 6 the lowest. As this study was conducted at the very beginning of the implementation of SBA in Malaysia, the researchers employed purposive sampling by identifying a middle-band (band 4) school.

Choosing a school of middle banding to some extent minimises students' ability as a factor in making reference of the school's experiences to other contexts, as compared to the other two scenarios of either choosing a high-banding or a low-banding school. Experiences of a middle-banding school allow a wider range of readers to recognise similarities of issues in their own context (Yu, 2010, p.79).

Instruments

This study looks into the washback effect of a newly introduced language assessment. Therefore, the researchers had to rely on official documents (*booklets, press release, etc.*) issued by the ministry to gauge the positive/intended washback. After reviewing all the available documents, the researchers then triangulated the students' responses by means of their self-reported questionnaires. Therefore, this study

includes document analysis and survey as its research instruments.

A validated questionnaire by Yu (2010), who conducted a mixed-methods case study on the washback effects of school-based performance assessment in a Hong Kong secondary school, was adapted by this study. As the context for the present study is Malaysia, necessary amendments were made to suit the context. After thoroughly analysing the instrument, some items deemed not relevant were removed and where necessary, some new items were added. In addition, as the researchers' aims were to gauge whether the new assessment system has positively or negatively affected the students' language learning, the researchers in their attempt to avoid fence sitters had to transform the questionnaire originally designed on a 6-point Likert scale into a 4-point Likert scale. The respondents were required to respond on a 4-point Likert scale ranging from 1 which indicates *strongly disagree* to a score of 4 which indicates *strongly agree* for section II, IV and V whereas they were required to respond to a 4-point Likert scale ranging from a scale of 1 which indicates *never* to a scale of 4 which indicates *always/all the time* for section III. Only the results of section I and V are discussed in this paper.

The adapted questionnaire was revalidated by two local experts in the area of language testing and a reliability test was run for each item and for the entire instrument. An internal consistency test of the questionnaire revealed that its cronbach alpha value was at .88.

Data Collection and Analysis

The questionnaires were distributed by one of the teachers in the sampled school. They were completed by the students under the teacher's supervision with a return rate of 94%. Some questionnaires were not returned due to the absence of students on the day when the instrument was administered and some students failed to return their questionnaires. The Software Package for Social Sciences (SPSS, V21) was used to analyse this study data. An independent-samples t-test and the measure of central tendency were carried out to see the differences among the sampled respondents.

RESULTS

This study only reports the findings from sections I (*Students' overall perceptions of school-based assessment (SBA) and external examinations*) and V (*Students' preference between external exams and SBA*). Findings from section I is presented by means of independent-samples t-test to grasp the differences among the male and female students' self-reported responses. On the other hand, findings from section V is presented by means of measure of central tendency. The following tables statistically illustrate the students' responses:

I. Students' preference between external exams and SBA

An independent-samples t-test was run to compare the gender differences on the students' views of SBA and external examination. Next, effect size was calculated

to provide an indication of the magnitude of the differences between the groups (not just whether the difference could have occurred by chance).

Data revealed that some of the items listed in Table 1 and Table 2 had significant differences between the two genders in the sampled school. The items which had significant differences are first presented followed by the insignificant ones.

There is a significant difference in the students' views about *Taking external exam is a valuable experience* for male (Mean: 1.00) and female (M: 1.24), with a t-value of 2.219 and $p=0.041$. The result also indicates that taking external examinations is a more valuable experience for the sampled female students than to their male counterparts. The magnitude of the differences in the means

is considered large, with $\eta^2=0.133$. With regards to *External examinations force students to study harder*, there is a significant difference in the students' views, i.e., male (M: 1.29), female (M: 1.76) with a t-value of 3.024 and $p=0.005$. The female students in this school appear to have the urge to study harder for external examinations in comparison to the males. The magnitude of the differences in the means is large, too, with $\eta^2=0.22$. In relation to *SBA forces students to study harder*, there is a significant difference too, i.e., male (M: 1.24), female (M: 1.65) with a t-value of 2.578 and $p=0.015$. The findings indicate that the female students have the disposition to study harder due to the existence of SBA compared with their male counterparts. The magnitude of the differences in the means

Table 1
Group Statistics

	Gender	N	Mean	Std. Deviation	Std. Error Mean
Taking external exam is a valuable experience	Male	17	1.00	.000	.000
	Female	17	1.24	.437	.106
External examinations force students to study harder	Male	17	1.29	.470	.114
	Female	17	1.76	.437	.106
SBA forces students to study harder	Male	17	1.24	.437	.106
	Female	17	1.65	.493	.119
A student's score on external examination is a good indication of how well he/she will be able to apply what has been learned	Male	17	1.24	.437	.106
	Female	17	1.65	.493	.119
A student's score on SBA is a good indication of how well he/she will be able to apply what has been learned	Male	17	1.00	.000	.000
	Female	17	1.59	.507	.123
All students work hard to achieve their best in external examinations	Male	17	1.47	.514	.125
	Female	17	1.76	.437	.106
All students work hard to achieve their best in SBA	Male	17	1.35	.493	.119
	Female	17	1.65	.493	.119

a. t cannot be computed because the standard deviations of both groups are 0.

Table 2
Levene's Test for Equality of Variances

	F	Sig.	t	df	Sig. (2-tailed)	Mean Difference	Std. Error Difference
Taking external exam is a valuable experience	41.086	.000	-2.219	32	.034	-.235	.106
			-2.219	16.000	.041	-.235	.106
External examinations force students to study harder	.573	.455	-3.024	32	.005	-.471	.156
			-3.024	31.838	.005	-.471	.156
SBA forces students to study harder	2.140	.153	-2.578	32	.015	-.412	.160
			-2.578	31.556	.015	-.412	.160
A student's score on external examination is a good indication of how well he/she will be able to apply what has been learned	2.140	.153	-2.578	32	.015	-.412	.160
			-2.578	31.556	.015	-.412	.160
A student's score on SBA is a good indication of how well he/she will be able to apply what has been learned	497.778	.000	-4.781	32	.000	-.588	.123
			-4.781	16.000	.000	-.588	.123
All students work hard to achieve their best in external examinations	5.976	.020	-1.796	32	.082	-.294	.164
			-1.796	31.189	.082	-.294	.164
All students work hard to achieve their best in SBA	.000	1.000	-1.741	32	.091	-.294	.169
			-1.741	32.000	.091	-.294	.169

is large, with eta squared=0.172. As for *A student's score on external examination is a good indication of how well he/she will be able to apply what has been learned*, there is a significant difference, i.e., male (M:1.24), female (M:1.65) with a t-value of 2.578 and $p=0.015$. Female students here see their score in their external examination as a good indication of how well they will be able to apply what has been learned compared with the male students. The magnitude of the differences in the means is large, with eta squared=0.172. The last item which had a significant difference is *A student's score on SBA is a good indication of how well he/she will be able to apply what has been learned*, i.e., male (M:1.00), female (M:1.59) with a t-value of 4.781 and $p=0.000$. This indicates that the female students see their score in SBA as a good indication of how well they will be able to apply what has been learned compared with the male students. The magnitude of the differences in the means is large, with eta squared=0.417.

Two items from the tables above had insignificant differences. For the item, *All students work hard to achieve their best in external examinations*, no significant difference is found in the students' self-reported responses with a t-value of 1.796 and $p=0.082$. This may imply that both female and male students felt that they work equally hard to achieve their best in external examinations. Finally, the last item which had insignificant difference is *All students work hard to achieve their best in SBA*. There is no significant difference in the students' views with a t-value of 1.741 and

$p=0.091$. This may imply that both female and male students felt that they work equally hard to achieve their best in SBA

II. Challenges of Implementing School-based Assessment (SBA)

Measure of central tendency and standard deviation were computed to summarise data for students' perceived challenges of SBA.

As shown in Table 3, the mean value represents the average score of how the respondents perceived the challenges of implementing SBA in their school whereas the mode indicates the number of frequently chosen responses by the students. The five items (challenges) as shown in Table 3 are ranked from 1 (strongly disagree) to 4 (strongly agree).

The mean value for "*Our school does not have sufficient books on SBA*" is 2.94, which indicates that students on average agreed that the school does not have sufficient materials on SBA which seem to hinder the implementation of SBA in their school. On the other hand, the mean value for "*We find it difficult to understand the content of the SBA books*" is 3.24, which signifies that the students on average think that it is very difficult to understand the content of the SBA materials. The mean value for the item "*Teachers have the knowledge and skills to implement SBA*" is 1.56, which shows that the students on average slightly disagreed that their teachers have the knowledge and skills to carry out SBA tasks.

The mean value for the item, "*Students may not trust teachers' assessment in SBA*" is 3.06, which shows that on average,

respondents agreed that they may not trust the grades given by their own teachers in relation to SBA. The mode for this item is 4, which indicates that majority of the respondents strongly agreed with this statement.

The mean value for item “*We do not have adequate class time for carrying out SBA tasks*” is 3.26, which shows that respondents agreed and strongly agreed that they do not have adequate class time for carrying out SBA tasks. The mode value is 3, which indicates that majority of the respondents agreed that the class time allocated for SBA tasks is insufficient.

As shown in Table 3, the standard deviation of the item “Our school does not have sufficient books on SBA” is 1.071, which means data points are spread out over a wider range of values. Since the mean is 2.94 and the standard deviation is 1.071, it is estimated that approximately 95% of the scores will fall in the range of 2.94- (2*1.071) to 2.94+ (2*1.071), or between 0.798 and 5.082. The standard deviation of item “We find it difficult to understand the content of the SBA books” is 0.955, standard deviation for item “Teachers have

the knowledge and skills to implement SBA” is 0.894, standard deviation for item “Students and teachers may not trust teachers’ assessment in SBA” is 0.919 and standard deviation for item “We do not have adequate class time for carrying out SBA tasks” is 0.666.

DISCUSSION

The analysis of items for the first construct revealed that overall, ambivalent attitude was evident among male and female students in the sampled school. They were uncertain of which assessment method was more valuable for learning purposes. Moreover, some of them provided contradictory responses when asked about the two different assessment methods namely external examination and school-based assessment. Given such a reaction among this group of students and the MOE’s predilections for a ‘*synergistic assessment system*’ which combines both school assessment (*formative and summative*) and central assessment (*summative*), the question of which particular component has drawn serious attention among the student population in other schools and by extension,

Table 3
Challenges of Implementing School-based Assessment in our school

	Our school does not have sufficient books on SBA	We find it difficult to understand the content of the SBA books	Teachers have the knowledge and skills to implement SBA	Students may not trust teachers’ assessment in SBA	We do not have adequate class time for carrying out SBA tasks
Mean	2.94	3.24	1.56	3.06	3.26
Std. Deviation	1.071	.955	.894	.919	.666
Mode	4	4	1	4	3

states, then arises. Ideally, both components should be equally favoured by teachers and students alike as they complement each other (*intended washback*). Also, do the ministry officials (*macro-level stakeholders*) and the students (*micro-level stakeholders*) think along the same lines is one big question that has yet to be answered. By means of the quantitative data analysis of this study, it is safe to assume that the intended washback of the SBA on students was not fully achieved as there was a mismatch between what was required by the policy makers and the concept of SBA being operationalised by this group of students who participated in this study. In this circumstance, it is rather difficult to say that the SBA has negatively affected their knowledge and readiness as the researchers could not tell if the students were indifferent to the implementation of SBA or other factors contributed to their actions.

As can be seen in Table 3, students at the sampled school provided negative responses in relation to the items under the second construct. These students' account indicate that their schools were devoid of resources (materials) and those at their disposal were not helpful. One interesting dimension of the new assessment system is the teachers are now empowered to teach and assess their own students. However, judging the students' responses in this school, they appear to be quite pessimistic about this idea. Also, time constraint as a barrier to carry out SBA activities was perceived by these students. The students' responses for the second construct overall indicate that

there were barriers (materials, teachers' assessment literacy and time-constraint) in implementing SBA at the national schools around the country.

Overall, the students' ambivalence towards SBA has led the researchers to conclude that respondents of the study might not be very clear of the purposes, requirements and the potential benefits of the newly introduced school-based assessment. Moreover, the background of the respondents may have had an impact on their perceptions. Different language medium and academic achievement of students may also have impacted the way of learning and students' perceptions on assessment. Hence, the intended washback at this point in time was still at the surface level due to many uncertainties. The overarching examination-orientedness could inevitably be one of them.

CONCLUSION

For accurate interpretations of the results derived from this study, it is obligatory on the researchers' part to acknowledge its limitations. The first limitation of this study lies in the instrumentation employed to collect data from the participants. When this study was carried out, the teachers and other administrative officials in schools were not approachable due to various uncertainties with regards to the newly-introduced school-based assessment. Hence, students, who are one of the mostly affected stakeholders, were approached instead.

The researchers could only employ quantitative method i.e., the questionnaire

and therefore, no methodological triangulation (interviews and classroom observations) and data triangulation (teachers', policymakers' and parents' perspectives) could be done to triangulate the responses provided by the students in their self-reported questionnaires. Most importantly, classroom observation which is one of the most important elements which has been advocated by Alderson & Wall (1993) in washback studies to triangulate the claims made, unfortunately, could not be included in this study. Given the worldwide movement to combine *assessment of learning* with *assessment for learning*, a more comprehensive study which considers both teachers' and students' perspectives at possibly one of the regions or even nationwide in Malaysia may provide a holistic picture of the degree of impact observed. Second, the size of the sampled population is small in which the respondents were from one middle-banding school in one of the 14 states in Malaysia. Hence, generalising the findings to other contexts should be done with caution.

Notwithstanding the limitations, this study is possibly the first ever undertaken to gauge the students' perspectives of SBA in Malaysia. However, considering the fact that the sampled population of this study was the first batch of students to experience this new assessment and their perceptions and attitudes being shaped by other stakeholders at micro level (teachers and peers) and macro level (parents, policymakers and other stakeholders), the SBA has only managed

to produce a minimal washback effect (positive) among the sampled population. The researchers deemed that it is significant that the policymakers at national level should make every effort to ensure that all the necessary information in relation to the new assessment reaches the students without failure. Thus, this small scale study, if not clearly, has at least provided some insights on what kind of washback was observed in the selected school. Therefore, it can be used as a baseline study for further investigations of the impact of SBA on a bigger scale in Malaysia.

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A Comparative Analysis of Pakistani English Newspaper Editorials: The Case of Taliban's Attack on Malala Yousafzai

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ABSTRACT

This study analyse the portrayal of Malala Yousafzai after her attempt of assassination by Taliban in the editorials of four Pakistani English newspapers, *The News*, *Dawn*, *The Nation* and *Daily Times* from October 10, 2012 to November 10, 2012. It also investigates how newspapers framed Taliban after attacking Malala. The study is theoretically linked with framing theory and conducts the comparative analysis of the editorials of four Pakistani leading newspapers. A total of 29 editorials (five in *The News*, six in *Dawn*, nine in *Daily Times* and nine in *The Nation*) were analysed. The findings depict that Malala was portrayed as a courageous girl who opposed the Taliban and their mindset against the girl's education in Swat valley. The findings also show that Taliban have a negative image in the Pakistani newspapers after their attack on Malala Yousafzai.

Keywords: Malala Yousafzai, Taliban, Portrayal, Pakistan, Editorial

INTRODUCTION

The day of October 9, 2012 attack on Malala Yousafzai by Taliban was marked as a potential turning point in the life of Pakistani nation. It not only shook the entire country but also became a binding force to condemn the act of violence and reaffirm the

principle Malala daringly advocated (Lodhi, 2012). Gunned down by the Pakistani Taliban, Malala has become an international icon for her courage and determination to advocate her beliefs and disobey the environment of fear and terrorisation that radical militants contrive and thrive on. In the aftermath of this incident, national and international press faced many challenges in reporting and helping to set the agenda for worldwide public discussion of the issue (Sayah & Mullen, 2012).

Mass media in Pakistan play an important role not only in shaping public

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opinion, but also in influencing the decisions of top government and military executives. For this exclusive coverage, Pakistani and international media groups were also threatened by Taliban. The swift, impulsive and unsurpassed reaction to her attempt of assassination from across the religious and political spectrum, military leadership and every section of society reflected both anger and the outpouring of emotion that such violent acts can no longer be tolerated (Yousafzai, 2007).

The objectives of this research are to study the portrayal of Malala Yousafzai after her attempt of assassination in four Pakistani English newspapers, *Dawn*, *Daily Times*, *The News* and *The Nation*, in the light of media framing theory. This study also investigated how the Taliban were framed by these newspapers after the attack on Malala Yousafzai. The editorials of four leading Pakistani English newspapers, *The News*, *Dawn*, *The Nation* and *Daily Times*, were selected from October 10, 2012 to November 10, 2012 because in this time period, this incident was given exclusive coverage. The sample was taken from the online editions of these newspapers. A total of 29 editorials (five in *The News*, six in *Dawn*, nine in *Daily Times* and nine in *The Nation*) were analysed. The unit of analysis of this study included all editorials containing the word “Malala” in the paragraphs or headlines in the newspapers during the said time frame.

In Pakistan, English Press is considered more credible than electronic media and enjoys good status and repute. English is

an international language and in Pakistan, mostly well qualified people and policy makers read an English newspaper and this why it is also called elite newspapers. English press is considered as comparatively more responsible. As such, decision makers rely on the English Press for in-depth understanding of different pertinent issues with the help of editorials which form the essence of any newspaper and act as a reflection of its policy. The rationale for selecting *The News*, *Dawn*, *The Nation* and *Daily Times* is their status as the leading English language newspapers in Pakistan due to circulation, readership and popularity among the readers and these newspapers, by and large, remain serious and responsible on the issues of national and international importance. All four are considered as elite newspapers and belong to the prominent media groups in Pakistan, ranking first, second, third and fourth respectively in terms of circulation size. They have different approaches, perspectives and ideologies in dealing with national and international news. Their influence on policy and decision makers in the country is far more than any other local publication. In the same way, all the newspapers give special coverage of local and international events which award them a top place among other newspapers. The rationale for selecting editorial was because it is a presentation of important, contemporary events, interpretation and critical evaluation in such a way as to educate, inform, entertain and influence the readers. Editorials shed more light on the contemporary issues and suggest solutions.

The posture of an editorial is influenced by the ownership structure, philosophy and policy of the newspaper and the political environment in which the certain newspaper is operating.

Print Media in Pakistan

Pakistan has a vibrant media landscape among the most dynamic in South Asia. Despite the political pressure and direct bans that are sometimes administered by political stakeholders, the media enjoy the freedom of speech. The print media industry experienced a media boom after the liberalisation in 2002. In the competitive environment that followed commercial interests became paramount and quality journalism gave way to sensationalism (Azam, 2008). Print media publish in 11 languages with Urdu, English and some regional languages. The divide between Urdu and English media also goes for the print media. Urdu newspapers are the leading media in the rural areas. They are conservative, folkloristic, religious and sensational and are by far the most read and influential among the general public. The English print media is urban, elitist, more liberal and professional than Urdu journalism. English print media has an impact among opinion makers, politicians, the business community and the upper strata of society in general (Mezzer & Sial, 2010).

Privately owned newspapers freely discuss public policies and keep a critical eye on the government. They report remarks

made by opposition politicians and their editorials reflect a wide range of views. The effort to ensure that newspapers carry their statements or press releases sometimes leads to undue pressure by local police, political parties, ethnic, sectarian, and religious groups, militant student organisations, and occasionally commercial interests. Such pressure is a common feature of journalism and can include physical violence, sacking of offices, intimidation and beating of journalists, and interference with distribution of newspapers (Rana, 2008). The press in Pakistan holds significant power and has suffered much under various political leaders, only to emerge resilient and more committed to freedom of speech. In Pakistan, most newspapers are privately owned and enjoy freedom of speech. There are three major players on the print media market and in the media market in general.

The News

Jang Group of publications launched an English newspaper with the name, "The News", on February 11, 1991, from Karachi, Lahore, Rawalpindi and London at the same time. "The News" is said to be neutral and unbiased and is believed to present both sides of the picture. The News is following the policy of "no policy". Sometimes, it seems as pro leftist or moderate is given more importance by this newspaper. However, this newspaper never opposes the government and tries to give a balance view while covering sensitive issues.

Dawn

Dawn is Pakistan's oldest and most widely read English-language newspaper. It is the flagship of the Dawn Group of Newspapers, published by Pakistan Herald Publications, which also owns the Herald, a magazine, and Spider, an information technology magazine. Dawn is famous for its controversial leftist social agenda. It was founded by Quaid-i-Azam Mohammad Ali Jinnah in Delhi, India, on 26 October 1941, as a mouthpiece for the Muslim League. The first issue was printed at Latifi Press on 12 October 1942. The newspaper has offices in Karachi, Lahore, Islamabad and representatives abroad. As of 2014, it has a weekday circulation of over 109,000. The CEO of Dawn group is Hameed Haroon, and the current editor of Dawn is Zaffar Abbas.

The Nation

The Nation was started by the Nawa-i-Waqt group of publications on October 1, 1986, from Lahore. Majeed Nizami is the Chief Editor of The Nation. This newspaper, like his sister paper, Daily Nawaiwaqt, is more like an ideological newspaper. Though it is much liberal than Nawaiwaqt, it is the most conservative among the other English newspapers. This newspaper is mostly supportive of Muslim League, and it strongly believes in the ideology of Pakistan, therefore, caters readership of the right and criticism against the West can be traced from the editorial policy of The Nation.

Daily Times

The Daily Times was launched on April 9, 2002. Daily Times, which is simultaneously published from Lahore, Islamabad and Karachi, is edited by Rashed Rahman. The paper was owned by Governor of Punjab and Pakistan People's Party stalwart Salmaan Taseer. The Daily Times is recognised as a newspaper that advocates liberal and secular ideas. It has gained popularity and notoriety due to some of its editorials, which are considered controversial in some parts of Pakistan, but lauded in the international press.

Background of Malala Yousafzai

Malala Yousafzai is an 18-year-old Pakistani Pashtun school girl and the youngest ever Noble Prize laureate. She is recognised for her education and women's rights activism in the Swat Valley, where the Taliban had at times not only banned girls from attending school but also burned and blown up more than hundred girl's schools (Lodhi, 2010). In 2009, Malala started writing blog for BBC Urdu Service when her parents were approached by a local BBC reporter in the Swat valley to write about the life under the Taliban. Due to the fear of Taliban, no one agreed upon to raise their voice against the Taliban; however, Malala Yousafzai, a seventh-grade student, showed her interest to write the post for BBC Urdu Service (Peer, 2012).

As the father of Malala Yousafzai was extremely concerned about her daughter's safety and security, the local BBC editors advised her to use a pen name as "Gul

Makai" (corn flower). On 3 January 2009, BBC Urdu posted her first blog that later made her famous (Ali, 2012). After the blogs, Malala got fame, gave few interviews to newspapers and on television channels. She was given Pakistan's first National Peace Award for Youth, which now has the award named after her. She was also nominated for the International Children's Peace Prize by Archbishop, Desmond Tutu (Khan, 2011).

On 9 October 2012, Malala was attacked by Taliban and received three bullets in her neck and head by the Taliban gunmen while returning home after taking an exam on a school bus in Mingora. Her friends, Shazia Ramzan and Kainat Riaz, also got injured in the attack. Tehreek-e-Taliban Pakistan (TTP) spokesman, Ehsanullah Ehsan, claimed that his group was behind her attempt of assassination. Speaking by telephone from an undisclosed location, he said "We carried out this attack and if anybody who speaks against us will be attacked in the same way". The militants said that they had attacked Malala because she was having anti-Taliban mindset and American President Barak Obama was her favorite personality. Furthermore, they claimed that Malala was giving projection to the Western culture among innocent people (Malik, 2012).

Soon after the attack, she was airlifted to a military hospital in Peshawar. After a long operation, bullets were successfully removed from the shoulder near her spinal cord and doctors decided to shift her to Armed Forces Institute of Cardiology

(AFIC) in Rawalpindi. Several hospitals around the globe offered to provide best medical treatment to Malala. On 15 October 2012, she was shifted to Queen Elizabeth Hospital in Birmingham for further medical treatment (Yousafzai, 2012).

Pakistani Taliban and their Ideology

Tehrik-i-Taliban Pakistan (TTP) is called the 'Pakistani Taliban' which is the largest militant group in Pakistan. It is an umbrella organisation of different extremist militant groups based in Federally Administered Tribal Areas (FATA) beside the Pak-Afghan border. Most Pakistani radical Islamic factions are united under the flag of TTP (Abbas, 2008). In December 2007, around forty leading militants throughout Pakistan and few tribal elders organised a meeting and selected Baitullah Mehsud as the soul leader of TTP. At the time of its formation, the overall strength of TTP was about 40,000-50,000. The main objectives of TTP were to fight against the Pakistani state and put maximum pressure to enforce their own ideology of religion in Pakistan (Yousafzai, 2008).

In an interview, Baitullah Mehsud confessed that Al Qaeda played a pivotal role in the formation of TTP indirectly. According to him, development of TTP was postponed due to some disputes in uniting the local militants, and the financial assistance needed from Uzbek and Arabs rebels. Al Qaeda not only provides funds to TTP but also helps in training and planning how to attack in the groups (Khan, 2010).

The government of Pakistan blamed TTP for their involvement in the assassination of Benazir Bhutto. American intelligence agency (CIA) also established the allegations with certain evidence and blamed Baitullah Mehsud but TTP contradicted about their involvement (Laura, 2009). In 2009, TTP leader, Baitullah Mehsud, was killed in an American drone strike. Hakimullah Mehsud, the first cousin of Baitullah Mehsud, was named as his successor. Hakimullah Mehsud became prominent in the early 2008 when he was commanding Sunni militants to fight against Shia militants in Hangu district and Kurram agency. In October 2008, he masterminded a suicide attack on a jirga that resulted in the killing of over fifty tribal leaders. In the beginning of December 2008, he started launching raids and burning many trucks containing food items and arms supplies for the NATO forces in Afghanistan (Walsh, 2009).

In 2007, after the Lal Masjid siege, TTP formed an alliance with Maulana Fazlullah's Tehreek-e-Nafaz-e-Shariat-e-Mohammadi (TNSM), a banned Islamic militant group allied to the Pakistani Taliban. Maulana Fazlullah is the son-in-law of the TNSM's founder, Sufi Muhammad and famous as "Mullah Radio" (Roggio, 2009).

Maulana Fazlullah, with the help of Taliban and his followers, got controlled over Swat and his followers quickly set up the Sharia Courts as the primary judicial courts and denied the Pakistani National Judicial Courts. He banned music, dancing and forcefully closed music and computer shops and called it major sources of sin.

He threatened barbers not to shave their customers' beards and also warned against girls attending schools (Athar, 2007). Fazlullah opposed polio vaccination campaign and claimed that it is a scheme of the Christians and Jews to keep Muslims impotent. They made Hijab compulsory for women and banned male tailors of taking measurements of female bodies and even sewing their clothes. Women must be accompanied by men while going out of their home, otherwise will be punished (Yousafzai, 2007).

In May 2009, Pakistan Army launched an operation known as Operation Rah-e-Rast in the Swat valley to control the Swat district and eradicate the insurgency of TTP in the area. The first battle of Swat known as Operation Rahe-e-Nijat ended with a peace agreement, generally criticised in the western countries, which the Pakistani government had signed with the Taliban in February 2009. However, at the end of April 2009, the Pakistani government started a military operation against the Taliban, and Maulana Fazlullah, along with other militants, fled from the Swat valley and hid in the areas of Nuristan and Kunar in Afghanistan (Abbas, 2008; Ansari, 2011).

LITERATURE REVIEW

The media have the power to provide change in perceptions through empowering the masses with knowledge and information (Razi, 2014). The media have the power to alter the world and viewpoints and lay the societal concepts and its every aspect; thus, media's arguments are essential (Hall,

1975). The emphasis is on performing all the necessary media functions morally, with functions such as informing, educating, entertaining and influencing the masses morally towards the media (Yousafzai, 2007). Press is generally considered as the most accountable and authentic source of the media of mass communication, and is even considered more authentic than the other mass media such as the electronic, while press has an important function of highlighting critical or burning issues both national and international (Hassam et al., 2013). The organisation of the editorials revolves around three parts. First is the definition of the situation, followed by the summary of the issue and evaluation of the entire situation, and finally offering realistic, logical and practical conclusions, solutions, suggestions and recommendations (Van Dijk, 1992). In this context, the English press in Pakistan has been considered as effective in performing their functions, transmission of messages, information, views, perceptions, etc., all over the country since long (Rafiq, 2007).

There can not be two opinions about the importance of editorials. The editorials help in forming and shaping the ideology and perception of readers (Hall, 1996). The central role of editorials is to express and persuade through communicating of opinion (Van Dijk, 1996). Editorials form the greater ideological stand of any newspaper's owners and managers (Henry & Tator, 2002). Through editorials, the newspapers have the chance to communicate with the readers by commenting on different issues

(Reath, 2002). The Pakistani print media covered some major issues in the past. The question is, "Are these presentations ethical?" In order to grab readers' attention, the print media in Pakistan are seen to adopt a model "Hedonism model" which says "Do what feels good whatever cost might be" (Hassam et al., 2013). The newspapers are influenced commercially with newspaper policies according to the government and financiers. The News, Dawn, The Nation and Daily Times have private ownership and are influenced by the government as they are dependent on the government for advertisements to an extent (Tawab, 2000). According to Bernard Cohen (1963), the idea of the agenda setting and media framing is a means of producing a lasting effect on the masses which is simply a list of issues to give priority causing the public to recognise the issues being selected by the media as important and critical for the knowledge of the public (Kosicki, 1993).

The media not only give the masses the knowledge and information about issues but also the masses get the idea of the amount of worth to place on any issue due to the exposure given by the media to that particular issue. Op-eds are the sections for supporting ideas and supporting debating on important issues. Currently, Pakistani editorials function in the manner that they are the places where newspapers speak out their viewpoints on the most pertinent issues the nation encounters while performing their functions to influence the public and the government who have the knowledge of the issue and the viewpoint and understand the

viewpoint as realistic (Rafiq, 2007; Hassam et al., 2013).

Editorials force the readers to understand that the suggestions made must be heeded upon and implemented. A number of anonymous editorial writers write the editorials and these editorials depict steady viewpoints about each subject, thus predicting to the readers the stand of the newspaper towards any subject (Shoeb, 2008). Pakistani press today holds a big media scene in terms of mushrooming and growth (Hijab, 2010). The readers have restricted ways to witness events as they happen naturally, and they depend on the media for their source of knowledge. Thus, catering to their needs and desires of the knowledge of affairs of the globe out of reach of the human eye, the media's function in this regard becomes crucial in providing news and information to the audience, as well as in influencing and persuading them through media framing in term of what to reveal to the audience. After the introduction of cable TV, newspapers developed a competition with the TV and in order to maintain and attract readership, adopted television's belligerent and bold style without giving heed to the ethical standards and code of conduct, thus ignoring the earlier concepts of ethical and objective ways. This gives birth to the antagonistic, brittle and popular style of representation, making news as opinionated with the media professionals instead of objective adopt subjective means in portraying events (Jan *et al.*, 2013).

THEORETICAL FRAMEWORK

This study utilised media framing as a means of assessing the results taken from the data. In social sciences, framing comprises a set of concepts and theoretical perspectives on how individuals, groups and societies perceive, organise and communicate about the reality. Framing involves the social construction of a social phenomenon by mass media sources, political or social movements, political leaders, or other actors and organisations. It is an inevitable process of selective influence over the individual's perception of the meanings attributed to words or phrases. It is generally considered in one of two ways: as frames in thought, consisting of the mental representations, interpretations, and simplifications of reality, and frames in communication, consisting of the communication of frames between different actors (Druckman, 2001).

Historically, news media have gathered and disseminated news for public consumption. Tuchman (1978) wrote that "the news aims to tell us what we want to know, need to know, and should know" (p. 1). Framing is the act of highlighting certain aspects of a story to allow for interpretation and context, thus making an event or story more understandable for the audience (Entman, 2004; McQuail, 2005). Framing is the act defining issues typically by elites for public consumption and disseminating these definitions through the use of mass media (Berinsky & Kinder, 2006).

While a vast body of framing literature exists, Entman's (1993) definition of framing is used as the groundwork for

this study. Entman wrote, "to frame is to select some aspects of a perceived reality and make them more salient in a communicating text, in such a way as to promote a particular problem, definition, causal interpretation, moral evaluation, and/or treatment recommendation for the item described" (p. 52).

People perceive and select certain aspects of those perceived reality to focus on different issues and events. The concept of Entman is very much appropriate in analysing the editorials of newspapers because they define and highlight the issue, diagnose causes, make moral judgments, and at the end suggest some remedies and also predict their likely effects. In this way, framing makes an issue very important and provides different aspects which people can easily understand and digest.

Salience also refers to the act of making one piece of information more memorable or meaningful (Entman, 1993). By focusing the audience on salient pieces of information, it is therefore easier to apply an overarching theme to the entire story. The news' frame helps to organise information as it applies to everyday reality (Tuchman, 1978).

A seminal work by Goffman (1974) identified the primary framework as the act of taking seemingly meaningless information and making it into something meaningful. One can view framing in communication as positive or negative depending on the audience and what kind of information is being presented. Framing might also be understood as being either equivalence frames, which represent

logically equivalent alternatives portrayed in different ways, or as emphasis frames, which simplify reality by focusing on a subset of relevant aspects of a situation or issue. In the case of "equivalence frames", the information being presented is based on the same facts, but the "frame" in which it is presented changes, thus creating a reference-dependent perception (Gamson, 1989; Edelman, 1993; Entman & Rojecki, 1993; Pan & Kosicki, 1993).

METHODOLOGY

This study is a comparative analysis of the four leading Pakistani English language newspapers, *The News*, *Dawn*, *The Nation* and *Daily Times*, to examine the portrayal of Malala Yousafzai after her attempt of assassination and anti-Taliban feeling in Pakistan after the incident. The editorials of the four English newspapers, *The Nation*, *The News*, *Daily Times* and *Dawn* published between 10 October 2012 and 10 November 2012, were selected to examine the frames of the portrayal of Malala Yousafzai and Taliban. This period was considered to be the peak time of the issue, particularly when debate over brutality of Taliban and sympathies with Malala was taking enough space in all media outlets. The sample was selected from the online editions of the respective newspaper's archives. The unit of analysis of this study included all editorials containing word "Malala" in the paragraphs or headlines in newspapers. Thus, a total of 29 editorials (five in *The News*, six in *Dawn*, nine in *Daily Times* and nine in *The Nation*, were analysed. For the data analysis,

a coding sheet was developed giving three categories (Innocent girl, Activist and Courageous) for Malala and three categories (Terrorists, Anti-Development and Fanatics) for Taliban. After reading all the 29 editorials, these categories for Malala and Taliban were selected on the base of multiple frames found in the text. Under Activist, for instance, there were different frames like child activist, social activist, girl’s education activist and human right activist. These newspapers also presented Taliban with different frames like they were written fanatics, bigoted, extremists, opposed progress and development and defy all laws of humanity and religion. After selecting the categories for Malala and Taliban, the researcher counted the frames which were appeared in the text of editorials to represent the above said categories.

Courageous in their editorials. The findings showed that Malala Yousafzai, referred to as innocent girl (58.3%) who fought and opposed the Taliban for the girl’s education, was framed more than courageous (25.3%) and activist (17.4%). The researcher used multiple frames for each category. For instance, different frames like brave, outspoken, fighter, anti-Taliban and symbol of resistance were used under the category of Courageous. *The Nation* and *Daily Times* published 9 editorials each during the selected time period and presented Malala more aggressively than *The News* and *Dawn*. The editorial policy of *The News* and *Dawn* was found restrained towards appreciating the bravery of Malala and the brutality of the Taliban. The reason why she was portrayed as courageous was that Malala is the only girl who opposed the Taliban and openly resisted and criticised their mindset regarding the girl’s education and development in the Swat valley. The overall findings showed that she was portrayed positively in the selected newspapers. Due to her courage and social activism, President

FINDINGS AND DISCUSSION

Figure 1 shows that for Malala Yousafzai, the mainstream Pakistani newspapers illustrated multiple frames under three categories of Innocent girl, Activist and

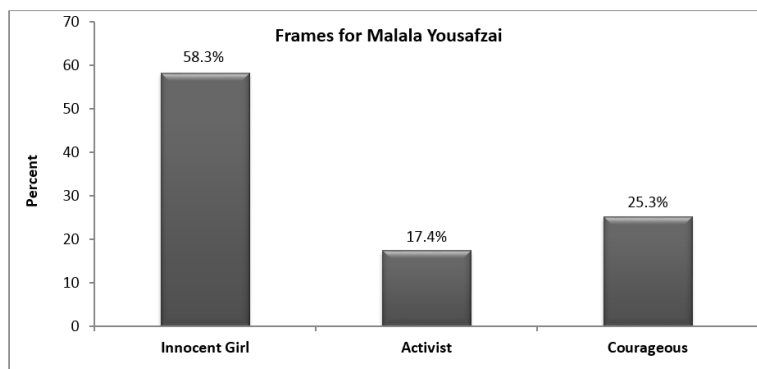


Figure 1. The overall frames for Malala Yousafzai in The News, Dawn, Daily Times and The Nation (Oct.10, 2012 to Nov. 10, 2012)

Asif Ali Zardari called Malala Yousafzai “Daughter of Pakistan” who stood tall as a symbol of girls’ education and a symbol of defiance against those who wish to enforce their rigid agenda behind the facade of religion.

Despite the positive framing, some conspiracy theories also abounded since Malala was attacked, with the rumors that this girl who spoke against the Taliban is an American agent and is being used by the US to suit its own purposes. Some voices, even in the parliament, tried to link this incident to the American role in Pakistan or implied that it was Malala’s own fault. Jamiat-e-Ulema-i-Islam (JUI) leader, Maulana Fazlur Rehman, painted this incident as a deception to get support for an army operation in North Waziristan (NW). He clearly claimed that such a military operation in NW would not be allowed under any circumstances. The PML-N in the shape of Leader of the Opposition in the National Assembly, Chaudhry Nisar Ali Khan, clearly denied the notion to support any resolution move by the government and its allies regarding

endorsing a military operation in NW. While arguing, PML-N questioned that if the fugitives had come from Afghanistan, there was no logic in sending troops into the North Waziristan area. However, the American Special Envoy for Pakistan and Afghanistan Marc Grossman flatly stated that America is in no way pushing Pakistan to take any decision on North Waziristan. He reiterated that the topic of NW was not even under discussion between US and Pakistan.

Figure 2 shows that for Taliban, the Pakistani English newspapers also illustrated multiple frames under three categories of Terrorists, Anti-development and Fanatics in their editorials. The findings revealed that the Taliban were portrayed Fanatics (48.2%) more than terrorists (38.5%) and anti-development (14.3%). The findings showed that the selected newspapers presented and framed Taliban negatively. According to Entman’s concept of framing, the perceived social reality of the Taliban being hardliners towards girl’s right to be educated, was very much highlighted and discussed in the editorials. There were

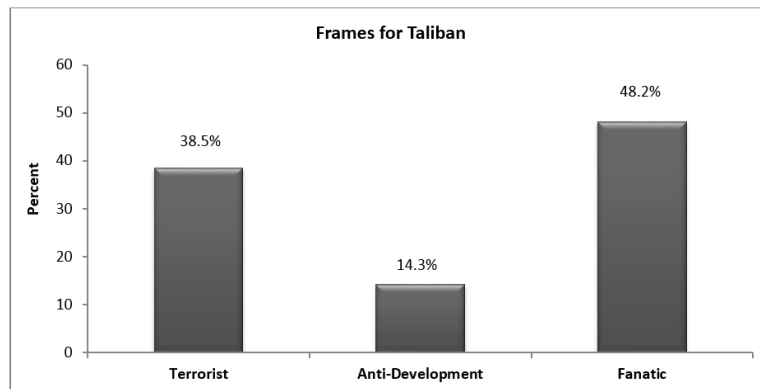


Figure 2. The overall frames for the Taliban in The News, Dawn, Daily Times and The Nation (Oct. 10, 2012 to Nov. 10, 2012)

different viewpoints and interpretations about the religious ideology of the Taliban in Pakistan and they used to be discussed in the media. Now, however, the people in Pakistan feel that they are a group of people who call themselves Muslims and want to impose the Shariah law in the country; in reality, they defy all the laws of humanity and religion. They do not favour girls' right to be educated as well. *The Nation* was found more critical than other newspapers pertaining to the brutality of the Taliban. It used negative frames for the Taliban's anti-social activities as it had to maintain its posture being politically active and radicalised media in the system.

Daily Times had somehow contradictory stance from *The Nation* that was not in different direction from that followed by *The News*. The perceived status and positions of the newspapers, however, played an active role in helping them to maintain their stance in the issue. The selected frames of both the newspapers were not very different from each other but the overall construction and context of course was at extreme poles. Although *The News* and *Dawn* are said to be very open and critical about the Taliban and their mindset, in the case of Malala Yousafzai, both the newspaper's editorial policy was found indisposed to criticise and condemn.

While analysing the editorial contents of all the selected national dailies, it can be calculated that *The News*, *Daily Times*, *Dawn* and *The Nation* presented the Taliban negatively and in different contexts. *The News* and *The Nation* appreciated the stand

of a key political leaders of country who condemned the Taliban's anti-development activities against girl's schools and branding them as un-Islamic. *Dawn* considers them as a threat, particularly to the safety of the people in the Swat valley and people of other areas of Pakistan in general. *Daily Times* considers Taliban as a threat to the social and political system and not a danger having potential of crossing Pakistan's borders. All the selected newspapers raised apprehensions that the troops deployed in the Swat valley since 2007 have been unable to close the banned communication channels like radio station used very efficiently by the local militant leaders like Maulana Fazalullah to spread his twisted ideology of the religion in the region.

On the other hand, TTP released a statement by using Shariah to support and defend their attack on Malala. They claimed that although Islam does not permit attacks on women, whoever initiates campaign against Shariah and Islam is ordered to be killed by Shariah. It is a very clear command of Shariah that any female playing a role in "war against mujahedeen" should be killed. We are against co-education education system and Shariah orders us to be against it. The Taliban further justified with a threat that if anyone thinks that Malala is targeted due to her education, that is completely incorrect and is a propaganda by the media. She is attacked because of her pioneer role in preaching secularism and so-called enlightened moderation. And, whoever will commit so in the future too will be targeted again by the TTP (Ron, 2012).

CONCLUSION

This article has presented a comparative analysis of 29 editorials regarding the attack on Malala Yousafzai by the Taliban which appeared in four leading Pakistani English newspapers; *The News*, *Dawn*, *Daily Times* and *The Nation*. The purpose for this study was to investigate the portrayal of Malala Yousafzai after her attempt of assassination by the Taliban in Swat. The study also examined how the Taliban were presented in the selected newspapers after the incident. The findings revealed that after her attempt of assassination, Malala Yousafzai was framed and presented more as an innocent girl who opposed the Taliban and their mindset against the girl's education in the Swat valley. She was called the "daughter of Pakistan" by President Asif Ali Zardari and due to her bravery, November 10, 2012 was celebrated as the Malala Day throughout the world. Some negative framing was also observed as she was called an American agent, who was being used by the US to suit its own interests in Pakistan. The findings also illustrated that the attack on Malala Yousafzai made the Taliban unpopular in Pakistan. They were presented as a group of people who are against progress, development and modernisation in the region and disobey all the laws of humanity and religion. They were portrayed as fanatics more than terrorists and anti-development. The killing of innocent people in series of suicide bombing across the country and bombing of girl's schools in the Swat valley by Taliban have created a change of mind among the people who believe that

such brutality has nothing to do with the religion of Islam but the acts of terrorism by certain fanatics using the name of Islam. This incident not only presented the Taliban negatively but also earned a bad name for Pakistan as well.

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Online Shopping Preference and M-Payment Acceptance: A Case Study among Klang Valley Online Shoppers

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ABSTRACT

The main purpose of this paper is to determine mobile device ownership and online shopping preferences among shoppers in the Klang Valley, Selangor, Malaysia. Additionally, it seeks to investigate the awareness and acceptance of Near Field Communication (NFC) Technology as a preferred payment platform or method among online shoppers. This quantitative research is carried out via survey questionnaire on a sample size of 200 respondents who have shopped online with majority residing in the Klang Valley. The findings indicate online shoppers still prefer to conduct their online shopping transactions using a desktop Personal Computer. Respondents, regardless of race and academic qualifications, use the English language medium when shopping online and majority prefer to shop at an individual e-commerce website rather than a single website comprising many e-commerce websites such as deals.bigsale.com.my. Awareness on NFC technology for payment solutions is still at the infancy stage among many online shoppers in Malaysia with a low acceptance level mainly due to security concerns. This finding has implications on the communications strategies of mobile network operators, banks, Android and Apple-device manufacturers, online retailers and other key players in the telecommunications and technology industry. The latter need to play an active role in educating the public about NFC-enabled payment devices and convincing online shoppers on the security features of such mobile payment devices. In other words, more than just touting the benefits of NFC and explaining the

technology, the communications strategy of all relevant players must focus on persuading and convincing their target audience on the security features for diffusion and adoption of the technology online shoppers in Malaysia.

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INTRODUCTION

Many businesses offer online shopping experience in addition to their brick and mortar outlets in response to consumers' increasing demand for convenience and time-saving practicalities in today's digital world. Indeed, statistics show exponential growth for online businesses. Globally, internet retail sales increased from about USD\$105 billion in 2004 to approximately USD\$248 billion in 2009 (Euromonitor, 2010).

Two main factors for the rapid growth in e-commerce in Malaysia are cheaper and faster Internet access and technological advances in payment systems. The number of Internet users in Malaysia has increased from 2 million in March 2002 (Nua, 2003) to approximately 16 million in 2010 (World Bank Report 2012). The implementation of wireless application protocol (WAP) services has enabled many Malaysians to directly access the Internet via their mobile phones prompting the Prime Minister, Najib Razak to name them the 'upwardly mobile'. It was reported that expenditures on smart phones and tablets rose from \$32.7 million in 2010 to \$151.2 million in 2011 in Malaysia (The Star Online, October 25, 2011).

Closer to home, Malaysia's payment provider has revealed that m-commerce spending in Malaysia has increased 370% from RM101 million (US\$31.7 million) to RM467 million (US\$146.6 million)

compared with e-commerce which only grew 9%, from RM1.8 billion in 2010 to RM1.97 billion in 2011. "If you're a merchant and do not have an online presence [specifically a mobile-optimised website], you're losing out because mobile is the new device connection between the buyer and seller," says Elias Ghanem, managing director of PayPal Southeast Asia and India. (Yapp, 2012)

At the same time, payment systems have evolved over the years from traditional payment through cash and cheque payment to online payment via credit and debit cards to M-payment through mobile devices including wireless handsets, personal digital assistants, radio frequency devices, laptops and more recently, Near Field Communication-based devices (Dewan & Chen, 2005). Near Field Communication (NFC) is a short range, high frequency, low bandwidth and wireless communication technology between two NFC-enabled devices. Currently, most mobile phone manufacturers have integrated NFC technology into their mobile phone product, thus making them into potential payment platforms.

However, are Malaysians aware of this new mode of payment system and if they are, are they ready to adopt such a payment system?

There is a dearth of academic research on the preferences of online shoppers and their awareness and acceptance of Near Field Communication (NFC) technology as a payment platform; yet, this is a major issue as swift changes are being made in the

online business landscape. The present study fills this gap and provides valuable insight to policy makers, telecommunications service providers, financial institutions and retailers on online consumer preferences and perceptions as end-users - these are the important factors for m-commerce to succeed.

In the current study, researchers first aim to determine mobile device ownership among online shoppers. Second, researchers are determined to understand online shoppers' preferences when shopping online. Third, researchers aimed to investigate the awareness and acceptance of NFC Technology as a payment platform among online shoppers

LITERATURE REVIEW

According to Board, T. (2011), Ipsos OTX MediaCT had conducted a survey on behalf of PayPal in August, 2011 among the Americans aged 18 and above who own smart phones and/or tablet PCs, and who otherwise have completed or attempted a purchase via mobile device, or intend to in the future. The sample size for the survey was 1,283 respondents.

The study revealed that smart phone and tablet (dual) owners have above average spending on mobile phones namely, 63% among dual owners versus 29% smart phone owners. Owners with larger screen device tend to be more enticed by mobile shopping activity compared with those who have smaller screen devices. However, there is scarcity of academic studies of dual owners looking at their profiles and habits

since tablet usage is still in its infancy stage. (Board, 2011)

Punj (2011) found demographical characteristics such as income, education and generational age play an important role in influencing online shopping behaviour.

Corselli (2015) mentioned that media device adoption nevertheless is on the rise. However, it is interesting to note that desktop and laptop computers are still the most owned devices by online shoppers in the United States of America. There was a split in preferred device among the age group. Online shoppers aged below 40 generally prefer shopping via smart phones and those who aged between 40 and 65 opt for tablet, followed by desktop. Those aged above 65 prefer shopping online using the desktops while laptops are preferred by shoppers aged below 65. When it comes to online shopping, 61% of the respondents prefer mobile web browsers to mobile apps.

William (2014) found out that many business owners are not in favour of having their e-commerce websites translated into their native language believing that this is an investment with very little returns. Many of them prefer to use English to reach out to their clients or prospects. However, interestingly, the finding in this study reveals that approximately 70% of all Internet users do not speak English as their first language; for instance, the Internet users hail from non-English speaking countries such as France, Germany, Japan, Korea and China. It was found that almost 75% of Internet users prefer to purchase a product or service if the information pertaining to the latter

is presented in their native language. It is evidently critical to translate a website into foreign languages since it can significantly increase revenue in foreign markets. It can also help to minimise language barriers in international transactions. Hence, there is a need for translation and localisation among online shoppers.

According to Gordon (2007), Yahoo! and OMD discovered nearly three-quarters of the people surveyed use trusted, familiar websites when purchasing online.

Based on the recent MasterCard Online Shopping Survey carried out by Digital News Asia (2013), the present questionnaire survey aims to measure consumers' propensity to shop online. Findings revealed that the online shoppers in Asia Pacific region have shifted from the desktop to smart phone generally. The chart below sums up the survey. Indonesians top the

region with 54.5% of the total respondents using their smart phones to shop in the last three months followed by China at 54.1% and Thailand with 51%.

However, only 25% of the respondents had the lowest awareness on Near Field Communication technology although many of them shop heavily using mobile devices. Interestingly, 70.3% of the respondents who are aware or slightly familiar with NFC technology would likely try and adopt it in the first year of its introduction. Respondents across Asia Pacific prefer buying their products locally instead of a foreign website due to security issues. They were afraid of scams. (Digital News Asia, 2013).

According to Omniseure (2014) in Timetric report, e-commerce and m-payments act as a catalyst for the Malaysian cards and payment industry.

Propensity for Online Shopping			
Country	2011-2012 Trend	2012	2011
China	↑	102	98
New Zealand	↔	87	86
Australia	↔	85	85
Singapore	↑	84	75
Thailand	↓	80	88
Japan	↔	80	81
Taiwan	↔	80	80
South Korea	↓	82	92
Hong Kong	↑	79	70
India	↓	78	81
Indonesia	↔	78	76
Vietnam	↔	73	74
Malaysia	↓	71	79
Philippines	↑	71	64

Figure 1. MasterCard Online Shopping Survey (Source: Digital News Asia, 2013)

To-date, the average Malaysian owned 1.6 mobile phones in 2014 and is expected to rise to 1.8 by 2018. Hence, m-commerce has great potential to be developed due to the proliferation of mobile devices and rising consumer demand for convenient payments. Although the term M-payment is still very new to many Malaysians, yet it is nevertheless expanding rapidly. The overall m-payment value in Malaysia is forecasted to increase from RM1.8 billion (US\$572.8 million) in 2013 to rm7.1 billion (US\$2.3 billion) by 2018.

Given that this study focuses on online shoppers' preferences and its m-payment acceptance, it is most appropriate to consider the "Diffusion of Innovation" theory. This study seeks to investigate adoption of technology in M-Payment using Near Filed Communication (NFC) among online shoppers. The theory is particularly relevant because a number of studies have focused on the acceptance, adoption and usage behaviour of consumers (e.g. Rogers, 2003; Fishbein & Ajzen, 2010).

Rogers (2003) defines diffusion as "the process in which an innovation is communicated through certain channels over time among the members of a social system". The constituent elements of adopting an innovation in this theory are innovation, communication, a social system, and time. Rogers also illustrates five stages of innovation adoption and categorises the adopters into five groups: innovators, early adopters, early majority, late majority, and laggards. He posits that attitude is a crucial factor for acceptance of any innovation.

Numerous researchers have since used Roger's theory to investigate perceptions and decision making in various areas of innovation adoption.

Guided by the explanations in the above theory, this study applies the Enhanced Adoption Process Model, as discussed in Schiffman & Kanuk (2007), to investigate whether the adoption factors and diffusion of m-commerce in Malaysia are dependent on the current experience of online shoppers in terms of their familiarity with the type of devices they use, languages, websites and their online shopping frequency and habitual practices. (Refer to Figure 2 and Figure 3)

The theory would also be used to study online shoppers' acceptance of Near Field Communication as a new technology for online shopping through an understanding of the existing key adoption determinants of online shoppers.

THEORETICAL FRAMEWORK

In Figure 3, in addition to studying the online shopping preferences among online shoppers in Klang Valley, particularly on the types of devices they use, the websites they browse and the language they prefer to use when shopping online ; this research also aims to investigate the level of awareness and acceptance among online shoppers, particularly in Klang Valley on m-commerce and their behavioural intent for the acceptance and use of Near Field Communication (NFC) payment initiatives in m-commerce.

RESEARCH FRAMEWORK

The following hypotheses have been developed based on past studies of Board, T. (2011), Corselli, A. (2015), William, S. (2014), Gordon, K.T. (2007), Digital News Asia (2013) and Omniseure (2014). These are the hypotheses outlined in this study.

H1. There is a correlation between the choice of devices used by online shoppers and the reasons given.

H2. Language usage plays a significant role among online shoppers.

H3. Website familiarity is important in online shopping

H4. There is a correlation between the age group and online shopping preferences

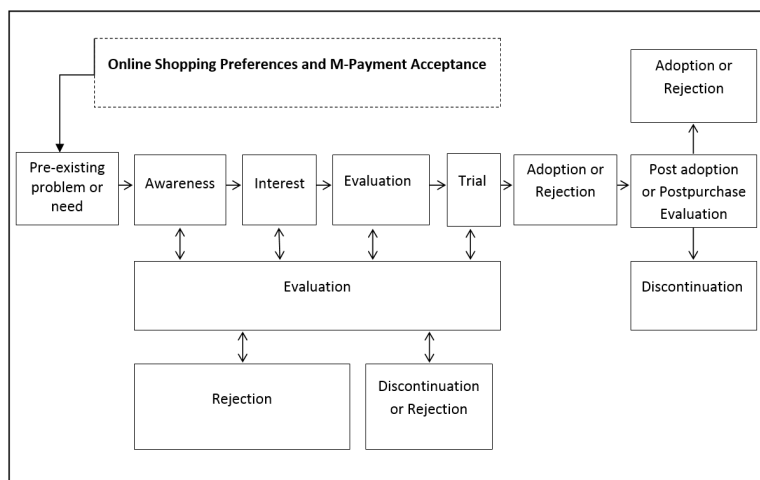


Figure 2. An Enhanced Adoption Process Model

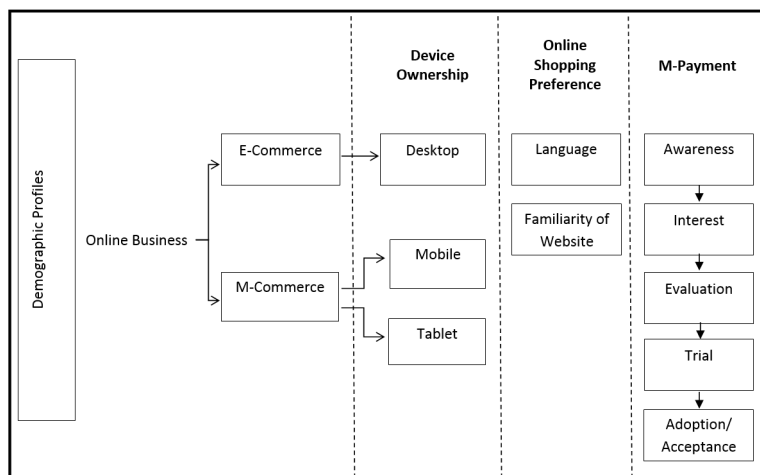


Figure 3. Online Shopping Preferences and M-Payment Acceptance

- H5. There is a correlation between races towards unfamiliar websites
- H6. Education level reacts differently towards online shopping
- H7. There is a correlation between the awareness and acceptance of NFC
- H8. There is a correlation between the education level and the trust upon NFC.

RESEARCH METHODOLOGY

Sampling method

This research is based on a quantitative study. A total of 200 sets of questionnaires have been distributed to the respondents aged 21 and above based on convenience sampling. The criteria for selecting respondents have been outlined. They must be working and have had some online shopping experience in order to participate in this survey. Most of the respondents reside in Klang Valley.

Some questionnaires were distributed to the working people in Klang Valley with the permission from their employers while for the rest, the researchers met up with them after office hours to participate in this short survey. Incomplete questionnaires were eliminated from this survey and replaced with new respondents until 200 sample size of the study is achieved.

Questionnaire Design

Although this is not a replication study, each section of the questionnaire has been designed based on some references of the past studies. All questions were asked in a closed-ended format. The questionnaire has been segmented into three main sections in order to achieve its research objectives.

Section A focused on “Respondent’s Profile” which contained questions related to demographical profiles such as gender, age, marital status, income among others. Respondents were also asked whether he or she owns a smart phone and/or tablet. According to Board (2011) and Corselli (2015), media device ownership affects the preference of online shopping, especially among age group. Punj (2011) also mentioned that demographical characteristics played an essential role in enhancing the effects of online shopping behaviour.

Section B asked questions on respondents’ preferences towards online shopping. In this section, respondents were also asked if language and familiarity of the website play an important role in online shopping. This corresponds to the study done by William (2014) and Gordon (2007) where their findings supported the importance of both language and website familiarity in online shopping.

In the last section, questions were asked to investigate the awareness and acceptance of Near Field Communication (NFC) Technology as a payment platform among online shoppers. Researchers refer to the studies carried out by Digital News Asia (2013) and Omniseure (2014) when preparing questions for this section.

Upon completing the data collection, data was analysed using *Statistical Package for Social Sciences* (SPSS) version 20.0. The findings were based on Cross Tabulation analysis, Chi-Square correlation test and also ANOVA test.

Reliability test

Reliability of data obtained was tested using Cronbach's Alpha which gives a reading of 0.905. This indicates that data has an excellent internal consistency overall.

FINDINGS AND ANALYSIS

From the demographical profiles, 200 respondents were selected to answer survey questionnaires where 119 of them are female and 93% of the respondents were aged between 21-40 years old. The researchers interviewed 63.5% Chinese, 24% Malays and 6.5% Indians. It is noted that 82.5% of the total respondents have obtained at least an Advance Diploma/Bachelor degree while 84% of them are currently working for others and 63.5% of them earn a salary between RM2000-5000 per month.

Based on the Enhanced Adoption Process Model discussed in Figure 2, majority of online shoppers have adopted the new technology based on their positive experience surfing online. They will continue to evaluate the process from awareness to the trial stage and during these stages; the users can either reject/discontinue or adopt the technology, products or services. Hence, a successful online shopping experience is heavily influenced by a few determining factors such as internet users' media preference and familiarity with the type of devices they use.

Ownership of a Smart phone or Tablet

It is interesting to note that there is a significance correlation between the number of smart phones and the number of tablets

owned by the respondents [$\chi^2(6, N = 200) = 20.221, p < 0.05$]. Table 1 shows that those who do not own a smart phone, usually possess a tablet. However, for those who have at least one smart phone, they would most unlikely have a tablet; especially for those who possess 3 smart phones.

According to Board, T. (2011), dual owners have indicated a higher spending on the average due to their mobile purchasing activities. From the finding above, we see that there is still room for m-commerce to grow here, especially on encouraging the "dual ownership" of media devices for online shoppers in Klang Valley. Majority of the respondents in this study prefer having either a smart phone or a tablet.

Device Preference When Shopping Online

Even though all the respondents owned at least a smart phone or a tablet, it is interesting to note from Table 2 that 145 or 72.5% of the respondents prefer to shop online using desktop.

Interestingly, as mentioned in hypothesis 1 earlier, there is indeed significant correlation between devices used by online shoppers and reasons given [$\chi^2(4, N = 200) = 147.041, p < 0.05$].

Respondents generally feel more secure shopping using their desktop Personal Computer (PC) / laptop whereby they are able to print out their purchase vouchers when shopping. Besides feeling secure, according to Corselli, A. (2015), shopping online using desktop/laptop over mobile devices could also be due to the preference

for the web browser instead of mobile apps. Although 93% of respondents are aged between 21 and 40, yet we find respondents in this study still prefer desktop/laptop over mobile devices.

Those who shopped online find it more convenient using their smart phone or tablet since they are able to print screen all their purchases.

Does Language of the Website Matter When Shopping Online?

English is the preferred language by respondents when shopping online, regardless of race and academic qualification.

It is interesting to note that there is a significant correlation between race and language used in the shopping websites [$\chi^2(3, N = 200) = 11.775, p < 0.05$]. It can be clearly seen from Table 3 that majority of the Malay and Indian shoppers will still shop online although it is not their preferred language. However, majority of the Chinese respondents said they will only shop if the website uses their preferred language. The reasons cited by the respondents for not shopping online if it is not their preferred language is that they ‘feel uncomfortable’ (47.7%); followed by ‘cannot understand well’ (31.8%) and ‘insecure feeling’ (16.8%).

Table 1
Ownership of Smart phone or Tablet

		No. of Tab			Total	
		0	1	2		
No. of Smart phones	0	Count	0	7	0	7
		% with No. of Tab	0.0%	10.3%	0.0%	3.5%
	1	Count	99	53	2	154
		% with No. of Tab	77.3%	77.9%	50.0%	77.0%
	2	Count	25	8	2	35
		% with No. of Tab	19.5%	11.8%	50.0%	17.5%
	3	Count	4	0	0	4
		% with No. of Tab	3.1%	0.0%	0.0%	2.0%
	Total	Count	128	68	4	200
		% with No. of Tab	100.0%	100.0%	100.0%	100.0%

Table 2
Device Preference When Shopping Online

		Why do you have such preference?			Total
		Secure: Able to print vouchers	Convenient: able to print screen	others	
Prefer to shop via which device?	Desktop Personal Computer (PC) / laptop	128	7	10	145
	Smart phones	1	29	1	31
	Tablet	1	19	4	24
Total		130	55	15	200

According to William, S. (2014), translating the web's e-commerce content back to native language will encourage business owners to secure better revenue. At the same time, looking into the language needs will also allow shoppers to feel secure, thus, granting them a better online shopping experience. Translation and localisation are indeed essential if business owners plan to penetrate the foreign markets who know only their native language.

Online Shopping Preference in terms of Websites

Majority or 80% of online shoppers in this study revealed they prefer to shop at individual e-commerce website (for example, Groupon, Ensogo (formerly known as Living Social), Mydeal, Myimart, etc) rather than a single website comprising many e-commerce websites (for example, deals.bigsales.com.my)

Table 4 shows that shoppers would only shop in the websites that they are familiar with. However, it is interesting to know if

there is a significant correlation between races and whether they would usually shop at the websites they are familiar with [$\chi^2(3, N = 200) = 17.380, p < 0.05$]. Compared with other races, more than half of the Malay online shoppers will not only shop at the websites they are familiar with, they will also shop at unfamiliar websites as long as the deal is attractive.

From this finding, we see that security remains a top concern. Majority of the respondents in this study prefer shopping at the websites which they trust and are familiar with and this outweighs the deal packages offered.

Online Shopping Preference (Convenience)

Figure 4 shows a significance difference between different age groups of the respondents on the convenience factor. Majority of respondents from the 41- 50 year-old age group indicate convenience as an important in their decision to shop online (4.5000). This is followed by respondents

Table 3
Does Language of the Website Matter When Shopping Online?

		Will you shop online if it does not use the language you prefer?		Total	
		Yes	No		
Race	Malay	Count	31	17	48
		% with Race	64.6%	35.4%	100.0%
	Chinese	Count	51	76	127
		% with Race	40.2%	59.8%	100.0%
	Indian	Count	8	5	13
		% with Race	61.5%	38.5%	100.0%
Others	Count	3	9	12	
	% with Race	25.0%	75.0%	100.0%	
Total	Count	93	107	200	
	% with Race	46.5%	53.5%	100.0%	

from the 31-40 year-old age group (4.3478), followed by 51-60 year-old age group (4.2500) and lastly the 21-30 year-old age group (3.9829).

Online Shopping Preference (Unfamiliar websites)

The ANOVA in Table 5 shows that race has a varying impact on respondents’ decision to use unknown resellers or having little knowledge of retailers’ background; that might discourage them to shop online.

Figure 5 shows that when it comes to unknown resellers or retailers’ background,

more Chinese respondents compared with Malay and Indian respondents are hesitant to shop online. The average rating for Chinese respondents on this is 4.1181 but for Malay and Indian respondents is only 3.6458 and 3.6154 respectively.

Shoppers Preference vs. Academic Qualification

The ANOVA in Table 6 shows academic qualification has varying impact on the effect of better deals/discount offered for online purchases. Figure 6 shows that majority of the respondents who possess Postgraduate

Table 4
Types of Websites Preferred

		Race				Total	
		Malay	Chinese	Indian	Others		
Only shop at website that you are familiar with.	Yes	Count	23	100	10	10	143
		% with Race	47.9%	78.7%	76.9%	83.3%	71.5%
	No	Count	25	27	3	2	57
		% with Race	52.1%	21.3%	23.1%	16.7%	28.5%
Total	Count	48	127	13	12	200	
	% with Race	100.0%	100.0%	100.0%	100.0%	100.0%	

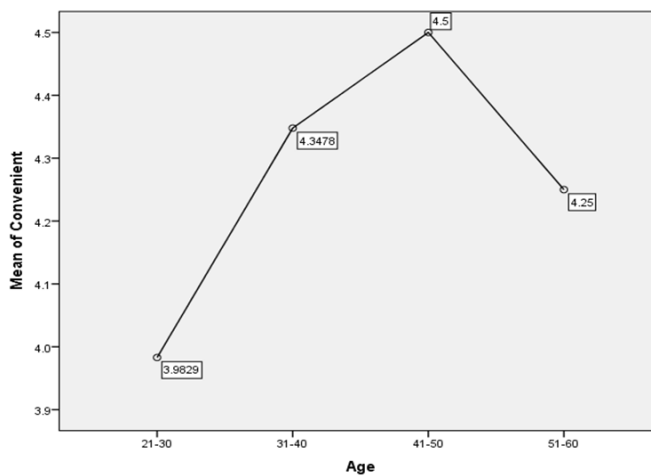


Figure 4. Mean of Convenient According to Age Group

degree agree that better deals/discounts offered for online purchases encourage them to shop online (4.1833). It is then followed by those who possess Advance Diploma/Bachelor Degree (4.1714), SPM/Diploma (4.0000) and STPM/A-Level/Pre-U (3.3333).

Awareness and Perceptions on Near Field Communications (NFC)

Only 16% of the respondents have heard of Near Field Communications (NFC). This could be attributed to the unwillingness of respondents to try out the new payment technology. It is interesting to find out that

only 1% of the total respondents have made their payment using NFC. The respondents can be categorised as laggard users in term of adopting new payment alternatives. This fits the Enhanced Diffusion of Innovation theory which explains that majority of people are reluctant to adopt new technology and will only do so after the innovators and early adopters have forged the way ahead (Straubhaar et al., 2010). A total of 16% of the respondents have heard of NFC but have not made any payment via NFC. Table 7 indicates very clearly that when given a choice, the majority of the respondents would not choose to pay using

Table 5
ANOVA Table of RACE

ANOVA					
RACE	Sum of Squares	df	Mean Square	F	Sig.
Between Groups	11.779	3	3.926	4.178	.007
Within Groups	184.201	196	.940		
Total	195.980	199			

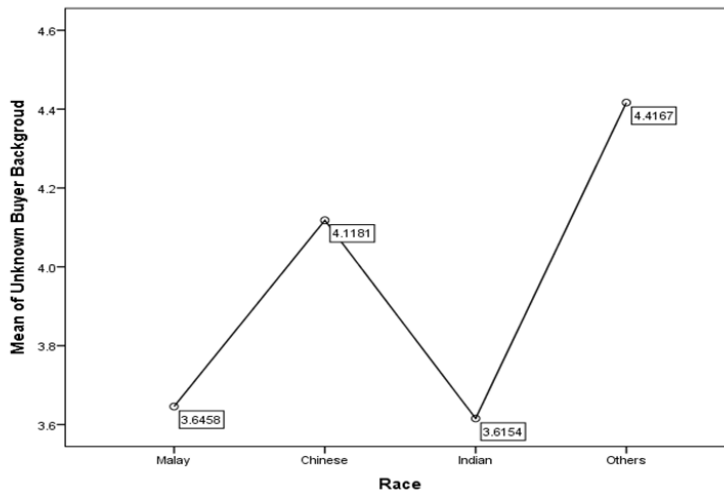


Figure 5. Mean of Unknown Buyer Back Group According to Race

NFC regardless of the gender.

Chi-Square test indicates a significance correlation between the choices of paying using NFC with it reasons [$\chi^2 (4, N = 200) = 115.039, p < 0.05$]. Convenience is the main factor which attracts people to pay using NFC. However, security issue is the main drawback for those who are reluctant to pay using NFC. The level of awareness of NFC among respondents in a survey on Mastercard usage carried out by Digital News Asia (2013) is also low, about 25%, and this is because NFC has not been introduced aggressively by the business operators and telecommunication

companies.

The ANOVA in Table 8 shows that respondents with different education levels would have different degrees of agreement on security issues when considering payment platforms using NFC. Figure 4.4 shows that majority of the respondents with Advance Diploma/Bachelor Degree agree security is an issue when considering using NFC (4.1429). This is followed by respondents with Post-Graduate Degree (4.0333), SMP/ Diploma (3.5600) and lastly STPM/A-Level/Pre-U (3.5000).

Table 6
ANOVA Table of Education Level

ANOVA					
EDUCATION LEVEL	Sum of Squares	df	Mean Square	F	Sig.
Between Groups	5.222	4	1.306	1.654	.162
Within Groups	153.898	195	.789		
Total	159.120	199			

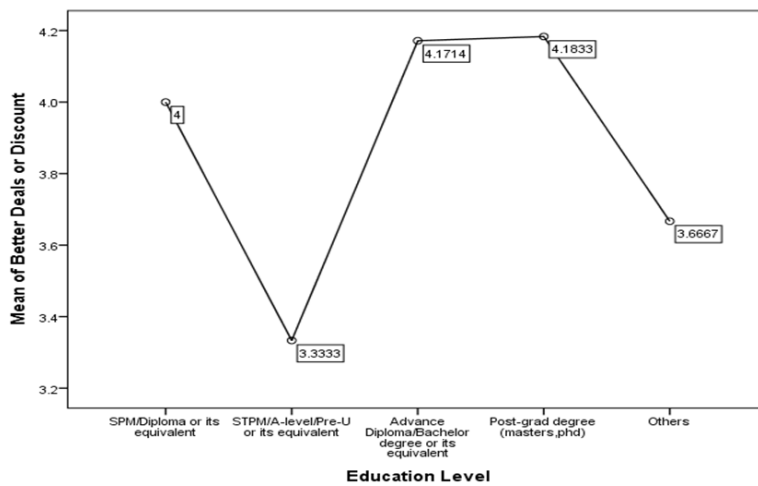


Figure 6. Mean of Better Deals or Discount According to Education Level

Table 7
Awareness and Acceptance of NFC Technology as Payment Platform

		Reasons for saying so...					Total
		Convenient	Control expenses	Insecure	Limited Infrastructure	Others	
Would you choose to pay using NFC?	Yes	Count 44	Count 11	Count 7	Count 1	Count 5	Count 68
		% of Would you choose to pay using NFC? 22.0%	% of Would you choose to pay using NFC? 5.5%	% of Would you choose to pay using NFC? 3.5%	% of Would you choose to pay using NFC? 0.5%	% of Would you choose to pay using NFC? 2.5%	% of Would you choose to pay using NFC? 34.0%
Total	No	Count 2	Count 13	Count 83	Count 21	Count 13	Count 132
		% of Would you choose to pay using NFC? 1.0%	% of Would you choose to pay using NFC? 6.5%	% of Would you choose to pay using NFC? 41.5%	% of Would you choose to pay using NFC? 10.5%	% of Would you choose to pay using NFC? 6.5%	% of Would you choose to pay using NFC? 66.0%
Total		Count 46	Count 24	Count 90	Count 22	Count 18	Count 200
		% of Would you choose to pay using NFC? 23.0%	% of Would you choose to pay using NFC? 12.0%	% of Would you choose to pay using NFC? 45.0%	% of Would you choose to pay using NFC? 11.0 %	% of Would you choose to pay using NFC? 9.0%	% of Would you choose to pay using NFC? 100.0%

Table 8
ANOVA Table of Education Level

ANOVA					
EDUCATION LEVEL	Sum of Squares	df	Mean Square	F	Sig.
Between Groups	11.550	4	2.887	2.740	.030
Within Groups	204.450	194	1.054		
Total	216.000	198			

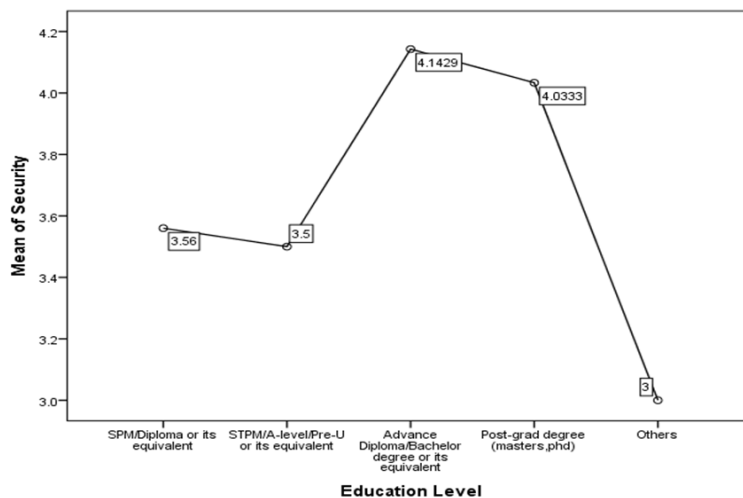


Figure 7. Mean of Security According to Education Level

CONCLUSION

The results of this study augurs well for the telecommunications industry in Malaysia as the penetration rate of smart phones and tablets among online shoppers is high with all respondents owning at least one smart phone or a tablet. Yet, majority of the respondents still prefer to conduct their online shopping transactions using desktop Personal Computers (PCs)/laptop.

Retailers would also want to take note that respondents, regardless of race and academic qualification, prefer the English language when shopping online. Majority of respondents from the age group of 41-50 year-old indicate convenience as the main factor that encourages them to shop online while 80% of the respondents prefer to shop at individual e-commerce websites (for example Groupon, Living Social, Mydeal and Myimart among others) rather than a single website comprising many e-commerce websites (such as deals.bigsales.com.my) due to familiarity with the particular websites. More specifically, Chinese respondents prefer shopping at familiar websites compared with the Malay and Indian respondents.

Based on the study's findings, awareness of Near Field Communications (NFC) technology for payment solutions is still at the infancy stage among online shoppers in Malaysia. In addition, the acceptance level of respondents is very low as they are very sceptical about security related to making payments via NFC-enabled mobile devices.

IMPLICATIONS OF THE STUDY

It is clear that the findings have implications for all players involved, from mobile network operators, banks, Android and Apple-device manufacturers and online retailers to key players in the telecommunications and technology industry. They must ensure their communications strategy focus on addressing the security concerns of online shoppers before m-commerce can take off in a big way. In other words, publicity and marketing activities would not suffice. Instead, these players would have to play an active role in educating the public on the security features available in NFC-enabled payment devices and in convincing online shoppers that it is secure to perform payment via mobile payment devices. It is only when the communications strategy of all relevant players focus on persuading and convincing their target audience on the reliability of security features, that acceptance and adoption of the NFC payment system will take place among online shoppers.

LIMITATION AND RECOMMENDATION OF THE RESEARCH

The main limitation of this study is the unavailability of sampling frame. It is difficult to obtain a full list of online shoppers in the country. If the sampling frame is available, probability sampling such as Simple Random Sampling (SRS) or Stratified Sampling could be employed to get a better representation of the online shoppers over the country.

It is interesting for the business owners to find out product preference by online shoppers. This research may be extended to investigate whether online shoppers prefer to buy local or international products in Malaysia so that the business owners can extend their market reach more efficiently.

Future research could also focus on online retailers to see if they are ready to promote and improve on the m-payment infrastructure in Malaysia since there is a great potential for m-commerce to grow here.

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Cultures of Teaching: Mapping the Teacher Professional Development Terrain

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ABSTRACT

Given the relationship between cultures of teaching and teacher professional development, this mixed methods research project documents and depicts a Thai university's teaching cultures and the extent to which cultures of teaching determine teacher professional development. An analysis of data collected demonstrates a lack of teacher collaboration within this particular workplace. The participating teachers rarely have opportunities to share and learn from colleagues. Indeed, teachers' practices of balkanisation, individualism, and contrived collegiality temper collaboration among these teachers. Further, relationship between cultures of teaching and teacher professional development in this workplace is evident. Notwithstanding a lack of collaboration, the participating teachers have abundant opportunities for professional development. Most of these opportunities are, however, administratively mediated. Despite such opportunities, these participating teachers do little to develop themselves.

Keywords: Cultures of teaching, Teacher professional development, Collaboration, Contrived collegiality, Balkanisation, Individualism

INTRODUCTION

Interplay between cultures of teaching and teacher professional development has long been extensively evidenced in literature in

the field of teacher education. Literally what scholars and researchers in the field have agreed upon is the way in which teachers' relationship with one another determines not only teachers' instructional practices but also their professional development (Hargreaves, 1995, 1994; Kirkpatrick, 2009; Leonard & Leonard, 2010; Mawhinney, 2010; Musanti & Pence, 2010; Avalos, 2011; Pawan & Ortloff, 2011; Butler & Schnellert,

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2012; Shah & Abualrob, 2012; Kuusisaari, 2014; Park & Lee, 2015; Willemse et al., 2015).

Teacher relationship could be categorised into four different types: (1) collaboration, (2) contrived collegiality; (3) balkanisation, and (4) individualism (Hargreaves, 1994). Each type has different effects on teachers' teaching practices and their professional development. For example, under collaboration, teachers spontaneously and voluntarily work together. They exchange assistance and share teaching materials and problems related to teaching. In doing so, teachers learn from one another and help each other develop. Contrived collegiality refers to schools' organised and regulated collaboration. School administrators recognise the significances of teacher collaboration and, in turn, obligate teachers to work together. As a consequence, administrators prepare special budgets, offer rewards, and arrange time and space for teachers to meet. Teacher collaboration here is ephemeral and illusive. It leads to fruitless professional development as teachers are unwilling to work together. Balkanisation represents the division among teachers. Teachers form groups in terms of their personal relationship and identification, fields of disciplines, educational background and gender, among others. This particular type of relationship often fosters and promotes greed and grievance within teachers as benefits and resources (which are, more often than not, limited) are shared only among teachers within their own groups. As teacher collaboration is limited

only within their groups, professional development is marginalised as well restricted. Individualism refers to isolation and insulation among teachers. In most cases, teachers individualise to give themselves a sense of privacy. However, some teachers occasionally practise individualism to shield themselves from criticisms from other colleagues. Overall, individualism shuns teachers from working with other teachers and, in turn, reduces their opportunities to develop themselves.

A relationship between cultures of teaching and teacher professional development is timely and worth documenting, particularly in Thailand, in which such a relationship is underexplored (Hongboontri & Chaokongjakra, 2011; Hongboontri & Keawkhong, 2014). Equipped with Hargreaves' (1994) four patterns of teacher relationship, the researchers of the present study ventured into one faculty in one Thai university (*the Faculty of Liberal Arts, Mystique University* [a pseudonym]) to examine the patterns of relationship among foreign language (FL) teachers and the extent to which this relationship determined teacher professional development in such a context. Two research questions helped frame the study. (1) What types of cultures of teaching are practised among FL teachers at *the Faculty of Liberal Arts, Mystique University*? (2) To what extent do cultures of teaching determine these teachers' opportunities for teacher professional development?

METHODOLOGY

Data collection and analysis of this research project were framed under the theoretical notions of a mixed-methods paradigm (Johnson & Onwuegbuzie, 2004; Desimore, 2009; Tashakkori & Teddlie, 2010) and triangulation (Mathison, 1988; Merriam, 1988; Metz, 2000). Hence, the present researchers employed three quantitative and qualitative data collection tools (a questionnaire, interviews, and written documents) to gather data. This data set, once analysed, could, at its best, capture the complex and multifaceted aspects of the existence of cultures of teaching as well as the relationship between cultures of teaching and teacher professional development at the research site.

Participants

All foreign language (FL) teachers in *Mystique University* (a pseudonym) were invited to participate in the study. Altogether, 27 teachers volunteered to complete and return a questionnaire. Of these, 23 consented to interviews. (See Table I for further details.)

Table 1
Participants at the Faculty of Liberal Arts, Mystique University

Name*	Study Degree	Major
Benny	MA	Linguistics
Cindy	MA	Language and Communication
Christine	PhD	Linguistics
Katherine	MA	TEFL
Karen	PhD	Curriculum Development

Lauren	MA	English
Pam	MA	TEFL
Peter	MA	TEFL
Rachel	MA	Translation
Sabrina	MA	Chinese
Samantha	MA	Language and Communication
Sandy	MA	Applied Linguistics
Santana	MA	TEFL
Smith	MA	English
Tess	MA	Applied Linguistics
Timothy	MA	TEFL
Tracy	MA	Education
Uma	MA	Japanese
Vicky	MA	Japanese
Wade	PhD	Instructional Design
Wanda	MA	Applied Linguistics
Wayne	MA	TEFL
Yvette	MA	Education

Note: All names were pseudonyms.

A Questionnaire

The researchers used the five-Likert scale questionnaire adapted from Hongboontri (2003, 2005, 2008), Kleinsasser (1993), and Rosenholtz (1991) to measure the teacher participants’ perceptions toward the cultures of teaching within their workplace and the availability of teacher professional development in such the workplace. The five-Likert scale measures the degree of agreement or disagreement ranging from: 5 = “strongly agree,” 4 = “agree,” 3 = “sometimes agree/sometimes disagree,” 2 = “disagree,” and 1 = “strongly disagree.” The questionnaire had 33 items and 21 items in particular were used to measure

the teacher participants' perceptions of collaboration within their workplace (2, 5, 7, 8, 9, 10, 11, 13, 19, 22, 23, 24, 25, 26, 27, 28, 29, 30, 31, 32, and 33) and 12 items were employed to quantify the participants' learning opportunities (1, 3, 4, 6, 12, 14, 15, 16, 17, 18, 20, and 21). Before its actual use, the questionnaire was piloted on 10 university EFL teachers (who taught English as a foreign language). The completed and returned questionnaires were tallied and calculated with SPSS to measure the questionnaire's alpha coefficient. The questionnaire had alpha coefficient of 0.911. What this meant was the questionnaire had a high level of reliability and hence, could be used to measure the research participants' perceptions of their cultures of teaching and their behavioural practices within their workplace (Bryman & Cramer, 1990).

Interviews

Semi-structured interviews were conducted to promote an exchange of information between the researchers and the participants (Bernard & Ryan, 2010). Such an exchange would offer the researchers better insights into the participants' beliefs (Merriam, 2009, 1988) and actions (Fontana & Frey, 2008). To conduct interviews, the researchers followed the notions of ethnographic interview (Spradley, 1979) and developed a list of open-ended questions. Of total, 22 questions were used for the interviews. These questions included, for example, how would you describe your relationship with teachers in the Department? How often do you work with teachers from the same

Department? Other Departments? What do you do together? How do you develop your language teaching skills? If you want to improve your teaching, how do you think the *Faculty* could help? With permission from the research participants, all interviews were audio-recorded for further transcription and analyses.

Written Documents

Written documents, as Punch (2005) argued, provide rich data that could under certain circumstances be difficult to obtain using other research instruments. In essence, they help create contexts as well as establish a solid ground to support a researcher's inquiry of a certain issue (Atkinson & Coffey, 1997; Marshall & Rossman, 1999; Hodder, 2000). Mindful of this, the present researchers collected various pieces of written documents throughout the process of data collection. The written documents collected included, for example, university policies, course syllabi, and language teaching materials, among many others.

Ethical Concerns

Mindful of research ethical requirements, the researchers adapted several precautions to protect the identity and well-being of the research participants. First, the researchers applied for institutional review board (IRB) approval. After approval, the researchers sent a letter to debrief the research project to the *Faculty of Liberal Arts, Mystique University* asking for permission to conduct the research. When permission was granted, letters along with informed consent forms

were sent to all FL teachers in the *Faculty of Liberal Arts, Mystique University*. Not only did these letters contain brief information of the project and inform the teachers of the project's requirements (Bogdan & Biklen, 2003), they also ensured the teachers of confidentiality and privacy and of their right to withdraw from the project at any time (Christians, 2011; Kamberelis & Dimitriadis, 2011).

Data Analysis

Responses of the completed and returned questionnaires were tallied, tabulated, and entered into SPSS for calculation. Interview data were transcribed and analysed with Strauss and Corbin's (1990) open and axial coding techniques. Additionally, data from all three different sources were woven in terms of their similarities, differences, and inconsistencies to better depict the cultures of teaching at the *Faculty of Liberal Arts, Mystique University* and the relationship between such cultures and teacher professional development.

FINDINGS

Results obtained from the calculation of the completed and returned questionnaires demonstrated little (or almost no) collaboration among the research participants at the *Faculty of Liberal Arts, Mystique University*. Overall, statistical data showed the participants' rare collaboration with other teachers in their workplace and little support from both the administrators and colleagues in improving teaching.

For example, the majority of the teacher participants admitted that not only did they rarely receive informal evaluation of their teaching performance from their colleagues ($\bar{x} = 1.8077$) but they also had little chance of observing the teaching of other good teachers ($\bar{x} = 1.3846$) and foreign language teachers ($\bar{x} = 2.3462$). Though the Dean of the *Faculty*, as these teacher participants commonly agreed, did little encouraged the teachers to discuss instructional skills ($\bar{x} = 1.4231$), responses from these teachers indicated that they every now and then they discussed ideas obtained from attending in-service trainings organised by the Faculty ($\bar{x} = 3.0385$). They also shared instructional problems with other teachers in the *Faculty* ($\bar{x} = 3.000$) and helped one another solve the problems ($\bar{x} = 2.8846$). However, they admitted that the teachers in their *Faculty* seldom worked together to develop appropriate teaching methods and techniques ($\bar{x} = 1.6784$). These participants agreed that their context (both the Faculty and the University had offered them adequate opportunities to improve their instructional skills ($\bar{x} = 2.6154$ and 2.5000 respectively). (See Table 2 for further details.) Statistical data indicated the researchers should look further into the qualitative data to better depict the cultures of teaching practised by research participants. What also emerged from the qualitative data set included the participants' opportunities for professional development available within their workplace and the relationship between the cultures of teaching and teacher professional development.

Cultures of Teaching at Mystique University's Faculty of Liberal Arts

Ubiquitously practised by the research participants were three of Hargreaves' (1994) four types of cultures of teaching: (1) balkanisation, (2) individualism, and (3) contrived collegiality.

Balkanisation

The majority of the research participants admitted to the division among the teachers within their workplace into several sub-groups. Such division was mainly generated by the differences in their subject disciplines and their personal relationships.

The two teachers of the Japanese language (*Vicky* and *Uma*) with another Japanese language teacher formed their own group. Within their group, they developed a curriculum, made decisions regarding their teaching, exchanged teaching tips and shared each other's workload. In her own words, *Vicky* explained;

We are developing a programme together; we choose course books together. We make a decision by looking at contents and price. These books are good for the beginner level students. We are like sisters. We help one another. For example, if the other teachers are teaching, the one who doesn't have class will get lunch for the other two. We also swap class schedules. I usually would take the afternoon session as Uma needs to leave early to pick up her kids from schools.

Uma's responses to the interview questions stressed the collaboration among these three Japanese language teachers. She explained how the other two teachers helped her improve her teaching.

My class is boring. Students walk in and out of my classroom because of my teaching. I want to improve myself. I ask my colleagues about how they teach. I then try their methods. If it works, I keep it. If it doesn't work, I don't use it. I often ask to borrow their flashcards or pictures and use them in my class.

Similarly, they both admitted that they had little (or almost no) collaboration with other teachers in the workplace. Their daily interactions with other teachers were minimal and limited to "formal greetings like 'Hi, how are you?,'" said *Vicky*.

This type of culture was also evident among a group of Chinese language teachers. However, unlike the Japanese language teachers, these Chinese language teachers cooperated under certain circumstances. Together, they organised special events related to Chinese cultures, shared problems, and assisted each other and exchanged information. One Chinese language teacher, *Sabrina*, described;

We work together at the beginning of the semester and the end of the semester to see if anybody has any problem. We work together for special events like Chinese New Year or Chinese Moon Festival.

Table 2
Teacher Collaboration and Opportunities for Professional Development: Their Means and Standard Deviation

Items	mean	S.D.
1. In this <i>Institute/Faculty</i> , I have many opportunities to learn things about instruction.	2.8462	1.48842
2. When I think the Director/the Dean of my <i>Institute/Faculty</i> needs some advice or information, I share it with him or her.	2.9231	1.44009
3. The Director/The Dean of my <i>Institute/Faculty</i> provides suggestions or support to help me become the best possible teacher.	2.4231	1.47440
4. In this <i>University</i> , I have many opportunities to learn things about instruction.	2.6538	1.39945
5. I work with other teachers in my <i>Institute/Faculty</i> in designing or evaluating materials, curriculum units, and other teaching activities.	3.0385	1.22142
6. When teachers in my <i>Institute/Faculty</i> are not doing a good job, the Director/the Dean of my <i>Institute/Faculty</i> works with them to improve instruction.	2.3846	1.47179
7. Other teachers in this <i>Institute/Faculty</i> seek my advice about professional issues and problems.	3.1923	.98058
8. Other teachers in my <i>University</i> seek my advice about professional issues and problems.	3.0385	.99923
9. In this <i>Institute/Faculty</i> , I do not offer advice to others about their teaching unless I am asked.	2.6538	1.32491
10. If another teacher asks me for advice, it implies that I am more competent than he or she is.	3.3846	.94136
11. In this <i>University</i> , I do not offer advice to others about their teaching unless I am asked.	3.0769	1.35420
12. Other teachers in my <i>Institute/Faculty</i> encourage me to try out new teaching ideas.	2.3077	1.34964
13. The Director/The Dean of my <i>Institute/Faculty</i> encourages me to try out new teaching ideas.	2.2308	1.39449
14. I receive informal evaluation of my teaching performance from other teachers in my <i>Institute/Faculty</i> .	1.8077	1.09615
15. In this <i>Institute/Faculty</i> , there are opportunities to increase teachers' instructional skills.	2.6154	1.29852
16. Other teachers in this <i>University</i> encourage me to try out new teaching ideas.	2.6538	1.23101
17. Ideas presented at in-service are discussed afterwards by teachers in this <i>Institute/Faculty</i> .	3.0385	1.24838
18. In this <i>University</i> , there are opportunities to increase teachers' instructional skills.	2.5000	1.50333
19. The Director/The Dean of my <i>Institute/Faculty</i> encourages teachers to talk about instructional skills.	1.4231	.70274
20. I get a chance to observe other excellent teachers teaching.	1.3846	.69275
21. I get a chance to observe other excellent foreign language teachers teaching.	2.3462	1.41258
22. Other teachers at my <i>Institute/Faculty</i> come to me for help or advice when they need it.	3.3462	.89184

Table 2 (continue)

Items	mean	S.D.
23. I give help and support to other teachers in my <i>Institute/Faculty</i> when they are having problems in their teaching.	2.7308	1.11562
24. I give help and support to other teachers in my <i>University</i> when they are having problems in their teaching.	2.3462	1.29437
25. When I am uncertain about how best to proceed in teaching, I go to other teachers in my <i>Institute/Faculty</i> for assistance.	3.1840	1.17353
26. Other teachers in this <i>University</i> come to me for help or advice when they need it.	2.6154	1.02282
27. Teachers in my <i>Institute/Faculty</i> participate in developing appropriate instructional methods and techniques in foreign language teaching.	1.6784	.80298
28. I can get good help or advice from other teachers in my <i>Institute/Faculty</i> when I have a teaching problem.	3.3077	.97033
29. I can get good help or advice from other teachers in my <i>University</i> when I have a teaching problem.	2.8077	1.26552
30. I regularly share teaching problems in my <i>Institute/Faculty</i> with: (a) four or more teachers, (b) three other teachers, (c) two other teachers, (d) one other teacher, (e) no other teachers.	3.0000	1.60000
31. I regularly share teaching problems in my <i>University</i> with: (a) four or more teachers, (b) three other teachers, (c) two other teachers, (d) one other teacher, (e) no other teachers.	2.8846	1.58308
32. I regularly do instructional problem solving in my <i>Institute/Faculty</i> with: (a) four or more teachers, (b) three other teachers, (c) two other teachers, (d) one other teacher, (e) no other teachers.	2.8846	1.53172
33. I regularly do instructional problem solving in my <i>University</i> with: (a) four or more teachers, (b) three other teachers, (c) two other teachers, (d) one other teacher, (e) no other teachers.	2.5769	1.62906

Normally, we try not to interfere with each other's work. We focus on our own task. Unless we have problems, we then work together in order to fix them. We don't have formal meetings; we don't need to set up a formal appointment or anything like that.

The same teacher went on.

We share almost everything. We share what we teach. When we hear about a conference, we encourage each other to attend. If I need

something like teaching materials, I just ask my colleagues. They are always ready to help.

Dominant too among the English language teachers was the balkanisation culture. Unlike the Japanese and Chinese language teachers, the group of the English language teachers was further divided into several sub-groups. This division was largely based on years of teaching experiences in this workplace. Karen had been teaching English at *Mystique University* for almost three decades; she

admitted to her association only with the English teachers whom she knew since she started working there. *Karen* and these teachers “are like friends. Whenever I run into problems, I go to them to complain.” *Karen*’s interactions with the newly-hired English teachers were minimal. She said, “New teachers are just acquaintances. I do not have much personal contact with them except during the departmental meetings or the Faculty social functions in which we talk.” Responses from the other four English teachers resonated with *Karen*. *Benny*, a native English speaking teacher, noted:

I often share things with my office mate. We both are foreign teachers and we joined the Department at the same time. He has been teaching in Thailand for quite some time and he had more teaching experiences. I have been asking him for advices especially on how to deal with students. He has been very helpful.

Wanda added:

When I have any problem with my teaching or I want any suggestion which may not involve teaching, I always go to a group of three teachers whom I am closed with. We have known each other for quite some time now. We joined the Department at the same time. And this really makes us close to one another. I would say I could really trust them.

Pam asserted:

In the meetings or the Faculty’s events, I work with every teacher in the Faculty. But apart from this, I have very little contact with them. Normally, I have my own group of teachers. We have been teaching here for quite some time. I am very close with them. We eat lunch together; we share things; and we always help each other.

Santana maintained, “There used to be eight teachers in my group. We were sort of recruited at the same time. Now there are only six of us. Two are doing their PhDs abroad. Together, we share teaching materials, problems, and even complaints.”

The newly hired and the less experienced English teachers formed their own teacher groups. Within their groups, they cooperated, shared and exchanged teaching materials. Further, they confided their problems to the teachers in the groups and asked each other for advice or solutions. The following excerpts taken from the researchers’ interviews with both the newly hired and the less experienced English teachers depicted such a practice.

When I have problems with my teaching, I ask three or four teachers in my group. We all are new teachers. I ask for teaching advice or for activities I could use in my teaching to make the lesson much more interesting. (Sandy)

There are about four or five new teachers here and we often work together. With these teachers, I share everything. We exchange teaching materials. We complain about tests, contents, and students. (Cindy)

With the five new teachers in my group, we are pretty close. This is not only because we are new here. But also we have more or less the same perspectives on things. We share teaching tips, teaching materials, activities, and, of course, problems with both students and other teachers. (Smith)

The teachers here including me are separated into groups. I choose to share my problems with only a couple of teachers in my group. Also I often ask them for advice or assistance. With other senior teachers, I just said 'Hi' whenever I meet them. (Katherine)

There are four or five teachers I usually work with. We have been teaching here for a couple of years. Among us, we share the work. From time to time, we share what we do in our classrooms, exchange ideas, and, of course, comfort one another. (Peter)

Individualism

Another type of culture of teaching found particularly among the English language

teachers at the *Faculty of Liberal Arts, Mystique University* was individualism. Six English language teachers admitted to the researchers during the interview of their practice of individualism. These teachers confessed of their minimal interactions with other teachers in the same Department. They rarely shared information or assisted other English language teachers; their interactions with other English language teachers were meticulously confined to social purposes. Factors influencing individualism were personality, workload, and the growth of the workforce.

Three of these six teachers blamed their personality for their lack of interactions with other teachers. *Rachel* explained, "This is just my personality. I basically am not a big fan of socialisation." Another teacher, *Tess*, noted that being independent minimised her interactions with other English language teachers. "I had no personal contact with any teachers in the Department. I come in; I teach; and I go home." *Yvette* maintained, "Because of my own personality, I socialise very little with any teacher in the Faculty."

In addition, teachers' workload, according to *Wade* and *Samantha*, robbed the teachers of their opportunities to interact with one another. As a result, it accelerated teacher individualism. Bitterly, *Wade* complained:

I usually go out to lunch with a couple of teachers that I am close with. Working with other teachers, I would say very rarely. A couple of years ago, I conducted research with one teacher in the

Department. And that's it. The teachers here seem to be busy all the time. There's no room for any informal interaction that would allow people to share and exchange ideas. If this continues, I don't think we can ever get together as a group.

Samantha explained how workload disbanded the teacher group that she had previously formed with other six English language teachers.

When I first joined the Department, I worked with a group of seven teachers. We were quite close. But now we sort of are on our own as we've become very busy with our work. Several teachers chose to isolate themselves from the group as they needed to spend time to get their job done. We no longer socialise.

One lone native English speaking teacher, Wayne, associated the existence of teacher individualism in his Department with the growth of the Department. Such development not only forced Wayne to isolate himself from the teachers whom he had known and worked with but also fostered and encouraged solitude in him. Wayne lamented:

When I first joined the Department, the office space was small and we saw each other frequently. Back then, I knew everybody in the Department, some of them

well, some of them not so well. And I worked pretty much with everybody. Now the Department is bigger. Some of the teachers I know are on the ground floor. I go for weeks without seeing them. I come up here; they go down there. Even people I know, I see them less often than in the past years.

Contrived Collegiality

The researchers' analysis of data documented another type of culture of teaching existed in the Faculty of Liberal Arts, *Mystique University*, i.e., contrived collegiality. Responses from the majority of the research participants similarly pointed towards Faculty's administration as the main accelerator of contrived collegiality. Though the teachers here were divided into groups or individuals, written documents indicated that they sometimes worked together under the mandate of the Faculty's administration cooptation. For example, the Faculty usually assigned its teachers different tasks and duties for the projects the Faculty organised. Under such circumstances, the teachers were obligated to work together. The following quotations excerpted from the interviews with the research participants demonstrated the ubiquity of contrived collegiality within this particular workplace.

There are events of Faculty's activities that require involvement from teachers from different departments. The administration would assign teachers to be

responsible for specific tasks. (Karen)

The only time that I work with other teachers in the Faculty is when I am being appointed to do so. This might happen once or twice a year. The Faculty might initiate some projects which require involvement from every teacher. Then each teacher would be assigned different tasks and duties. (Peter)

Last year I organised the Chinese New Year activity and the Faculty assigned teachers from other departments to help me out. We had meetings to plan this activity together. When the project ended, our working together sort of finished. (Sabrina)

Last year I was appointed to be on the committee for the Faculty's annual meeting. A few teachers including me were assigned to organise this meeting. Among us, we had several meetings to plan this annual meeting. That was the only time I worked with these teachers from several departments. (Sandy)

I am on the Faculty's Board of Academic Affairs. Teachers from several departments also serve on this Board. We have meeting every month. And that's the only time I see them. (Timothy)

The existence of the three types of

cultures of teaching here prompted the researchers to further investigate the extent to which teacher professional development was available to the teachers in this particular workplace and in what form.

Teacher Professional Development at Mystique University's Faculty of Liberal Arts

The researchers' analysis of the written documents (e.g., the Faculty's policies and minutes of the Faculty's meetings) indicated that the teachers in this particular workplace had abundant opportunities to attain professional development. These opportunities were available in various forms such as research grants, financial supports to attend conferences, PhD scholarships, and in-house trainings/workshops, among many others. Responses from the majority of the research participants affirmed such opportunities. Pam described at length what opportunities the Faculty's administration had offered to the teachers in the Faculty.

The Faculty wants all its teachers to have a PhD so it encourages those with just an MA to go abroad to further their studies. Not only that, it urges the teachers to improve themselves by attending workshops and conferences. For the workshops, the Faculty, from time to time, invites people with different expertise to give lectures on different topics relating to either research, language teaching, or programme evaluation. If the teachers want to go abroad to present their papers,

the Faculty also encourages this. The teachers could apply for some grants that the Faculty sets asides. These grants basically cover the registration fees, accommodation, travelling expenses, and some personal expenses.

Wade's responses reiterated this, noting; "The Faculty recognises the need for teachers to conduct research to improve themselves and has set aside some sort of research funding to support this. Those interested in conducting research could apply for this funding." Similarly, Timothy insisted; "The Faculty strongly supports research. It provides research funding; it tries to create an environment for research." Not only did the Faculty offer financial support, it also organised several in-house trainings and workshops on research for its teachers. Uma explained:

The Faculty offers some financial assistance to the teachers for conducting research. However, for those who are not good in research like me, for example, the Faculty invites some experts to come in to give us lectures on various topics relating to research. They include, for example, how to conduct research, how to select a topic, or how to write an academic article.

These in-house trainings and workshops also focused on other topics that the Faculty deemed important. During their interviews,

Sabrina and Katherine shared with the researchers one of the in-house trainings and workshops that they both had attended. Sabrina noted; "The Faculty has organised several in-house trainings and workshops on issues that the Faculty thinks important. Last month, for example, there was a series of trainings and workshops on language assessment and evaluation. It was quite useful. I listened to some new ideas on assessment and evaluation." Satisfied with the same training and workshop, Katherine added; "It was a five-day workshop. The Faculty invited a couple of experts to teach us some techniques on how to design and to write a test. The workshop is quite interesting. I learned about new concepts and new techniques on testing and evaluation from the workshop."

In addition, the Faculty encouraged its teachers to attend conferences and workshops both inside and outside of Thailand. Hence, the Faculty often promotes conferences and workshops to its teachers. In addition, it offers financial supports to the teachers attending conferences and workshops. Samantha's responses revealed her satisfaction of such opportunities.

The Faculty very much encourages us to attend both conferences and workshops to improve ourselves. They circulate information related to these conferences and workshops through our emails. If we want to attend, the Faculty will give us some financial support. We could also take a day off to attend conferences and workshops.

Similarly, *Wanda* uttered; “*The Faculty* usually lets us know about conferences and workshops. We could choose to attend any conferences and workshops and the *Faculty* will pay for our registration and also accommodation and transportation if the conferences and workshops are not in Bangkok.” *Sabrina* added; “Information about conferences and workshops is usually circulated. We all know about these. *The Faculty* will also pay for us to attend these conferences and workshops.” Concurring with both teachers, *Smith* added, “Finance is not a problem here. We could go to conferences and workshops either to present our research papers or just to attend.”

Despite such abundant opportunities, several participants were sceptical of the practicality of these opportunities. Four research participants criticised the inconsistencies between *the Faculty*’s research policies and teachers’ workload. These teachers acknowledged the availability of research grants. However, due to the heavy workload within the *Faculty*, the majority of the teachers were unable to apply for these research grants. Hypocritically, *Karen* asked; “Where else do they expect me to find time for research? How many projects am I working on now? Take some classes from me. I then could conduct research.” *Timothy* complained; “I don’t have time for research. I am teaching sixteen hours a week and in different campuses too. I don’t have time to go to the library to sit down and read for information to develop a proposal.” *Christine* also had heavy workload. She taught sixteen hours a

week; she was as well assigned other tasks. This heavy workload, hence, did not allow her to apply for *the Faculty*’s research grant.

University teachers need to conduct research. Research obviously helps teachers boost their teaching. However, with the amount of workload being assigned to me, I simply have no time to write a research proposal and apply for a research grant. I am teaching sixteen hours. I am running the Faculty’s Language Learning Center and there are a couple of more things that I am also involved with. I basically have no time.

Wade added further.

Teachers need to conduct research. It is one of our main responsibilities. Also it is a career movement. The Faculty also recognises this and sets up research grants for all the teachers. All the teachers could apply for these research grants. Even though it is not a big one compared to other types of grants. It is, however, enough to help the teachers get started. But the problem is time. We need time to go to the library to search for books. We need time to sit and chat with one another to exchange ideas. But we all have heavy teaching schedules oftentimes conflict with one another. Hardly could we find time to sit and talk about research.

In analysing the interview data focusing on teacher professional development in this particular context, responses from three research participants (*Katherine*, *Sandy*, and *Santana*) showed they doubted the benefits of *the Faculty's* in-house trainings and workshops. Similarly, they found that many of these trainings and workshops were uninteresting as their topics repetitively focused on a few issues that *the Faculty's* administrators considered important. *Katherine* said:

Most trainings and workshops here do focus on a couple of topics such as testing, teaching methodologies, and technologies in a language classroom. The first one, all the teachers did go. But when the same topics were repeated, only few, usually the administrators, did show up.

Santana opined; “The topics for the in-house trainings and workshops were repeated over and over again. Last year, for example, there were five workshops on how to write a test alone. These workshops and trainings are such a waste.” *Sandy* confessed that she hardly attended any of *the Faculty's* in-house trainings and workshops. “I wouldn’t normally attend any of *the Faculty's* in-house trainings and workshops unless I am compelled to. The topics of these trainings and workshops are not interesting and they are usually repeated.”

DISCUSSION

Adhering to Wolcott (1990, 2001, 2002), the researcher summarised the findings to answer the two research questions posted and to help construct queries for future research. In Wolcott’s own words, a conclusion and discussion succinctly described, “what has been attempted, what has been learned, and what new questions have been raised” (1990, p. 56).

What Types of Cultures of Teaching are Practised among FL Teachers at the Faculty of Liberal Arts, Mystique University?

At *the Faculty of Liberal Arts, Mystique University*, three types of Hargreaves’ (1994) cultures of teaching were found; i.e., balkanisation, individualism, and contrived collegiality.

The FL teachers in this particular workplace were balkanised into groups. These teachers were divided into three groups in terms of their subject disciplines: Japanese, Chinese, and English. In addition, there was a further division among the teachers of the English language into smaller sub-groups on the basis of personal relationships and identification and years of teaching experiences within *the Faculty*. These groups of teachers were strongly insulated from each other. Assistance and sharing and exchanging of ideas regarding teaching and teaching materials occurred restrictively within their own groups. In other words, it was within their groups that the teachers developed their relationships with one another, attitudes toward their

colleagues and teaching, and norms of teaching practices. In the educational context where balkanisation flourishes, such a context is hence “poorly equipped to harness the human resources necessary to create flexible learning for students, continuous professional growth for staff and responsiveness to changing client needs in the community” (Hargreaves, 1994, p. 235). (See also Nias et al., 1989; Johnson, 1990; Lee et al., 1993; McLaughlin, 1993; Grossman & Stodolsky, 1995; Hargreaves & MacMillan, 1995; Siskin, 1997; Kelchtermans, 2006; Hargreaves & Fullan, 2012)

Data also showed the existence of individualism. Three factors underlying the research participants’ practices of individualism were found: personality, workload, and the workplace’s physical setting. These factors were compatible with Hargreaves’ (1994) three determinants of individualism; i.e., (1) elective individualism, (2) strategic individualism, and (3) constrained individualism. Under elective individualism, teachers personally favour working alone. In contrast, strategic individualism refers to a unique situation which obligates teachers to create individualistic patterns of working to respond to such a situation. Constrained individualism happens under certain circumstances in which schools’ physical environments are created as a tool to ensure the practice of individuality thrives.

The culture of contrived collegiality was dominant in this particular workplace. Despite their being divided into groups or individually isolated, these research

participants, under *the Faculty’s* cooptation, occasionally worked together. At the surface level, contrived collegiality could offer teachers, administrators, and onlookers delusive illusion of teachers working together. Conscientious scrutiny, however, would reveal otherwise. Contrived collegiality is in fact, as Fielding (1999) coined, a tool for “managerialism” (p. 8). This is because it “reconstitutes teacher relations in the administrators’ own image – regulating and reconstructing teachers’ lives so that they support the predictable implementation of administrative plans and purposes, rather than creating the predictable development of teachers’ own” (Hargreaves, 1992, p. 24). Further, Levine and Marcus (2010) remarked:

Professional and school reform organizations call for collaboration in the abstract, and some schools are creating time for teachers to collaborate without specifying structures and aims. When it comes to professional community and collaboration, this mode of operating may reflect the unstated belief that “if you build it, they will learn.” (p. 397)

Moreover, several researchers have gone thus far to predict the shortcomings of contrived collegiality. Similarly, they agreed that contrived collegiality could jeopardise the creation of collaborative culture within a school. As a consequence, they recommend less administrative imposition but more teacher involvement

in creating collaborative culture. (See, for example, Lam, Yim, & Lam, 2002; Leonard & Leonard, 2010; Beatty, 2011; Datnow, 2011; Hargreaves & Fullan, 2012 for more details.) In their own words, Leonard and Leonard (2010) opined:

Scheduled meetings and specified groupings are both desirable and necessary for school functioning, but they are not the only means of effective collaboration. In the enthusiasm to proceed with reinventing how one views school progress, one might do well to leave sufficient room and opportunity for teachers to demonstrate professionalism and commitment as they perceive it and not as it is necessarily perceived by those further removed from the classroom and the school. (p. 241)

To What Extent do Cultures of Teaching Determine Teacher Opportunities for Professional Development in the Faculty of Liberal Arts, Mystique University?

Literature in the field of teacher professional development has documented extensively the correlation between cultures of teaching, collaboration in particular, and successful teacher professional development. Harwell (2003), for example, argued that “[p]rofessional development can succeed only in settings, or contexts that support it” (p. 2). Necessarily, such settings or contexts, as Darling-Hammond and Richardson (2009) further observed, can promote collaboration

and collegiality among teachers. (See also Smylie & Perry, 1998; Hawley & Valli, 1999; Garet et al., 2001; Lieberman & Miller, 2001; Imants, 2002; Webb et al., 2005; Little, 2006; Kleinsasser & Sato, 2007; Dufour et al., 2008; Sturko & Gregson, 2009; Waldron & Mcleskey, 2011; Voot et al., 2015)

At the Faculty of Liberal Arts, Mystique University, data affirmed the association between cultures of teaching and teachers’ opportunities for professional development. Startlingly, notwithstanding meager collaboration and collegiality among the teachers, the teachers here had countless opportunities for professional development. With attempts to develop and improve its teachers, the Faculty’s administrators drew policies (e.g., research grants and grants for attending conferences and workshops) and planned and organised several in-house trainings and workshops. Surprisingly, these administratively orchestrated policies and plans did little to trigger teacher professional development within this particular workplace as they had anticipated. This was because many of these policies and plans collided with either teachers’ job responsibilities or their interests. Shortcomings of schools’ organised plans for teacher professional development has been extensive in the literature. For example, Grossman, Winebug, and Woolworth (2001) warned that schools’ endorsement of their policies and plans for teacher professional development could, at its worst, annihilate teachers’ desires for professional development. In their own words,

The most common form of school-based teacher learning – the district inservice day – does not help the situation much (cf. Miller & Lord, 1995). The episodic and piecemeal nature of typical professional development dooms any attempt to sustain intellectual community. By their very structure, scattered inservice days are confined to technical and immediate issues such as learning new assessment schemes, translating test results into lesson plans, implementing new curriculum or textbook series, and so on. (p. 948)

Grossman et al. (2001) went further to criticise schools' traditional practice of enrolling their teachers in teacher professional development courses organised by an outsider. Such a practice had more than a few drawbacks. For example, teachers could misconceive teacher professional development as a short-lived process. Ideas that might seem promising during conferences, trainings, or workshops could be of little use to teachers in their classrooms. Despite its length, Grossman et al.'s quote is worth mentioning here.

Efforts to build intellectual community have historically taken place outside school walls, thus removing teacher learning from the temporal and spatial milieu of the workplace. Teachers leave the school building to travel to

an “institute,” often far away, to work and learn with others. While these institutes can be collegial experiences, teachers do not learn with the people they rub shoulders within the workplace. And although summer learning experiences can be rewarding to those who participate, they pose problems as well. On a structural level, they suggest that learning is a “summer activity” accomplished during teachers' free time rather than an ongoing part of professional life. On a practical level, these learning opportunities are often viewed as optional (it is the rare school that requires teachers to attend an NEH institute), and they attract a particular kind of volunteer; individuals passionate about their own learning who can afford the time and tuition. Most important, the voluntary nature of such institutes means that there is already a match between the programs offered and those who volunteer – a fact that raises questions about teachers who choose not to participate. In many cases, the teachers most in need of such an intellectual broadening are the least likely to volunteer. (p. 948)

In addition, Fang (2013) doubted the quality of the trainings and workshops in particular those organised by publishers or so-called experts. Neither of these trainings nor workshops are of great significance

to teachers as they are organised either to serve publishers' commercial purposes or to publicise oftentimes the self-proclaimed experts, rather than to help teachers improve themselves.

Professional development for teachers, if any, is often done haphazardly through training workshops conducted by publishers whose primary interest is in promoting their commercial programs or by "experts" who claim to help schools improve student scores in high stake tests. These workshops often do not provide the kind of professional knowledge and support that teachers need to initiate and sustain qualitative changes in teaching practices. (p. 249)

CONCLUSION

Teaching is hard work (Fang, 2013) and complicated (Little, 1999). No teaching programmes could fully prepare teachers for what happens in the classroom. Hence, continuous support for professional development are undoubtedly essential to help teachers better face (unanticipated) challenges they would encounter during their teaching practices. Such support, as myriad researchers have argued, could happen within a teacher community in which teachers work (Little, 1987, 2002, 2003; Darling-Hammond, 1999; de Lima, 2001; Grossman et al., 2001; McCotter,

2001; Wenger et al., 2002; Erickson et al., 2005; Broad & Evans, 2006; Halverson, 2007; Dooner et al., 2008; Vescio et al., 2008; Stanley, 2011). Through working together, teachers could help each other improve. At their best, Grossman, Wineburg, and Woolworth (2001) emphasised the relationship between a teacher community and teacher professional development.

Communities are microcosms of larger social collectives in that they pivot on the tension between the rights and the responsibilities of membership. For a community to be sustained, members must believe in their right to express themselves honestly without fear of censure or ridicule. But genuine also make demands on their members – membership comes tied to responsibilities. In a professional community of teachers, a core responsibility is to the learning of other teachers. This responsibility might entail contributing to group discussions, pressing others to clarify their thoughts, engaging in intellectual midwifery for the ideas of others, and providing resources for others' learning. If a feature of pseudo community is withdrawal from the public space when conflict erupts, then a feature of a mature community is the willingness to engage in critique in order to further collective understanding. (p. 980)

Reciprocity between teacher collaboration and teacher professional development is well documented in literature. Given this and the researchers' current findings of a dearth of teacher collaboration and ineffective workplace policies and plans for teacher professional development, future queries regarding teacher professional development have been raised. How do teachers conceptualise teacher collaboration? What perceptions do teachers hold about working together? In what way could school administrators promote teacher collaboration? How could teacher collaboration be promoted and maintained? What is the relationship between teacher collaboration and teacher professional development? In what way could teacher collaboration accelerate teacher professional development and vice versa? Answers to these questions could possibly unearth the complexities of teacher collaboration and teacher professional development. Additionally, they could also help situate a better understanding of a relationship between cultures of teaching and teacher professional development. More importantly, they could initiate new practices of teacher professional development particularly in Southeast Asia where teacher professional development is limited but urgently needed (Hare & Thomas, 2002; Hu, 2002; Ishida, 2002; Lee, 2002; Mann, 2005).

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Studying a Television Audience in Malaysia: A Practice of Audience Ethnography in Kampung Papitusulem, Sabak Bernam, Selangor

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ABSTRACT

This article discusses the ethnographic nature of audience studies and the practices of audience ethnography in Kampung Papitusulem, Sabak Bernam. Although ethnography has been adopted in the studies of media reception worldwide, it is not a popular methodological tradition among the media and communication researchers in Malaysia. However, considering the multicultural nature of the Malaysian population and media, audience ethnography should be considered as one of the practical methodologies in media and communication research in the country. Based on the empirical ethnographic research involving a group of Malay-Javanese women in Kampung Papitusulem, Sabak Bernam, this article presents the methodological issues of an ethnographic approach in studying Malaysian television audiences. The practice of audience ethnography in the *kampung* indicates that the methodology would likely be applicable in media audience research in rural Malaysia by considering practical data collection techniques including partial immersion of fieldwork, conversational interviews, and selected participant observation.

Keywords: Audience ethnography, qualitative research, identity, television, Malaysia

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INTRODUCTION

The purpose of this article is to discuss the methodological issues in conducting audience ethnography and shed light on understanding this research approach using an empirical example from an ethnographic fieldwork in Kampung Papitusulem, district of Sabak Bernam, Selangor, Malaysia. The growing popularity of audience ethnography

captivates global anthropologists to shift their research interest from traditional culture to popular culture—which has become the key subjects in media research—and move the study locus from the North Atlantic heartland to the global South (Peterson, 2003). At the same time, ethnographic approach to audience research has come to existence among the researchers in the field of media and cultural studies since the 1980s (Gray, 2003; Seiter, 2004; Hermes, 2010). The tradition of the anthropology-inspired methodological approach which started in Europe and North America is popular among media anthropologists and reception researchers in non-Western countries. For example, they adopt this approach to study television consumption and identity politics (Abu-Lughod, 1995; Mankekar, 1999; Scrase, 2002; Shetty, 2008), media and nation building (Postill, 2008; Blondheim & Liebes, 2009), and soap opera reception and modernity (Thompson, 2000; La Pastina, 2004; Idah, 2006; Machado-Borges, 2007; Syed, 2011). Yet, audience ethnography has not been developed as a popular intellectual tradition in Malaysia because most of the local researchers focus on quantitative-based phenomenological research topics (for example Wang, 2004; Firdaus, 2006; Abdul Wahab, Wang, & Baharuddin, 2013).

Very few audience ethnographies have been conducted in Malaysia. However, there are some ethnographic studies of Malaysian media audiences that can be considered as significant contributions to the current literature. For example, Syed's (2011) exploration of Malay women

watching imported television serials gives a plausible explanation about the audience interpretive engagement of transnational modernity in Malaysia. Similar to Syed (2011) who studies the Malay audience in rural and urban settings, Thompson (2000) captures communal television viewing between *kampung* Sungai Siputeh and Kuala Lumpur. While both Syed (2011) and Thompson (2000) focus on television audiences in Malaysian Peninsula, John Postill (2008) searches for the audience interpretation of collective identities in East Malaysia. Investigating the negotiation of ethnic and national identities among the Ibanese, Postill (2008) discovers that media, especially television, plays primary roles in modernising them through “cultural standardisation under conditions of rapid economic growth” (p. 5).

As Malaysian television audiences become more fragmented, casual and at some point inattentive, audience ethnography should be seen as an optional methodology. Radway (1988) argues that researchers should seek to explore “the endlessly shifting, ever-evolving kaleidoscope of daily life and the way in which the media are integrated and implicated within it” (p. 366). Therefore, an ethnographic approach to audience research should be considered as one of the alternative ways to study multicultural audiences especially in Malaysia. At the same time, the resistance to conduct audience ethnography is perhaps caused by some methodological issues. The present article addresses some issues pertaining to the ethnographic approach

to studying television audiences and contributes to the understanding of audience ethnography.

THE ETHNOGRAPHIC TRADITIONS OF AUDIENCE RESEARCH

Ethnography is a qualitative research methodology that requires a researcher to spend a period of time with the community under study, observing and recording their lives in natural settings (Hamersley & Atkinson, 2007; Gobo, 2008; Fetterman, 2010). This methodological mechanism has long been adopted in the study of media audiences. According to Moores (1996), audience ethnography refers to a methodological practice for “investigating the social world of actual audiences, using qualitative techniques—most notably the extended period of participant observation ‘in the field’ and the unstructured conversational interview with informants” (p. 3). The main objective of audience ethnography is to understand the media consumption “from the virtual standpoint of actual audiences” (Ang, 2005, p. 136). In addition, it serves as an instrumental purpose for understanding “the media practices, and meanings people attach to media, and as a way to document everyday media practices in detail” (Perala, Helle, & Johnson, 2012, p. 12).

The anthropological based approach emerged in the early 1980s within the British Cultural Studies (BCS) community (Hermes, 2010). It started with Stuart Hall’s “Encoding/Decoding” thesis (1980) which significantly inspired a number of other

researchers in the Centre for Contemporary Cultural Studies (CCCS) at the University of Birmingham and the rest of the world. Some of the notable pioneers in television audience ethnographies include Dorothy Hobson’s study of British Soap Opera (1982), Ien Ang’s Dutch *Dallas* study (1985), David Morley’s Family Television (1986), Charlotte Brunsdon’s study of woman television audience (1986), and Ann Gray’s study of feminine Video Cassette Recorder (1987). However, these studies explore the audience’s decoding of certain television programmes simply through qualitative interviews and textual analysis. The lack of time that media researchers spend in the field is an issue for some anthropologists (Spitulnik, 1993; Gray, 2003; Seiter, 2004). Spitulnik (1993) notes that critics raise the important points missing in ethnography of media audience such as detailed participant observation and actual immersion in audience’s life.

Despite these critiques, media audience researchers continue to use the term ethnography to label their study even though the procedures do not necessarily meet the nature of traditional ethnography. For example, Marie Gillespie’s study of British Punjabi youth’s television culture (1995) and Chris Barker’s exploration of soap talks among the British Asian girls (1997) combine participant observation with qualitative surveys and focus group discussion respectively. However, the ethnography of media audience has been expanded to the study of online culture and communities, such as “CMC (Computer-

Mediated Communication) ethnography” or “virtual ethnography” (Lindlof & Shatzer, 1998; Hine, 2000), “netnography” (Kozinets, 2002; Langer & Becham, 2005) and “network ethnography” (Howard, 2002). These new forms of ethnography allow media researchers to conduct observation of textual discourse that arise from virtual communities’ activities, in non-territorial field site.

In point of fact, there are some excellent contemporary media research studies that are conducted in accordance with the proper practices of ethnography. For example, Vicki Mayer’s two-year fieldwork in San Antonio (2003) explores the Mexican American’s reception of telenovela through interviews and participant observation that includes field notes and television co-watching. Similarly, Thais Machado-Borges (2007) adds complementary methods such as structured conversation and essays along with the other primary approach to understand Brazilian youth’s telenovelas consumption. Another telenovela study that can be considered as proper ethnography is La Pastina’s study of audiences in rural Brazil (2004). Through a year-long study in the field, Antonio C. La Pastina (2004) carries out triangulation of in-depth interviews, surveys, focus group discussion, archival readings and participant observation to explore rural Brazilians’ engagement in popular telenovelas. Notwithstanding the disciplines, some anthropologists such as Abu-Lughod (1997), Mankekar (1999), and Shetty (2008) apply ethnographic approaches in their television audience

research and shed light upon understanding of television audiences and politics of identity.

Essentially, audience ethnography is the salient trend in the second and third generation of media reception research, underlying the studies of the relationships between media, culture and communities (Alasuutari, 1999). While the earlier generation embraces the critical inquiries of identity politics, the contextual use of media and the role of media in everyday life; the latter suggests to “bring the media back to media studies”, by which both content and audience interpretation are critically analysed (Alasuutari, 1999, p.7). In the beginning, ethnography offers an instrumental mechanism which enables media researchers to “overcome the artificiality of mass communication research based on naturally occurring data” (Ruddock, 2001, p. 128).

The importance of ethnography as a methodology in media and cultural researches lies in its core principle that acknowledges audiences as active consumers of media texts. David Morley (1992) argues that media audience research needs to be diverted from the “pessimistic mass society thesis” to shifting between “optimistic” and “pessimistic” paradigms. Furthermore, Morley (1992) suggests that communication researchers should consider “the dimensions of power and influence through which the powerful (leader and communicators) were connected to the powerless (ordinary people, audiences)” (pp. 50-51). In this way, both content of messages that have effects on

audience and the social meanings which audiences produce from the negotiation with the message can be analysed in symmetrical and simultaneous manners. Likewise, contemporary audience ethnography offers the best of both worlds, encompassing the media-based and audience-based research through which media programmes are analysed and discussed by both audiences and researchers, while experiencing them live in the field.

LIVING FIELDWORK

The fieldwork on which this study is based took place at Kampung Papitusulem in the district of Sabak Bernam, Selangor. According to the headman, some ninety percent of the residents in the *kampung* are the descendants of Javanese migrants who established the *kampung* in 1935. As of 2010, the *kampung* had a population of 1,440 dispersed into some 288 households. The fieldwork began in April 2013 for three months followed by the secondary fieldwork between March and September 2014. During the fieldwork, the researchers engaged in “partial immersion” (Delamont, 2004) in which time was allotted between the research site and university due to some academic and professional requirements. This time constraint is among several challenges that audience ethnographers encounter during their study (Abu-Lughod, 2000; Fetterman, 2010). Therefore, audience ethnography allows non-continuous, short-term contact with the community under study (Alasuutari, 1999; Seiter, 2004).

The researchers’ first arrival in the *kampung* was in 2011 when they joined a homestay programme and encountered a group of women who claimed to enjoy *Sinetron* (Indonesian soap operas) as part of their everyday culture. From this short visit the researchers developed relationships with the societal elements of the community, especially their host family. For example, they assisted access to the community mainly in terms of identifying the subjects for the study. The housewife from the host family was selected to be the initial informant in the study’s snowballing sampling procedure. This method of sampling allows selection of informants within their network and it is convenient particularly when studying sub-cultures that have “certain attributes in common” (Lindlof & Taylor, 2011, p.114). The initial informant subsequently introduced the researchers to the other twenty informants who were selected by using the “judgmental sampling” technique (Fetterman, 2010). This sampling technique refers to a way of selecting informants in which “ethnographers rely on their judgment to select the most appropriate members of the subculture or unit based on the research question” (Fetterman, 2010, p. 35).

Gaining access to the field and community is an integral part of ethnographic fieldwork. However, positioning the researchers in the community is quite crucial too. Alasuutari (1999) points out that audience ethnographers can act as an “insider” because they study their own culture and have already acquired what Geertz (1983) refers to as “local

knowledge”. Nevertheless, it is not as simple as it is in practice. The experience in Kampung Papitusulem provides a different scenario. Although the researchers are culturally and politically proximate to the Javanese community, their academic and professional backgrounds create a boundary to the informants. Syed (2011) mentioned that his education background makes the informants feel uncomfortable and awkward. This educational gap also generates the discourse of “us versus others” (Mankekar, 2002; Gaines, 2005), separating the world between the researcher and the researched. Therefore, building a healthy rapport with the components of the community under study is important in order to gain their trust. In the present case, the researchers presented themselves as “clausal acquaintances” to the community members and this presence appears to be instrumentally helpful in conducting interviews with the informants.

INTERVIEWING LAY AUDIENCE

Interview is the most effective data collection tool in audience ethnography. Giampietro Gobo (2008) argues that ethnographic interviews “... reveal the cultural meanings used by actors, and to investigate aspects of the culture observed” that can provide a clearer picture for the researcher’s observation (p. 191). Most of the time, interview is instrumental to “break the ice” between the researcher and the researched in the beginning of fieldwork (Gobo, 2008; Fetterman, 2010).

Interviews in ethnography are divided into several types. Fetterman (2010) suggests that an ethnographer can choose to deliver a structured or semi-structured interview if he or she wishes to gain comprehensive information about the community being researched from the insider’s point of view. However, a couple of sessions of informal interviews seems to be technically feasible because it allows a healthy rapport to be established through “a mixture of conversation and embedded question” (Fatterman, 2010, p.41). Moreover, conversational interviews in a less formal ambience enable the ethnographer to share reflective insights with the interviewees (Gray, 2003; Murphy, 2008).

Most audience ethnographers employ in-depth interviews which are followed with thorough analysis. Alasuutari (1999) suggests that audience ethnography usually involves qualitative interviews with not more than twenty informants for its deep and extensive investigation. For example, Katz and Liebes’ report on interview with *Dallas* audience represents their “analytical procedure as a whole” that gives readers more comprehensive insights (Alasuutari, 1999, p.52). Some notable audience researchers who also employ qualitative interviewing techniques include Radway (1984), Katz and Liebes (1984, 1990) Ang (1985), Morley (1986) and Gray (1987, 1992). Although they do not purposely conduct an ethnographic study, their work is generally conceived of as prominent examples of audience ethnography due to the insightful cultural meanings they

generate from the audience's interpretation of media use (Seiter, 2004).

In the present study, ten informants were interviewed during the preliminary fieldwork and twenty informants (including the previous ten) in the next fieldwork. The majority of the informants were non-professional rural women, aged between 44 and 72 years old, whose main daily activities were centred on the domestic sphere. They were divided into two categories: the second generation and the third generation of Javanese migrants. Nearly all informants from the former category speak Javanese while the latter generation shifts between *Bahasa Malaysia* and Javanese in their daily conversations. In fact, almost half of the informants chose to answer in Javanese, but it was decided to interview them in *Bahasa Malaysia* and allow them to respond in Javanese. This is more practical because the Javanese spoken in Kampung Papitusulem is *Ngoko* language. It is the colloquial language which serves as the basic level in the Javanese language system. Although *Ngoko* language is acceptable in Malaysian Javanese society (Mohamed, 2001), the researchers preferred to converse in *Bahasa Malaysia* during the interview sessions because it is not polite to speak *Ngoko* language to older people in Javanese society.

The interviews were conducted informally within two to three hours in the informants' house for their convenience. A set of questions were prepared that comprised three sections: television viewing patterns, life history, and civic engagement. In practice, the interview began with

questions from any one of the section, depending on the informants' awareness of the current issues. For example, in the aftermath of the MH370 incident¹, one informant sympathetically asked how many Indonesians were missing with the rest of passengers on board, right after inviting the interviewers to sit. She was completely aware of the incident in particular and even expressed her sympathy to the Indonesian fellow researcher. This scenario depicts the view that it is more effective to encourage informants to express an honest opinion on any issues discussed without being influenced by the sentiment in the interview questions. Other than semi-structured interviews, interviewers also engaged in conversational interviews with the informants during participant observation. For example, when joining with the informants during their television viewing, the interviewers asked several questions pertaining to the respondents' interpretation of the television programmes they were viewing.

It is suggested that as an ethnographer, one should also drop his or her status as an interviewer and present themselves as a casual acquaintance. As Maria Bakardjieva (2005) suggests, researchers can play a role as a "welcome visitor" in order to be accepted in the private lives of the research subjects (p.79). It is believed that this method allows the informants to act naturally and give genuine responses on their own accord. For example, in an interview with a 72-year-old living-alone informant, the researchers deliberately acted

as the respondent's TV-watching companion and strategically embedded the interview questions in casual, friendly conversations. As a result, she could openly respond with unaffected and reflexive information. This was different to the preliminary interview where the respondent seemed to make up answers to meet her perceptions of the researchers' expectations while humbly regarded herself as an illiterate.

Interview in research is always conceived of as a formal engagement between interviewers and interviewees, especially if the interview uses structured questions (Fetterman, 2010). Usually, both parties tend to show standard attitudes of decency and respect towards each other, probably due to the difference of age, social status and academic backgrounds. In many societies, it is a mark of moral standards for younger persons to look up to the older ones for their longer life experiences. Even though the interviewer may have a higher level of education, he or she should exhibit good manners to interviewees who are older than them. Visual appearance also contributes to creating formal ambience in interviews. An interviewer wearing an attractive urban outfit may alienate the interviewees and lead to an awkward situation about which the respondent may not be comfortable. Most commonly, educational background may become a dividing line between the interviewers and the interviewees because the ones with lower educational qualifications may be hesitant about what they should be saying.

In general, interviewing lay members of audiences requires fundamental

humanistic approaches to enhance the level of mutual respect between interviewers and interviewees. This process, according to Seiter (2013), can be achieved by being cognisant of at least two process issues. The first is to be aware that rigid control over the interview can discourage sincere feedback. The second is the need to be aware that intimate proximity can result in the researchers becoming too deeply involved in the informants' private lives. In certain communities, gender can also contribute to the gap between researchers and the respondents. For example, as a male researcher, Syed (2011) faced challenges interviewing middle-aged Malay women regarding their consumption of non-Western soap operas without the assistance from a mutual acquaintance. In addition, the gender difference also restricts Malay women from discussing sensitive issues especially on televised romance. Therefore, it is essential to provide a gender-friendly atmosphere by considering the cultural and social norms pertaining to man-women physical proximity. At the same time, genuine audience ethnography should combine interviews and participant observation that enable researcher immersion in the research setting in order to overcome limitations and difficulties (Alasuutari, 1999; Ritson and Elliott, 1999).

THE IMPORTANCE OF PARTICIPANT OBSERVATION

Participant observation is the key method of ethnography that complements interviews. Hamersley and Atkinson (2007) point out that the feedback given by the interviewee

may depict basic descriptions that lead to observations. As Morley (1989) contends:

Should you wish to understand what I am doing, it would probably be as well to ask me. I may well, of course, lie to you or otherwise misrepresent my thoughts or feelings, for any number of purposes, but at least, through my verbal responses, you will begin to get some access to the kind of language, the criteria of distinction and the types of categorizations, through which I construct my (conscious) world (p. 25).

Morley's argument shows the importance of participant observation as part of the audience ethnography approach to studying media audiences. Gray (2003,) indicates that participant observation may bring media and cultural studies closer to "proper ethnographies" as touted by critics (p. 16). The application of this approach can be seen in many studies such as Marie Gillespie's study of Punjabi youth in Southall (1995), Ritson and Elliott's investigation of adolescent advertising audiences (1999), Abu-Lughod's ethnographic study of Arab-speaking women's television use (2000), and La Pastina's case study of media engagement in rural Brazil (2005). La Pastina (2005) argues that audience ethnography should return to its traditional practice that includes fieldwork and in-depth immersion with the data in order to establish thorough understanding, self-reflexivity,

and rapport between the researchers and the subject.

Participant observation involves collecting field notes, tallies, drawings, photographs and other forms of material evidence (Crang & Cook, 2007). In Kampung Papitusulem, the current study used a voice recorder to record every encounter and participated in the community events such as *rewang* (mutual cooperation), *ngaji Jumaat* (Friday congregations) and also the informants' television viewing. Sometimes photos and films were taken and field notes were written using smartphones when the time and place was appropriate. Using photography devices or jotting down notes on a notebook to capture the everyday life of the informants can create an awkward situation and violate the informants' privacy. It can also encourage them to act in a certain way that does not represent their actual concerns and feelings. Therefore, the ethnographer must show common courtesy to deal with the ethical issues in every situation encountered in the field.

Basically, participant observation allows an ethnographer to discover additional information that cannot be provided by the informants in interviews. During the fieldwork, researchers happened to be involved in *rewang* several times in which it was learned that the Javanese-styled cultural practice of mutual cooperation nourishes the sense of belonging to the community among the society members, including the informants. In the *rewang*, people casually speak Javanese and mark their social circle as to have only Javanese

descendants or other *kampung* residents who marry into a Javanese family. It shows that the cultural tradition which they inherit from their Javanese migrant ancestors plays a significant role in maintaining their Javanese identity. While *rewang* allows the informants to gather and meet their fellow communions to exchange the current updates on their family and personal matters, it also serves as an engaging platform for the informants to discuss their experiences with television programmes. In one occasion of *rewang* which the researchers participated, informants were observed joining a group of women to casually talk about the episodes of a *Sinetron* that they were currently following. They also shared some knowledge they acquired from watching Ustaz Kazim Ilyas' *Kalau Dah Jodoh*, an Astro channel's television format of an Islamic sermon.

Certainly, participant observation has provided comprehensive information that enriches and strengthens the feedback from interviews. As mentioned earlier, informants who may not be able to speak openly during the interview due to its formal nature (Hamersley & Atkinson, 2007; Fetterman, 2010; Seiter et al., 2013), would probably be more outspoken in their private domain. In the present investigation, one informant was deliberately chosen to be the "key actor" (Fetterman, 2010) in the research setting mainly in terms of accompanying researchers for interview sessions and helping to convince the other potential informant to speak up. Although this particular informant had difficulties

expressing her thoughts in the interviews, she was able to converse effectively during everyday television viewing by commenting on particular issues. For example, when observed watching a documentary that depicted the life of Indonesia's *Sasak*² tribal community, she mistakenly identified the women who dressed up in *kain batik*³ on television as Javanese due to the similarity of the traditional clothes. This situation gives the researchers the idea that this particular informant's interactions with television images reinforced her identity and belonging. In fact, participant observation assisted the researchers to discover that some community gatherings appear to be a "public sphere" (Habermas, 1962) for television conversations among the Malay-Javanese women in this study.

While previous audience ethnographic studies only conduct in-depth interviews (for example Katz & Liebes, 1984, 1990; Radway, 1984; Ang, 1985; Morley, 1986; Gray, 1987, 1992), the current audience ethnographies embrace the traditional practice that obligates the researchers to live with the community. Selected participant observation can help the ethnographer to capture certain aspects of culture that audiences deal with in their everyday lives. The ethnographer may select to participate in particular events in the society under study, depending on their research questions and aims. It is different from traditional ethnography which encourages the fieldworker to actively join practically every occurrence and build a grounded theory from every encounter in the field.

Precisely, participant observation can also serve to justify the “ethnographic validity” (Roldan, 2002) and it can be achieved by employing several procedures, including triangulation (Maxwell & Miller, 2000; Maxwell, 2012; Hamersly, 2014). In this way, this study has addressed a very fundamental methodological issue of audience ethnography through in-depth interview and participant observation in partially immersed long-term fieldwork.

ETHNOGRAPHY OF MALAYSIAN JAVANESE DIASPORA IDENTITY AND TELEVISION

The ethnography in Kampung Papitusulem, as presented in this article, is the exploration of television-based interpretive identity practices among the diaspora of Javanese women in rural Malaysia. According to Umi M. Khatib (2010), the Indonesian migrants, including Javanese, and their descendants are considered as diaspora that constitute Malay cultural hybrid identities. As Malaysian citizens of the Malay racial group and of Indonesian descent, these women are exposed to various images of identity practices that represent both Malaysian and Indonesian culture on a regular basis. The early observation that leads to this study shows that the Kampung Papitusulem women enjoy Indonesian soap operas that serve as reminiscent of homeland. They are proud of their Javanese roots and retain that pride by sustaining the Javanese cultural customs and traditions.

This study has so far discovered that the Javanese women of Papitusulem identify reflective images of identity in the

Indonesian soaps and hold on to the political allegiance and religious morality through the interpretation of local television news and realities respectively. They acquaint themselves with the indoctrination of UMNO⁴ about the national and economic security as well as the religious freedom which they conceive of as the fundamental constituents of Malaysian pride. As members of the Malay society, they comply with the Malay cultural norms and values as prescribed by the UMNO leaders through television. At the same time, they search for the “narrative of us” that represents them as Javanese/Malay and Muslim in the local dramas, realities, and more importantly, the imported Indonesian soaps. Through lifetime social cognitive experiences, their efforts of experiential verification and evaluative self-consciousness convince them to embrace the “interpretive identity practices” of their existence.

Adopted from Gerson’s identity practices (2001), this notion of interpretive identity practices refers to the routine actions and ways of thinking, interpreted from the representative images and texts on television, which enable members of a community to project collective identities. The actuation of this conceptual framework certainly requires a detailed investigation in which interviewing the television audience seems to be insufficient. Participant observation and actual immersion in the field must be undertaken to understand how television influences on identities are really exercised by the audience members in their natural settings.

CONCLUSION

This article has discussed the methodological issues pertaining to the practices of ethnography in audiences and media reception studies with an example of ethnographic practices in Kampung Papitusulem, Malaysia. Critics have identified important questions about how media and communication researchers use the term to designate a study that depends mainly on qualitative interviews in order to collect data. Some issues that are raised by the critics include lack of time spent in the field and the absence of participant observation (Spitulnik, 1993; Gray, 2003; Seiter, 2004). However, media scholars argue that audience ethnographers require less time to conduct their research because most of them study their own society and focus their research questions on an aspect of culture partially, not entirely (Morley, 1992; Alasutari, 1999; Seiter, 2004).

Although classic ethnographic studies of audience and media reception (Hobson, 1982; Ang, 1985; Morley, 1986; Brunson, 1986; Gray, 1987) did not totally adopt the nature of traditional ethnography, contemporary audience ethnographies apply at least two basic ethnographic techniques of data collection: in-depth interview and participant observation. Drawing upon the current audience ethnography literature (Mayer, 2003; La Pastina, 2004; Machado-Borges, 2007) and the empirical fieldwork in Kampung Papitusulem, this article suggests three key methods of ethnographic data collection needed in the understanding of

rural audiences in Malaysia. The methods include partial immersion of fieldwork, conversational interviews, and selected participant observation which particularly befit the social and cultural characteristics of the Malay-Javanese women in the *kampung*. This is due to the idea that they deal with both textual and contextual cultural identities through social experiences and television images.

From ethnographic experiences in the *kampung*, it can be concluded that television narratives play a substantial role in reinforcing cultural and political identity among Malay Javanese women. While cultural and social representatives in local and imported Indonesian soap operas influence their understanding of self-narrative as a member of the Javanese community, political discourses in mainstream news substantially reinforces their political identity as part of Malay society under UMNO hegemony. More importantly, these identifications with different kinds of identities appear in their everyday negotiation with social and cultural structures that define them as citizens of Malaysia. To understand television consumption and its influences on the construction of identity among a certain cultural community, one definitely needs to experience and live with them. Therefore, ethnography appears to be an appropriate research methodology for studying television audiences mainly in relation to the subject of identity.

Notes:

1. On 8 March 2014, the whole country was shocked by the disappearance of Malaysia Airlines Flight 370 (MH370) en route from Kuala Lumpur to Beijing. The national carrier's jetliner with 239 people on board disappeared in the airspace between Malaysia and Vietnam and made national and international headlines bringing great grief to the entire nation. Among the missing passengers were seven Indonesians, the compatriots of one of the interviewers. At the point of completion of this article, the ill-fated aircraft was believed to have been lost in the Indian Ocean.
2. *Sasak* ethnic is one of the Indonesian ethnic groups that dwell in Nusa Tenggara Timur province. Despite the difference in culture, the *Sasak* look physically similar to the Javanese and the other traditional communities in Southeast Asia.
3. *Kain batik* refers to the traditional cloth worn to cover the lower part of the body that is synonymous with the rural women, especially in the Javanese community.
4. UMNO (United Malay Nation Organization) is the political base for the social, cultural and economic assurance designated to the Malay society. The dominant party component in the *Barisan Nasional* coalition has governed the country, along with the other two components, namely MCA (Malaysian Chinese Association) and MIC (Malaysian Indian Congress),

since independence. Apparently, the institution plays a prominent role in shaping the Malay culture and politics particularly, and the Malaysian nation generally.

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Controversies in Stylistics: Leading to the Culmination of New Approaches

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ABSTRACT

The tremendous development of stylistics over the last four decades has brought about the growth of different approaches. As the essence of stylistics is integrating linguistics with literature, it has become a controversial subject particularly among literary critics and linguists. The dissension among scholars is a product of their own research in and therefore grounded in solid empirical study. Thus, the article discusses various approaches as reported in the stylistics literature along with their respective strengths and weaknesses. Thus, the paper attempts to shed some light on the controversies of stylistics in general as well as the various approaches.

Keywords: Stylistics, literary critics, linguistic, controversies

INTRODUCTION

The field of Stylistics has evolved tremendously over the past four decades primarily due to parallel developments in linguistic theories. Essentially, Stylistics is an attempt to bridge literature and linguistics. This allows readers to comprehend, interpret and thus appreciate literature through linguistic analysis. According to Widdowson (1975), Stylistics is the study of literary

discourse from a linguistic orientation while Simpson (1993) and Verdonk (2002) state that Stylistics seeks to interpret literary texts through linguistic analysis.

Weber (1996) and Carter and Simpson (1989) detailed various developments in Stylistics pointing out that these transformations are generally attributable to the criticism Stylistics faced over the last five decades. These criticisms contribute to the teleological metamorphosis of Stylistics through postulation of various approaches in efforts address them (criticisms). This paper discusses the rationales that underpin the development of diverse approaches

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in Stylistics. It also intends to elucidate the critics' perspectives by means of the researcher's perspective in relation to their statements concerning Stylistics.

This paper will first highlight the interrelationship between the prevailing constructs and the emergence of new approaches as the shortcomings of the former led to the emergence of the latter as evidenced in the literature. Next, polemics within the field of Stylistics will be reviewed in relation to their impact on stylistics as a whole along with their role in mediating the evolution of new approaches in particular. Finally, the paper concludes with a brief summation on the net effect of these polemics on the Stylistics paradigm.

Essentially, the advent of new approaches to stylistics was a direct result of perceived weaknesses in Jakobson's Formalist Stylistics which he first postulated in his seminal paper, at the Indiana Style Conference in 1958. While scholars found this approach provided a framework for a thorough and systematic analysis of texts,

the actual interpretative process failed to establish linkages between the analytical and interpretative aspects. Attridge (1987) argues there is relatively a greater degree of paucity in relation to the reasoning dimension in Jakobson's approach. He further argued that the analysis of Formalist Stylistics approach is linguistically too formal on the one hand and it may not be relevant to literary analysis on the other. In his attempt to bridge this dichotomy as well as address the interpretative weaknesses in Formalist Stylistics, Halliday (1971) propounded the Functional Stylistics approach. Notwithstanding its merit of highlighting how meaning could be inferred by means of systematic choices of words, in direct contrast to previous approaches, the functionalist approach was nevertheless criticised for creating a certain 'world-view' in stylistic analysis. Fish (1969) critiques Jakobson's formula that the stylistics analysis, namely the analysis of style, produces an effect on readers in reading a particular text. He also contends that

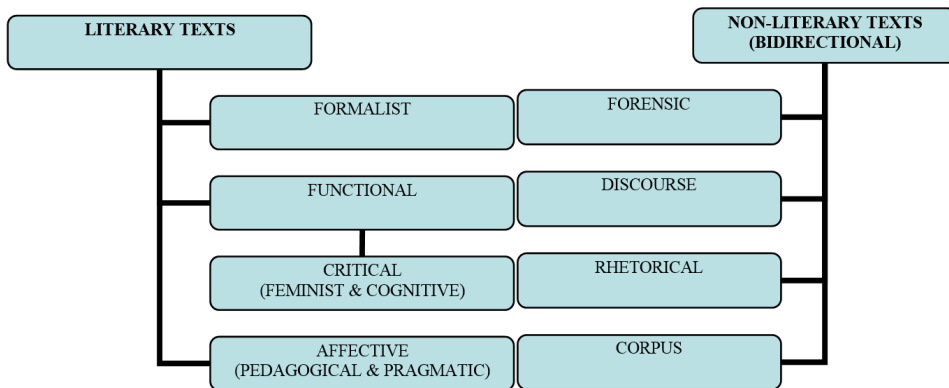


Figure 1. The Approaches to Stylistics.

Functional Stylistics cannot validate critical interpretations since it is an 'interpretive act' (Weber, 1996, p.2).

The perceived weaknesses of both Formalist and Functionalist approaches prompted Fish (1979) to propose Affective Stylistics to complement the two previous approaches. Relatively speaking, the affective approach was a reader-centred version of stylistics as the fundamental principles underpinning the approach emphasised the need to focus on the readers' assumptions, expectations and interpretive processes. Nevertheless, considering the fact that readers' response is a dynamic and evolving process, this was seen by scholars as a flaw, therefore, leading them to question the basic assumptions of the Affective approach.

Despite their underlying and obvious limitations, the formal, functional and affective approaches still reign supreme in modern stylistics, as these long-standing approaches are employed as core frameworks and act as guiding principles for new approaches. The limitations of Fish's Affective Stylistics led in the emergence of two diverse approaches, namely Pedagogical Stylistics and Pragmatic Stylistics. These two approaches emphasise the fact that stylistics analysis was centred on the content of a text.

Pedagogical Stylistics emerged in the 1980s. It accentuated that stylistic analysis constituted a method of textual reading. Proponents of this approach such as Widdowson (1973) and Carter (1986) highlighted its suitability for both native

and non-native speakers of the language. They went on to say that the approach also augmented the development of reading and writing skills while also sensitising its analysis to different uses of the language. Another feature of this approach was its focus on contextualisation with a wide acknowledgment from stylisticians that the former was an essential feature in textual analysis and interpretation.

In contrast, Pragmatic Stylistics emphasises contexts to draw attention to the fact that it (context) had a crucial role in stylistics analysis. This approach further posited that style was neither totally inherent in texts (the formalist view) nor totally resident in the readers' mind (the Affective view). Short and Pratt (1986) in advocating Pragmatic Stylistics nevertheless had different areas of foci. For instance, Pratt focused on speech act stylistics, which is concerned with what speakers say and their associated actions while speaking. In contrast, Short was more interested in pragmatics, for instance in the use of presupposition and inferences.

Critical Stylistics is a brainchild of Fowler (1986) and Birch (1989), founded on the principles of discourse analysis to demonstrate how language is used in social contexts. Drawing largely from Halliday's Functional Stylistics, this approach utilised analytical tools derived from systemic-functional grammar. Like Halliday, Fowler and Birch viewed language as a resource for meaning making; a social semiotic that constituted the 'reality' of the culture. However, diverging from their functionalist

heritage, they also emphasised the inherent complexities subsuming the relationship between language and ideology. As ideology is considered to be an essential textual component, social, historical, cultural as well as intertextual factors are taken into account in the meaning making process.

The concern of Critical Stylistics in ideology and representation culminated in the emergence of Feminist Stylistics, a prominent proponent being Mills (1992). As its name suggests, Feminist Stylistics is interested in unmasking patriarchal ideologies and denaturalising patriarchal assumptions. Halliday's transitivity is often used in the analysis. Basically, the analysis aims to critically examine the representations of women in literature and popular cultures.

Another approach which is dependent on Critical Stylistics for its foundational antecedents was Cognitive Stylistics. Sharing an affinity with the fundamental principles of Halliday's linguistics, Cognitive Stylistics is founded on explicitly constructivist assumptions. In fact, Cognitive Stylistics proponents like Freeman advocate a fixed correlation between form and meaning of texts. Meaning is perceived to be a relativistic ally inferential process that generates different interpretations, because different readers use different assumptions whilst deconstructing the text.

A marked shift from literary texts into non-literary texts has been seen in recent years. In response to Leech and Short's (2007) call for utilising literary text to better understand a discourse, Gugin (2008)

advocated Bidirectional Stylistics i.e., the opposite of unidirectional approach of 'classic stylistics' for the analysis of literary text. In advocating this stylistics, he highlighted some strengths of it, such as its contribution to a better understanding of how literary works can be fully utilised to strengthen and further enhance our understanding of how particular linguistic structures function in various discourses. In this regard, he made specific reference to the pragmatics of pseudo-cleft in the fiction of Flannery O'Connor and convincingly argues the interrelationship between the analysis of literary texts and non-literary texts.

In addition, stylistics has also been accepted in the legal fraternity with the advent of Forensic Stylistics. Also known as 'stylometry', Forensic Stylistics deals with the examination of style in legal cases particularly the authorship. In contrast to 'forensic linguistics' which examines all forms of language namely speech, choice of words among others, 'Forensic Stylistics' is mostly concerned with the written language of a given author. Specifically, 'Forensic Stylistics' determine identity of the author of a document in the legal profession. Kingston and Kate (2006) explicate that in 'Forensic Stylistics', there are three types of style being analysed, namely formatting (error in spelling, punctuation, syntax), rhetoric (choice of words, poetic style, idioms, etc.) and subject matter. The ultimate goal of 'Forensic Stylistics' is to determine the identity of a document's author. For instance, the case of 'Succession of Killingsworth' in 1973, where a will was found to be invalid

as the notary did not write the will. Instead, it was his secretary who reportedly wrote the will and this was evidenced by means of an inappropriate vocabulary used in the document: ‘*revenue*’ instead of ‘*residue*’, a mistake that an experienced lawyer would not make but a new employee receiving dictation would.

There are three other approaches in relation to the analysis of non-literary texts namely Discourse Stylistics, Rhetorical Stylistics and Corpus Stylistics. Discourse Stylistics serves the purpose of drawing specifically on techniques and methods of discourse analysis. On the other hand, an analysis being carried out with the purpose

of impressing or affecting others emotionally is known as Rhetorical Stylistics. Finally, Corpus Stylistics deals with the interface between corpus linguistic and literary stylistics.

The various approaches to stylistics, their inherent strengths and deficiencies and their relevant critics are presented in Tables 1, 2 and 3.

CONTROVERSIES

Generally, controversies pertaining to stylistics surround stylistics (in general) and the various approaches to stylistics. Polemics aligned with stylistics as a discipline stem from the fact that linguists in general are

Table 1
The Fundamentals

Approaches	Strengths	Weaknesses	Critics
Formalist (Jakobson)	Facilitates readers to analyse literary texts systematically.	Devoid of interpretative aspect.	Its weaknesses of interpretative dimension was criticised by Fish.
Functionalist (Halliday)	Facilitates both analysis and interpretation of literary texts by means of systematic analysis.	The absence of consideration for readers’ response.	Its complicated approach and the absence of readers’ response was criticised by Fish.
Affective (Fish)	Readers’ response is inherent in texts analysis.	Readers’ response was perceivably inconsistent.	The perceived ambiguity of readers’ response was criticised by Toolan and others.

Table 2
Modern Stylistics.

Approach	Strengths
Pedagogical	Useful in learning and teaching process (classroom); 1st or 2nd language contexts.
Pragmatic	Context is an important component in interpretation; analysis goes beyond the sentence level.
Critical	Ideology and representation is revealed through the analysis. The relationship between language and ideology is complex and indirect.
Feminist	Unmasking patriarchal ideology through critical examinations of the representation of women in literature and popular cultures.
Cognitive	Different readers make different assumptions in their processing of the texts because meaning is an inferential process, which leads to different interpretations.

Table 3
Non-literary Stylistics

Approach	Strengths
Bidirectional	Informs and illuminates linguistics and literature.
Forensic	Useful in resolving litigated questions relating to disputed authorship or meaning which has been used as an evidence on a wide range of legal cases.
Discourse	Focuses on the techniques and methods of discourse analysis.
Rhetorical	Persuasive to audience.
Corpus	The interface between corpus linguistics and literary stylistics.

unable to fathom the relevancy of utilising linguistics in the field of literary analysis.

In contrast, polemics regarding the various approaches are attributable to the different perspectives of different proponents in stylistics who hold divergent views in relation to the theoretical underpinnings of the principles associated with a particular approach. Hence, the notion of ‘objectivity’ and ‘scientific’ as propagated by Carter, Short, Simpson, Van Peer and Freeman often colour these polemics in an attempt to accentuate empiricism and logic while downplaying subjectivism. In these erudite exchanges, the functionalist approach is often subject to intense scrutiny and critique, as it is the most dominant and influential approach in the field of stylistics.

POLEMICS ON STYLISTICS AS A DISCIPLINE

Although the arguments raised by Fowler-Bateson are somewhat obsolete, it is nevertheless important to explore and be acquainted with its contents as it constitutes an important element of linguistic criticism. Fowler posits that the emergence of stylistics compels the need for a reappraisal of

contemporary ‘literary criticism’ as ‘it needs to be considerably modified if there is to be a successful interface between linguistics and literature’ (1975; in Birch, 1989). He further expounds that since the systems of literary knowledge are encoded in the structure of language, such a reappraisal and realignment are mandatory in order to mediate theoretical dichotomies that may arise with the advent of stylistics.

Unsurprisingly, literary critics chastised Fowler’s bold statement. Vendler, in reviewing Fowler’s ‘Essays on Style and Language’ (1966), expressed her disagreement with Fowler’s statement that systematic linguistic analysis would inevitably redefine prevailing literary criticism frameworks:

If linguistics can add to our comprehension of literature, someone trained in linguistics should be able to point out to us, in poems we already know well, significant features we have missed because of our amateurish ignorance of the workings of language. (Vendler, 1966)

Vendler's response towards Fowler's proposition is born of a *weltanschauung* that views Fowler's proposition as something heretical and inimical to the field of literary criticism. As further evidence of this resistance to change, Vendler denigrates '... most linguists are-beginning students' (1966, p.458). This vehemence is underpinned by the presumption that since linguistics has only recently entered the world of literary analysis, the superficial analytical and interpretative endeavours of linguists are insufficient for linguists to be regarded as experts and on par with established literary critics (Simpson, 2004). Vendler's invective however does not account for the fact that linguistic criticism was not designed to supplant the role of literary criticism but rather complement the existing paradigm. In other words, it is merely an effort to offer an alternative method in the critical reading and interpretation of literary texts utilising linguistic 'toolkits'.

Bateson, a contemporary of Vendler, also entered the fray by appending a postscript to the review in which he questions the usefulness of linguistics in literary interpretation. In providing a definition of literature in response to Fowler's 'linguistic criticism', he avers that:

A work of literature is successful linguistically, the best words in the best order, when appropriate stylistics devices co-operate to unify humane value judgments, implicit or explicit, on some aspect of life as it is lived in the writer's own society.
(Bateson, 1966)

This provocative statement prompted Fowler to question the rationale for the utilisation of the word 'humane'; for the deliberate insertion of the word was rightly construed to infer that the 'scientificness' of linguistic analysis is not 'humane' and hence, irrelevant for application within the field of literary criticism. As a rebuttal, Fowler and other stylisticians reiterated that the scientific and systematic method adopted in their analysis did not constrain linguists from critically interpreting texts, as it did literary critics.

Bateson entered the fray by concluding that the study of language was not a requisite ancillary to the study of literature. This contradicted his earlier assertion that literature was fundamentally a successful work of linguistics. It thus, provided ammunition for stylisticians to respond that they had sufficient grounds for analysing literature by means of linguistic analysis.

Fowler and other stylisticians use linguistic approach to literature to understand and appreciate literature. Fowler asserted that not everyone can 'catch' critical thinking. It is through experience that someone can understand and interpret literary texts thus can be a literary critic. Not everyone can understand literature when encountering a text for the first time (Carter (Ed.), 1982).

Reading literature is different from reading other discourses especially reading it in a second or foreign language. For native speakers especially literature students, are "sensible" speakers and do not need much linguistic assistance. Reading literature

requires a lot of components to be examined: the style, points of view, theme, plot, and historical background, to name a few. Style is an important component of literature. Fowler and other stylisticians believe that style is not “caught”, but rather has to be learnt and taught. Moreover, style is not exclusively literary. This is because, one employs one’s own style of writing. The word “choices” convey one’s style. Style is something that we can see and study in other discourses as well. The concern of stylistics in the study of style brings into manifestation Discourse Analysis in stylistics where Critical Discourse Analysis emerges (Weber, 1996). Their concerns are similar to stylistics namely analysing texts linguistically. The difference however, lies on the texts analysed. While stylistics seeks to analyse literary texts, Critical Discourse Analysis analyses other discourses such as media texts.

There is on-going debate between literary critics and linguists as one believes a person is born a natural grammarian or literary critics and there is nothing in between. Therefore, they view linguistic criticism or stylistics as something impossible. This is due to the inability of literary critics to comprehend linguistic analysis. Literary critics fall short of grappling the linguistic competence that is required in understanding and appreciating literary works. They fail to see the significant role played by stylistics in helping shape the understanding and interpretation of texts, especially for students.

Stylistics may not be very helpful in the first language contexts. Nevertheless, it is proven that stylistics is very much accommodating in ESL contexts. Scholars claim that stylistics enables ESL students to understand literary texts (Short (1989), Mackay (1986), Wallace (2003), Carter& Long (1991), Shakila (2004) and Ganakumaran (2007). In comparison with native speakers, literary texts may pose a real challenge to ESL students because of their relatively weaker knowledge base of literature components. Hence, their literary competence may not be sufficient to comprehend literary texts as opposed to native speakers.

However, ESL students are equipped with the knowledge of grammar. This gives them an edge as well as advantage in understanding literary texts through stylistic analysis. This knowledge can be tapped into understanding literary text at a satisfactory level, even the difficult ones. Short (1989, p.6) stated that stylistic analysis has been of particular concern to the foreign-language learners (non-native speakers) as it has been seen as a device by which the understanding of relatively complex texts can be achieved.

Even though there have been many supportive statements on stylistics, the 20th century still witnesses arguments and critiques on stylistics. In 1993, Jean-Jacques Lecercle criticised the aims, methods and rationale of stylistics. He suggested that stylistics is not relevant, the discipline is ‘ailing’ and the 20th century would see the disappearance of stylistics in academic world. He added; ‘no one has ever really

known what the term stylistics means and hardly anyone seems to care' (1993, p.14). His denunciation of stylistics reveals that he is in total disagreement with stylistics.

However, considering the works being carried out within this domain along with the exponential pace at which this construct has been growing at the 21st century, one wonders if Jean-Jacques Lecercle was able to see the significance of stylistics. Simpson (2004) puts forward that in the 21st century, stylistics is much alive and well. Modern stylistics is flourishing and witnessed by the proliferation of sub disciplines where stylistic methods are enriched and enabled by theories of discourse, culture and society. For example, Feminist Stylistics emerged due to the manifestation of Feminist Theory in stylistics. Cognitive Stylistics emerged from Cognitive Psychology and Discourse Stylistics from Discourse Analysis (2004, p.2).

Furthermore, stylistics is taught and researched at departments of language, literature as well as linguistics at various universities all over the world. It is a valued method in language learning and teaching especially second language learners as the latter are exposed to the formal knowledge of language. Therefore, linguistic orientation is something that is applicable to second language learners. Stylistics is a discipline that is not only helpful in understanding literature, it also assists in developing one's critical skills; in particular, the systematic analysis of stylistic enhances learners' critical thinking.

CONTROVERSIES IN THE APPROACH

Functional Stylistics received its fair share of criticism and yet it is the most influential approach in stylistics. Stanley E. Fish (1981) in his paper 'What is Stylistics and why they are saying such terrible things about it?' criticised Jakobson's Formalist Stylistics and Halliday's Functional Stylistics in particular. He asserted that Functional Stylistics failed to include the readers' response in interpreting literary texts. He opined this was because readers' response is an important element in understanding literary texts.

He posits Halliday's functional grammar as complicated and involves a lot of functions and categories resulting in meaningless analysis. Halliday develops three principal language functions, namely *ideational*, *interpersonal* and *textual*. These three principals are interrelated. *Ideational* is the expression of content while *interpersonal* is the expression of interaction and *textual* is the expression of situation through coherent texts. Halliday regards 'language as social semiotic'. Language is an entity that is concerned from a sociological perspective; language is a social entity. He further explicates that communication is carried out from the texts. Therefore, social systems motivate the language code and not the mind (Halliday, 1978; Birch, 1989; Weber, 1996).

Fish (1981) then clarified that Halliday succeeded in putting the words into categories and functions, but failed in interpreting the texts. He believed the

explanation of the meaning is not the capacity of syntax to express it, but the ability of a reader to confer it. Therefore, readers' response is of great significance in understanding a text. Thus, he called for a new approach - Affective Stylistics.

Toolan (Weber, 1996), in his paper 'Stylistics and its discontents' and in efforts to get off the Fish 'hook', elaborated and discussed the Functional Stylistics with the aim to unwind Fish's argument. He posits that Fish's Affective Stylistics is unreliable as Fish put forth that all competent users of language share a remarkably complex interrelated and interdependent set of interpretative conventions for expressing and constituting their shared world. Toolan argues that this is the grammar that no grammar or linguistics book has ever adequately captured. Essentially, Fish is aware of the weaknesses of his argument (related to readers' response) since he later proposed a notion of 'interpretive community'. However, Toolan vehemently contested his notion of 'interpretive community', calling it ambiguous because he failed to explain on '...what these "interpretive communities" are, where they are, how they are constituted, influenced and changed' (Toolan in Weber, 1996, p.126). Fish's proposition is much more complicated. This is because not all competent users of language share the same language constraints as fluency varies from one learner to the other.

Halliday's functional approach has been used widely in the modern stylistics. A lot of new approaches to stylistics branched

out through this functional approach. According to Simpson (2004), over the years, stylisticians have returned regularly to the transitivity model in their analysis of text and especially in their analyses of narrative texts. Halliday's study is important owing to a number of reasons. Simpson then suggests that Halliday should have illustrated well on the usefulness of stylistic analysis in exploring literature and language. Halliday's approach also successfully shows how intuitions about a text can be explored systematically and with rigour using a retrievable procedure of analysis.

Recently, O'Halloran (2007) in her paper 'The Subconscious in James Joyce's 'Eveline': a Corpus Stylistic Analysis that chews on the 'Fish hook' intended to counter Fish's argument on the arbitrariness and the circular analysis of stylistics. She studied the 'subconscious' in 'Eveline' using a corpus-informed stylistic analysis. The method used is a combination of Halliday's transitivity analysis with corpus-informed formal analysis by Stubbs (2001). The study shows that stylistic analysis is neither as circular nor arbitrary as claimed by Fish. Corpus-informed stylistics is proven to reduce the arbitrary as well as circular attributes of stylistic analysis. The rebuttals from stylisticians on Fish's attack has proved important in helping shape the way stylisticians think about the connections between analysis and interpretation.

Another argument on the approach of stylistics is conceived in 1996, where Mackay critiques the 'objective' and 'scientific' approach of stylistics in his

article 'Mything the Point: A Critique of Objective Stylistics'. He criticises the 'objectivity' and 'scientificness' of stylistics proposed by Carter, Simpson, Van Peer and Freeman. Like other stylistic analysis, the aims of its model and framework are to be retrievable and systematic. Mackay argues that the terms 'objective' and 'scientific' are not useful in stylistic analysis. The 'scientific' method of stylistics, which he refers to the frequencies, is unreliable for it is not liable in interpreting literary texts.

Mackay explains that 'word count by itself would prove nothing because words are not definable in numerical terms' (1996, p.3). Therefore, he posits that the style of an author is not the frequencies of the words used. Stylisticians cannot draw a conclusion on the frequencies of words used in a text. The frequencies are just the word choice, and can never be foregrounded as the style of the writer. It should be seen the other way around. This is because the writer's words choice marks his or her style of writing. Therefore, frequencies are accountable in interpreting literary texts. Mackay (1996) also suggests that the approach that is proposed by the stylisticians is by accident can be viewed as 'objective' and 'scientific'. He suggests that their approach is not even a design.

In order to respond and particularly to counter Mackay's arguments, Short, Freeman, Van Peer and Simpson published an article entitled 'Stylistics, Criticism and Myth representation Again: Squaring the Circle with Ray Mackay's Subjective Solution for All Problems' in 1998. Their

purpose is to explicate on the 'objective' and 'scientific' term that is used in stylistics. The objectivity and scientificness of a stylistic analysis can be seen through the retrievable and systematic model and framework. Therefore, there is no doubt that the stylisticians' approach is not an accident as claimed by Mackay but design.

These stylisticians also suggest that Mackay has misconstrued what stylisticians had originally said about 'objectivity' and 'scientificness'. They explain that Mackay believes 'objective' must mean something like 'true for all the time'. However, his notion of 'objective' is something that no scientist and stylisticians would agree upon. For stylisticians, 'being objective means to be detailed, systematic and explicit in analysis'. This does not mean that the analysis should be true for all the time. Stylisticians aim to transmit explicit and empirical analyses 'which open for all to see and find fault with'. They believe that 'understanding is always provisional, and can always in principle be revised and improved' (1998, p.5).

In addition, Mackay's critique is not really new, but 'merely one in a tradition of ill-considered complaints'. Stylisticians have been subjected to various arguments and critiques on the objectivity and scientificness of stylistics over the last 40 years or so. Mackay is continuing the tradition of literary critics such as Vendler, Bateson and Lecercle to name a few, in criticising the objectivity and scientificness of stylistics approach. The critiques and arguments on the objectivity

and scientificness of stylistics analysis can be considered dated.

CONCLUSION

Based on the foregoing discussion, it appears that these controversies play an important role in the development of stylistics. The critiques and arguments warrant stylisticians to continuously explore and consistently improve their approaches. As any other discipline, be it linguistics or others, it is through constructive advice, arguments and critiques by scholars at either within or across disciplines that help it to reach what it is presently. Similarly, stylistics too is subject to such conventions. As can be seen, the controversies within each style and approach have sparked the advent of improvised stylistics such as Critical, Feminist, Cognitive, Discourse, Corpus, Rhetorical, Forensic and Bidirectional. Thus, the success of stylistics in infiltrating other fields and in contact with other research paradigm is proven.

The flourishing development of stylistics from the 20th century through the present shows that stylistics is a subject and field that had attracted the attention of many academicians (Simpson, 2004). Therefore, stylistics remains liable, practical and essential in understanding texts, literary ones in particular. It should be noted that the long-standing dispute as evidenced in the controversy between literary criticism and linguistic criticism would not just stop here. Literary critics, with experience and vast knowledge on literary criticism will not be able to see the usefulness of

linguistic analysis in literary studies. This could be perhaps due to their lack of formal knowledge of language or their refusal to admit that a new rival has emerged. Stylistics, in fact, has opened the world of literature to anyone and everyone in reading, teaching, analysing and thus appreciating literature.

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Factors Contributing to the Survival of Standard Arabic in the Arab World: An Exploratory Study

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ABSTRACT

In recent years, a number of scholars have raised concerns about the possible negative consequences of globalisation including the threat posed by its spread and the subsequent spread of English to native languages (Eckert et al., 2004; Mufwene, 2005). Within the Arab world this has been an increasing matter of concern since at least the post-2001 era, with the place of English in Arab societies a cause of popular and academic concern (Karmani, 2005; Azuri, 2006). Debate over threats to Standard Arabic however, are also informed by a number of additional factors including the language's diglossic nature and the deteriorating quality of Arabic education in schools. This paper explores the factors that both support and challenge the continued survival of Standard Arabic in the region. In order to examine this in an exploratory manner, 35 teacher and student native speakers of Arabic at Oman's only public university were administered a four-question questionnaire while 50 participants maintained a reflective journal. Results indicate that participants rarely used Standard Arabic in their daily lives although they believed the language would continue to survive in the foreseeable future. Potential challenges to Standard Arabic's survival were identified as including the increasing pace of globalisation and English's importance in both the international context and in Arab societies, while factors supporting its survival were mostly associated with Arabic's strong associations with Islam and Arab heritage. Implications of these findings for the language's survival are discussed.

Keywords: Modern Standard Arabic, dialect, diglossia, globalisation, language replacement, language death

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INTRODUCTION

In recent years, a number of warnings have been raised against the possible negative consequences of globalisation and the threat posed by English to native languages (Eckert et al., 2004; Mufwene, 2005). These warnings have certainly been heard in the Arab world, although concern over the survival of Standard Arabic has also been aggravated in the region by other factors including Arabic's diglossic nature and the deteriorating quality of Arabic education in schools. Although a number of scholars have argued that the intimate links between Arabic, religion, and cultural identity mean that English only offers a muted threat to the language's continued survival (Mazrui, 2008), this is a supposition that is only now starting to receive direct investigative attention. This is especially true in the Arab nation of Oman.

Like every other member-nation of the Arab league, Oman uses Standard Arabic as the official language. However, there also exists a number of other languages and dialects used by Omanis in different regions of the sultanate (Baker & Jones, 1998; Peterson, 2004a, 2004b). Despite the prevalence of languages such as Baluch, Kiswahili, Persian, the languages of the subcontinent, and English as an unofficial but widely-used lingua franca (Al-Issa, 2007; Altbach, 2010), Standard Arabic is taught in all schools and the language is a significant part of Omani identity (Valeri, 2009). However, Standard Arabic is not used in daily speech in the country, with Omani

dialects instead employed in almost every informal situation in which Arabic is used.

Within this context, the exploratory research sought to examine native Arabic speakers' beliefs about the potential survival of Standard Arabic in the Arab world. In order to achieve this, Arabic-speaking student and teacher participants from Oman's only public university were administered two data collection instruments – a questionnaire featuring four items and a reflective journal activity. These instruments focused on both the factors that support and threaten the continued existence of Standard Arabic.

LITERATURE REVIEW

Threats to Standard Arabic

Due to its links to globalisation, English has become the world's dominant language of communication (Sinno, 2008). It is the language of science, commerce, technology, politics, education and communication. In addition, it is the dominant language on the Internet, and is used in a variety of contexts for communication between people whose native language is not English. With the widespread use of English around the globe and its frequent use in communication has come a fear that local cultures and languages may be endangered by this "killer" language (Skutnab-Kangas, 2000). Warschauer, El-Said and Zohry (2006), discussing English's dominance as the global communication tool of the Internet, state that a widely-held fear during the earlier days of Internet expansion was that other languages would be "crowded out" of

global communication exchange. This is a concern commonly associated with almost all forms of communications technologies and one that has led to predictions of increasing rates of language death as the pace of globalisation increases. While English's links with globalisation and the spread of technology are often discussed in outer and expanding circles such as those of the Arab world, within Arab countries, Standard Arabic also faces a number of additional challenges.

Primary among these is Arabic's diglossic nature. Diglossia is the linguistic phenomenon of a sociolinguistic situation where there is normal use of two separate varieties of the same language, usually in different social situations. Across the Arab world, Colloquial Arabic, or the dialect, is used in homes or other informal situations, while Modern Standard Arabic is used in formal situations or formal functions such as politics, government, the media, and at educational institutions (Al-Mamari, 2011). Adding a layer of complexity to this situation, Classical Arabic is used as the language of the Qur'an and of Islamic worship. Therefore, while colloquial Arabic may not be intelligible to speakers of different regions or nationalities, Standard Arabic will be and educated Arabs of any nationality may be assumed to speak both their local dialect and Standard Arabic learnt at school.

The threat that comes from this is related to the fact that Standard Arabic is not often used in everyday communication across the region. Since illiteracy remains

an important societal issue in many parts of the Arab world with, for example, Magin (2010, p. 8) reporting illiteracy rates of between 10% and 60% among adult populations of Arab countries, it follows that illiterate populations are unable to speak the Standard Arabic that is not used in everyday interactions but that is largely confined to the classroom. In addition to this concern, the increasingly centralised role that English plays in education systems, media, private enterprises, hospitals, and even the ministries of many nations of the Arab world (Charise, 2007; Randall & Samimi, 2010), means that Standard Arabic's links to academic, professional, and social success may be weakening. This is a contention supported by Findlow's (2006) description of the linguistic landscape in the UAE, with Arabic in the country associated with tradition and religion, and English with internationalism, enrichment, and material prestige. For these reasons, English has become a dominant language in communication among the educated and the elite in many Arab countries and even acts as an unofficial second language and/or dominant lingua franca in a number of nations across the region (see Charise, 2007; Randall & Samimi, 2010) including Oman (Al-Issa, 2007; Altbach, 2010).

Exacerbating the issues of English's dominance and wide scale adult illiteracy (Magin, 2010), the school systems in many Arab countries do not seem to be doing a good job with teaching Standard Arabic (Guttenplan, 2012; Bani-Khaled, 2014; Hamzaoui, 2014). Standard Arabic is the

language of schoolbooks and the official language of instruction in Arab schools. However, the leap from the colloquial use of Arabic at home and in wider society to Standard Arabic at school results in a situation in which, according to Hamzaoui (2014), “Arab pupils are required to suppress most of their habitual speech while trying to acquire a new set of rules once in contact with school” (p. 13). As a result of the struggles, these students often face with the transition to formal education, Hamzaoui claims that teachers usually adopt one of two conflicting practices – intentionally neglecting all colloquial forms of the language, or using these colloquial forms to ease communication and instruction. This can lead to confusion among learners about the different varieties of Arabic and can result in the lack of demarcation between them and their subsequent misuse.

Moreover, the fact that classical and standard varieties of Arabic are not widely spoken in everyday situations can make them sound like foreign languages that are taught in schools and used for religious observance but are not present in the community or in learners’ surroundings. Such a situation has contributed to the difficulty many pupils face in mastering Standard Arabic in both its spoken and written forms (Maamouri, 1998). For example, writing about the language situation in Egypt, Warschauer et al. (2002) contend that “the country’s low rate of adult literacy - 52.7% according to the United Nations’ Development Program (2000) - stems in part from the difficulty that Egyptian children have in mastering

a written language that is at large variance with its spoken variety” (p. 2).

To illustrate this point, Warschauer et al. (2002) report that Classical Arabic - what has been termed as Standard Arabic in the current paper - was seldom used in Internet communication; this is based on a research survey of 43 Egyptian professionals. In fact, 82.5% of the formal electronic communication performed by respondents was exclusively in English. An interview with four participants revealed that their dominant use of English was a result of the demands at their workplaces. The authors also reported that respondents’ informal e-mails featured code switching between Egyptian Arabic and English while participants reported using Romanised Egyptian Arabic - that is, Egyptian Arabic written in English letters - in those few cases where Arabic was used.

As the above illustrates, there are a number of potential threats to the continued survival of Standard Arabic. However, despite the threats posed by globalisation, English, illiteracy, diglossia, and poor Arabic teaching standards, there are, nonetheless, several factors that are commonly held as supporting the continued existence of Standard Arabic.

Support for Standard Arabic

Arabic is the largest member of the Semitic language family and, according to some estimates, it is spoken by around 280 million people as a mother tongue in the Middle East and North Africa with 250 million speaking it as a second language –

even if these figures have been challenged by authors such as Salameh (2011) on the basis of difficulties with defining what an “Arabic speaker” actually is. The three main variants of Arabic, as discussed above, are Classical Arabic, Modern Standard Arabic, and colloquial or dialectal Arabic. Arabic has a rich tradition, and Classical Arabic was the language used during the period spanning from the pre-Islamic era (Jahiliyah) to the times of the Umayyad dynasty rule. Classical Arabic is very rich and expressive and is well known for the beauty of its expressions and sounds. It is the language of poetry and prose of that period, and the Arabs of that time were known for their eloquence, verbosity and vibrant oral culture (Ashour, Berrada, Ghazoul, & Rachid, 2009). Their stories, storytelling and poetic verses spread by word of mouth and were committed to memory and people memorised thousands of verses and related them in their gatherings and in royal courts.

Arabic is the language of the Qur’an and has subsequently acquired a strong association with Muslims and the Islamic religion. All recitations of the Qur’an are done in Classical Arabic irrespective of the worshipper’s nationality. Though not all Muslims speak Arabic, they nonetheless learn to read the script and recite the religious text. The belief that no translation can really do justice to the meaning conveyed in the Qur’an through Classical Arabic has encouraged Muslims around the globe to study the language. The virtue of reciting the Qur’an and knowing it by heart, and the blessings that God promised to bestow

on the person who recites and commits it to memory, has provided a very strong motivation to devout Muslims to keep the language alive.

The Holy Qur’an, no doubt, has a very important impact on the survival of Arabic in both its classical and standard forms. Omran (1988) describes the relationship between Islam and Arabic as “unique” as, when Islam spread through different countries of Arabia and Africa, it helped the spread of Arabic as well. Muslims believe that God has promised to protect the Qur’an from change. This implies the protection of the language in which it is written – Classical Arabic. Since Classical Arabic bears a great deal of similarity to Standard Modern Arabic, it can be argued that the latter also stands a better chance of survival. The study of the Qur’an and the sayings of the Prophet have yielded many religious sciences such as “tafseer” (exegesis or commentaries), “fiqh” (Islamic jurisdiction), and “seerah” (the recording of the Prophet and His companions’ lives). The Muslim library is rich with books on these and many other subjects and this heritage can be argued to help protect the Arabic language from loss and attrition.

In the heyday of the Muslim civilisation and during the Umayyad Caliphate in particular, the ruling caliphs turned their attention to the sciences, philosophy, and the literature of countries that came under Muslim rule. To avail themselves of the knowledge stored in the ancient books of the Greeks, a translation movement began in the 8th century (Al-Khoury, 2009). The Bayt al-Hikmah, or the House of Wisdom,

was established by Caliph Al-Ma'mun in Baghdad for research and translation (Ofek, 2011). This movement lasted for more than two centuries during which science and scholarship were made available in Arabic. People from all over the Islamic world, including non-Muslims, participated in the translation process. Not only did they translate, but they also added new knowledge and corrected errors of the original authors. Scholars around the world studied science, medicine, mathematics, and physics through the Arabic medium.

However, Arabic lost its pre-eminence as the language of science after the Mongol sacking of Baghdad in 1258 (Maziak, 2008). The Mongols destroyed the great libraries of Baghdad and brought about the end of the translation effort that had done so much to store the knowledge of the ancients. In addition, the Reconquista of the Iberian Peninsula and the European taking of the libraries of Toledo and Cordoba meant that much Arabic knowledge was also entering the West. Over the coming centuries, Arabs were largely to turn their backs on science and European countries and languages gradually again came to the forefront of scientific developments (Lewis, 2002; Ofek, 2011).

Culture, Language and Identity

Heaven and Tubridy (2003) define culture as “the ensemble of practices -linguistic, stylistic, religious, etc. that together form a way of being for a given social community” (p. 153). Ethnic and national cultures colour

the identities of the people belonging to them. According to the authors:

Physical characteristics, styles of dress and behavior, language and communicative accents, and numerous other distinguishing phenomena, act as symbolic triggers in practices of cultural interpretation that attribute collective characteristics to the members of a particular community in a way that locates them within relationships of class, gender, ethnicity and so forth (p. 153).

To illustrate this point, Heaven and Tubridy (2003) state that a specific accent of an individual can identify them as coming from a certain region and as thus having the characteristics associated with others from that region. Although cultures and identities are not prone to quick change, they are not static either. They evolve as a result of interaction with other cultures, identities, and languages. It is because of their dynamic nature that the threat of cultural deracination – or of losing one culture due to the influence of another – is born (Phillipson, 1992). As discussed above, this may especially be a cause for concern in the Arab world, with Arabic described by Findlow (2006) as the “culturally weaker” partner in the English-Arabic dual-language infrastructures that exist across the region.

As this suggests, language is not just a linguistic system of signs, symbols, and a means of communication, it is also an

identity marker for the users. A language is rooted in the social and cultural milieu of its speakers and reflects their identities as individuals and as members of a group (Byram, 2006). As highlighted above, the Arabic language is essential to Arab identity. In addition to connecting Arabs all across the world, it also sets Arabs apart from the non-Arabic-speaking world. Therefore, Standard Arabic is an important contributor to the pan-Arab ideal of “internal cohesion” among Arabs and the external distinction of them as one “nation” apart from others. Arabic dialects, moreover, act as important identity markers among nationals of the same country and also help to establish external distinctions from people belonging to other countries - including other Arab countries.

Thus, Standard Arabic could be argued to cut across national boundaries and serve as both the language of communication and as an important identity marker among Arabs the world over. The connection between Standard Arabic and Arab identity was perhaps most prominent during the struggle for independence that many Arab countries experienced against their European colonisers. Standard Arabic was often associated during this time with President Nasser’s call for pan-Arabism (Danielson, 2007), while pride in Arab national identity was in evidence in the way mosques, social and civil societies and associations operated to taught in Arabic the different branches of religion in the face of often adverse colonial language and educational policies (Saadi, 2009).

The Arabic language therefore, has faced many challenges in its long history and has despite these, remained remarkably resilient. The language’s links to culture and religion, its suitability for storytelling and other verbal arts, and its ability to mark Arabs as one “nation” despite geographic dispersal and frequent civil and international discords, all contribute to the language’s survival. However, it could be argued that many of the challenges facing the language today are of much greater complexity than those encountered in the past. For these reasons, the current research attempted to examine native Arabic speakers’ opinions about the factors that support and challenge Standard Arabic’s continued survival.

THE STUDY: DESCRIPTION AND METHODOLOGICAL CONSIDERATIONS

As the above demonstrates, many Arabs appear to be increasingly concerned about the survival of Standard Arabic. They fear that globalisation, English’s increasingly central role in Arab societies, the detachment of both the elite and the illiterate from Standard Arabic, poor educational standards, and the weakening of Arab nationalist ties, might combine to reduce the language’s chances for survival. Given this level of concern, the current research aimed to explore the opinions of native Arabic speakers about the factors that both support and challenge the continued survival of Standard Arabic. The paper attempts to answer the following questions:

1. What are participants' attitudes to the use of Standard Arabic?
2. What factors do participants believe may influence the potential survival of Standard Arabic?
3. What influence, if any, does English have on the survival of Standard Arabic?

To address these questions, two data collection techniques were employed. The first was a questionnaire featuring two closed and two open-ended questions. The closed questions asked participants whether they used Standard Arabic in their daily lives and whether they believed the language would survive in the foreseeable future. These binary choice questions were complemented by two open-ended questions. The first asked participants about the factors they believed support Standard Arabic's continued survival and the second inquired about the factors that may threaten its survival. The second data collection technique was a reflective journal entry activity asking participants to reflect on how, if at all, English impacts on Standard Arabic.

The questionnaire was distributed to a sample of students and faculty members at Oman's only public university. Although students and teachers represent only one of the groups in Oman society that are likely to use Standard Arabic for professional and/or academic purposes, these participants formed a convenience sample for the researchers that was deemed appropriate for fulfilling the exploratory purpose of the research. Faculty members were

approached through visits to their offices at the research site to request their participation while students were recruited over two consecutive semesters (Fall semester, 2014 and Spring semester, 2015) during regular class time for both research phases. Fifty students and 15 faculty members agreed to take part in the questionnaire phase. After a two-week data collection window for this phase, 35 native speakers of Arabic (20 students and 15 instructors) from nations across the Arab world had completed and returned the questionnaire. Fifty students volunteered to take part in the second research phase with all participants who agreed to keep reflective journals as part of their course work submitting these at the end of the semester. Thematic analysis, with a focus on frequency of responses and the relationship between response themes and those highlighted in the literature, was employed to analyse data.

FINDINGS

The questionnaire's first closed question asked participants whether they used Standard Arabic in their daily lives. 82.9% of respondents indicated that they never used Standard Arabic in their daily lives, while the remaining 17.1% claimed they only used the language in formal situations. Despite this limited use of Standard Arabic in daily interactions, participants nonetheless, remained optimistic about the language's future. That is, around 88.5% indicated in reply to the second closed question that they believed Standard Arabic would continue

to survive in the foreseeable future, while the rest expressed doubt that this would be the case.

The questionnaire's open-ended questions inquired into the factors that might contribute to Standard Arabic's survival and those that may hinder it. Table 1 features factors participants identified as contributing to the language's continued existence (percentages indicate the number of participants identifying each factor). Participants identified 11 factors they believed would support Standard Arabic's survival, with three of these mentioned in more than half of all responses. As may be expected from the intricate links between Arabic and Islam, the two most frequently cited factors were related to religion. That is, participants believed the links between Arabic and the Qur'an (94%) and Standard Arabic being the language of Islam (82%), would support the language's survival. The third factor cited by more than half of respondents was concerned with formal education – Standard Arabic is taught in schools and at the departments of Arabic in almost all Arab universities in Arab countries (71%) – which was perhaps not surprising given both the university-bound nature of the sample and Standard Arabic's official status as a language of education in almost all Arab countries.

The four next most frequently offered factors participants believed would support Standard Arabic's survival were related to its function as an official language both across and within Arab countries and as a marker of identity. Responses included

the use of Standard Arabic in mass media, including in newspapers and magazines (49%), and its position as often the only officially recognised language across Arab nations (31%). Other responses included the status of Standard Arabic as a sign of Arab identity (17%), and its use as a facilitator of communication between Arabs (17%). Other factors that were mentioned only one time (3%) concerned Arab history and creative endeavours. These included Standard Arabic's reflection of the glories of past Arab civilisations, and the language's aesthetic and poetic qualities that have resulted in a rich literary tradition and achievements in creative writing and arts.

Table 2 features participant responses to the open-ended question inquiring about factors that may threaten Standard Arabic's survival. Unlike responses featured in the first table, only one factor here was mentioned by more than half of participants. This was, perhaps not surprisingly given fears of its potentially negative effects in the Arab world, globalisation (85%). Closely-linked with this, though only mentioned by around 46% of participants, was the potential threat of English's dominance both within Arab nations and internationally. The two next most frequently cited factors were mass media's abandonment of Standard Arabic in favour of local dialects and code switching (40%) and the multiculturalism (37%) of many Arab societies as perhaps most readily evident nowadays in the culturally-diverse nature of the Arab Gulf's largest cities.

Fourteen per cent of respondents also identified code switching between Standard Arabic and dialects, or between Arabic and other languages including English, as a potential threat to its continued survival, while the same number also maintained that the younger generation's lack of pride in Arabic was a potential concern. Following closely from this stance, participants claimed that a lack of effort to develop Standard

Arabic may also threaten it (11%), while 6% stated that the lack of strict rules prescribing the use of the language in official Arab organisations could also be a potential threat. Finally, one participant believed that Western stereotypes linking Arabs and, by association, Arabic, to terrorism and violence may be a threat to Standard Arabic's survival.

Table 1
Factors supporting Standard Arabic's survival

No.	Factors	Percentage
1.	The Holy Qur'an	94%
2	Standard Arabic being the language of Islam	82%
3	Standard Arabic is taught in schools and at the departments of Arabic in almost all Arab universities in the Arab countries	71%
4	The use of Standard Arabic in mass media and in the newspapers and magazines	49%
5	Standard Arabic is the official language of all Arab countries	31%
6	Standard Arabic as a sign of Arab identity	17%
7	Standard Arabic is used to facilitate communication among Arabs	17%
8	Standard Arabic is a language that has a glorious history and represents a great civilisation	3%
9	Standard Arabic is an aesthetic and poetic language	3%
10	Standard Arabic has a rich literary tradition	3%
11	Standard Arabic is the language of creative writing and arts	3%

Table 2
Factors threatening Standard Arabic's survival

No.	Factors	Percentage
1	Globalisation	85%
2	The dominance of English	46%
3	When mass media stops using Standard Arabic and instead encourages the use of dialects and code switching	40%
4	Multiculturalism	37%
5	Code switching	14%
6	Lack of pride in their mother language by the new generation	14%
7	Arabs do not work hard to develop their language	11%
8	There are no strict rules of using Standard Arabic in official organisations	6%
9	Western attitudes about Arabs and their association of anything Arabic with terrorism and violence	3%

Reflective journal entries were next analysed to explore what influence, if any, participants in this research phase believed English had on the potential survival of Standard Arabic. Fifty per cent of respondents maintained that English had a negative impact on Standard Arabic. A number of participants identified how English threatened not only the survival of Standard Arabic, but of many languages that it came into contact with. Responses here included, “I think English naturally threatens Arabic and even other languages since it has a predominant hand in different aspects of life in commerce, politics, science and otherwise”, and, “English is a threat for many languages especially the languages in multilingual societies. Arabic is one of the languages that is being threaten by English”.

Reasons for this potential threat captured in the reflective journals largely overlapped with findings from the questionnaire. For example, several participants identified globalisation as contributing to the marked presence of English in Arab societies while the language’s role as a gatekeeper of social success was also featured. These themes are highlighted in the following journal entries: “Globalisation and the new modernised small town are the main reasons why the new Arabian nations shift to speak English”, and:

Nowadays, English is one of the most important languages in the world besides being a sign of education and kind of prestigious and high state. As a result, many start to switch to English for a

purpose or even to show off until it become language mix that people cannot control.

In addition, participants also identified the impact of English on code switching as having potentially negative effects on the survival of Standard Arabic. One respondent even offered the example of Arabizi – or an English-Arab mix in both writing and speaking – as being of especial concern.

Despite this, around 32.6% of participants did not believe that English had a negative influence on Standard Arabic. Responses here were almost universally concerned with the strong links between Arabic, Islam, and Arab heritage. Journal entries that highlight this stance included, “I believe that there is not any power on Earth can take away my language or even my identity, and what I am convince is that sticking to traditions and keep using Arabic are one way to secure my language”, and, “Arabic language is the strongest language in the world because it is the language of Quran. Therefore, no language can destroy it or be a threat to it”. In addition to this focus on religion and culture, one respondent highlighted how they used English for instrumental purposes, thereby limiting the potential for cultural deracination – “English language is a tool not a purpose. We learn it to obtain and get something as a high education, a job etc.” The Muslim use of English for achieving instrumental purposes while limiting the possible effects of exposure to its “normative baggage” is one that has been widely reported in the literature (Dan et al., 1996; Kim, 2003).

The remaining 17.4% of respondents believed that English could potentially have a negative and/or positive effect on Standard Arabic depending on the situation. These respondents focused on English as only a threat in those situations where people chose, either deliberately or without active consideration, to use it rather than Arabic. Responses here included, “When I am not aware of the dangerous of making English my favourite language in speaking, reading or writing and use it most of the time. It will affect me from inside and change my attitude towards Arabic language”, and, “I think English can be a threat to the Arabic language if the person keeps using and replacing his conversation with English for no particular and practical purpose and stops reading or speaking in the mother language”. Finally, a handful of respondents maintained that the degree of value people assign to Arabic will also determine whether English can be a threat to the language’s survival: “Those groups who value the Arabic language will keep the status of this code high, yet those who do not appreciate Arabic language will be easy to them to switch for another language”.

DISCUSSION AND CONCLUSION

The current exploratory research examined issues associated with the continued survival of Standard Arabic in the Arab world. The vast majority of participants (82.9%) did not use Standard Arabic in their everyday lives. This finding may not appear surprising as Arabic dialects dominate almost every domain, including the home, interpersonal

relationships, and private enterprises, of the language’s use across the region, and Standard Arabic is often confined to formal educational settings (Magin, 2010). Moreover, even though participants were drawn from a formal educational setting, it should be noted that many of the colleges at this institution offer instruction in English only. For this reason, these participants who have left school – where Standard Arabic may or may not be used by their teachers despite the requirements of national curricula – may mean that exposure to those formal situations where Standard Arabic is used may be very limited. Despite this limited use of Standard Arabic in their everyday lives, it should be reiterated that almost all participants (88.5%) believed the language would continue to survive in the foreseeable future. These findings, therefore, suggest quite mixed attitudes towards Standard Arabic’s survival. That is, on the one hand, participants saw limited utility for the language in their daily lives, while, on the other, they believed it would continue to survive due mostly to its links to Islam and Arab cultural identity.

When asked to describe the factors that influence the potential survival of Standard Arabic, participants focused not only on the intricate ties between the language, religion, and heritage, but also on its official status in Arab countries and their education systems – even if Bani-Khaled (2014) reports that Standard Arabic may have a much looser grip on education in the Arab world than officially prescribed. The two most important factors that threaten the

survival of the language, however, were identified as the spread of globalisation and English's dominance. The spread of globalisation and English's increasingly dominant world role have been assumed by many to go hand-in-hand, while English, despite not enjoying an official status in most Arab countries, acts as either a second language or lingua franca across many parts of the Arab world (Charise, 2007). This concern was expressed in responses in both the questionnaire and the reflective journals, with half of all participants in the latter research phase maintaining that English did, in fact, represent a threat to the survival of Standard Arabic.

Although these findings offer a fascinating glimpse into native Arabic speakers' beliefs about the factors impacting on Standard Arabic's potential survival, it should be noted that this research was exploratory in nature and that the relatively small sample size and somewhat limited nature of the data collection techniques means that more research in the area, and especially research in Oman, remains essential. Moreover, the current research focused exclusively on students and their instructors and did not seek input from other groups who use Standard Arabic in their professional lives, such as certain government officials and those involved in the media.

Adding to these concerns, the fact that participants in the current research were all associated with a single public university means that institutional culture may have had an important influence on findings,

and that students and instructors from other tertiary-level institutions within Oman or across the Arab world would be likely to offer different results. For these reasons, further research could be conducted on larger student and teacher samples from a variety of tertiary institutions and/or on non-university bound populations across the Arab world while also seeking to use more extensive data collection and analysis techniques. By taking such an approach, future researchers could build on the current research by offering findings that policymakers, academics and other concerned stakeholders could use to inform decisions related to the preservation of Standard Arabic across the Arab world.

However, despite these potential limitations, it is perhaps fair to claim that participants in the current study believed Standard Arabic would continue to survive due to its links to religion and cultural heritage, even if they remained unlikely to use the language in their daily lives. This finding, therefore, implies that English and/or other languages will continue to expand their already prominent roles in many Arab nations, thus adding to the already diverse nature of the linguistic landscape in the region.

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Iranian EFL Learners' Perception of the use of Communication Strategies and Gender Effect

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ABSTRACT

One of the main factors which enhance learning and teaching a foreign or second language is communication strategies applied by learners in the learning process and instructors in the teaching process. This study investigated the perception of Iranian EFL (English as a foreign language) learners regarding the use of communication strategies in their English learning efforts. The study was also aimed at finding out if gender had an effect on the perception of learners regarding use of communication strategies. To do so, the researchers sampled 60 students and divided them into two groups, control and experimental group. Each group consisted of 30 students (15 males and 15 females). The researcher used Dornyei and Scott's (1997) inventory of CSs, which was a self-report questionnaire, as a data collection method. After analysing data by running a T-test statistical procedure, it was found that teaching communication strategies had significantly affected perception of the learners who reported more frequent use of communication strategies (mean for control group = 15.69; mean for experimental group = 19.93). Moreover, data analysed using a chi-square depicted that females outperformed males in the application of the communication strategies regardless of the treatment they received. The study indicated that teaching communication strategies to language learners, especially to males, is necessary. In fact, it can help the male learners to communicate more efficiently with their classmates and instructors and enhance their learning.

Keywords: Gender effect, English as a Foreign Language (EFL), Communication strategies, perception

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INTRODUCTION

Nowadays, people have to learn English speaking abilities to communicate with interlocutors who speak in a foreign language or to conduct international trade, diplomatic exchanges and the use of new technology. Since the Islamic Republic of Iran is playing an active role internationally, the ability to communicate in English clearly and efficiently could lead to the learner's success not only in the classroom but also in every phase of his or her life. In order to communicate in English, learning just basic skills in grammar and vocabulary does not contribute to a proper and effective communication. Learners also need communication strategies which enable them to communicate successfully and effectively in real life situations. Therefore, "speaking in a foreign language is very difficult and competence in speaking takes a long time to develop" (Alderson & Bachman, 2004, p. ix). "This is because speaking includes a variety of processes. Speaking involves acquiring knowledge of vocabulary and grammar, negotiating effectively and adapting to different contexts within cultural and social rules of the communication setting" (Wells, 1985, p.22).

Researchers have tried their best to find a solution for a successful language learning. Among them, educational researchers have pointed out that those learners who take advantage of their learning are successful learners. One method for autonomous learning is the use of language learning strategy taxonomies among which communication strategies are an important

component. Communication strategies are those strategies that are employed by learners when there is insufficient knowledge about a language which is learnt. Communication strategies help learners to have a better understanding of themselves. To offset any inadequacies in grammatical ability especially in vocabulary, learners try to use communication strategies. The quality of communication is determined, maintained and improved through the aid of communication strategies. Thus, communication strategies create some opportunities for using the target language and also create a chance to test the learners' assumptions about L2 (*what is L2? Is it "Second Language"*) to receive feedback. It seems that the learners are not able to take communications risks without such strategies. The current study attempted to answer the following research questions:

1. Does instruction of communication strategies affect the learners' perception on the use of communication strategies?
2. Does gender have any impact on the perception of Iranian EFL learners regarding the application of communication strategies?

LITERATURE REVIEW

In teaching and learning communication strategies, early research involved the definition and the classification of CSs. Selinker (1972) introduced the notion of communication strategies in his paper titled "Inter-language". "He included these strategies as one of the five central processes involved in second language learning" (p.

229). He suggested that inter-language in the second language learners' speech production is acceptable and supportable. However, he did not explain in detail the nature of these strategies used by learners in their communication. In the same year, Savignon (1972) emphasised the effectiveness of "coping strategies" applied in teaching and testing a second language. She used the term "coping strategies" in her study to refer to CSs. The articles of Selinker and Savignon provided the background for much of the following studies on CSs. An early example of CS was provided by Varadi (1973). At a minor European conference, he mentioned "message adjustment" as a strategy used by language learners. However, this article was not published at that time. In 1980, Varadi conducted a small-scale experimental research with a group of Hungarian learners of English to examine the strategies, especially message adjustment the learners used, when they had a gap in their communication. The results of Varadi's study indicated that in the target language, learners adjusted their messages based on the available communicative resources. His study therefore, was the first systematic analysis of strategic behaviours of second language learners.

The concept of CS was further developed by Tarone, Cohen and Dumas (1976) in their paper titled "A framework for communication strategies". They provided a framework in which the terminology of the learners' inter-language was described in order to represent categories of types of inter-language phenomena (p.4). They

identified four types of CSs commonly found in inter-language: phonology, morphology, syntax and lexicon (p.5). By drawing on the inter-language system of foreign language learners, Varadi, Tarone, Cohen and Dumas developed the framework and terminology of CSs which have been used as a starting point for later research in CSs. However, the first empirical and systematic study of CS was undertaken by Tarone (1977). She examined the CSs used in the speech production of adult language learners. Her study attempted to examine CSs of oral production completely by employing the terminological framework developed by Tarone, Cohen and Dumas (1976:p. 194). She proposed five basic CSs: "avoidance, paraphrase, conscious transfer, appeal for assistance and mime" (p.197). She also provided a definition and features of CSs as "Conscious communication strategies are used by an individual to overcome the crisis which occurs when language structures are inadequate to convey the individual's thought" (p.195). Tarone's framework has been considered the most important and influential in the literature and subsequent studies of CSs. It has been used for defining and classifying CSs found in second language learners' speech. In the early 1980s, the role of CSs was widely acknowledged in second language learning due to the seminal works of Canale and Swain (1980) and Faerch and Kasper (1983). According to communicative competence by Canale and Swain (1980), to overcome communication problems that have occurred as a result of shortage of knowledge in any

of the other sub-competencies, strategic competence use problem-solving devices. In fact, communication strategies are the problem-solving devices. In addition, they suggested teaching CSs in classroom and providing students the chance to use these strategies.

Another important work in the field of CSs is described in *Strategies of inter-language and communication* (Faerch & Kasper, 1983). In this book, many studies and papers on CS are collected and divided into three main parts: CSs definitions, empirical studies of CSs and problems in analysing CSs. This collection, therefore, provides a valuable contribution to the research in CSs. Following these two seminal works, many researchers in the 1980s published papers on the identification and classification of CSs, the issue of teaching CSs in the second language classroom and the factors that influenced learners' use of CSs. In 1980s, a group of researchers at Nijmegen University in the Netherlands also conducted a large-scale research on CSs. At that time, the Netherlands were the centre for research on CSs. Their studies shed light on various aspects of CSs such as definitions, classifications and theories of CSs.

Researchers in the 1980s had attempted to define, identify and classify CSs more systematically. They proposed various CS taxonomies based on their conceptual papers and research that they had carried out. In the 1990s, several important books and papers were published. One of the most important and influential works is Bialystok's book *Communication Strategies: A Psychological*

Analysis of Second Language Use. In this book, the definitions and theories of CSs proposed by Poulisse (1987), Faerch and Kasper (1983), Corder (1977) and other scholars in the field of CSs were discussed. The latter parts of this book explored empirical evidence of CSs used by children or adults in the first or second language in relation to language processing. In the last part, the issue of learning and teaching CSs are discussed.

The most important point Bialystok suggested was that the psychological process of speech production should be regarded as a basis for the study of CSs. She argued that language learners should be taught and practise language structure rather than strategies. Following the seminal work of Bialystok, researchers in the 1990s investigated CS application in relation to different proficiency level and teaching pedagogy of CSs. Their works have shed light on CS studies and provided theoretical contributions to the field at that time. Since then, the issue of CS instruction has received increasing attention from a variety of researchers.

Despite the controversy about CS instruction, many researchers have defined CSs, promoted CS application and supported CS instruction (e.g., Lam, 2004; Wen, 2004; Nakatani, 2005). Wen (2004) conducted empirical studies to investigate the impacts of strategy instruction among the learners who used communication strategies. Lam (2004) argued that it is possible and desirable to teach and raise learners' awareness of using CSs in oral communication. Nakatani (2005) also

supported the idea that language learners should be made aware of how to use CSs in their communication. As has been noted, a large number of researchers have recently paid more attention to the teachability issue of CSs as well as promoting strategy instruction. They have attempted to explore the effect of CS instruction on learners' strategic behaviour and competence.

Based on the argument in favour of teachability of CSs, the current study attempts to address this issue to provide new knowledge for this research area. Dornyei and Scott (1997) summarised the taxonomies and definitions of CSs suggested by researchers. The researchers had a classification of CSs in the extended taxonomy of problem-solving strategies which were based on the manner of problem-management that was related to the issue of how CSs help resolve conflicts and achieve mutual understanding (Dornyei & Scott). Direct, indirect and interactional strategies were three basic categories which were separated by researchers.

According to Dornyei and Scott (1997), direct strategies contain "an alternative, manageable, and self-contained means of getting the meaning across, like circumlocution compensating for the lack of a word" (p.198). Indirect strategies can't be considered exactly as problem-solving devices. "They facilitate the conveyance of meaning indirectly by establishing the conditions for achieving mutual understanding: preventing breakdowns and keeping the communication channel open or indicating less-than perfect forms that require extra effort to understand"

(p.198). Interactional strategies include a third approach, "by means of which the participants perform trouble-shooting exchanges cooperatively (e.g., appeal for and grant help, or request for and provide clarification), and therefore mutual understanding is a function of the successful execution of both pair parts of the exchange" (Dornyei & Scott, 1997, pp. 198-199).

Several researchers emphasised the teaching of communicative strategies in L2 instruction. Faerch & Kasper (1986, p.186) mentioned three activities in teaching communicative strategies. "These are (1) communication games with full visual contact between the participants and full possibilities for immediate feedback, (2) communication games with no visual contact between the participants but still full possibilities for immediate feedback (e.g., simulating a telephone conversation) and (3) monologue with limited or no possibilities for obtaining immediate feedback" (e.g., "two-minute talk").

Manchon (2000) suggested a two-step training scheme which summarises the instruction of CSs in second language including instruction and practice step. The instruction stage aims to enhance the learners' familiarity with communicative strategies in addition to showing how they can be used to eliminate the problems in communication. She believes that learners may become aware of these strategies in two different ways, inductively or deductively. A deductive way refers to direct explanation and modelling of strategies in the classroom while an inductive way refers to classroom activities and exercises or observing what

other learners do in communication and how other learners use these strategies to solve their problem in communication. Manchon (2000) noted that communicative strategies instruction will increase the learners' self-confidence when they try to resort to their first language in order to communicate in the second language.

A remarkable number of studies have found that females use more communicative strategies than males. For example, Holmes (1995) reported that females are more polite than males and that females use more communicative skills in verbal communication. Holmes made a connection between a greater use of communicative skills and politeness as using communication skills implies politeness. In another study, Holmes (1995) and Coates (1987) found that females outperform males in using tag questions as another communication skill. Moreover, females changed statements to questions more than males (Mills, 1995; Lemmer, 1996; Coates, 1996) because questions tend to generate a response. Furthermore, disclaimers, qualifiers and fillers were used more frequently by females (Lemmer, 1996). All these studies reveal that females use communicative strategies more than males. However, in an another study which investigated the application of communication strategies in email communication with male instructors found that male students used more communicative strategies (Abbasi et al, 2014).

MATERIALS AND METHODS

The population for the current study was Iranian EFL learners. However, selection of participants involved a two-step sampling procedure. First, based on a sample of convenience, Shiraz University was selected since there are many universities that offer EFL courses and it was not possible to take samples from each one of them. Second, purposive sampling was applied and all advanced level learners (senior students) from both genders were selected. Advanced learners were selected to ensure they had an appropriate level of English and sufficient learning experiences to enable them to present their perceptions of communicative strategies. The students selected had three years of formal English learning. Then, based on their final exam score in the previous semester, 60 learners whose scores were ± 1 SD from the mean were selected as our samples to ensure their homogeneity. The sample comprised equal numbers of males and females and was divided randomly into two groups of 30 students (15 males and 15 females). One group acted as the control group and the other as the experimental group. Fish and Ball's technique was used to assign males and females to control and treatment groups. Pre-testing, as will be explained later, was used to ensure the homogeneity of the sample.

This approach allowed us to determine the effect of gender on the use of CSs in an EFL context among a homogeneous and gender-balanced sample. To collect

data from participants in pre- and post-testing phases, the self-report inventory of CSs developed by Dörnyei and Scott (1997) was used. This inventory is a 33 item questionnaire (for 16 CSs), to which students are required to indicate the extent to which they applied CSs by responding on a five point Likert-scale where 1=never, 2=rarely, 3=sometimes, 4= often and 5=most often. The inventory's internal consistency value is 0.78 which is within the acceptable range ($0.8 > \alpha \geq 0.7$).

This study was conducted in three phases. In the first phase, a pre-test was administered to ensure equality and homogeneity of both groups. The treatment was given to the experimental group in the second phase and finally a post-test was administered in the third phase to determine if the treatment had made any difference in the report of CSs between the two groups. The procedure of how the treatment is presented is described below. Various models of teaching communication strategies have been proposed. In one model, an explicit style is preferred; in a second model, strategies are defined and taught separately; and in a third model, strategies are used in integrity. Other models try to integrate the communication strategies with language tasks without any preface.

Generally, the model of teaching strategies separately is much more preferable for the *start* than the model which teaches the strategies in integrity. The approach which was used here is based on Dörnyei and Scott's (1997) inventory of CS's. In this stage, the experimental group in addition to

its regular university curriculum (namely studying their course book) received a 15 session treatment of CSs while the control group continued with their ordinary weekly schedule without any additional programme. According to the university weekly schedule, three sessions would be held weekly, each lasting for 90 minutes.

It is necessary to mention that everything (except the treatment for experimental group) for the two groups including course book, time of the classes, materials, equipment and the teacher were the same to minimise the external factors which might affect the result. After the students in the experimental group had received the treatment, the researcher asked the participants of both groups to answer the self-report questionnaire again. The results obtained were statistically analysed using SPSS software by running a T-test and a chi-square.

RESULTS AND DISCUSSION

In order to answer the first research question, "does instruction of communication strategies affect the learners' perception on the use of communication strategies?", it was necessary to ensure homogeneity of the perceptions of participants of the application of communication strategies in both the control and experimental group. Therefore, the self-report questionnaire was administered to both groups before treatment. Table 1 shows the results obtained.

As depicted in Table 1, the mean score for the control group before treatment was 15.83 whereas it was 15.73 for the

experimental group. Although the mean score for the control group is a little higher than that of experimental group, the t-test showed this difference is not significant as p value is higher than 0.05 ($P = .0907 > 0.05$). Thus, it can be concluded that both groups are homogenous based on their perception of the application of communication strategies. It means that both groups had similar perception of the application of communicative strategies. Therefore, if any difference is found on the perception of learners after treatment, it can be safely attributed to the treatment. On the other hand, since the researchers tried to control everything that may affect the results except the treatment, lack of difference between the experimental and control groups before treatment and significant difference between the groups after treatment will show the effect of treatment in changing the perception of participants in experiment group. After teaching communication strategies to the learners, the self-report questionnaire was again administered to the students. The results are reflected in Table 2.

As depicted in Table 2, the experimental group (Mean=19.93) outperformed the control group (Mean=15.60) after treatment. As $P < 0.05$ ($.000 < .05$), this difference is significant. It confirms that teaching communication strategies to the learners made them aware of these strategies and helped them report the strategies more frequently and subsequently use them more frequently in communication. Therefore, teaching these strategies was positively effective. The study confirms the belief that the strategies should be taught to the

students in the beginning of semester to make them aware of these strategies. There should be a justification of how and how much of these strategies may improve their learning. If implemented well, it may increase the students' motivation to learn better and more thoroughly. This point was also highlighted in the study conducted by Kafipour, Nooreen and Pezeshkian (2010), Yazdi and Kafipour (2014), and Kafipour, Yazdi and Shokrpour (2011). Additionally, curriculum developers and book designers should pay more attention to these strategies in their material development to enhance learning and teaching. These strategies may be practised through adding some exercises to the work books used by EFL learners. To do so, EFL textbook evaluation process may be followed as suggested by Soori, Kafipour, Soury (2011).

To answer the second research question, "does gender have any impact on the perception of Iranian EFL learners regarding the application of communication strategies?", and to find out if the difference between the males' use of CSs and females' application of these strategies is statistically significant, the researcher employed descriptive statistics and the Chi-Square tests and the outcome is shown in the following table.

As shown in Table 3, the mean for male students (Mean=13.15) in the pre-test is lower than that of female learners (Mean=17.79). This is true in the case of the post-test in which the mean score for male learners is 14.38 while it is 20.35 for female learners. In both cases, the P value is smaller than .05 ($.000 < .05$). It shows that females

employed more communication strategies than males regardless of treatment. Thus, the application of communication strategies was gender-influenced. It depicts that females use these strategies more frequently than males. This is an important finding which highlights that male students need more attention regarding communicative strategies. Therefore, if sex segregation has been applied to the classes, the teachers' job may not be very difficult. They can work more on communicative strategies in male-only classes. However, if classes are mixed, the teachers' job may be a bit more difficult. They should decide how to work on these strategies as male students are more in need of them compared with female students. One of the solutions may be by assigning more homework to the male students to

encourage them to work on communicative strategies and which will ultimately benefit in their English learning. One reason female students use more communicative strategies may be due to cultural issues. In the Islamic Republic of Iran, females need to consider more ethical issues and more techniques to be able to establish a successful and effective communication. This may be why they employ more communicative strategies compared with their male peers.

CONCLUSION

The results of the current study supported the teachability of CSs. It was an approval of previous statements that were in favour of CS instruction regarding CSs as cognitive processes (Dornyei, 1995; Manchon, 2000; Lam, 2004; Wen, 2004; Nakatani,

Table 1

T-test for mean differences before treatment (pre-test)

Groups	Mean	SD	F	T	DF	Sig.
Control	15.83	3.14	.287	.117	58	.907
Experiment	15.73	3.46				

Table 2

T-test for mean differences after treatment (post-test)

Groups	Mean	SD	F	T	DF	Sig.
Control	15.60	3.24	6.34	6.04	58	.000
Experiment	19.93	2.21				

Table 3

Chi-square for mean differences between male and female learners

Test	Gender	Mean	SD	Sig.
Pre-test	Male	13.15	2.01	0.000
	Female	17.79	2.55	
Post-test	Male	14.38	2.15	0.000
	Female	20.35	1.63	

2005). As Oxford (1990) had reported, making the learners aware of the strategies will help them apply the strategies more consciously and more frequently. The current study confirmed this claim as the learners reported the application of more strategies after treatment. More frequent use of communication strategies by females is consistent with the outcome of other studies. In the previous studies, the impact of gender on strategy use was investigated along with different variables (Green & Oxford, 1995; Ghadesi, 1998).

The findings of the majority of studies showed females took more advantage of learning strategies than males (Politzer, 1983; Sy, 1994; Wharton, 2000). However, a study by Moazen (2012) showed that gender did not affect the application of communication strategies. The reason may be due to the learners' level of education and setting in which they were learning English as Moazen had conducted the study in an English institute where all the learners were high school students. It appears the setting (high school, university) affects the frequency of strategy use. It may be a good topic for further studies to identify the reason why setting affects the role of gender in the application of communicative strategies. Communicative strategies are interpreted as social events and are used for more than just the exchange of information.

In introducing a variety of functions of communication strategies, teachers can help their students to take risks and to use CSs in their conversation, that is, using all their available resources to communicate in the target language. One way is by providing

students with sufficient target language models. It can be achieved through listening to movie or audio files or even videos in which these strategies are frequently used and then try to determine, analyse and classify CSs used by native speakers in these materials (Yang & Gai, 2010). Besides watching movies, students can make short videos because student-generated videos cause them to be actively involved in producing the language they are learning (Khojasteh et al., 2013). We are still at the start point and more research should be done in the case of communication strategies.

However, this study has a number of limitations which should be considered when generalising the findings. First, the study applied a convenient sampling method and the subjects were selected from one university within a large number of universities that offer EFL programmes whether undergraduate or post graduate. Moreover, the researcher focused only on advanced English learners who had a good knowledge of English and sufficient experience of English learning. Therefore, the results cannot be generalised to all EFL learners with any level of English proficiency and exposure to English.

Based on the stated limitations, it is recommended that other researchers try to investigate communicative strategies for other EFL learners such as freshers, post graduate students and even high school students to see the differences in the application of communicative strategies among students with different level of English knowledge. The current study had tried to investigate perceptions of the

students which may be different from the application of communicative strategies in the real world. So, it is recommended that other data collection methods are used such as interviews, journal writing, and observations. Moreover, the current study had only considered gender. Other researchers may try to investigate the relationship between CSs and other variables such as personality type, motivation and attitude which may have a significant relationship with CSs.

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The Dynamics of Makean Ethnic Identity in North Maluku, Indonesia: A Possible Collaboration of Competing Approaches

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ABSTRACT

In studying ethnic identity, researchers frequently have to choose one among the three main approaches seen as competing in social sciences and ethnicity studies, namely primordialist approach, constructivist approach, and instrumentalist approach. This article attempts to examine whether the three competing approaches should be treated as mutually exclusive or on the contrary, be jointly used to contribute to our understanding of the phenomenon of ethnic identity. By using an ethnographic method with a phenomenological style and the relevant documents, in the context of the dynamics of Makeanese ethnic identity, the three approaches were found to support each other instead of competing. In this article, the elements of ethnic identity are shown to be partly primordial or given in a socio-cultural sense while others are socially constructed in accordance with the social transformation experienced by the Makeanese. The others - although based on primordial attributes and socially constructed processes - are made politically significant by the elite in the context of political competition. The theoretical implication of this finding is that all the three approaches - primordialist, constructivist and instrumentalist - should not be seen as competing or mutually exclusive approaches. In contrast, all the three approaches can jointly contribute to uncover the complex dynamics of Makean ethnic identity. This fieldwork supports the conclusion made by Chin and Lee (2010) that various theories of race and ethnicity should be seen as complementing instead of competing or substituting one another.

Keywords: Collaboration, constructivist, ethnicity, identity, instrumentalist, Makeanese, primordialist

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INTRODUCTION

Following the so-called “reformation movement” in Indonesia which overthrew president Soeharto in 1998, state and provincial authorities throughout the country suddenly became weak and unstable. As a result, primordial-based conflicts flared up in many provinces (Tadjoeddin, 2001). In October 1999, a new province of North Maluku, where 29 ethnic groups live, was established by the central government of Indonesia. In the same year, ethno-religious violence broke out between the Muslim and Christian communities which lasted until June 2000 (Wilson, 2005). Following the incident, another ethnic conflict broke out, as a result of the local gubernatorial election, which lasted from 2007 to 2009. This appeared to be the longest governor election-related conflict in Indonesia.

Initially, the conflict in the gubernatorial election involved the supporters of two candidates, namely the Thaib Armain camp and Abdul Gafur camp. Armain, the incumbent, was seen as representing Makeanese while Gafur was seen as representing Patanese, Tidorese, Ternatens and others. The conflict later involved wider public sentiment from different ethnic backgrounds and took the form of non-Makeanese versus Makeanese. Anti-Makeanese sentiment spread among non-Makeanese communities who saw Makeanese as a common enemy. It was a battle between all fights against one or one fight against all. There were accusations of *Makeanisasi* (a local ethno-political term

used to depict the increasing number of Makeanese taking over and dominating key positions in local government bureaucracy) in North Maluku and pleas not to choose a Makeanese as a governor. During the conflict, crowds from the Gafur camp stoned houses belonging to Makeanese. The crowd also once burned down a house that belonged to a Makeanese bureaucrat. This fact clearly concerns a broad issue of ethnic identity. In dealing with ethnic-based contests and conflicts, particularly in the post-Soeharto era, many researchers have concluded that the contests or conflicts, to a significant extent, were engineered by the elite (Aragon, 2007; Mietzner, 2009; Klinken, 2010). The same instrumentalist view, to various degrees, was also used to investigate the election-based conflicts in North Maluku (Smith, 2009; Ahmad, 2012). It seems that the instrumentalists as well as the constructivists dominate the discourse on ethnicity studies. Both approaches, called the situational approach, often criticise the primordial approach for not being able to explain the dynamics of ethnic identity and therefore, the primordial approach is treated as inadequate in ethnicity studies.

However, apart from some flaws inherently in primordialist assumptions, we believe this particular approach in some points remains important in contributing to our understanding of ethnicity, in addition to the insights contributed by the two situational approaches. By taking all the three perspectives into consideration, we will not only locate the position of the primordialist's contribution, but also show

the possible collaboration of the competing approaches.

THEORETICAL FRAMEWORK

The central concept in this conceptual framework is ethnic identity. The issues concerning ethnic identity have long been discussed and debated in the academic domain. There are three main approaches in the study of ethnicity: primordialist, constructivist and instrumentalist. Each approach has its own ontological view on ethnic identity. The primordial approach treats the attributes of an ethnic identity as a *given* social reality, and which essentially continues to shape the behaviour of members of an ethnic group (Shils, 1957, 1960; Che Man, 1990; Lewis, 1998). Some researchers have rejected the primordial standpoint because the outcome revealed that ethnic identity is not *given*, but is socially constructed (Barth, 1969; Poyer, 1988; Prelic, 2011), and constantly changes (Barth, 1969; Salamone, 1975 pp. 22-24; Schultz, 1984; Beckerleg, 2010, pp. 139-159). Basically, this constructivist approach considers the social reality of ethnicity as fluid and context-based reality and emphasises more on the social mechanisms that form and maintain the boundaries between “us” and “them”, and not something that is essential in the contents of ethnic groups (Barth, 1969). Several other researchers who adopt the instrumentalist approach although admitting that ethnic identity is socially constructed like the constructivist approach, emphasise the intention of elites in the construction of

ethnic identity and the use of the identity by the elite to serve their pragmatic purposes for political and economic gains (Cohen, 1969; Brass, 1996).

The ontological differences between the three above approaches on ethnic identity do not hinder the possible collaboration among them in this study. The only possible problem in bringing together the different theoretical perspectives appears to be on how to reconcile the primordialist view that treats identity as a given social reality, with the two close perspectives, namely constructivist and instrumentalist which believe that identity is a socially constructed reality. To reconcile the three different approaches, it is important to highlight here of certain misunderstandings toward the primordialist stance. Although the primordialists range from those who treat identity as a biological and genetic phenomena (van den Berghe, 1981; Shaw & Wong, 1989; Thompson, 1989, pp. 21-48) to those who treat identity as a product of cultural phenomena (Shils, 1960; Geertz, 1963; 1973, p. 89; Huntington, 1996), most of the critics treat the primordialist as a single, rigid biological-biased people. In this article, we define those who adopt the primordialist approach as those who consider ethnicity as a sociocultural phenomenon with some given attributes rather than purely a biological one. This sociocultural phenomenon, certainly includes a sense of identity, in the Geertzian sense, and is historically transmitted and inherited through symbols (1973, p. 89), and it forms primordial attachments to the community who own these symbols (Geertz, 1996).

By treating the primordial approach in this way, we can bring the three perspectives together into considering ethnic identity as a socio-cultural phenomenon. At this point, the three perspectives can collaborate in our effort to understand the dynamics of Makean ethnic identity. Each perspective contributes to our understanding of ethnicity. The primordialist perspective contributes to our understanding of some *given* 'objective' indicators of ethnic attributes such as place of origin and uniqueness in language and folk arts. The constructivist approach contributes to our understanding of the construction of identity in daily social interactions among people from different backgrounds, and the instrumentalist approach contributes to our understanding of how ethnic identities become politically important in a contesting environment. Since the unique contribution from each perspective deals with different aspects of ethnic identity, bringing them together can, indeed, result in a more comprehensive understanding of the dynamics of ethnic identity, while relying on any single perspective can lead to partial and misleading conclusion on the dynamics of ethnic identity.

The important point that needs to be highlighted here is the concept of ethnic identity, as it has some implications on the method used in this study. In general, ethnicity is seen as a group's consciousness of the uniqueness of its culture which makes it different from the cultures of other groups. Ethnic identity arises from the awareness of the uniqueness of the group and this uniqueness is also recognised by members

of other groups (Schultz, 1984, p. 46), or it needs internal awareness and expression and external validation (Barth, 1969). This definition clearly shows that an ethnic identity is a product of an inter-subjective process.

Since the boundary between the concept of ethnic identity and some related concepts (ethnic prejudice and ethnic stereotype, among others) are very thin, overlapping and intertwining, to ascertain the differences, we highlight some points here. Both stereotypes and prejudices are a matter of judging the other groups and they therefore, mostly contain negative judgement towards the others (Berghe, 2004, pp. 414-415; Cashmore, 2004, pp. 329-330;) and are not inter-subjective. On the contrary, ethnic identity is not a one direction judgement of one group of the other, but rather, a socio-cultural consensus between internal and external perceptions on the attributes of an ethnic group. In an ethnic identity, perceptions held by members of an ethnic group on their ethnic attributes are along the lines of the perceptions held by outsiders towards them (Barth, 1969; Schultz, 1984, p. 46).

In conclusion, the central concept of this theoretical framework is ethnic identity. Three different perspectives, which emphasise different aspects of ethnic identity, have been discussed and brought into the socio-cultural domain through which they can support each other. Ethnic identity in this study is treated as socio-cultural consensus between internal and external perceptions of the attributes,

both objectives and perceived, of an ethnic group. The consensus, arrived at following ethnographic fieldwork, could be based on some objective attributes such as uniqueness of place of origin and language or some perceived attributes such as education. As an inter-subjective phenomenon, ethnic identity is taken as a qualitative entity which relies heavily on the shared views expressed by Makeanese and non-Makeanese of the Makeanese based on both objective and perceived attributes.

MATERIAL AND METHODS

In the previous section, we have argued that ontologically, the primordialists consider ethnic identity as a *given*, relatively unchanged, and a solid social reality. Apart from the differences between the constructivist daily social process in identity formation and the instrumentalist's emphasise on political motives and intentionality of elites in constructing and using the identity for their pragmatic purposes, ontologically, both the constructivist and instrumentalist share the idea that ethnic identity is a constructed, not given, and a fluid social reality. This implies that the primordialists work in objectivist epistemology in the sense that the researcher considers an ethnic group has its objective and unique characteristics, whereas the constructivist and instrumentalist work in subjectivist-interpretivist epistemology in the sense that reality (ethnic identity) is constructed and interpreted subjectively by the social actors, and the researcher's interpretation is based

on these actors' subjective interpretation. This approach seeks to uncover the inter-subjective meaning.

Instead of stirring the differences between the primordialist and the other two approaches, by untying the primordialist approach from its biological-biased and endorsing its sociocultural dimension, this approach not only can work smoothly along the lines of constructivist and instrumentalist but also contribute to addressing a more objective attribute such as uniqueness in language or place of origin, something treated by other two approaches as merely a subjective phenomenon. In this sense, ethnic identity is based on both the objective and perceived attributes of a group of people. By defining ethnic identity as a consensus between internal awareness and external recognition of the attributes (both objective and perceived) of an ethnic group, it demonstrates that awareness of ethnic identity is in the realm of inter-subjectivity between people from different ethnic backgrounds.

The methodological implication of the above stand point is the need for a qualitative method with a phenomenological approach to uncover the inter-subjective world between different social actors from different ethnic backgrounds. In brief, this study used a descriptive qualitative ethnography method with a phenomenological approach that is supported by document analysis. The key informants were chosen through purposive sampling based on preliminary information about their knowledge on the identity of Makeanese, and followed by snowball-

sampling to trace relevant information. The supporting informants were chosen randomly. The total number of informants is 33 people. They are from different ethnic backgrounds (Makeanese and non-Makeanese), different socioeconomic classes, and different profession among others government bureaucrats, politicians, university lecturers, housewife, and different social position such as local elites and ordinary people.

Data is collected through interviews and observation. Document analysis is employed to support this data. Interview questions were centred on: Who is a Makeanese? What makes someone a Makeanese? What are the prime attributes of Makeanese in the past and in the present? What are the achievements made by the Makeanese? How has their lives changed (using life-history mode of interview)? How do the elite portray the Makeanese majority among the government bureaucrats? What issues appear to be involved in the resistance to Makeanese? How do the Makeanese elite interpret the resistance? Observation is conducted of their agriculture activities, the condition of their home land in Makean Island, their conversation in their own language, social situations in which they are involved, and others. Document analysis is used to gather data from government offices on the number of Makeanese in key bureaucratic posts as well as the articles and books written on Makeanese in the past and present. Data analysis was conducted through data reduction, data display and verification (Miles & Huberman, 1994).

RESULTS AND DISCUSSION

As a result of the use of ethnographic method with a phenomenological approach, we found a number of variations or differences in the views of non-Makeanese as well as the Makeanese about the characteristics of the Makeanese ethnic identity. We also found the same set of views between the Makeanese and non-Makeanese about the characteristics of the Makean identity. The differences, which mostly containing negative judgements, are categorised as part of ethnic prejudice and stereotypes, not ethnic identity; hence, these are not taken into account as part of the Makean ethnic identity. In contrast, the shared opinion on the attributes of the Makean identity was taken as part of the Makean ethnic identity as they were born through a process of inter-subjectivity between the Makeanese and non-Makeanese. Some aspects of the shared opinion on the characteristics of the Makean people by both the Makeanese and non-Makeanese are elaborated in the subsequent section.

In the early stages of our research, we easily obtained the elements which are considered as the Makeanese identity markers including the elements of geography, language and art. These elements show that the Makeanese originate from the Makean Island, speak the Makean language and have *Togal* as their folk art. Geographical element becomes a clear identification in the imagination of the local community since the Makean Island is geographically separated by sea from other islands. Uniqueness in language is

also an important feature of identity marker since their language called *taba* is different from other local languages. Although the language consists of two different linguistic groups, both are considered the Makeanese language (Watuseke, 1976; Collins, 1982). Similarly, the art element, the *Togal*, is unique and commonly viewed as a distinctive art due to the fact that only the Makean people have it.

The above features - the place of origin, language, and art - are the most fundamental elements that mark the Makean ethnic identity. They are described as the most fundamental elements because these elements are the basic points of identity reference and are relatively sustained. Even the descendants of Makeanese who were not born in the Makean Island will identify or are identified by others as the Makeanese because their parents or grandparents came from the Makean Island. Even if they do not speak Makean or are no longer involved in the *togal* art but when listening to them, they realise that those are the language and art belonging to their ethnic group.

Unlike the three elements that are relatively durable and more objective in the sense that their existence and uniqueness can be seen and heard directly, other attributes that form the Makean identity as discussed below are more flexible in nature. They grow, evolve, disappear and are being replaced in accordance with the development of the Makeanese social transformation. These are the attributes the Makeanese see and are being seen as educated people and as bureaucrats. These elements have

a very high fluidity and are very much dependent on the social development of the Makeanese in North Maluku. These attributes, together with the three basic elements previously discussed, are held in the consciousness of the Makeanese and the local non-Makeanese.

From Backward to Educated People

One of the important Makean identity markers is that the Makeanese see themselves and are being seen by others as the most educated people in North Maluku nowadays. This was expressed during the interviews and in written materials. In the past, however, the Makeanese were cultural, geographical and political periphery of the Sultanate of Ternate (Andaya, 1993). Therefore, when many Makeanese started coming to Ternate since the mid-20th century, and after Indonesian independence, they were considered as backward and hick by the people in the town of Ternate. We can trace some of the mockeries widely circulated among the Ternatenese in 1960s to 1980s depicting the Makeanese as backward when they came to the town of Ternate.

These backward attributes were then amplified by the inferior status of the Makeanese child migrants who came in great numbers to the Ternate city to continue with their studies in the 1940s onward. As they generally did not have relatives and houses in the city of Ternate, the Makean child migrants struggled to find Ternate citizens of any ethnic background who could accept them to stay in their houses

in exchange for doing any housework that would not be paid by the families to them. The children are locally called *anapiara* while the family who own the house is known as *pengampung*.

The relationship built between *pengampung-anapiara* is asymmetrical where a *pengampung* is very powerful while the *anapiara* only follow the will of the *pengampung*; thus, the *anapiara* are powerless. A lot of Makean children who had just graduated from elementary school in their villages migrated to the city of Ternate to enter junior high school in Ternate. At the age of around 12 years old, they had to work hard serving the *pengampung* family by doing their housework such as cooking, gardening, taking water from the well for the entire water needs in the *pengampung* house. They also had to wash the clothes, clean the house and yard, sell fish in the market, work as child labour, sell cakes for the *pengampung* and perform many other chores besides attending school. Although school-going children who came to Ternate and became *anapiara* were from different ethnic backgrounds, the interviews conducted with both the Makeanese and non-Makeanese in this study showed that the Makeanese was prominent in number. The Makeanese *anapiara* were known to be diligent and obedient so the *pengampung* in Ternate generally favoured the Makean children coming as their *anapiara*.

The result of the development mentioned above is the emergence of a new group of educated Makeanese since the 1970s. Given the fact that many had enrolled as school

teachers and Islamic school teachers since and prior to 1960s, many have become teachers and preachers since the 1970s. Since then, the Makeanese have become prominent in the education sector in North Maluku. This development has improved the general image of the Makeanese as educated people. When answering the question on which ethnic group is the most committed to education and therefore the most educated one, the answer given by both the Makeanese and non-Makeanese would be the Makeanese. Sahjad, a lecturer, a Ternatenese, said:

“The Makeanese have been the most committed to education since long time ago, that’s why they become a leading group in education, whereas we, Ternatenese, just began to seriously continue our school to higher degree since around 1980s, that’s why we are left behind in this sector”.

Wahdah, a Makeanese politician, confidently said, “Today, we the Makean people are the most educated in North Maluku. We reach it through uneasy efforts...”. Smith also captures the same public image of the Makeanese when he writes, “By the 1990s, the Makian were reportedly the most educated and successful ethnic group in North Maluku” (2009, p. 96). Many other informants, both elite and lay people, share the same subjective perception as Sahjad and Wahdah. These subjective perceptions from different people

with different ethnic backgrounds reach inter-subjectivity when they share the same opinion about an issue. The attribute of being an educated people is an additional element for the identity of the Makeanese ethnic group. However, this does not necessarily mean that other local groups are not educated. In the eyes of the local people, the Makeanese are more prominent in this regard.

The above description demonstrates the fluidity of an element of ethnic identity. By fluidity, we mean a flexibility of an element of ethnic identity to change. In this sense, fluidity is a result of social processes which involves both the Makeanese with their social mobility and non-Makeanese in socially constructing the identity. As evidences of the fluidity, between 1950s and 1970s, the Makean people considered themselves and were being regarded by Ternate residents as inferior and hick in sociocultural and political senses. Since the 1970s, as a result of sociocultural transformation undergone through education by the Makean people, the inferiority and hick attributes of the Makean identity began to change and have been replaced with more superior elements and the education attributes. This is an element of identity that has recently emerged to replace the old element - the backwardness.

From Subordinate to Leading Government Bureaucrats

In the pre-colonial and during the colonial period, Makeans were subordinate and under the control of the Ternate kingdom

until Indonesian independence in the mid-20th century (Clercq, 1890; Fraassen, 1994). The change took place soon after the independence. Since the 1940s, the Makeanese had migrated to the town of Ternate to attend schools and Islamic schools. Since the 1970s, many of them have become teachers. However, with the broadening of education orientation since the 1970s, many Makeanese have attended non-teacher training schools and non-Islamic schools. This has spawned many circles of educated Makeanese who are not teachers or preachers. They pursue other professions outside the religious domain such as clinical doctors, lecturers, engineers and government bureaucrats. These originally subordinated and lowly educated people are now educated and hold key positions in various government offices.

As there are many Makeanese holding key positions in provincial governments, both the Makeanese and non-Makeanese attach this attribute to the Makean identity. This further adds attributes to the Makeanese ethnic identity as bureaucrats. It is true that many key positions in the local government are held by the Makean bureaucrats while there are many Makeanese who are teachers, peasants, as well as labourers. However, this is the local people's perception of the Makeanese. They often show the success of the Makeanese by pointing to the fact that, at least until mid-2014 when we finished this research, majority of the key positions in the North Maluku government are held by the Makeanese. From 2002 until 2014, Thaib Armain, a Makeanese, was the governor of

the North Maluku Province. The regional secretary was also a Makeanese. Makeanese also had the highest percentage in heading local government departments (*dinas*). From 2002 to 2007, although Makeanese only comprised 9% of the total North Maluku population, they represented 33.33% of heads of departments whereas other main ethnic groups (Ternate, Tidore, Sanana, and Tobelo-Galela) represented only 10-20%. From 2009 to 2013 the percentage increased to 57.15% whereas other ethnic groups each represented below 10%. In September 2014 the representation of Makeanese still stood at 40%, the highest. After September 2014, however, the new governor and his vice-governor, themselves non-Makeanese, replaced many Makeanese from their top positions mostly with Tidorese and Tobelo-Galela bureaucrats.

When we asked about the characteristics of Makeanese, Ibu Ani, an ordinary Ternatenese, replied "Makeanese are hard-working farmers who send their children to higher education, these children [later] become important people in local government offices... many Makeanese are heads of the local government departments". Bibi Mima, a Makeanese housewife, said "Makeanese usually become bureaucrats". Syahril, a Makeanese lecturer, said "in the past we were *anapiara*, today we are educated and holding key positions in [local] government, that's because we successfully went through difficult times in the past". Similarly, a local famous Golkar politician, Hamid Usman, a Tidorese, stated:

"we have to admit the fact that Makeanese are majority in top rank of local government bureaucrats. We shouldn't get offensive with that because they deserve to get it. They have better human resources due to their great effort on education and their active involvement in Golkar (government political party during the president Suharto's New Order) which bring them to the present positions".

The same view is also widely held by the people from different ethnic backgrounds in the region. Smith also found the same views expressed when an informant told her that if you want to meet a Makeanese, all you need to do is to go to the governor's office, and if you want to meet a Ternatenese just go to the Gamalama traditional market, and if you want to meet a Tidorese just go to the Bastiong traditional market (2009, p. 95). Our Ternatenese informant, Sahjad, told us that in Ternatenese's imagination, "the place of the Makeanese is in the government office, whereas the place of the Ternatenese is in traditional markets". Due to the public image that the government employees are better than the vendors in traditional markets, the above expressions portray how the Makeanese are identified as having a better life as government bureaucrats than the Ternatenese.

In the context of political contestation, ethnic identity becomes very important. When there was a local political election for governorship from 2007 to 2009 between

Thaib Armain and Abdul Gafur, identity became highly politicised. The element of ethnic identity as a bureaucrat is closely related to local political contestation in the name of the ethnic groups. During the political contestation, there was an allegation of *Makianisasi* of the bureaucracy (a local term used to depicts the increasing number of Makeanese holding key positions in local government bureaucracy), whereby the Makean people who were already dominant in bureaucracy made efforts to take over all key positions in provincial bureaucracy.

It is important to note that the “bureaucrat” component of the Makean identity, as expressed by ibu Ani, bibi Mima, Sahjad and others, is a new phenomenon that has become apparent since 1990s and strengthened since the early 2000s following the establishment of the North Maluku Province. This image was widely held by different people from different ethnic backgrounds, and therefore indicating an inter-subjectivity among different people. This element of identity is socially constructed that appears to follow the achievements of the Makeanese in education and followed by their success in taking up local top bureaucratic positions.

In a political contest, however, this bureaucrat element of identity is generated, strengthened and manipulated by elites for their political interests. Non-Makean groups frequently resisted the Makeanese majority positions in bureaucracy by using acronyms like ABOM (*Asal Bukan Orang Makean*), which means not to choose a

Makeanese as the governor. They also use symbols such as a canary tree, which mainly grows in the Makean island, to symbolise Makeanese in their resistance. Amran, a Makeanese, told us “during the political competition between Armain and Gafur, the Gafur’s supporters frequently expressed statements like “cutting all canary trees in North Maluku” meaning remove all Makeanese bureaucrats from their positions. A previous research also found expressions such as “pull up canary tress until the roots” (Ahmad, 2012, p.122). Because Armain was seen as representing Makeanese, these expressions were not only meant to attack him (the incumbent governor) and other Makeanese holding key positions in local government but also strike at the Makean identity, strengthening the boundaries of the ethnicity between the Makeanese and other locals. These phrases depart from the subjective perception that the Makeanese dominate the local government bureaucracy, and therefore need to be removed from the existing bureaucratic structure.

On the other hand, Armain, the incumbent governor at that time, considered the attack against the dominant Makeanese bureaucrats in provincial government during the high political conflict from 2007 to 2009 in governorship candidacy as an attack on Makean ethnic self-esteem (*harga diri*) (Ahmad, 2012, p.122). By doing so, he interpreted the attack on Makean bureaucrats as an attack on Makean ethnic identity. During the second half of 2014, a new governor, Kasuba, a Tobelo, and his vice-governor, Thaib, a Tidorese, replaced

many Makeanese top bureaucrats with non-Makeanese, mostly Tidorese and Tobelo-Galela backgrounds. This was seen by Makeanese as an attack on Makean ethnic group. A local informal leader of Makean group, Kasim, said “we as an ethnic group lost our power because we did not unite during the governor campaign, now we must watch how we are kicked out from top bureaucratic positions”.

In short, bureaucrat as the element of ethnic identity is socially constructed in line with the development of vertical mobility of Makeanese from subordinate to government bureaucrats. The social actors involved in the construction of that element are Makeanese and other local people, who, in daily social interaction with Makeanese can see, talk, narrate, and experience the Makeanese social mobility. Due to the commonly shared knowledge and information, they share an inter-subjective meaning on this attribute of Makean identity. It is the inter-subjective meaning that facilitates people from different ethnic backgrounds to communicate about the attribute by referring to the same understanding. This attribute, however, in a political contestation, is strengthened and used by elites to promote their political interests. Although the elite have a shared inter-subjective meaning on the attribute, they tend to use it in such a way that can support their own political interests.

Layers of Identity and Collaboration of Perspectives

Data indicate that Makean ethnic identity has different layers. The first layer consists

of consciousness of objective characteristics such as geographical origin and uniqueness of language and art. The three elements are the most basic markers of Makean ethnic identity. They are deposited deeper in the consciousness of the Makeanese as well as other local people and therefore, relatively more stable. Although many Makeanese have migrated to other areas (Lucardie, 1980), their descendants who were not born in Makean Island, no longer understand the Makean language, favour pop songs than *togal*, their awareness of the three elements of identity is still strong. All the three elements are primordial in a cultural sense, but not in biological sense. It is important to note that the basis of this consciousness is not a product of manipulation by the elite, as stressed by the instrumentalists (Sokolovskii & Tishkov, 2010, pp. 241-241). Even without any elite contestation, this awareness has been there. Elite involvements in political contestations simply manipulate the already existing awareness of identity, and not producing it, to a level that has a politically significant effect on pursuing their interests. By doing that, they also strengthen awareness of the existing ethnic boundaries, not create it.

The second layer of the Makean identity consists of attributes such as Makeanese being the most educated people and hold top government bureaucratic posts. Although these attributes of identity are shaped and maintained through sociocultural construction in the interaction between Makeanese and other local people, as emphasised by the constructionists (Barth,

1969), this consciousness actually departs from combination between the achievements made by Makeanese in social mobility and *raw materials* that are socio-culturally “given” or have already existed in the mind of the people such as the place of origin, uniqueness of language and distinctive art as well as. The notion that treats ethnic identity as “a concept which does not refer to actual situation, but to a subjective, and also contextual and historical, symbolic process of distinction between *us* and *others*” (Prelic, 2011, p. 241) entails risky assumption that ethnic identity could be constructed instantly without any primordial root on the existing objective socio-cultural reality. The socio-cultural construction of an identity, however, requires a basis of objective reality, at least in the mind and experience of the people involved. Therefore, the expression of identity does not take place in a vacuum, as argued by the cultural primordialists (Che Man, 1990; Geertz, 1996; Lewis, 1998).

In the third layer, the Makean identity contains an aspect of identity that appears to be prone to political use by the elite. It is a social reality that many Makeanese occupy key positions in the provincial government body. Therefore, bureaucrat has been socially constructed as an element in the identity of the Makeanese. This attribute has emerged since 1990s as a result of the long involvement of Makeanese in education, and it has been intensified since the early 2000s due to the installation of the new province which needed many educated people for the newly formed bureaucrat

positions. However, when the elite started their contestation, the fact of Makeanese’s “majority” in the key government positions was changed by the anti-Makean camp to Makeanese’s “domination”, which was a shift from a neutral term to political one to magnify the anti-Makean sentiments from various non-Makean groups. At the same time, Makean elite interpreted the resistance to their majority in top bureaucrats as an attack on Makean self-esteem. Both Makeanese and anti-Makeanese elite manipulate the same element of identity, namely, Makeanese is always bureaucrat or bureaucrat is always Makeanese, in such a way that serve their political interests.

The foregoing has illustrated the three layers of Makeanese ethnic identity and their relationships. The first layer is the basis for the second layer. Makeanese achievements through social mobility such as being seen as educated or bureaucrat cannot be socially constructed as part of Makean identity without linking this group of people to their objective attributes such as their geographical origin from Makean Island or their unique language.

The second layer is the basis for the third layer. In an environment of political competition, any particular element in the second layer of identity could be intentionally chosen by the elite to attract sentiment and support for their political interests. Since the element of identity in this layer can be easily manipulated for political purposes, it is very fluid and could change easily. Makeanese frequently become an important group in the North Maluku

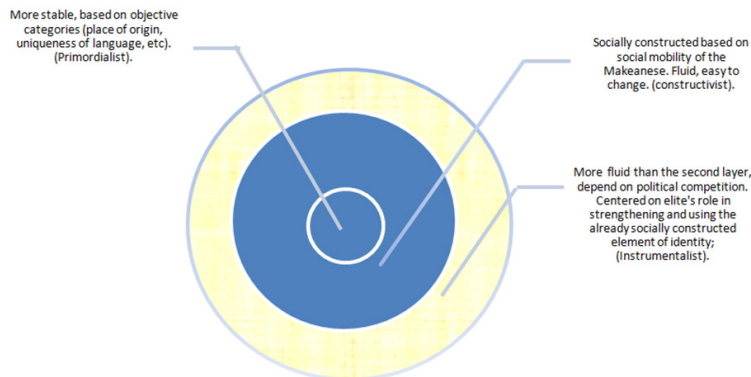


Figure 1. The three layers of Makeanese ethnic identity and their relationships

political contestations. For that reason, in studying Makeanese ethnic identity, we will not be able to comprehend its dynamics unless we take all layers of identity into account.

Since each layer is traditionally studied using different theoretical approaches, taking all layers into one study needs some steps to collaborate these perspectives. First, to some extent, we ease the ontological differences by bringing all theoretical approaches into dealing with a purely socio-cultural, not biological, domain. Second, at the epistemological level, we present the different epistemologies (objectivist in primordialist approach and subjectivist-interpretivist in constructivist and instrumentalist approaches) in order to show that they, along with each perspective, are dealing with different layers of ethnic identity, therefore employing any single perspective with its epistemology will not be able to comprehend all layers and dynamics of ethnic identity. Methodologically, we employ qualitative with a phenomenological style which allows us to collect data on

elements of identity in each layer. This results in the development of a more comprehensive picture of the dynamics of ethnic identity which cover all layers of ethnic identity.

CONCLUSION

It appears that the first layer of identity is more to do with primordial ties to socio-culturally “given” elements that are more sustainable. They become the basis or the “raw materials” for the second and the third layers of ethnic identity. The second layer consists of social construction based on the transformation undergone by Makean people. Therefore, the attributes in this layer can change, grow, or even disappear in accordance with the dynamic development of Makeanese. In this layer, we found a shift in attributes of identity from being backward migrants and helpless *anapiara* who initially depended on the Ternate residents to a high-status class of educated ethnic group. In relation to this, we also found a shift in identity as mass-subject, subordinate

people under the Ternate sultanate during pre-independence to leading government bureaucrats today.

The third layer contains elements that, although based on the perceptions of social reality that the majority of the government officials are Makeanese, the reality is uplifted becomes politically importance. In this case, the neutral demographic term “majority” is changed to a more political term “domination”, which has an implication on the political image of all non-Makeanese about the threat posed by Makeanese to their ethnic group. In this context, the elite manipulate the identity markers as a political instrument, not create them. Depending on the political context, this element is very easy to change. It is clear that some attributes of identity are culturally more primordial in a Geertzian “primordial ties” sense, and therefore are relatively more stable, while some are constructed based on the social transformation undergone by the Makeanese, although others can suddenly change according to the elites interests in the political contestation context.

Finally, this study also reveals that each approach has its domain to explore. In the case of the Makean identity, the cultural primordialist can investigate elements that are deeply rooted in the primordial attachment of the Makeanese. Nonetheless, it is not fruitful to use constructivist or instrumentalist approaches to understand this area. A constructivist approach is more appropriately applied to uncover the construction of identity attributes such as the Makeanese who were originally seen as subordinates and backward and who

shifted gradually to become an educated group of people who lead the bureaucrats. An instrumentalist approach can be used to uncover how the elite change the neutral social reality, whereby the “majority” of local government bureaucrats are Makeanese, to be more political, and the Makeanese “dominate” the local government bureaucrat positions. The shift of discourse from “majority” to “dominate” is not simply a shift from a noun to a verb but more than that, it is a shift from a non-political and more neutral sense to a more politically threatening sense for the non-Makeanese.

The main objective of this study was to examine the possibility of collaborating the traditionally-seen competing approaches in the field of ethnic identity studies. This study demonstrates that all three approaches in the study of ethnicity – cultural primordialist, constructivist and instrumentalist – should not to be applied separately from each other, let alone treated as competing approaches. Since each perspective has its unique contribution, to understand the whole dynamics of ethnic identity, relying on any single perspective can lead to partial and misleading conclusions about the dynamics of ethnic identity. When one studies dynamics of ethnic identity in a situation of political contestation among different ethnic-based groups, it is recommended that one should take all layers of identity into account. In the case of Makeanese identity, this study indicates the three approaches are complementary to each other in elucidating the dynamics of Makean ethnic identity in North Maluku.

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Ownership Rights to University Invention: Universities Legal Authority to Exert Ownership Interest or Claim

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ABSTRACT

In the era of technology revolutionisation, universities have taken a huge step forward embarking on research, development, innovation and commercialisation. In order to successfully carry out these missions, a clear ownership of intellectual property generated at the university is crucial to avoid future disputed transactions. Thus, as part of the technology transfer framework at the university, institutional intellectual property policy has been developed as a guideline to ensure smooth and successful management of intellectual property exploitation. The generally practised ownership model of university intellectual property is university ownership compared with inventor ownership. This paper analyses legal authorities which allow a university to exert ownership over intellectual property created within the university, mainly the intellectual property law, contract law employment law and institutional intellectual property policy. Issues on how binding the institutional intellectual property policy of the university is on members are considered to ensure that the university claim over intellectual property is premised on legal perspectives.

Keywords: Intellectual property, university intellectual property policy, university intellectual property ownership, university invention

INTRODUCTION

Universities have evolved from teaching and learning institutions into those devoted to research and innovation in addition to their traditional missions and objectives. Etzkowitz (2000) coined a new terminology, 'entrepreneurial university', to describe the latest development concerning universities. An entrepreneurial university refers to a university involved in commercialising

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its innovations. These developments have validated the importance of clear ownership of intellectual property created at the university so as to avoid any future disputes and their potential effect on the end result of commercialising its intellectual property.

In light of these developments, universities have introduced their own unique intellectual property policy as a guide to manage their intellectual property. The university intellectual property policies are developed at the university administration level and they are not legally binding compared with the statutory law passed by the Parliament such as the Malaysia Patents Act, 1983 and the Malaysia Copyright Act, 1987. The question arising from the implementation of the university's intellectual property policy is whether the policy can legally bind the university community through employment contracts or contracts for admission to universities between students and the university and also contracts between the university and its associates. A study involving 10 university researchers from different public universities in Malaysia found that eight out of 10 researchers were not satisfied with the university claim over their inventions. However, to date, there have been no reported Malaysian cases of dispute over university intellectual property since all disputes were settled within the university through negotiations. This paper discusses the legal elements referred to by the university in order to determine the university intellectual property ownership, namely the statutes on intellectual property,

employment law, contract law and the university's intellectual property policy.

INTELLECTUAL PROPERTY OWNERSHIP LAW

A basic rule of intellectual property rights is that ownership of intellectual property at the first instance is conferred on the inventor or the creator of the intellectual property. Thus, in line with this and the intellectual property justifications such as labour theory and personality theory, the author has original claims or rights to his or her intellectual property. However, in terms of intellectual property law, authorship or inventorship and ownership of intellectual property are two different categories as an inventor or author need not be the owner of the intellectual property he or she has created. The intellectual property can then be transferred from the inventor or author to a third party or to the employer if the intellectual property is created or invented in the course of employment. In this case, the owner of the intellectual property is the employer.

The exception to this rule is when an original invention or creation is made by an employee in the course of employment in which intellectual property rights are accrued to the employer. For instance, in Malaysia, ownership of the copyright as contained in section 26(2)(b) of the Copyright Act 1987, ownership of copyright works created by employees 'in the course of employment' is said to accrue to the employer. Section 26(2)(b) of the Copyright Act 1987 states:

“...not having been so commissioned, is made in the course of the author’s employment, the copyright shall be deemed to be transferred to the person who commissioned the work or the author’s employer, subject to any agreement between the parties excluding or limiting such transfer...” (Section 26(2)(b) Copyright Act 1987)

According to Kamal Halili, the phrase ‘in the course of employment’ in accordance with the provisions can be interpreted as ‘description of job scope’ or ‘working time’ of an employee. In order to provide clarification on the course of employment of an employee, the court in the case of *Stevenson Jordan & Harrison Ltd v MacDonald & Evans* (1952) 69 RPC 10, decided on this issue. In this case, the company was claimed ownership of the copyright for the book written by a former employee during his employment. The question that arose from this case was whether the accountant or the company which was an employer to the accountant was entitled to the copyright of a book produced by him in respect of the public lecture series he presented to discuss financial management in business. The United Kingdom Court of Appeal held that sections of the book related to reports prepared during working hours are owned by the employer while sections of the book dealing with public lectures belonged to the accountant for giving lectures or talks which were not included in the latter’s job scope.

Morris LJ acknowledged that in this case, the employer has to pay lecturing expenses and that the accountant may also have used the facilities and amenities of the company at the time of employment to provide the text for the lectures and that the lectures were a useful input to the employment contract of the accountant. However, he found that the accountant was not directed to prepare and deliver the public lecture series. Thus, copyrights for the public lectures were held to be owned by the accountant. Citing the judgment, Morris LJ stated that:

“...prima facie I should have thought that a man, engaged on terms which include that he is called upon to compose and deliver public lectures or lectures to some specified class of persons, would in the absence of clear terms in the contract of employment to the contrary, be entitled to the copyright in those lectures. That seems to be both just and common sense.”.
(*Stevenson Jordan & Harrison Ltd v MacDonald & Evans*)

Judgement in this case shows the importance of a contract of employment in determining ownership of intellectual property. This is because employment relationship can only be determined through the terms of contract of employment, either it is a contract of service or contract for service.

EMPLOYMENT LAW

The ownership of intellectual property created or invented by an inventor or author can only be transferred to the employer if there is an employment relationship between the creator and the employer, that is contract of service, and in order to differentiate between contract of service and contract for service, reference can be made to the case of *Stevenson Jordan & Harrison Ltd v MacDonald & Evans* (1952) 69 RPC 10, where Lord Denning held that:

“It is often easy to recognise a contract of service when you see it, but difficult to say wherein the difference lies. A ship’s master, a chauffeur and a reporter or the staff of a newspaper are all employed under a contract of service; but a ship’s pilot, a taxi man and a newspaper contributor are employed under a contract for services. One feature which seems to run through the instances is that, under a contract of service, a man is employed as part of the business, and his work is done as an integral part of the business; whereas under a contract for services, his work, although done for the business, is not integrated into it, but is only accessory to it”. (Stevenson Jordan & Harrison Ltd v MacDonald & Evans)

Thus, in determining the existence of employment relationship, there are few tests created by the courts, namely the control test, organisation or integrated test and multiple test (Kamal, 2002; Maimunah, 2011).

With regards to intellectual property rights in the universities, workers are employees of the university and the law provides that if an employee has created an intellectual property in the course of employment, the university as an employer owns the intellectual property, unless there is a contract at the beginning of the period of employment stating otherwise. The legal position is clear to every type of intellectual property.

CONTRACT

A contract is one way of determining university intellectual property rights because the university’s relationship with intellectual property creators at the university is contractual. For employees, employment contract entered into with the university is binding on both parties as well as all statutory provisions relating to employment relationship. As for the students, (the relationship between students and the university is also contractual (Monotti & Ricketson, 2003; Patel, 1996; Lewis, 1983). Similarly, the relationship with university associates is also contractual.

A contract is an agreement enforceable by law and thus, legally binding on the contracting parties when all the elements are fulfilled (Section 2(h) Contracts Act 1950; Sinnadurai, 2003; Mohaimin, 2009). Among

the elements of contracts are proposal, acceptance, consideration, intention to create legally binding relationship, competence, free consent of the parties and validity of contract (Ahmad & Abdul, 2003; Sinnadurai, 2003; Mohaimin, 2009).

There are two types of contracts relevant to university intellectual property rights, namely employment contracts and contracts of assignment. Thus, the terms of the contract should be drafted in clear terms describing allocation of intellectual property ownership created at the university. Besides statutory provisions, employment law and terms of contract, ownership of university intellectual property is also determined through intellectual property policy developed at the university level.

INTELLECTUAL PROPERTY POLICY

Universities policies are meant to be followed by members of the universities which include academicians, researchers, students, non-academicians and associates or in some universities, they are known as visitors. For instance, paragraph 1.1 of the UKM Intellectual Property Policy states that:

“This Policy is applicable to all persons, including Employees, Students and Associates”.

(UKM Intellectual Property Policy, 2010)

AIM AND SCOPE OF UNIVERSITY INTELLECTUAL PROPERTY POLICY

The university involvement in the commercialisation of its intellectual property has turned the institution into a business entity dealing with various business matters such as patent applications, technology transfer agreements, confidentiality and the distribution of royalties (Bertha, 1996). The university intellectual property policy has become a part of the framework for technology transfer at the university (Monotti & Ricketson, 2003) whereby this policy is intended to manage the intellectual property generated within universities, to stimulate the development of science and technology and also to ensure that any invention created within the university will be fully exploited for the benefit of society.

According to the “Guidelines on Developing Intellectual Property Policy for Universities and R & D Organizations” issued by WIPO, there are six fundamental areas of basic university intellectual property policy. They are (i) the coverage of basic intellectual property, (ii) allocation of intellectual property ownership, (iii) disclosure of intellectual property, (iv) commercialisation and licensing of patents, (v) the distribution of royalties and (vi) the rights and responsibilities of the creator to the university. In Malaysia, the five fundamental areas of intellectual property policy looking at intellectual property policies of five research universities in Malaysia are (i) the ownership of intellectual property rights,

(ii) management and commercialisation of intellectual property rights, (iii) income distribution (iv) the dispute resolution and (v) collaboration. It is submitted that intellectual property policies at research universities in Malaysia are in line with the guidelines issued by WIPO. Table 1 compares five main scopes of the university intellectual property policy among the five research universities in Malaysia.

Based on Table 1, there are five scopes in the intellectual property policy of Universiti Malaya, Universiti Sains Malaysia and Universiti Teknologi Malaysia. The intellectual property policy at Universiti Kebangsaan Malaysia does not mention the scope of collaboration while Universiti Putra Malaysia Research Policy contains only two scopes, namely distribution of income and commercialisation. The scope of university intellectual property policy is under the discretion of university management.

The first scope of university intellectual property policy is regarding intellectual

property rights. Some policies provide for ownership according to the category of creator that are employees of the university, students and associates. In the area of management and commercialisation of intellectual property rights, the policy lays down the importance and role of university technology transfer office (TTO) in the management and commercialisation of university intellectual property. The TTO's role includes assessing the intellectual property, carrying out the process and management of intellectual property protection, transferring technology, widening the relationship with potential industries to commercialise intellectual property and also to promote commercialisation of university intellectual property.

The third scope is the provisions for distribution of income which are contained in the university intellectual property policies in order to avoid disputes between the parties concerned. The fourth scope is on dispute resolution which provides for

Table 1
Comparison of Intellectual Property Policy Scopes between Malaysian Research Universities

University	Ownership of Intellectual Property	Management and Commercialisation of Intellectual Property	Income Distribution	Dispute Resolution	Collaboration
Universiti Malaya	✓	✓	✓	✓	✓
Universiti Kebangsaan Malaysia	✓	✓	✓	✓	
Universiti Sains Malaysia	✓	✓	✓	✓	✓
Universiti Putra Malaysia	✓	✓	✓		
Universiti Teknologi Malaysia	✓	✓	✓	✓	✓

Source: Author

an arbitration council set up to help solve disputes regarding university intellectual property. The fifth scope is on collaboration whereby intellectual property policy provides guidelines for the management of intellectual property resulting from collaborative research.

VALIDITY OF UNIVERSITY INTELLECTUAL PROPERTY POLICY

The validity of university intellectual property policies is often the issue in dispute among the creators be they employees, students or associates with the university. The question of the validity of university policy depends on whether the university has the power to enact any policies including the intellectual property policy. In Malaysia, the power to enact laws in universities is provided for in the constitution of the university contained in the First Schedule of the Universities and University Colleges Act 1971.

Article 3 (e) of the constitution empowers the university to carry out and implement the statutes, rules and regulations of the university. This article states that:

“... the Chancellor, the Pro-Chancellors, the Vice-Chancellor, the Board and the Senate are hereby constituted a body corporate with perpetual succession, and with full power and authority under such name;

(e) To exercise and perform, in accordance with the provisions

of this Constitution and of the Statutes, Rules and Regulations, all powers and duties conferred or imposed upon the University by such provisions.” (Article 3(e) of University Constitution)

The power given to the university may be exercised by the authorities such as the University Board, the Senate, the University Management Committee or by Faculty, School, Centre, Academy, Institute, Education Committee, the Selection Committee, Welfare Committee employee, Student Welfare Committee, and other bodies as may be prescribed by the Statute as the University Authority.

Article 16 of the University Constitution states that the board of university has the power to manage, create and oversee university policy and may exercise all the powers given to the University. However, Article 16(2) of the University Constitution provides that the Board has no authority to approve any resolution, which is within the power of the Senate, though they are allowed to offer their views for consideration by the Senate. The senate, under Article 17, is an academic body of the university and has the authority to regulate on matters of teaching, examination, investigation and award of degrees. In addition, the Senate has the power to shape policies and methods of teaching, education, examination, research, scholarship and training conducted within the university as well as formulate policies to protect academic freedom and professional excellence. Article 29 (5) of

the Constitution states that “Regulations may be made by any Authority if it is so empowered by this Constitution, Statute or Rules”. The Constitution also requires that each university statutes and rules legislated should be published, as provided for under Article 30(1) of the Constitution:

When any new Statute or Rules is made, amended or revoked every such Statute, Rules, amendment or revocation shall be published in the Gazette and in such other manner as the Board may direct. (Article 30(1) of University Constitution)

The Universiti Kebangsaan Malaysia, in drafting the UKM Intellectual Property Policy 2010, began with proposals or drafts of Research and Innovation Planning Committee on 30 September, 2009. This proposal was brought to the meeting of the Senate for endorsement on 23 October, 2009. Finally, on December 24, 2009, the draft of Intellectual Property Policy was recommended by the Senate and it was endorsed and approved by the university.

The issue of the validity of intellectual property policy developed by the university has been disputed in the case of *University of Western Australia v Gray* (No 20) [2008] FCA 498. Dr Gray was employed by the University of Western Australia (UWA) as a professor of surgery. During his employment period, Gray applied for several patents for inventions and ownership of these patents were subsequently transferred to a company, Sirtex Medical Ltd., which was founded by

Gray for the purpose of commercialisation of these patents. The question posed before the court was whether Gray had breached his employment contract. Terms of the contract of service stated that his job responsibilities are “to teach, to undertake research, to organize research and generally to stimulate research among the staff and students.” The court ruled that Gray does not have the responsibility to invent. In addition, the High Court of Australia considered whether Gray violated the employment contract by failing to comply with two university policies referred to by the university within the terms of the employment contract. These policies were the Patents Regulations and the Intellectual Property Regulations.

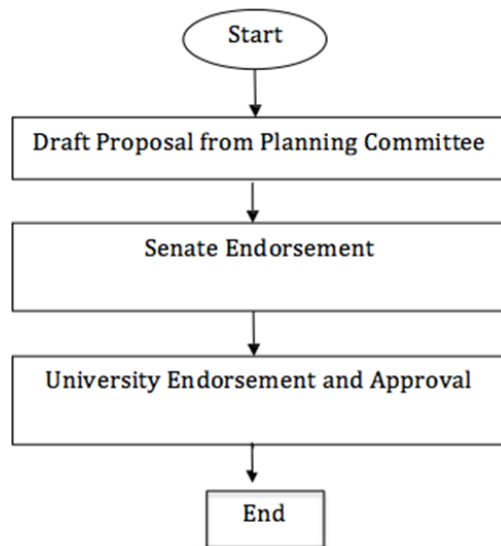


Figure 1. Flow Chart of the Process of Legislating University Policy in UKM (Source: Author)

The first policy, the Patents Regulation, was implemented in 1975 and its scope included the establishment of a Patent

Committee, disclosure of inventions to the Vice Chancellor and the transfer of ownership of the invention to the University of Western Australia. The second policy was the Intellectual Property Regulations implemented in 1997. Under this policy, a committee known as Intellectual Property Committee was formed and empowered to make guidelines for the disclosure of potential inventions to be patented to the Vice-Chancellor. Moreover, both these regulations provided for university intellectual property ownership created by the employee. Under Rule 4(4) of the Intellectual Property Regulations and Rule 6(3) of the Patents Regulations, the university owns all intellectual property (unless the copyright), which is created by an employee during the employment period.

According to French J , the issue of validity of the regulation by the University of Western Australia can be determined through reference to the provisions under the University of Western Australia Act, which empowers the university Senate to enact laws on universities. Section 5 of the Act provides that the Senate is the power of the university authorities. Section 13 of the University of Western Australia empowers the Senate to control and manage the affairs of the university and states that the Senate:

“... may from time to time appoint deans, professors, lecturers, examiners, and other officers and servants of the University ...”
(University of Western Australia v Gray)

Section 14 of the same Act also stated that:

“Control and management of real and personal property vested in or acquired by UWA is also conferred upon the Senate.” (University of Western Australia v Gray)

In addition to the jurisdiction conferred to the senate in the above provisions, Section 31 of the Act empowers the Senate to make, amend and change the statute for matters related to (i) management, administration and discipline at the university, (ii) the appointment and dismissal of deans, professors, lecturers and other employees at the university, and (iii) control and invest the assets of the university. In formulating its policy-making procedure at the University of Western Australia, French J decided that:

“By section 31(2) the draft of every proposed Statute is to be submitted to the Convocation for its consideration. Under section 31(3) the Convocation may consider and draft amendments to the proposed statute and return the draft to the Senate. If the Senate agrees, it may forthwith make the Statute. If it does not, there is a process for a conference between the Senate and the Convocation. Where agreement cannot be reached, the Senate can nevertheless make the statute. By section 33 Statutes require approval of the Governor and

must be published in the Gazette and “shall thereupon have the force of law”. They are subject to annulment by resolution of either House of Parliament.” (University of Western Australia v Gray)

The University of Western Australia’s statute drafting procedure can be formulated as a Figure 2.

In regard to the provisions on university power, the court held that both the rules by UWA were invalid because they were outside the authorised power that allowed the University of Western Australia to legislate under the University of Western Australia Act. This Act empowers the members of the university Senate to make regulations relating to the control and

management of university property. The court ruled that the university does not have the power to make regulations that encroach on other people’s property rights.

French J held that:

“Moreover, in my opinion, such provisions of the Regulations made by UWA as purport to vest intellectual property rights in it or interfere with the intellectual property generated by its academic staff, are not valid. UWA did not rely upon the earlier Patents Regulations as a source of its property rights. But the IP Regulations assert ownership by UWA of all intellectual property developed by its staff (apart from most copyright).

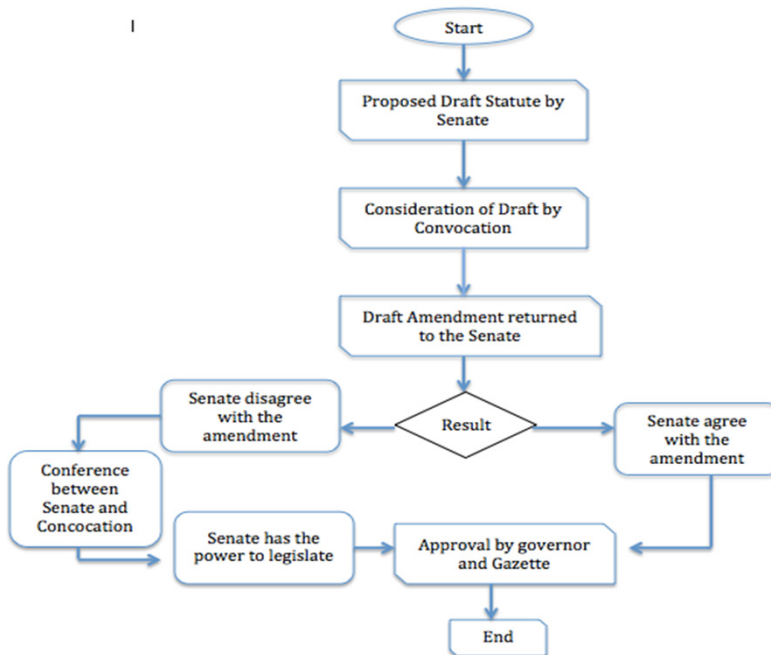


Figure 2. Flow Chart of Statute Legislation at the University of Western Australia in the UWA v Gray Case (Source: Author)

UWA was authorised, by the UWA Act, to make regulations relating to the control and management of its own property. It was not authorised by the Act to make regulations acquiring property from others or interfering with their rights.” (University of Western Australia v Gray)

Hence, the rules for intellectual property rights regarding inventions by university employees as well as any regulations relating to the management of intellectual property are not valid. The Court has also ruled that in determining university policies, the term which was inserted into the employment contract of Gray, the university’s policy should be valid in order to be enforceable and in this case, there was no breach of the employment contract by Gray as the basic university Patent Regulation and Intellectual Property Regulation was found to be invalid because the university acted beyond perpetrated legal power. The Court held:

“Property rights vested by contract in the university or otherwise devolving on the university can be protected, managed and controlled by statute or regulation as can any of its property. However UWA cannot, by regulation, acquire property from its staff members. The position is no different where the staff member’s contract embodies a regulation, which purports to declare that intellectual property generated by him or her belonged to UWA. If

the regulation is not valid for the reasons I have outlined then it could not be said that it was intended by either party that compliance with an invalid regulation could become a contractual obligation. The incorporation of the Statutes and the Regulations of the university into staff contracts is, in my opinion, posited on their validity.” (University of Western Australia v Gray)

According to the Gray case, provided that the policy is formulated in accordance with the university’s procedure, all university staff are obliged to comply with any policies formulated by the university, including university intellectual property policies. For workers, the terms of the service contract also clearly state that employees must adhere to any university policies, including the intellectual property policy, and that the workers are bound by the regulations contained in the policy. According to the outcomes of the Gray case, a university policy can only be effective if there are proper procedures and approval by the Senate of the law-making body of the University of Western Australia.

University intellectual property policies can only be enforced if the procedure is followed in full within the jurisdiction of the university as provided by the statute or the constitution of the university. University intellectual property policies can bind employees, students and associates in the event this policy is valid and provided for

in the employment contract or in a contract between the university and the students and associates.

CONCLUSION

In conclusion, a university could claim ownership of intellectual property created at the university if it is based on statutory provisions on intellectual property ownership, employment law that determines the employer-employee relationship and also on contract law. Besides that, the university's intellectual property policy must also provide guidelines on the allocation of university intellectual property ownership provided that the policy is legally valid to bind members of the university.

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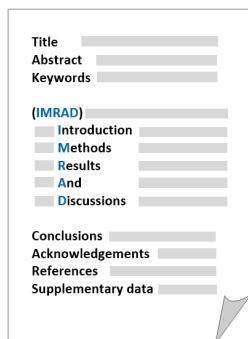
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