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Tameshi-Giri (and Suemono-Giri) as a Sub-Cultural Custom and Social Structure in Feudal Era Japan: A Socio-Cultural Analysis of Transformation of Its Symbolic Meanings and Functions

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Abstract

"Tameshi-giri" (or "suemono-giri"), in which corpses were used as mediums to test the quality of swords or the skill of swordsmen, was an unusual cultural practice of the samurai (i.e., warrior) class in feudal era Japan. Although *tameshi-giri* as a modern martial art jargon referring to "a method of training in the use of a sword by cutting conventional mediums" has already been imported to the Western world, the original socio-cultural meanings it symbolized as a sub-cultural custom and its societal functions as a social structure of pre-modern Japan are rarely discussed in the context of social science. Given this, the purpose of this paper is to offer a social-historical analysis of the old tameshi-giri custom as a social structure by focusing on the transformation of its manifest and latent functions. In doing so, it also aims to clarify some of the misconceptions and confusions associated with it.

Keywords: Tameshi-giri, Samurai, Japanese swords, Edo period criminal justice

1. Introduction

"Tameshi-giri" (or "suemono-giri"), in which corpses were used as mediums to be cut in order to test the effectiveness of swords or the skill of swordsmen, was not only a socially accepted but also a valued cultural practice of the most privileged warrior class called the *samurai* that had existed in pre-modern Japan until 1871, when the Meiji Imperial government officially denounced the preexisting hierarchical system of social casts (Steinmetz, 2007). Obviously, such a brutal cultural practice had already ceased to exist when the Tokugawa shogun's ruling of Japan officially ended in 1868, and not only using swords to cut humans (dead or alive) but also even wearing of swords on person were officially banned by an order from the new government in 1876 (Amada, 2004). Interestingly, however, over one hundred years have passed since the disappearance of this unusual custom, the Japanese term "tameshi-giri" as a martial art jargon to refer to a type of training method in the use of sword was imported from Japan, and has been used rather widely in the Western world. (See Kremer, Racette, Schellenberg, Chaltchi & Sauvageau, 2008).

In the context of the Japanese martial arts practiced in the Western world today, the term "tameshi-giri" seems to be used more generally to refer to the practice of cutting conventional targets, such as ones made of bundles of water soaked rice straw, rolls of straw mats or bamboos, for the purpose of testing and developing the skill of practitioners in the use of Japanese swords (Obata, 2005). "Suemono-giri" is another Japanese term, which not many martial arts practitioners in the Western world are familiar with. It is a rather old-fashion Japanese term that modern martial practitioners in Japan do not use very often, unless the context specifically calls for this more narrowly defined term. Other than having a semantic emphasis on how the medium is placed as a target to be cut (i.e., the target is fixed or placed still on a mount), the term "suemono-giri" fundamentally means the same thing as tameshi-giri. In other words, tameshi-giri and suemono-giri fundamentally refer to the same social behavior.

Not surprisingly, the actual practice of tameshi-giri (and suemono-giri) as a cultural custom and its social functions to the Japanese society have very much changed over its course of history. Thus, when an average Japanese person today hears either one of the terms, he or she would imagine a samurai warrior of the past or a skilled modern swordsman (i.e., martial art practitioner) performing various cuts on stationary targets made of aforementioned conventional materials in

order to see and develop his ability to perform proper cutting techniques with his sword. Similarly, the modern martial art definition of tameshi-giri seems to have been widely shared amongst the non-Japanese who are familiar with the term.

Despite the fact that tameshi-giri is already well understood as "test cutting of a stationary target with a Japanese sword," its social functions as a historical social structure unique to the samurai class and the transformation of its functions in the feudal era Japan have rarely been discussed in the context of social science. When the practice of tameshi-giri in feudal era Japan is discussed in a non-scientific context, it seems to often involve confusions about its microscopic immediate purposes (i.e., to test the quality of swords or to test the skill of a swordsman) as an individual level social behavior and its macro level social functions (i.e., to maintain the martial spirit of the warrior class or to punish hideous felony offenders) as a social structure. Further, it also seems to involve misconceptions about its customary procedure (i.e., who performed tameshi-giri and who were used as mediums to be cut) that perpetuate themselves with inaccurate information.

Given this, the purpose of this paper is to offer a socio-cultural analysis of this unusual custom that had been practiced amongst the samurai class in feudal era Japan. Specifically, tameshi-giri in this analysis is viewed as a sub-cultural custom unique to and characterized the most privileged ruling class of the samurai during the Edo period (1603-1868), and what socio-cultural meanings it symbolized to the samurai class will be discussed. Further, tameshi-giri as it was practiced historically is also viewed as a social structure that served important functions not only to the samurai class but also to the entire Japanese society in the institution of the criminal justice system, and how its manifest and latent functions transformed over the course history will be discussed. In so doing, this paper also aims to clarify confusions about the microscopic immediate purposes of tameshi-giri as an individual social behavior and its macroscopic social functions as an institutionalized social structure. It also aims to clarify misconceptions about its customary procedure in terms of who performed tameshi-giri and who were used as mediums to be cut.

2. The Semantics of Tameshi-Giri and Its Historical Connotations

2.1 Literal meanings of tameshi-giri and suemono-giri

The word "tameshi" in tameshi-giri means "to test," and the suffix "-giri" means "to cut." Thus, a composite noun "tameshi-giri" literally means "test-cutting." "Sue-mono" in suemono-giri means "something that is affixed to or placed still on some kind of mount." Hence, "suemono-giri" literally means "fixed or stationary target cutting." As it is obvious from the semantics, neither the word tameshi-giri nor suemono-giri by itself indicates "what is to be cut" and "what is to be tested" through cutting. To understand the cultural meanings and connotations of tameshi-giri (and suemono-giri), whether it is viewed as a micro level individual social behavior or as a macro level cultural custom or social structure, knowing what actually the terms refer to in the Japanese language seems to be prerequisite because the language they use is a reflection of their culture.

In fact, definitions of tameshi-giri provided in Japanese-Japanese dictionaries present interesting historical connotations of this unusual social behavior by specifying its immediate purpose and the medium to be cut. According to *Daijirin* (Sanseido, 2003), a modern Japanese encyclopedic dictionary, the term tameshi-giri is defined as "the procedure to test the cutting ability of swords by cutting **humans** and animals." In another well respected Japanese-Japanese dictionary (Hisamatsu & Sato, 1976), tameshi-giri is defined as "to cut **humans** or a bundle of rice straw in order to test the cutting ability of swords." Yet another well respected Japanese-Japanese dictionary (Nishio, Iwabuchi & Mizutani, 1999), it is defined as "to cut dogs, cats or **humans** to test the cutting ability of swords." [Note: The original Japanese definitions found in these dictionaries are translated into English by this author. There is no definition for the term suemono-giri in either dictionary.]

2.2 Historical connotations

While the semantics of tameshi-giri (or suemono-giri) do not indicate the immediate purpose of tameshi-giri, the three Japanese-Japanese dictionaries clearly define tameshi-giri with its intended purpose: That is, "to test the cutting ability or quality of the blades," rather than the swordsman's skills. Furthermore, the definitions provided by all three Japanese language dictionaries even specify one common cutting medium for traditional tameshi-giri - **humans** (though they do not specify corpse or live humans).

Of course, to cut humans, whether dead or alive, in order to test the cutting ability of swords is legally and morally condemned in modern Japanese society. It is also a common knowledge both in and outside of the Japanese martial arts community that tameshi-giri today almost exclusively means "test cutting of stationary targets made of conventional materials to assess and evaluate the skill of a swordsman" (Obata, 2005), instead of to assess and evaluate the quality of swords. Nevertheless, modern Japanese dictionaries still define tameshi-giri essentially as "the test of swords' quality by cutting **humans.**" The most logical explanation is that tameshi-giri as it was practiced in the days of the samurai, in fact, meant "the test of swords by cutting **humans**."

Here, we must keep in mind that historically wearing swords on person had become a cultural and legal privilege given only to the members of the ruling class since the end of so called the Warring State era and clearly by the beginning of the Edo period (Takeuchi, 2003). Therefore, this brutal behavior was considered a sub-cultural custom practiced by the members of a specific social cast to symbolize certain sub-cultural values or to serve certain social functions pertaining to them. This leads us to the next level of examination of tameshi-giri as a sub-cultural custom of the samurai class and a social structure from the socio-historical and ethnological perspectives.

3. Tameshi-Giri and Suemono-Giri in Historical Documents

3.1 Tameshi and o-tameshi in early 1600s

Many old documents that had been written prior to the Muromachi period were lost or destroyed in fire during the long Warring State era (1493-1573). Thus, it is difficult to locate records of tameshi-giri (and suemono-giri) in historical documents written prior to the 1500s. However, historical documents written after the Battle of Sekigahara (1600) tend to be much better preserved and reprinted, which makes the analysis easier.

The records of tameshi-giri start appearing frequently in historical documents (both in the public records compiled by the national and local governments, as well as in the writings of private authors) from the mid 1600s, though the word suemono-giri does not appear as often (Ujiie, 1999). In those documents written in the early through the mid 1600s, such as *Hankan vol. 1* (Tokugawa Shogunate, 17c), *Kishu-han karo Miura-ke monjo, vol. 2* (Miura, 17c), *Neiko-sai Danso,* (Neiko-sai, 1600s), and *Nitcho vol. 1* (Kokura Province, 17c), simpler words for "tameshi-giri" such as "tameshi" and "o-tameshi" (i.e., an honorific of "tameshi" when it is performed by a samurai of very high status) were used to indicate "test cutting of humans to maintain honorable martial skills and spirit of samurai warriors." Interestingly those early documents do not specify tameshi or o-tameshi as the testing of swords' quality, but rather they tend to emphasize the maintenance of martial skills and sprit.

For example, one such historical document, *Han Kagami, vol. 1* (Tokugawa Shogunate, 17c), which was complied by the Department of Literature and Books of the Tokugawa Shogunate as the records of accomplishments of the ruling *daimyo* loads (i.e., rulers of provinces with the complete governing authority granted by the Shogun) of each province, documents that Hosokawa Tadaoki (1563-1645), the first Lord of Buzen Kokura province, performing his first o-tameshi on nine corpses with his own sword when he was only 15 years old. Hosokawa Tadaoki's son, the second Lord of Kokura Province, Hosokawa Tadatoshi is also documented to have performed o-tameshi in *Nitcho* (Kokura Province, 17c), which is the official daily journal of the Kokura provincial government. *Han Kagami* also documents that two sons of Tokugawa Ieyasu, both of whom were born right after the War of Sekigahara (1600) and became the rulers of their own governing territories, performing "o-tameshi" on a commoner class servant who committed a crime and on a corpse of an executed felon in their jurisdiction in the early 1600s. In *Neiko-sai Danso,* a document written in 1600s by a private author by the penname Neiko-sai, also documents that the third Lord of Izumo Province, Horio Tadaharu (1599-1633) favored the practice of o-tameshi. Also in retrospect, *Hagakure*, which was written in 1716 by a retired samurai in Saga province Yamamoto Tsunetomo, describes how Lord Nabeshima Katsushige (1580-1657) used to practice tameshi-giri on ten humans when he was young by the order of his late father.

3.2 Tameshi and o-tameshi in the mid 1600s to early 1700s

In slightly later historical documents written in the mid 1600s through the early 1700s, the popularity of tameshi-giri among relatively high ranking, thus financially better off samurai is well documented. For instance, *Hennen tairyaku* (Owari Province, 17c)*,* the official record of the Owari provincial government, documents that in 1667 corpses of executed Christians were awarded to samurai officers in the province for use for tameshi-giri. (This document implies that during that time tameshi-giri was a very common practice among the samurai class and that formally receiving corpses of executed felons for that purpose was an honorable experience.) Similar instances that took place in the mid 1660s are also recorded in *Histoire de la religion chretienne au Japon* authored by a Frenchman Leon Pages, who translated many historical documents of Japan that are related to Christians in Japan and published the book in Paris in 1869-1870. In Nara province, the official record of criminal courts (Nara Magistrate's Office, 17c-19c) also shows records of using corpses of executed felons for tameshi-giri in the mid 1600s.

To reflect how tameshi-giri as a sub-cultural custom of the samurai class was popular in Japan during the 1600s, *Zoku Henro-ki* (Yamazaki, late 1600s, reprinted in 1956), which is a private journal kept by an Echizen province samurai official during the late 1600s, describes how servants of a samurai who devoted himself to tameshi-giri always searched rivers to find corpses of drowned people for their master. To correspond with what was described in this old journal, in 1661 the Kaga provincial government officially issued an order to prohibit anyone from collecting corpses of drowned and starved or injured to death on the street for the purpose of tameshi-giri, unless they were authorized by the magistrate's office. Similarly, in *Aizu-han Kasei jikki* (Aizu Province, 17c-19c), the official record of the Aizu provincial government, there is a record of a new formal procedure officially enacted in 1660 regarding the using the public facilities specifically dedicated for tameshi-giri by the samurai class. According to this official record, the newly

enacted procedure was to be followed by all members of the samurai class in the province, from the lowest ranking *ashigaru* to the highest ranking officers. This clearly suggests that tameshi-giri in Aizu province, which was very famous for its strong militant and warrior spirits (Hoshi, 2004), was extremely common and popular among the samurai across all ranks and statuses. The popularity of tameshi-giri as a part of public execution of serious felons was also well documented in a private journal *Ohmu churo-ki* kept by a relatively high ranking samurai official of Owari province (Asahi, 1691-1718).

3.3 Tameshi and o-tameshi in the mid 1700s to 1800s

During the 1700s, however, as the social order and peaceful atmosphere of the society were restored, the Tokugawa Shogunate emphasized education and moralistic behaviors of the samurai as the ruling class to be respect by the commoner class (Kanno, 2004). Accordingly, the popularity of tameshi-giri among samurai throughout the country started declining clearly. For instance, later volumes of *Han Kagami* (Tokugawa Shogunate, 18c-19c), whose older volumes had proudly documented the highest ranking *daimyo* lords born before or right after the Battle of Sekigahara (1600) practicing o-tameshi by themselves, started recording stories of merciful *daimyo* lords quitting o-tameshi after being preached by a monk or pardoning felons who were about be executed as live medium to be cut in tameshi-giri.

To reflect the nationwide decline in tameshi-giri practice in the 1700s, the author of *Hagakure* (Yamamoto, 1713), a famous book on Bushido (i.e., the way of samurai), complains about the younger generation of the warrior class giving excuses and not performing tameshi-giri as older generation used to do. A very similar complaint by "an old timer" samurai in Shonai Province of the early 1700s can be found in *Shijintsu* (Kodera, 1724), where the author states that despite the whining from (then) recent samurai that tameshi-giri is brutal and crude, there is no other way to maintain the martial spirit and be always prepared for deployment than by actually using swords (on convicted felons and corpses), especially when the society is peaceful. Similarly, the overall decline of tameshi-giri by newer generations of samurai was reported in *Hachiju ou mukashi-banashi* (Shinmi, 1732), an essay written by a retired *hatamoto* officer of the Shogun's military who was eighty some years old when it was written. In retrospect, the author Shinmi states that during the1660s-1670s the commoner class servants who were caught committing a crime in the master's mansion were executed on the property and then used as mediums for tameshi-giri, but in (then) recent years (i.e.,1720s-1730s) such things are very rare occurrence.

In historical documents that were written in the 1700s and still exist today (e.g., Kodera, 1724; Shinmi, 1732), records of tameshi-giri still appear, but mostly in the context of court records mentioning that corpses of executed felons were used for tameshi or o-tameshi. Further, during the 1700s most of those aforementioned official journals and records of provincial governments that were kept till the end of the Edo period started only briefly mentioning tameshi along with the records of executions of criminals who committed serious felony offenses (Fujita, 1870s). This tendency of official government records only to mention tameshi or o-tameshi briefly in the context of execution records continues in the 1800s. (See Yamazaki, 1957).

The words "suemono-giri" and "suemono" appear much less frequently than does "tameshi" or "o-tameshi" in the history of Japan. However, they start appearing more frequently in the mid 1700s to especially 1800s. What is notable is that when "suemono" appears in historical documents, it mostly refers to a specific form of "tameshi" in which a decapitated corpse of convicted felon was securely placed on an elevated soft soil to be used as a stationary target to test the quality of the sword being used (Fujita, 1870s; Hachiya, 1814). Additionally, the word "suemono" was also used to form compound nouns such as "suemono-shi" which means an expert/professional in "stationary target test cutting" or "suemono no waza" which means "techniques of stationary target test cutting." In fact, suemono-shi or professional tameshi-giri performers start appearing in historical documents increasing more often in the 1700s (e.g., *Aizu-han Kasei jikki,* 18c), when the cultural practice of tameshi and o-tameshi started clearly declining.

In the 1800s tameshi-giri was still performed, but only in the context of penal procedure after executions. At this point, tameshi and o-tameshi in the jurisdiction of the capital city Edo were entirely commissioned by the Yamada Asaemon family, who were professional sword testers specialized in test cutting of corpses and even live felons on behalf of the Tokugawa Shogun and other very high ranking samurai lords (Fukunaga, 1970; Ujiie, 2002). Because tameshi-giri in the 1800s was performed by professional suemono-shi commissioned by the national and local governments or private samurai of very high ranking, there would be no more record of o-tameshi being performed by high ranking samurai by themselves.

3.4 The end of tameshi-giri in history

The end of the long history of tameshi-giri and o-tameshi on corpses and live felons came about as the Meiji Imperial government, which took over the Tokugawa Shogunate's ruling of Japan in 1868, first abolished the preexisting four social casts (i.e., the samurai class, the farmer class, the craftsmen class, and the merchant class) in 1871 and declared that all four categories of people to be equal (Steinmetz, 2007). Then they officially ended when the Meiji Imperial government issued a ban on wearing swords by those who were not active duty military or police officers in 1876

(Amada, 2004). Those orders from the new imperial government completely abolished the samurai, the warrior class that had ruled Japan for almost 700 years. They also abolished the privilege of the samurai to wear their symbolic weapon that they even regarded as their souls (Amada, 2004; Nitobe, 1905). It is much later in history when the term tameshi-giri starts reappearing as a martial art jargon to refer to a method of training in the use of Japanese sword by cutting conventional targets.

4. Tameshi-Giri (and Suemono-Giri) From the Socio-Cultural Perspective

In examining the records of tameshi-giri and o-tameshi in historical documents, four historical phases of transition of tameshi-giri can be observed.   Specifically, they are 1) the pre-Sekigahara era (before 1600), in which tameshi-giri was assumed to have been practiced on a regular basis amongst the samurai class of the Warring State era, 2) the prevalent era (from the early 1600s to early 1700s), in which tameshi-giri and o-tameshi were very popular amongst relatively high ranking samurai, 3) the declining era (from the mid 1700's to 1876), in which tameshi-giri was viewed as cruel and inhumane and high ranking samurai were no longer performing o-tameshi by themselves, and 4) the modern era, in which tameshi-giri is revived as a type of martial art training. At each phase, the immediate purposes of this unusual social behavior vary. Also the symbolic meanings and social functions of this sub-cultural practice and social structure seem different as the role of the samurai class and the functions of their symbolic weapons, swords, changed over time.

In this section, tameshi-giri is conceptualized as an individual level social behavior, a sub-cultural custom of the samurai class, and a social structure of the Edo period Japan. Therefore, its immediate purposes, symbolic meaning (i.e., non-material social fact), and social functions are analyzed at each of the four historical phases.

4.1 Transformation of its immediate purposes as a social behavior

The fact that those early Edo period *daimyo* lords, who were born right before and after the War of Sekigahara (1600), were well documented to have been performing o-tameshi by themselves strongly suggest that for the samurai who had lived before the Edo period, particularly during the Warring State era, tameshi-giri on live humans and corpses were very common practice of their sub-culture as the battle fields had provided them with the mediums and opportunities continuously. Because the samurai class was constantly engaging in battles, it is not difficult to imagine that tameshi-giri as a social behavior served the purposes of both testing the quality of the swords they were using and testing the mental and physical skills in the use of swords.

From a tactical point of view, in the actual battle fields the samurai wore armor and used swords only as side weapons. Obviously the enemy soldiers against whom they wanted to prevail were also moving rather than just being statically posing (Tanaka, 2002). To understand that the immediate purpose of tameshi-giri on stationary corpses was only to test the quality of the blades and the physical skills in using the blades seems too simplistic because cutting unarmored corpses that are not moving may not be as good of a test of the blades nor the physical skills as cutting armored targets that are actually moving. In this sense, it seems more reasonable to assume that tameshi-giri during the pre-Sekigahara era was mostly performed as a psychological training to overcome the fear of fighting and cutting live humans with swords in the battle fields.

As it was well described in the previous section, during the prevalent era (from the early 1600s to early 1700s), in which tameshi-giri and o-tameshi were very popular amongst relatively high ranking samurai including the highest ranking *daimyo* lords, the immediate purpose of such a behavior seemed to be the testing of the mental and physical skills in the use of swords. (See Kodera, 1724; Kokura Province, 17c; Neiko-sai, 1600s). Probably popular tameshi-giri practice amongst relatively well off samurai was something similar to sport hunting. Even though those who enjoy sport hunting no longer need to hunt for food for survival, they still enjoy the activity as a mental and physical exercise.

The immediate purpose of tameshi-giri would transform from testing of the mental or physical skills of the swordsmen to be testing of the quality of swords during the declining era (from the mid 1700's to 1876), in which tameshi-giri was viewed as cruel and inhumane, and high ranking samurai were no longer performing o-tameshi by themselves (Ujiie, 1999; also see the historical documents cited in the previous section). This was the time when the Tokugawa government emphasized the stability of the society and encouraged samurai to be loyal to their lords and serve their administrative duties, as opposed to be brave and effective warriors (Naramonto, 2002; Kanno, 2004). Especially when the professional suemono-shi, who were specialized to perform o-tameshi on behalf of high ranking samurai to test their personally owned swords, started appearing in history (Ujiie, 1999), those high ranking samurai who commissioned the professional tameshi-giri experts to test their swords had their swords' tangs proudly inscribed with the records of tameshi, indicating how many corpses the blades successfully cut and how well they cut (Fukunaga, 1970).

The immediate purpose of tameshi-giri makes the last transition in the modern era when it is revived as a type of training method in Japanese martial art. Today, the immediate purpose of tameshi-giri as a martial art training method is primarily to test the skill of the swordsman in the effective use of sword by actually cutting conventional targets with it (Obata, 2005).

4.2 Transformation of its symbolic meanings as a sub-cultural custom

Tameshi-giri is not merely an individual level social behavior, but it is also a sub-cultural custom held amongst the members a particular social casts, the samurai. Since it was a behavioral manifestation of an important aspect of the samurai sub-culture of pre-modern Japan, it also represented important symbolic meanings (or non-material social fact) to the samurai class.

As it was clearly mentioned in the famous book of *Hagakure* (Yamamoto, 1716), the martial spirit of the warrior as a collective sentiment was extremely important for the members of this social cast. The samurai were the professional warriors as well as the ruling class of the country (Kanno, 2004). Their swords as a symbolic representation of their martial spirit, duty, responsibility and obligation as the rulers were sometimes regarded as important as their own souls (Amada, 2004; Naramoto, 2002). During the time when members of the samurai class were actually engaging in tameshi-giri by themselves, the sub-cultural custom clearly symbolized their effort to maintain the honorable martial spirit and mentality. Additionally, their actually performing tameshi-giri on corpses of executed felons also symbolized their being the ruling class of the country with the military and criminal justice authority. Tameshi-giri as an additional punishment to death penalty (Ishii, 1997) continued to exist in the context of official penal procedure of Japan till the abolishment of the samurai class itself. As it will be discussed later, this also substantiates the argument that tameshi-giri was in fact a symbolic representation of the samurai class's collective sentiment and shared martial spirit that lived and died with the warriors of the past.

4.3 Transformation of its functions as a social structure

Tameshi-giri was clearly a sub-cultural custom of the warrior and ruling class of pre-modern Japan. However, it was also a social structure that served some important functions not only for the samurai class but also for the entire Japanese society. Obviously, tameshi-giri as an institutionalized social structure of criminal justice also served functions to stabilize and maintain some order to the Japanese society.

It is not difficult to imagine that the samurai's constantly performing tameshi-giri, especially on live and executed felons had some deterrent effects on criminals and potential criminals as one of its latent functions during the disordered Warring State era. Once the long lasting wars ended in the Battle of Sekigahara in 1600, the new Shogunate tried to restore order and stability of the society by emphasizing loyalty, duties and responsibilities of the samurai class. At this time, the Shogunate emphasized education over martial arts; administrative service over winning the battle; and morality as the ruling class over braveness as the warrior class (Kanno, 2004). During this time, the popularity of wide-spread tameshi-giri must also have served a latent function as a safety valve through which the new generation of samurai, who did not have the opportunities to win the battles and be promoted to much higher ranks or awarded larger territories, could vent their political frustrations with the new government by maintaining their collective social identity as the warrior. Also, during the prevailing era of tameshi-giri from the early 1600s to early 1700s, commonly seen tameshi-giri must have also served a social function to show to the commoners that the samurai, who were no longer fighting the war, were still the ruling class of the country that is given the cultural and legal authority to serve justice through o-tameshi. It is also clear from historical documents written by private author (e.g., Asahi, 1691-1718) that tameshi-giri as a part of public executions served a latent function as a rather distasteful entertainment.

During the declining era of tameshi-giri, the samurai class was no longer the warrior class actually fighting the wars for the country, but was a privileged class of government officials by ascription (Yamamoto, 2000; 2008).   Of course, as it is described in the next section, strictly controlled and ritualized tameshi-giri and o-tameshi performed by suemono-shi as a part of the formal penal procedure during the 1800s (Fujita, 1870s; Ishii, 1997) served an important manifest function in the criminal justice system as an additional punishment to the death penalty to deter commissions of serious felony. By having the professional suemono-shi to test the quality of swords that they proudly owned, high ranking samurai, who were no longer the warriors but had become an advantaged class of government bureaucrats in the mid to late Edo period (Naramoto, 2002; Kanno, 2004), were still able to maintain the warrior spirit and identity symbolically and able to show the society that they are still the ruling class of the country with the legislative and law enforcement authority.

5. Clarifying the Confusions and Misconceptions

5.1 Criminal justice procedure versus martial arts practice

As the historical documents referenced earlier clearly indicate, the term tameshi-giri was rather closely linked to the criminal justice practice throughout the Edo period, which was from the early 1600s till 1868. In that sense, tameshi-giri, which was originally a sub-cultural custom of the samurai class being performed as a martial practice before and the beginning of the Edo period, evolved and lasted also as a legitimate penal procedure in the criminal justice system of pre-modern Japan. That is why the term "suemono-giri" or "suemono-shi" in historical documents was also used in conjunction with the professional tameshi-giri performers to test cutting abilities of swords using decapitated corpses in the context of court records on executions.

The notion of tameshi-giri performed as a part of legitimate criminal justice practice is very well substantiated as a number of historical documents written between the mid 1600s to early 1800s (e.g., Aizu Province, 17c-19c; Fujita, 1870s; Hachiya, 1814; Kodera, 1724; Nara Magistrate's Office, 17c-19c) describe the procedure and specific details of tameshi-giri as part of the formal public execution ritual. Also, those historical documents and public records written in the Edo period indicate that tameshi using the corpses of executed felon as a form of extra punishment (because even felons wanted their bodies to be handed to their families for proper burial) seems to have been the norm in the Edo period criminal justice system rather than an exception at least till the late 1700s to early 1800s (Ishii, 1997). That is, unless they were exempt by the laws of the jurisdiction, corpses of executed felons had always been used as medium for test cutting as a part of the capital punishment.

5.2 Who were used as suemono (i.e., stationary target for tameshi-giri)?

As described in section 2 above, along with the decline of the practice of tameshi as a martial practice amongst the samurai class since the mid 1700s, the shogunate and provincial governments started amending their penal laws to include exemptions for tameshi-giri based on the social casts and gender of the felons, in addition to the severity of the crimes they had committed. Most official records of provincial governments and the Shogunate cited in the earlier section also reveal exactly who were used as the medium for tameshi-giri and who were not. (Also see Ujiie, 1999; 2002.) By the late 1700s to early 1800s, the Tokugawa Shogunate and several provincial governments had issued prohibitions against the use of executed felons in the following categories:

 1). Samurai or clergy, in the jurisdictions of the Shogunate (Yamazaki, 1957);

2). Female felons, in the jurisdictions of the Shogunate, Owari and Takasaki Provinces (Gunma Prefecture, 1978; Owrai Province, 19c; Ujiie, 2002; Yamazaki, 1957);

3). Felons convicted of manslaughter instead of premeditated murder, in the jurisdiction of Hiroshima Province (Yamazaki, 1957);

4). Felons who have visible skin diseases, in the jurisdictions of the Shogunate and many provinces (Yamazaki, 1957).

5.3 Who actually performed tameshi-giri on felons after they were executed?

This is one of the areas in which misconceptions are still perpetuated amongst many, particularly those outside of Japan. To understand this issue more accurately, it is necessary to see the notion of tameshi-giri (and the use of corpses) from a socio-cultural perspective and examine it in the context of old criminal justice system in pre-modern Japan.

Up until 1868, when the last Tokugawa Shogun officially returned his commissioned authority to govern Japan to the Emperor, the samurai class had ruled Japan for about 675 years (Steinmetz, 2007). During the 1600s, the samurai class had still maintained a strong warrior class mentality, and thus had also tried to maintain the weaponry and martial skills necessary for their primary role as the warrior class (Kanno, 2004). While there are few existing historical reference sources on tameshi-giri prior to the Edo period (1603-1867), it is clear that by the early 1600s the practice of tameshi-giri on corpses had already been established as a legitimate means to test the quality of swords amongst the samurai class, as well as a legitimate form of penal procedure in the criminal justice system of old Japan.

During the early stage of the Edo period, many high ranking samurai, including *daimyo* lords actually engaged in the practice of o-tameshi on corpses by themselves as it was considered a very legitimate and necessary practice embedded in their warrior class sub-culture. As listed and cited in the earlier section, those *daimyo* lords who were well documented in historical records to have performed o-tameshi on live felons or corpses by themselves include:

1. Tokugawa Yorinobu, a son of Tokugawa Ieyasu and the 1st Lord of Kii province (Miura, 17c; Tokugawa Shogunate, 17c)

2. Tokugawa Yorifusa, another son of Tokugawa Ieyasu and the 1st Lord of Mito province (Tokugawa Shogunate, 17c)

3. Tokugawa Mitsukuni, a son of Tokugawa Yorifusa and the 2nd Lord of Mito province (Tokugawa Shogunate, 17c)

4. Nabeshima Naoshige and Katsushige, the Lords of Saga province, father and son (Yamamoto,   1716)

5. Honta Masakatsu, the Lord of Kohriyama province (Tokugawa Shogunate, 17c)

6. Hosokawa Tadatoki and Tadatoshi, the Lords of Kokura province, father and son (Kokura Province, 17c-19c; Tokugawa Shogunate, 17c-18c)

7. Horie Tadaharu, the Lord of Matsue province (Neiko-sai, 1600s).

(Also see **3. Tameshi-Giri And Suemono-Giri in Historical Documents**)

As it is obvious from existing historical records, at least until the mid 1700s, to test their martial spirit and the cutting ability of their symbolic weapons on live felons or corpses of executed felons had not been considered as overly uncivilized or inhumane acts to be deprecated.

Despite the efforts of higher ranking samurai to try to maintain their martial spirits and identity, the long peaceful social environment of the country and the wave of civilization clearly started affecting the collective mentality and daily customs of the samurai class since the 1700s. That is, the samurai were no longer the actual warrior class: Rather they had mostly become the advantaged class of government bureaucrats (Yamamoto, 2000; 2008). Because of the declined needs for maintaining the martial skills as warriors, o-tameshi performed by higher ranking samurai themselves had no longer been popular by the mid 1700s (See the later volumes of *Han Kagami* kept by the Tokugawa Shogunate in the 18c).

During this time of decline of o-tameshi practice by the nation's highest ranking samurai, professional sword testers (but not ordinary executioners) that were called "otameshi-geisha" or "suemono-shi," who were relatively lower ranking samurai with recognized skills in swordsmanship expertly performing o-tameshi on behalf of very higher ranking samurai, started appearing in history. By the mid 1700s, the Tokugawa Shogunate and its Osaka and Nara *Bugyo-sho* (i.e., the district magistrate offices), as well as Aizu, Owari, Saga, and Satsuma provincial governments, (some of whose rulers had been famous for practicing o-tameshi by themselves till the mid 1600s) all started hiring or commissioning to have the professional otameshi-geisha or suemono-shi (all of whom were the members of the samurai class) to test the swords of high ranking samurai on their behalf.   (See, for example, Aizu, 17c-19c; Fukunaga, 1970; Nara Magistrate's Office, 18c; Owari Province, 17c-19c, for historical records on tameshi professionals.)

5.4 Did hinin actually perform tameshi-giri on corpses?

This is another area in which misconception is commonly perpetuated for two reasons. One is that by the late 1700s many higher ranking samurai had stopped actually performing o-tameshi by themselves (Ujiie, 1999). The other reason is that at least during the Edo period, executions of convicted felons from the commoner class, unless they were sentenced to death by decapitation, were mostly carried out by the hands of executioners from the lowest social cast called *hinin* (which literally means "non-human" in Japanese) who were also used as janitors of correctional facilities and execution grounds (Ishii, 1997).

As far as the historical records indicate, however, even after the practice of tameshi-giri had been considered uncivilized and inhumane, decapitation and cutting corpses to test the quality of swords was still conducted and actually performed by the hands of none other than the samurai class professionals or executioners, but never by the hands of then the lowest social cast *hinin*. Contrary to the widely spread misconception, *hinin* were only employed as actual executioners to carry out death penalty of non-samurai class felons and executions other than decapitation (Ishii, 1997). Additionally, those in the lowest cast were merely used as assistants to carry, move and set up the corpses on the stand for the samurai class professional sword testers, as well as janitors to clean up the execution grounds afterwards (Fujita, 1870s; Hachiya, 1814).

Aside from the existing historical documents, there were at least two obvious reasons that high ranking samurai (who wanted their symbolic weapons to be tested) would never have allowed the lowest cast of *hinin* to actually test or even handle their precious blades. One is the existence of rather strict and detailed legal requirements imposed by the Shogunate and local governments for the proper procedure of tameshi-giri rituals (Aizu Province, 17c-19c; Nara Magistrate's Office, 18c). Because tameshi-giri was also performed as an integral part of legitimate criminal justice procedure (i.e., harsher punishment in addition to mere execution), these laws clearly designated the actual performer of test cutting only to qualified samurai along with specific procedures of the ritual (Hachiya, 1814; Ujiie, 1999). Once again, those who actually performed decapitation of felons and tameshi-giri on corpses were either a) the *doshin* class samurai (i.e., the lowest ranking criminal justice officers) who were skilled in swordsmanship or b) professional "suemono-shi" (who were freelance sword testers but members of the samurai class) commissioned by the appropriate magistrate office or by the owners of the swords being tested (Nara Magistrate's Office, 18c).

The other reason that members of the *hinin* class could not have been allowed to handle swords after executions of felons was the symbolic meaning of swords to the samurai class in pre-modern Japan. Those swords being tested were private property of high ranking samurai who requested their swords to be tested through the local magistrate's office. In many cases, the swords to be tested were their family heirlooms or newly presented awards by higher ranking loads on special occasions. As many students of Japanese history already know, the samurai of the past believed and actually treated their swords as the symbolic representation of their social status and identity, and as though they were their own souls (Amada, 2004; Nitobe, 1905). As a matter of fact, those swords to be tested were first handed to the *bugyo* (i.e., the chief magistrate officer), then to the *yoriki* (i.e., deputy chief), and finally to either *doshin* performing executions or professional suemono-shi (Fujita, 1870s; Nara Magistrate's Office, 17c-19c); but never to be in the hands of assistants from the lowest social cast who were literally regarded by the samurai "not even humans."

Another relatively widespread misconception is that many of those who actually performed tameshi-giri did not possess good sword skills. Existing historical records also tend to refute such a notion. Despite the fact that most of those sword testers were relatively low in the bureaucratic hierarchy within the stratification system, they often operated their own schools of suemono-giri (i.e., specialized techniques of cutting stationary targets for the purpose of tameshi) and had

students entirely dedicated to perfect the skills of suemono-giri (Fukunaga, 1970; Ujiie, 1999). Since the swords being tested were properties of higher ranking samurai, the owners of precious swords would not have trusted their family heirlooms and valuable awards in the hands of unskilled testers.

5.5 To what extent professional tameshi-geisha and suemono-shi were deprecated in Japan?

Once again, to fully understand this issue, it is necessary to view the practice of tameshi from a socio-cultural perspective, and analyze how the cultural practice of tameshi had changed its meanings over the course of Japanese history. During those 260 years of the Edo period, tameshi practice had always been a privilege of the samurai class. Especially in the early Edo period some of the nation's highest ranking *daimyo* were actually performing o-tameshi by themselves. Later, some of high ranking samurai lords had even become students of well recognized early suemono-shi in their own ruling provinces. For example, one of the earliest documented tameshi professionals in the early Edo period, Nakagawa Saheita Shigeyoshi, was a high ranking *hatamoto* class samurai (i.e., a commissioned officer of the Shogun's military force) with the 1200 *koku* (i.e., rice barrels per year) size of his manor (Ujiie, 2002). Also as in the case of Aizu province, up until the early 1700s many of those tameshi professionals were well respected by the ruling lords of their provinces.

Those honorable days for professional otameshi-geisha and suemono-shi did not last too long, especially since the mid to late 1700s when many high ranking samurai started viewing the practice of o-tameshi by themselves unnecessary or uncivilized. Nonetheless, the practice of tameshi as a part of legitimate criminal justice procedure and penal ritual still survived till the end of the Edo period. Many historical documents compiled in the mid to late Edo period indicate that the ritualistic practice of tameshi on corpses was carried out with dignity before the presence of very high ranking officials (Ujiie, 1999).

From the economic point of view, however, the annual salaries of those tameshi-geisha in the Edo period were not great. Except for a very few like Nakagawa Saheita (who was a commissioned *hatamoto* officer of the Shogun's military with his own governing territory), his student Yamano Kanjuro/Kaemon (i.e., the teacher of the 1st generation Yamada Asauemon), and the famous 1st generation Yamada the "*Kubikiri*" Asauemon (but not later generations Yamada Asauemon), all seemed to have received relatively modest salaries and not so prestigious official ranks, even though they were still well respected in their professions. Combined with the general decline of the demand for commissioned test cuttings and the emerging cultural norms to view tameshi on corpses as an uncivilized act, most professional sword testers other than the famous Yamada Asauemon lineage had eventually disappeared from the front stage of history (Fukunaga, 1970).

One interesting piece of history about the famous Yamada family is that they also supported their family economy and their martial art school management by engaging in the making of medicine by extracting some bio-chemical essence from kidneys of the corpses they had used for tameshi-giri (Ujiie, 2002). Because of their side family business as pharmacist and the commissioned test cuttings from the Shogunate that they monopolized, the Yamada family had maintained wealth till the end of the Edo period even though they remained *ronin* (i.e., samurai who did not have a particular master lord nor possessed any permanent administrative positions in the government offices) on the official domicile record. According to Fukunaga (1970), the Yamada family continued their monopoly in commissioned sword testing for the Shogunate till the Meiji Restoration. When the new domicile registration record implemented by the Meiji Imperial government in 1873 replaced the old casts system of the Edo period based on *Shi* (samurai), *No* (farmers), *Ko* (craftsmen), and *Sho* (merchants), the 8th generation Yamada Asauemon Yoshitoyo and his younger brother Yoshifusa both became correctional officers in the capital city of Tokyo. However, they were registered as *Heimin* (commoners), not "*Shi-zoku*" (i.e., a new social category created for the old samurai class) because they had not possessed any official ranks in the old Shogunate offices.

In sum, most tameshi professionals did not have high ranks in the government bureaucracy, nor much wealth (except for the famous Yamada family): However, their skills in the profession had been well respected until the end of the Edo period.

6. Tameshi-Giri And Suemono-Giri in Japanese Martial Arts Today

6.1 New meanings and practice of tameshi-giri in sword arts today

As described earlier, the term "tameshi-giri" or more accurately "tameshi" meant to be the test of martial spirit and sword skills in the early Edo period.   Later in the mid to late Edo period, it commonly referred to "the act of testing the swords on humans (mostly corpses but sometimes live felons)." Similarly, the term "suemono-giri" referred to "the specific act of performing tameshi-giri on decapitated corpses mounted as fixed/still targets.

As it was explained in an earlier section, those professional sword testers did not always have the "real" test medium (i.e., corpses) available for their daily training. Therefore, it is not difficult to imagine that those who were specialized in tameshi-giri mostly practiced their suemono-giri skills by cutting some other commonly available mediums such as water soaked bundles of rice straw, rolled straw mats or bamboos that approximate the weight and density of human

flesh. Indeed, such efforts of tameshi-giri professionals in their daily training were also shared by avid martial arts practitioners of the old days to form the foundation of the modern notions of tameshi-giri and suemono-giri in the Japanese sword martial arts community.

Today, those schools of Japanese sword arts that emphasize practical applications also emphasize the modern notion of tameshi-giri as the test of their swordsmanship and as the means to perfect their skills to perform the manifest function of the swords. In their regular training, they also strive to perfect their arts by cutting aforementioned conventional medium. In this sense, the meanings of tameshi-giri and suemono-giri are different from what they used to symbolically mean to the samurai class in the feudal era Japan when they were actually engaging such activities as their sub-cultural custom and a social structure.

Though each school of sword martial art may have slightly different emphasis and interpretation, tameshi-giri, in today's martial arts definition, primarily refers to "test cutting of commonly available medium (that are supposed to simulate human flesh and bones) to evaluate the skills of the swordsman and as the means to develop proper skills to cut with Japanese swords." Similarly, suemono-giri (though not as commonly used as tameshi-giri) as used in today's martial arts context mostly refers to "the practice of cutting stationary targets made of conventional mediums to test and evaluate the skills of the swordsman." The only exception to these modern notions, where the term tameshi-giri or suemono-giri still refers to the "test of the quality of the swords," is the situation in which sword smiths (or commissioned martial art practitioners) perform test cuts using newly forged Japanese swords to test the quality of their blades before they are sent to the new owners (Amada, 2004; Shibata, 1995; Tsuchiko, 1999).

6.2 Other related terms in modern sword arts

Despite the widespread modern usage of the term tameshi-giri in the martial arts community, the word tameshi-giri as it is defined in modern Japanese dictionaries still carries the old notions of "the test of swords" and "the use of humans as cutting medium." To avoid confusion (because of the historical change in its symbolic meanings and social functions) and to clarify the immediate microscopic purposes of "test cutting" as an individual behavior (whether to test the swordsmen's skills or the quality of the blades), a few other terms have already been introduced and being used by practitioners of Japanese sword arts today.

According to Toshishiro Obata (2005), a descendent of samurai and the head master of a Japanese martial art school based in California, tameshi-giri can be divided into two sub-categories based on its immediate purposes as a training method: "Shi-zan" means the testing of the skill of swordsman through the use of cutting mediums such as bundles of water soaked rice straw, rolled straw mats or bamboos. On the other hand, "shi-to" means the testing of the quality of sword through the use of harder cutting mediums including thicker bamboo and possibly traditionally made antique steel helmets that samurai of the old days actually wore. In this sense, testing both the quality of the sword and the skill of the swordsman by cutting a helmet that samurai of the old days actually wore is a return of the original purposes tameshi-giri as an individual level social behavior of a warrior.   If cutting antique steel helmet is also to honor and maintain the shared martial spirit of the old warrior class, it can also be seen as a return of a symbolic meaning of tameshi-giri as a sub-cultural custom to maintain the samurai identity, even though the functions of tameshi-giri as a social structure were long gone.

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Workers' Compensation for Non-fatal Construction Accidents:

Review of Hong Kong Court Cases

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Abstract

Hong Kong is notorious for her high construction accidents rates. Although the accidents rate has dropped from 350 per 1000 workers in mid 1980 to 60 per 1000 workers in 2007, it still accounted for nearly one-fifth of all the industrial accidents in Hong Kong. Contractors were economically pressed and battered by exorbitant compensation over the years. This paper presents a comprehensive study of non-fatal accidents compensation court cases from 2004 to 2008. Although approximately one-third of the cases with injured persons aged between 47 and 56, the percentage of court cases over construction employees by age group was highest in age group 17-26. In terms of trade of workers, General laborers/causal workers stood the highest, then came electrical technicians and painters/decorators/plasterers. The highest rates of injury were falling from height and hitting by falling objects. Increasing from HK$10,997,637 in 2004, the total compensation reached the peak of HK$39,643,353 in 2006. The heaviest compensation was HK$13,800,000 among 101 cases. Most of the victims were compensated under loss of earnings and Pain Suffering and Loss of Amenities. While general labourers marked the highest number of cases, less than one-fourth of them were awarded compensation which exceeded HK$1,500,000. Four out of seven steel benders who filed court cases, however, received compensation greater than HK$1.5 million for each case. Those who were struck by objects had relatively the highest chance to be compensated with a huge sum of money.

Keywords: Construction accidents, Work compensation, Court cases, Hong Kong

1. Introduction

Persistent high accidents rates on sites have caught the attention of many researchers and construction practitioners in Hong Kong (Siebert & Wei, 1998). Accidents replay on sites thousand times each year, and buzz on accidents prevention is boring but inescapable. As compared to other places in Asia, such as Japan, South Korea, Taiwan and Singapore, Hong Kong accidents rates on sites stood the highest among all. Muttering our astonishment, number of accidents per thousand employees was one-digit more in Hong Kong than others (Poon et al., 2008). Frazzled safety officials have taken a crack at overturning the situation by legal regulations, such as Occupational Safety and Health Regulation and Construction Sites (Safety) Regulations. To restore the victims position (Ashworth, 1986) and punish those ill-performed contractors, Employees' Compensation Ordinance was enacted in 1953 (Poon et al., 2008). Legislation as such established an ex ante "contract" between workers and employers where the employers promise to pay a specified amount for all accidents arising in course of employment. Workers' compensation also shifts the liability of workplace accidents from negligence liability to a form of shared strict liability (Fishback & Kantor, 1998). While millions of money have been spent by nerve racking contractors on construction accidents compensation, limited research has been done on the compensation cases. This paper provides some fundamental and useful information about the cases in District Court and High Court. It presents:

1.   Total compensation spent by contractors each year

2.   An estimation on percentage of compensation spent on a) Pain Suffering and Loss of Amenities (PSLA), b) Loss of earning, c) Loss of earning capacity, d) Special damages, e) Future treatment costs

3.   Victims who were awarded huge sum of compensation (HK$1.5 million) by a) Workers' trade of work, b) Parts of bodies injured, c) Mechanism of injuries

2. Liability of contractors on workers' safety under common law

In Hong Kong, it is widely accepted that 'judge made law' resulting from former court cases decided by judges in Hong Kong, UK and other common law jurisdictions. As questions of contractors and subcontractors' duties on safety issues have employment law dimensions, a brief outline of the applicable legal principles is necessary. As early as in 1950, Lord Oaksey had already provided his view on employer's duty in Winter v Cardiff Rural District Council: employers have to supply the employees with adequate directions as to the system of work or mode of operation and adequate plant. By the time system or mode of operation is highly dangerous, complicated or involves a number of men performing different functions or prolonged, it is naturally a matter for the employers to take the responsibilities of deciding what system shall be adopted. This view is confirmed in one of the recent court cases in Hong Kong, the learned judge held that " (f)irst, an employer owes to his employee a duty to exercise reasonable care to ensure that the system of work provided for him is a safe one. Secondly, the provision of a safe system of work has two aspects: (a) the devising of such a system and (b) the operation of it" Li Moon Chai v Leung Shu Man (2008). This view is also reaffirmed by other judges in Liu Wai Leung v Asia Construction Co Ltd (2008).

In deciding the risk precautions, it is of the view that the employer should provide different degrees of protection on case by case basis " …Where one employment happens to be more dangerous than another, a greater degree of care must be taken, but where the employer cannot eliminate the risk of danger, it is required to take reasonable precautions to reduce the risk as far as possible…" Nguyen Van Vinh v Cheung Ying Construction Engineering Ltd (2008). However, this does not mean that an employer is required to remove every risk which might confront its employee. As the Lord Oaksey commented in Winter v Cardiff Rural District Council (1950), "but this does not mean that an employer must decide on every detail of the system of work or mode of operation. There is a sphere in which the employer must exercise his discretion and there are other spheres in which foremen and workmen must exercise theirs.... On the other hand, where the operation is simple and the decision how it shall be done has to be taken frequently, it is natural that it should be left to the foreman or workmen on the spot."

Whilst the immediate employer of the employee is liable for the safety, Morris v. Breaveglen (1993) ruled that the principal contractor cannot escape his liability. In that case, the victim sustained injury while working under the employment of one employer, as he had been instructed to work under the directions of employees of a second employer. The general employers argued that they should not be liable for the injuries as they were not exercising direct control over the plaintiff. Nevertheless, judges invalidated such contention. In Rainfield Design & Associates Ltd v Siu Chi Moon (2000), judges share similar view "[t]he purpose of the Regulations was clearly to provide for the safety of workman and the primary responsibility for this must rest with the contractor responsible for the site. Even where a subcontractor had a contractual duty to provide plant and equipment, the contractor responsible for the site would not be relieved from its duty under the Regulations." Common law rules as such, however, were severely limited by common law defenses available to the employer, on employees' contributory negligence. If proved, it is possible to completely bar an employee's recovery.

3. Various legislation in relation to construction accidents compensation in Hong Kong

In response to work-related deaths and injuries, three major pieces of legislation have been enacted and implemented. The Factories and Industrial Undertakings Ordinance in 1980 laid down the general duties of employers at work. Its subsidiary regulation, Construction Sites (Safety) Regulations Chapter 59I, was written clearly to provide the safety of workman and the primary responsibility for this must rest with contractors. Contractors have to ensure suitable and adequate safe access to and egress from every place of work where the construction work is being carried out (Regulation 38AA(2)). They should also provide workers employed on sites with safety helmets (regulation 48(1)(1)). Where workers are employed on sites, contractors responsible for the sites should take such precautions as are necessary to prevent any workers from being struck by any falling materials or objects at work (Regulation 49(1)(1)).

Previous research shows that most of the accidents in Hong Kong involves falling from height, striking by objects etc (Poon et al. 2008). Specifically, it has also stated the responsibilities of contractors for different nature of work on sites, e.g. they also have to identify, rectify against all hazardous conditions, safeguard any person working at a height <u>on</u> the construction site (Regulation 38A) and to prevent any person from falling from height by taking adequate steps (regulation 38B(1)). Any contractor or workman engaged in construction work who does anything likely to endanger himself without reasonable cause or others shall be guilty of an offence and liable on conviction to a fine of HK$50,000 (Regulation 69).

Another piece of legislation, Occupational Safety and Health Regulation, Chapter 509A, stipulates that every employer must ensure the safety and health at work of all the employer's employees. It has provided several requirements on safety system, safety place of work and manual handling operations, for example:

1. The person-in-charge for a workplace have to ensure that plant is not installed or kept unless the plant is safe and without risks to those who use the plant (section 3(1)).

2. He/she needs to ensure a) that the dangerous parts of plant installed or kept are effectively guarded; and b) in particular that, when any dangerous part of the plant is in motion, the guard relating to that part is kept in place (section 4(1)(1)).

3. The person responsible for a workplace must ensure that an effective means for draining the workplace is installed and maintained at the workplace if (a) an activity carried out at the workplace makes the floor of the workplace wet; and b) the wetness can be eradicated by means of a drainage system (section 14).

4. The person responsible for a workplace must ensure that employees employed at the workplace who undertake manual handling operations which may create safety risks are provided with relevant and comprehensible information (Section 29).

Although Hong Kong has a rather short history in safety and health regulations, history concerning workers' compensation ordinances in Hong Kong can be traced back to 1950. To protect the workers' welfare, Employees' Compensation Ordinance Chapter 282 Section 7 was enacted in 1953 (Poon, *et. al.*, 2008). It states clearly the amount of compensation in cases of permanent total incapacity due to work according to age of the employees. It has three categories:

1. Employees who are under the age of 40, he or she will be compensated with HK$344,000 or 96 months of earnings whichever is higher (section 7(1)(a));

2. Employees who are over 40 years of age but under 56 years of age at the time of the accident are eligible to receive HK$ 344,000 or 72 months of earnings whichever is higher (Section 7(1)(b));

3. Employees who are 56 or above are entitled to receive HK$344,000 or 48 months earning whichever is higher (section 7(1)(c)).

These do not, however, mean that no restrictions on the amount of monthly earning in calculating compensation. In fact, the aforementioned monthly earnings are subject to a maximum of HK$21,000 for estimating compensation. Settlement of claims between employers and employees can be done by various ways which included but not limited to direct payment or settlement, settlement by court or certificate. Under this ordinance, an employer must also process valid insurance to cover his liabilities for the work injuries for his employees (Labour Department, 2008b). It sounds easy to understand terms within the ordinance, "[r]egrettably, this ordinance had its origin in English statutes drafted nearly a century ago but which has since incorporated both English and local amendments, is by no means easy to follow. This is particularly regrettable when the purpose of the legislation is to provide for payment of compensation to injured employees, a class covering a wide spectrum of the community with various educational backgrounds" Lau Suet Fung v. Future Engineering Company Ltd (2003). This might provide one of the reasons why arguments over level of compensation arise and some of which end up in court.

4. Research method

Descriptive statistical analysis of 101 workers' compensation court cases due to accidents on construction sites while they are doing construction work was carried out. All of them arose between 1st January 2004 and 13rd November 2008 in District and High Courts. Despite some unknown variables within the Hong Kong law report, it represents the best source of information available concerning nonfatal construction injuries court cases currently available. For simplicity, definition of construction site is adopted from Construction Site (Safety) Regulations as "... a place where construction work is undertaken and also any area in the immediate vicinity of any such place which is used for the storage of materials or plant used or intended to be used for the purpose of the construction work ..." And for the meaning of "construction work", one can also turn to the Factories and Industrial Undertakings Ordinance, Cap. 59, under section 2, it says "'construction work' means the construction, erection, installation, reconstruction, repair, maintenance ... renewal, removal, alteration, improvement, dismantling, or demolition of any structure or works specified in the Third Schedule ..."

5. Results

5.1 Age

Previous research has diverse views on which age group is more accident prone. While some authors concede that young workers have higher chance of accidents due to lack of experience, others argue that accident rate among older workers is not lower than that of younger ones (Li, 2006). This research reveals that majority of the serious injuries

come from the age group (47-56) which accounts for 30 among the 101 court cases, age group 27-36 and 17-26 marks for 18 and 15 cases respectively. There were 7 cases falling under the age group 57-67 only. Nevertheless, the percentage of court cases over construction employees by age group is highest in age group 17-26 as noted in (Table 1).

In a study conducted in Denver by Lowery et. al. (2000), workers who build elevators and conduits, install glass, metal, or steel were at particularly high risk of injury. A glance of Table 2 shows that general labourer/causal workers ranked highest, with a total of 26 cases, followed by electrical technicians, painters/decorators/plasterers, and carpenters, each of them accounted for 11 cases. A glimpse of Table 2, however, reviews that among all the percentage of litigation over injured cases, scaffolders ranked highest, followed by carpenters, each of them accounted for more than 2%.

5.2 Mechanism of injury

Previous study of Dement and Lipscomb (1999) revealed that the highest rates for compensation cases involving medical costs were observed for being struck by an object, lifting/movement and falls from height. In Japan, South Korea, Taiwan and Singapore, the most common type of construction deaths happened on sites was falls from a height (Poon et. al., 2008). In Hong Kong between 1997 and 2008, approximately one-fifth of the construction accidents on sites were 'striking against or struck by moving objects', 'injured whilst carrying' and 'fell on the same level' (Labour Department, 2008a). Nevertheless, the highest rates of injury involved litigation were falling from height (37) and being hit by falling objects (32). Generally speaking, there is an upward trend in being hit by falling objects (Table 3). Being hit by objects reflect poor housekeeping on sites, one of the major causes of accidents on sites as indicated in research by Li (2006) and Atkinson et al. (2005).

5.3 Parts of bodies injured

In a study conducted by Dement and Lipscomb (1999), compensation claim incidences were highest for back/ shoulders, fingers, and leg/knee. In Hong Kong, claimants have to supply their medical assessment reports for compensation purposes. Doctors fill in the form which indicates which part of the bodies did the claimants suffer and the corresponding percentage of body impairment. There are also guidelines in Hospital Authority concerning impairment assessment on different parts of body injuries, e.g. injury on thumb induce greater body impairment then index finger. As shown in Figure 1, mechanism of injury was highest for limbs (51), cases accounting for half of the cases. The other common injuries are head (15), back (14), eye (12) and fingers or toes (11).

5.4 Compensation awarded in 2004-2008

The total compensation awarded for a victim would be the sum of all items of compensation for damages decided by the judges. The primary aim of compensation is to provide remedy to the victims as close as possible to the status had the accident not happened. As a matter of fact, victims might not award compensation under each and every sub-category of damages (Saram & Tang, 2005). After deciding the whole sum of money to be compensated, the judge would decide the percentage of liability which was borne by the contractors and/or subcontractors. Had there been no prior agreement on the percentage of each defendant's liability on construction injuries, court also decides the percentage out of which each party should pay, e.g. Ho Ho Ming v Tse Po Wah & Others (2008), Pang Dai Shing v Ho Shun Ching and others (2007). Although there is no consensus on how heavy the accidents compensation should be, the learned judge in Hutchinson v London & North Eastern Railway Co (1942) stated that "The real incentive for the observance by employers of their statutory duties ... is the possibility of heavy claims for damages. Such legislation would be nugatory if, in every case, employers could disregard the statute, and allege that ... the plaintiff could see the danger and, therefore, ought to have ceased working, which in many cases might mean dismissal, or to have taken some extra precaution which was not taken."

Compensation may be awarded under the following heading:

1. Pain Suffering and Loss of Amenities (PSLA): these compensate for injury which leaves victims disabilities which tarnish general activities and satisfaction of lives, but allow reasonable mobility to victims, for instance, bad fractures which lead to recurrent pain, Lee Ting Lam v Leung Kam Ming (1980). In order to consider the amount to be awarded under this heading, judges will also consider the victim's habit such as sport activities, family lives and background.

2. Loss of Pre-trial earning: this encompasses monthly earning from the Date of Accident to end of sick leave, Wong Hak Man v Harvest Engineering Development Ltd and Chun Wo Building Construction Limited (2008)

3. Post trial loss of earning: this encompasses the earning lose after trial, generally speaking, it takes into consideration the plaintiff's age on the day of hearing and the possible maximum age which the victim is still able to work, Siu Leong Ching v Professional Scaffolding Engineering Co Ltd & Another & Tong (2004)

4. Future medical treatment: this encompasses future inpatient treatment, Wong Chun Lam v Tai On Civil Engineering Ltd (2008)

5. Special Damages: these encompass hospital and other medical charges, such as expenses on tonic food, traveling, bonesetters, Chinese Herbalists, treatment in mainland hospital, Medical Accessories, Lin Chiu Lung v ILE Company Limited (2005), Wong Hak Man v Harvest Engineering Development and Chun Wo Building Construction Limited (2008)

6. Loss of Earning Capacity: victims would only be compensated under this heading of claim if and only if the plaintiff's injuries leave residual disabilities, leading them to disadvantages in labor market, Wong Chun Lam v Tai On Civil Engineering Ltd (2008)

Apart from the aforementioned items, judges might award the plaintiffs under the item such as loss of society, retirement benefit etc. Panel of judges might also deduct a sum of money which had been received by victim and their corresponding responsibilities for their negligence. In a few cases, judges might choose to award the victim according to employees' compensation under ECO, Section 9, 10 and 10A instead, e.g. Chu Yee Man v Chuen Kee Construction Co Ltd (2008). Figure 2 below illustrates the amount of total compensation for each case in chronological order.

Table 4 illustrates total amount of compensation each year and its detail breakdown. Total compensation was highest in 2006 which gave an account of HK$39,643,353 and lowest in 2004 which was HK$10,997,637. Loss of earning (which includes pre and post trial loss of earning and loss of MPF) accounts for the largest head of compensation, followed by Pain Suffering and Loss of Amenities. Among the 101 cases, the highest sum of compensation was HK$13,800,000. The victim was a site casual worker, aged 31 at the time of the accident. He was suffered from injuries in his spine, fracture of limbs and ribs and a laceration over the left eye. Four victims were not compensated for any money. One of them failed to satisfy all the necessary criteria which would give the court the power to rule on the application his claim against. The other one also failed because there was no evidence that the plaintiff was assigned to do the alleged work by the contractor. Failing to file the report in timely manner and mentioned the injury during medical examinations were reason for zero compensation awards.

In terms of heavy compensation, previous study in the United States revealed that the five costliest occupational injuries in construction industries were miscellaneous special trade contractors, followed by plumbing, heating, and air-conditioning and electrical workers (Waehrera, *et. al.*, 2007). Of these 101 cases in Hong Kong, 29 victims received compensation more than HK$1.5 million (a line is drawn on HK$1.5 million as this represents a large sum of compensation and sufficient amount of cases to give readers a generalized picture). While general labors marked the highest number of cases, less than one-fourth of them were awarded compensation which exceeded HK$1.5 million. Four out of seven steel bender/ form worker who filed court cases have received compensation greater than HK$1.5 million. Further details of different trade of workers' compensation can be found in Figure 3.

When we look at parts of bodies injured, head injured victims have the highest chance to be compensated with larger sum of money. Among all the head injured cases, 47% of them were awarded more than HK$1.5 million. Eye and shoulder injured victims cases rank second (Figure 4). The results generally reflect seriousness of the injury has great impact when the judges decide level of compensation.

With regard to the mechanism of injury, approximately 54.5% of those were struck by objects were awarded by compensation above HK$1.5 million. Meanwhile, around one-third of Slip and fall received such a high level of compensation (Figure 5).

6. Conclusions

Obedience to law is not taken for granted (Becker, 1968). One of the justifications for heavy sum of compensation is to prevent further similar offences. Huge sum of compensation churned out profit of these companies every year. Neither would the injured persons and their family members feel better. Year 2006 alone cost nearly HK$40 million as compensation decided by court, not to mention those which have already spent before hearing. It has been said that judges decide the amount of compensation based on the seriousness of the accidents. Little wonder that head injuries cases have a higher chance to receive larger sum of money as compensation. Surprisingly, Steel benders tap into the trade of workers which was the group with greatest opportunity to award huge compensation but not the largest pool of cases among all trade of workers. After all, this study does not only provide useful information to contractors on preparing safety measures to different ages and trades of worker, it also provides comprehensive information to insurance companies when they provide services to their clients.

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Table 1. Number of court cases within each age group

Age group	Number of employees in construction sector by age group (2004-2007) (Census and Statistics Department, 2009)	Number of court cases (2004-2008)	Percentage of court cases over construction employees by age group (10^{-3})
17 - 26	111.8	7	6.26
27 - 36	245.1	30	0.12
37 - 46	342.4	13	3.8
47 - 56	308.8	18	5.83
57 and above	61.4	15	0.24
Unknown	N/A	7	N/A
Total	1070.4	101	0.052

Table 2. Number of non-fatal accidents from 2004-2008 analyzed by type of work performed

Type of work	Number of court cases (2004-2008)	Number of injured cases (2004-2007) (Labour Department, 2008a)	Percentage of court cases over injured cases
Steel bender/form worker	7	570	1.23
Scaffolder	7	302	2.32
Plumber	3	523	0.57
Carpenter	11	491	2.24
Electrical technician	11	1559	0.71
General labourer / causal worker	26	N/A	N/A
Decorator/painter/plasterer	11	678	1.62
Other	26	N/A	N/A

Table 3. Categorization of construction injuries in Hong Kong litigation in 2004-2008

Year	Hit by falling object	Fell from height	Trapped in/between objects	Hit by moving objects	Slipped and fell	Struck by objects	Others	Total number of non-fatal accidents
2008	12	11	1	1	0	4	0	29
2007	7	6	2	0	0	0	1	16
2006	6	6	1	1	1	3	1	19
2005	6	9	0	1	3	4	0	23
2004	1	5	1	4	2	0	1	14
Total	32	37	5	7	6	11	3	101

Table 4. Total compensation awarded in 2004-2008

Year	Total number of non-fatal accidents	Total PSLA ('000)	Total loss of earning ('000)	Total loss of earning capacity ('000)	Total Special damages ('000)	Total Future treatment ('000)	Total Deductions from ECC and victims' faults ('000)	Total sum of compensation ('000)
2008	29	6,779	26,964	267	610	584	4,005	32,443
2007	16	3,400	13,980	950	530	279	890	15,937
2006	19	7,260	20,234	875	1,378	2,669	7,640	39,643
2005	23	6,085	24,645	2,404	506	382	7,771	25,725
2004	14	2,940	11,283	431	211	116	5,174	10,998

Figure 1. Parts of body injured among the 101 court cases in 2004-2008
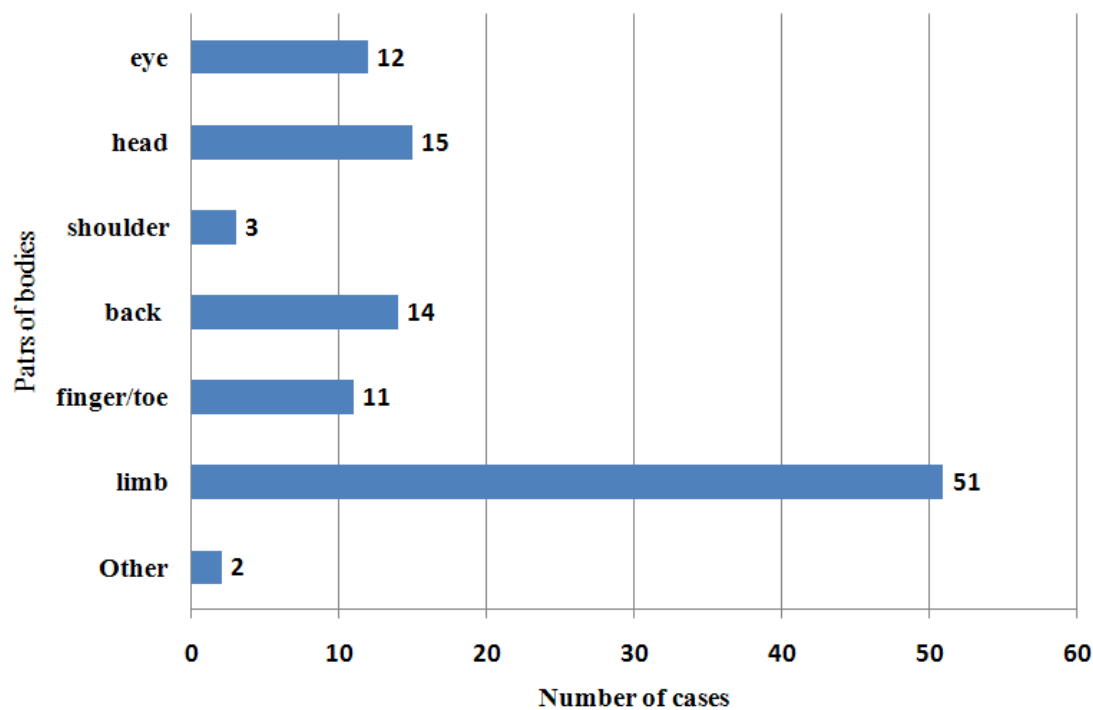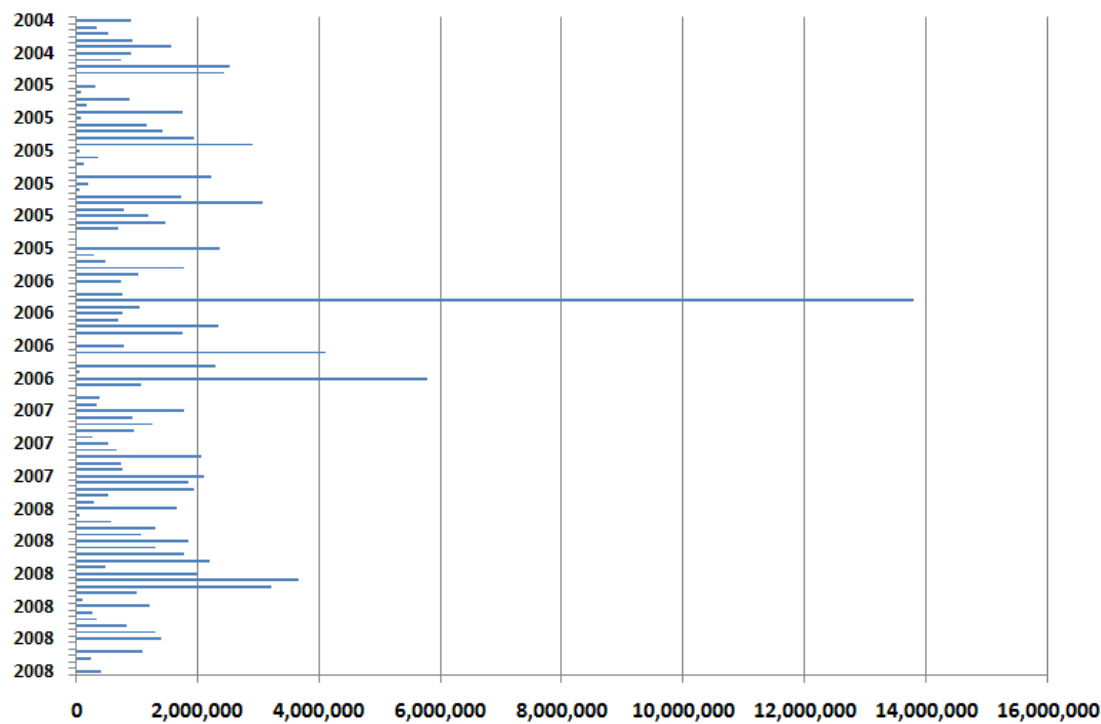

Figure 2. Total amount of compensation of each cases in 2004-2008
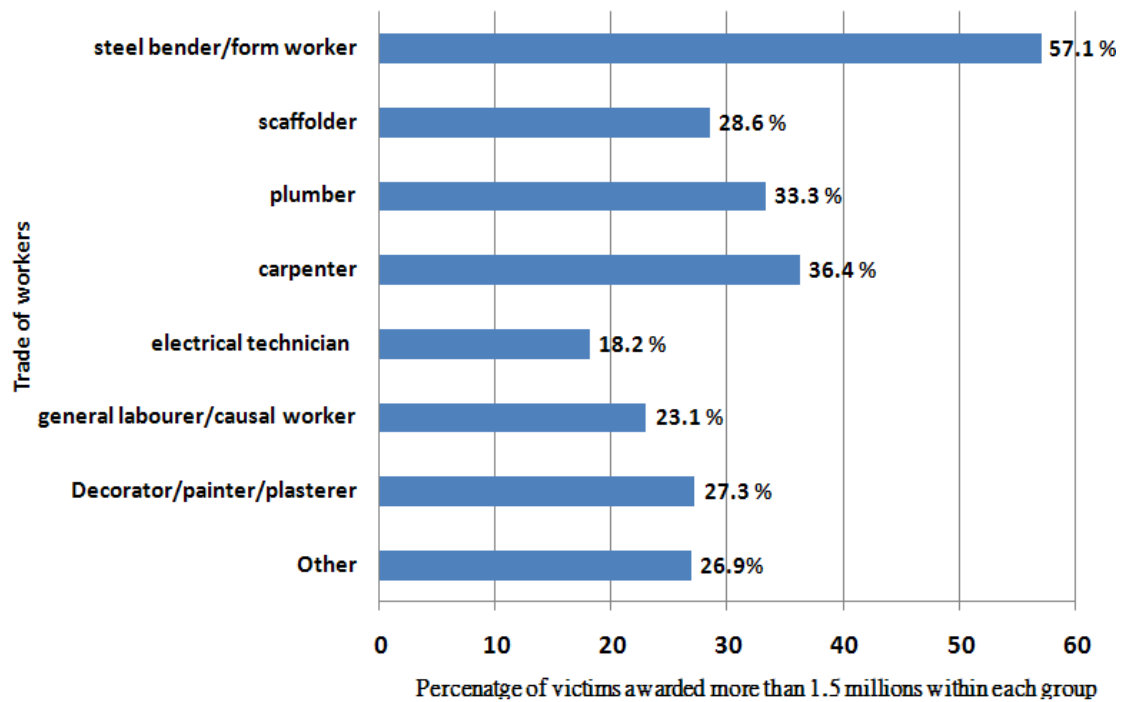
Figure 3. Percentage of victims awarded more than HK$1.5 million within each group
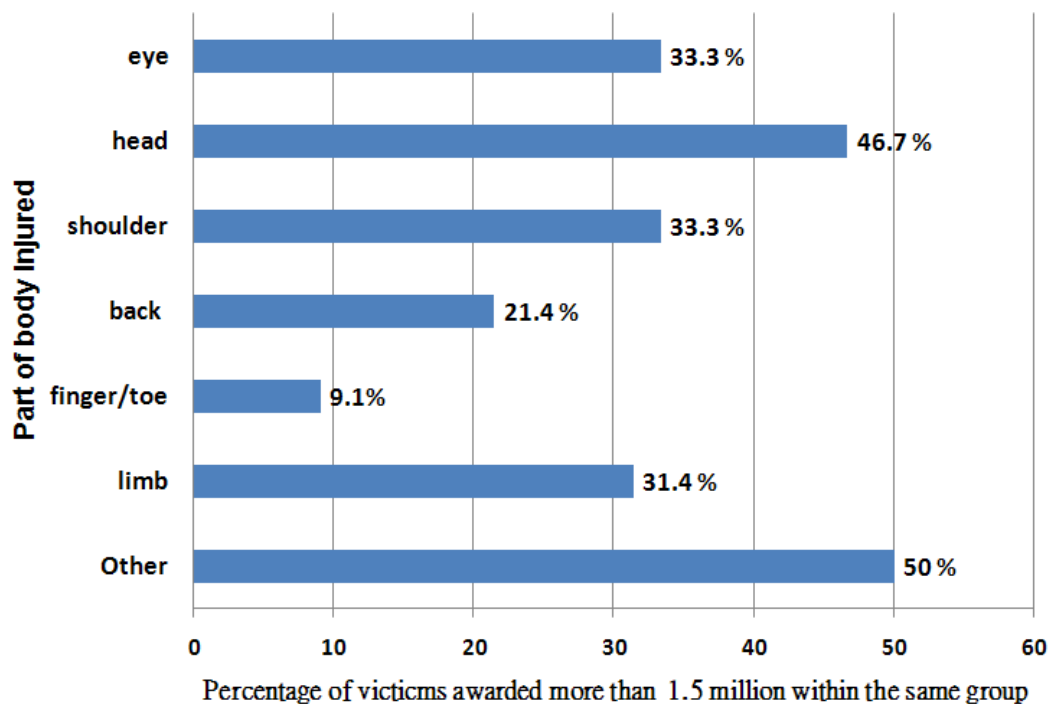
Figure 4. Percentage of workers' compensation greater than HK$1.5 million analysed by parts of bodies injured
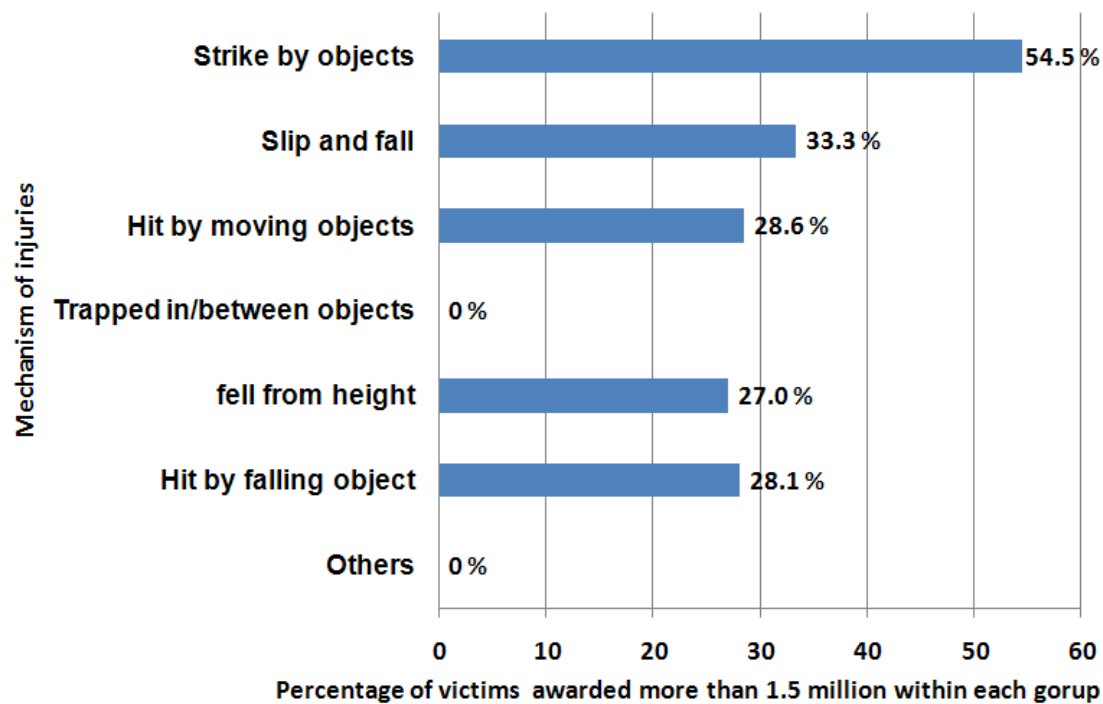
Figure 5. Percentage of victims awarded more than HK$1.5 million categories by mechanism of injury.

Transnational Crime: Its Containment
through International Cooperation

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Abstract

Transnational crime, sometimes called international crime or multinational systemic crime, is more than an extension of domestic crime. In the context of globalization, transnational organized crime groups respond to market incentives and operate with cooperative relationships, which makes the multinational criminal systems become more efficient and powerful. As a result, no single country has the capability to prevent and control different kinds of transnational crime. Moreover, the containment of transnational crime through international cooperation may be an ideal way. However, there are some great challenges for international cooperation, such as different national interests and the trend of westernization. Accordingly, international cooperation should have to concern the social context and national interests of each country.

Keywords: Transnational crime, International cooperation, Containment

Transnational crime may not be a new phenomenon, however it has spread exponentially with the development of globalization during the last few years. According to the most conservative calculation, the annual profits from transnational organized crime are estimated to be between 500 to 1,500 billion dollars (Ehrenfeldt, 2003). In recent years, transnational crime, such as drug trade has posed great threat to the territory and population of many countries, especially for the Central Asia, Afghanistan and Russia (Engvall, 2006). Therefore, transnational crime has been described as the dark side of globalization (Urry, 2002). One issue cannot be neglected is that transnational criminal networks, which are far more complex and pervasive, are creating new challenges for national, local and international authorities trying to control them (Aas, 2007). Consequently, the topic about transnational criminal containment through international cooperation has become an increasingly sophisticated issue for criminologists and governments.

This paper aims to examine whether the containment of transnational crime through international cooperation is a better choice. Also, it will discuss the relationship between globalization and crime in order to pursue in-depth and comprehensive understanding of transnational crime. And it will regard transnational crime as systematic issue and offer systematic analysis of multinational systemic crime. Furthermore, it will show some great challenges for counter-crime states trying to contain international crime through international cooperation. Before the description of the containment of transnational crime through international cooperation, I will refer to some useful background information.

1. The profile of transnational crime

1.1 The preliminary issue

One of the most important issues has always been the definition of transnational crime. The concept of transnational crime, sometimes called international crime or multinational systemic crime, is more than an extension of domestic crime (Martin and Romano, 1992). Fijnaut points out that "the adjective 'transnational' suggests that all of the types of crime mentioned recognize no national boundaries and, geographically speaking, take place in vacuum, as it were"(2000:120).

An example that plenty of countries may be involved in multinational crime systems is narcotics trafficking of Southeast Asian's Golden Triangle, where opium production and narcotics refining and trafficking have long presented a major problem (Martin and Romano, 1992). This area appears to be sophisticated and complex organization with close ties to a large number of countries on multinational level, including Thailand, Burma, Laos, China, Hong Kong, Malaysia, Taiwan, Korea, Japan, the Philippines, Singapore, India, Pakistan, Sri Lanka, Mexico, and United States (Royal Canadian Mounted Police, 1988).

Transnational crime is a social phenomenon involving people, places and institutions, which is also influenced by a variety of social, cultural, economic determinants (Findlay,2003). As a result, various countries have different definitions of transnational crime depending on very different philosophies. According to Martin and Romano, "transnational crime may be defined as the behavior of ongoing organizations that involves two or more nations, with such behavior being defined as criminal by at least one of these nations" (1992;15).

Transnational crime is in fact a general-purpose concept, which covers different types of crime; the main categories of transnational crime are terrorism (Adler,1999), espionage (Ranelagh, 1986; Rositzke, 1977; Corson & Crowley, 1985), drug-trafficking (Eck & Gersh, 2000), nuclear and arms trafficking (Begley,1996), illegal wildlife trade (Warchol, 2004), human smuggling for prostitution and low cost labor (Bensinger, 2000; Feve & Finzel, 2001; Zhang & Gaylord, 1996), money laundering (Gilmore, 1999), and trafficking in art, antiquities and bulk currency (US Department of Justice, 1994). Indeed, transnational crime is a complicated hybrid, thus there is some ambiguities in drawing a dividing line or separating varying types because transnational crime exists in many different hybrid forms (Ruggiero, 1996).

1.2 Globalization and crime

Globalization in fact has always been a widely discussed topic and there are numerous definitions of the subject in the burgeoning globalization literature (AAS, 2007). According to Scholte (2000), there are five distinguishing conceptions of globalization, such as "globalization as internationalization", "globalization as liberalization", "globalization as deterritorialization", "globalization as westernization or Americanization", "globalization as universalization". Of course none of this alters the fact that the process of globalization together with the changing role of the nation state. It is quite skeptical about the role and ability of the state as a cornerstone of political community, social theory and governance to resist the "globalization juggernut" (see for example Ohmae, 1990; Reich, 1991).

Globalization, as the process of increasing interaction and interconnectedness of societies, exerts huge favorable effects on the modern society, such as "the global economy makes different countries work as a unit in real time on a planetary scale"(Castells,1996:92), and "interconnectedness leads to 'information revolution' which has had a profound effect on all aspects of social life"(Aas,2007:9). Furthermore, the phenomenon of "global village" makes it possible for the growth of non-state actors, especially market forces or economic forces, to get over the boundary of a country and neglect state intervention.

However, the dark side of globalization is emerging. Ass points out that "the great challenges to state sovereignty come, significantly, not only from the increasing interconnected and autonomous global economy, but also from the global illicit economy" (2007: 11). In other word, globalization not only makes it possible to move goods, people and money through the global economy, but also facilitates the movement of 'dirty money' as well as the transportation of drugs , counterfeit goods, arms, illegal aliens and nuclear material (Godson and Williams, 1998). In the context of globalization, transnational organized crime groups respond to market incentives and operate with cooperative relationships regardless of their mistrust, ethnic differences and different business styles; as a result, multilateral cooperation makes them outside the structures of legitimate authority and power (Mittelman & Johnston, 1999). Consequently, it may not be coincidental that increased interdependence between nations, the growing ease of international travel, the expansion in multinational communications, and the globalization of international financial networks have fundamentally contributed to the rise of, and continue to facilitate international criminal activities (Williams, 1994).

Moreover, globalization equally makes 'localized criminal groups', which are from different countries and regions, work as a unit and become transnational criminal organizations. As a result, cooperation among criminal organizations has improved the operational capabilities and strengthened the ability of resisting governmental control (Godson and Williams, 1998). In this case, no single country has the capability to prevent and contain different kinds of transnational crime. Consequently, transnational crime has become a severe challenge for the whole world in the 21st century.

2. The containment of transnational crime through international cooperation

2.1 The systematic analysis of transnational crime

Transnational crime is a systematic issue, which has threatened the integrity of financial and commercial institutions on a national and international level (Godson and Williams, 1998). Take drug trafficking systems for example, drug trafficking systems appear to be extremely sophisticated and efficient, including distribution systems, production systems, communication networks, monetary transaction systems and transportation systems. Moreover, drug trafficking systems may be interrelated with arms-traffickers, terrorist organizations, criminal groups and national intelligence agencies in a variety of ways. As a result, multinational systemic crime is often operated by complex international criminal systems, which makes it dramatically difficult for one single country to prevent and control.

INSERT FIGURE 1 HERE

Criminologists and others in field of criminology in modern society tend to subdivide crime into a great many categories, such as conventional crime, professional crime, organized crime, political crime and so on. From Figure 2, it may be hypothesized that the greater their organization and their integration with the institutions of the larger society, the greater the efficiency and power of the criminal elements involved in the various categories. One result is that such efficiency and power would seem to make their control by law enforcement agencies much more complex and difficult. Moreover, multinational systemic crime is the category of the crime with which most nation states have the least experience and are less proficient in solving and successfully prosecuting.

INSERT FIGURE 2 HERE

Transnational crime arises from the international community, which needs systematic solutions (Wang and Wang, 2009). The world cannot deal with the new century's problem by applying methods, strategies and instruments that are still rooted in the nineteenth century (James, 1989). Because of this, systematic solutions, including international research, preventing and combating strategies, which ought to be operated by the United Nations, might be the ideal way to control the relevant problems. In the same fashion, the containment of transnational crime through international cooperation is more essential than ever before in the history of mankind.

2.2 The strategies of international cooperation

It is clear that there is an intimate relationship between transnational crime and violence, and the greater the violence, the less the security enjoyed by citizens (Williams, 1994). Although governments exert much more efforts to fight against multinational crime and try to provide a safe environment for local and national economies, transnational criminal organizations still flourish in states during the last few years. Not surprisingly, official corruption in public and private organizations, as well as violent terrorism, are main significant issues for transnational crime networks to create their monopoly of system control and strengthen their discipline in the international system (Kelly, 1986). Sometimes it follows the fact that crime organizations may be outside the limit of national boundaries and operate beyond the legal constraint. In other cases, the corruption of public and private institutions can exclude governments from effectively deterring illegal cross-border activities. Take the drug trade and organized crime in Tajikistan for example, drug trafficking has posed tremendous effect on territory, population, state institutions, and the idea of the state (Engvall, 2006). In this case, transnational crime should be perceived as international security issue. Maybe it is the crucial moment for each government to calm down and consider the containment of transnational crime through multinational systemic solutions.

Cooperation in the field of international economics and international politics between states is more essential now than ever before for the containment of transnational crime. In order to strengthen international cooperation, a dominant strategy against criminal organizations is absolutely needed to strengthen law enforcement, harmonize regulatory and legal regimes across state boundaries, devise international conventions and establish norms. And it is no exaggeration to say that a dominant strategy may be a better way for the United Nations to control and prevent transnational crime organizations. The UN Crime Prevention and Criminal Justice Division (CPCJD) was established in 1975, and it aims to create multinational and wide-ranging measures in order to respond more comprehensively and more energetically to transnational crime (Farrington and Petrosino, 2001). According to Godson and Williams (1998:74), "a single comprehensive and coherent strategy to combat organized crime developed by a guiding authority would be ideal". A leading organization composed by every government, develops the methodologies may be the best method to understand and contain the domestic and international crime (Godson and Williams, 1998). Naturally this does not mean that all multilateral cooperation in this field should have to operated or directed by the United Nations. Actually, bilateral or triangle cooperation between individual states or non-governmental sectors should be encouraged in order to deal with regional crime systems appropriately.

On the other hand, information-sharing arrangements may directly promote international research. Furthermore, international research formulates a much clearer picture of what transnational crime actually represents in both quantitative and qualitative terms (Fijnaut, 2000). The first type of information-sharing is open-sharing, which aims to

make analysis available to all per continent or per country or per group of countries (Godson and Williams, 1998). Indeed, one aspect cannot be ignored is that transnational crime is still an extraneous and uncontrollable phenomenon because many counter-crime states do not have the capability to understand the nature, working principles and internal structures of transnational crime groups. Open-sharing information systems, moreover, can encourage international cooperation to concentrate attention on preventing and combating multinational crime in individual countries because transnational crime issues from different social context (Fijnaut, 2000). In this case, the United Nations can deal with multinational systemic crime efficiently by using best containment strategies depending on their in-depth understanding of what causes and consequences of transnational crime are.

3. The great challenges for international cooperation

3.1 Information-sharing responsibility VS National interests

Information-sharing system is the preliminary issue for the containment of transnational crime through international cooperation. According to Godson and Williams (1998), "there is growing recognition that no country is immune from becoming a home state, host state, transshipment or service state for transnational criminal organizations." However, the great scarcity of detailed, valid, and reliable descriptive data about what the participants in criminal organizations actually do, which makes global institutions, such as United Nations, quite difficult to have an in-depth comprehension about transnational crime (Cressey, 1972). In this case, it can be argued that every nation should have the responsibility of sharing information in order to strengthen international cooperation. In addition, information-sharing system can help United Nations understand the relationships and interactions among the participants, as well as the working-principles of the organization structures.

However, some factors, such as national security, internal corruption and criminal interests, might exclude some nations from the international cooperation. Sometimes the interests of nations may be contradictory, or these interests cannot be achieved by multinational cooperation. In this case, the relationship of United Nations to the problems of doing research about multinational systemic crime can be illustrated by evasion, the secrecy, and the lack of interest (Thayer, 1969). Thus, as Musto (1987:256) presents that:

"As bad as drug trafficking might appear to Americans, when a decision involves dealing effectively with a drug-producing or exporting nation while maintaining national security interests through friendly relations with that country, national security and good relations nearly always win out over the important but less crucial issue if drugs."

Furthermore, Martin and Romano have suggested another way to look at the problem:

"such refusal may also involve the refusal of one government to cooperate with another in a major criminal investigation, not for reasons of national security but for the far more limited and self-serving reason of protecting particular official leaders, and others from embarrassment, scandal, and possible charges of criminal behavior."(1992:97)

Consequently, the refusal of multinational cooperation can protect each nation from outside review, and equally promotes the development of transnational criminal organizations.

3.2 A dominant strategy VS Western crime control

"A more incremental approach, if done carefully, could have very positive results"(Godson and Williams, 1998:74). In other words, a dominant strategy which is guided by the United Nations, can help the United Nations focus their attention on the structures, operations, strategies and instruments of transnational criminal organizations (ibid).

However, transnational crime always interconnected with the external environment in domestic and international forms, thus it cannot be analyzed in a vacuum circumstance. The differences among countries because of their unique cultures that sustain the project of comparative criminology are significant, which offer numerous valuable insights into similarities and differences between various criminal justice systems (Sheptycki, 2005). Therefore, it may be extremely difficult for United Nations to reach agreement of the dominant strategy to contain the multinational crime .

Moreover, western crime control may dominate the United Nations. Aas (2007) presents that "a vital task for global criminology, if it is to deserve its name, is to disturb the hegemony of Western thought within criminology, and to establish, as Cain (2000) suggests, some kind of 'interactive globalization'". Nevertheless, Muncie (2004:154) suggests that the concept of globalization itself is essentially ethnocentric, directing our attention primarily to the developments in neo-liberal English-speaking countries. Thus, criminologists from western countries may pay no attention to the Third World and treat them in a most theoretically primitive way (Cohen, 1982). What is even worse, the Third World's countries are lacking of interests in criminological research, which can lead to a large imbalance in the production of criminological knowledge, as a result, Western countries might ignore the Third World completely (Agozino, 2004).

3.3 Counter-crime governments VS transnational crime organizations

Traditionally, governments, such as the United States Federal Government, with "strong and unified political culture", "stable control of the military" , "effective government control of various geographic regions", "containable corruption" and more extensive functional cooperation arrangements with other states, are always regarded as the most powerful systems (Lupsha, 1981). Unfortunately, when compared with transnational organizations, counter-crime states suffer from several disadvantages. First, they have wide-ranging purposes and constituents, while transnational crime has become an "underground empire" and enjoys one item of the flow of large profits (Williams, 1994). Although transnational crime appears to involve a complex set of attitudes, values, and behavior norms, pursuing the maximum profit might be their utmost faith. The short-term target of the US administrations after the 9/11 attack, for example, focuses their attention on anti-terrorism war. Accordingly, wars against drug-trafficking or other crime may be out of their main purpose and then forgotten. In other words, it is extremely difficult for the United States to carry out a sustained and systematic campaign against multinational crime organizations according to consistent and coherent set of policies. The battle against transnational crime is, therefore, a battle of unfair competition.

Secondly, lack of experience in dealing with multinational crime is another severe challenge for governments. States are well-equipped with sufficient experience and better solutions when considering transnational crime, such as knife crime, robbery and sexual assault; transnational crime, however, is still an elusive phenomenon for many states and many people. Moreover, multinational systemic crime sometimes presents new features just as the development of modern social economy and the rise of the mass-production capitalism. One cannot ignore that transnational crime groups, unlike governments, do not have to work within the framework of regular principles, and thus operate outside the rules in regional and global scale, and are not accountable for their criminal behaviors. Transnational crime, by definition, are lacking the attributes of sovereignty, which is often an advantage rather than a constraint for it. Thereby, transnational crime groups are sovereignty-free rather than sovereignty-bound actors and "enjoy their freedom and flexibility to engage in criminal activities that are difficult for governments to regulate" (Rosenau, 1991).

4. Conclusion

The containment of Transnational crime through international cooperation may be a ideal way of systematic solution, because of the systematic understanding of the internal workings of transnational criminal systems, how they relate to their external environments both criminal and noncriminal, how such systems interact with each other, and how criminal organizations prosper and under which conditions they decline depending on information-sharing system among United Nations (Martin and Romano, 1992). Moreover, when the interests of United Nations are consistent, as well as these interests can be achieved through international cooperation, sharing sensitive information and strengthening multilateral cooperation will not a major obstacle (Godson and Williams, 1998). However, when compared with national interests, including national economic or political interests as well as national sensitive information, the containment of transnational crime through multinational cooperation might be a thing that cannot be achieved. Consequently, it may be argued that the prevent and control of the transnational crime through multinational cooperation would have to be consistent with the relevant social context, such as social interests, cultural characteristics, political orientation and economic interests of the implementing nations or regions. Without comprehensive consideration, however, the containment of multinational crime through multilateral cooperation may be impossible.

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Figure 1. The Drug Trafficking System

MULTINATIONAL CRIME

WHITE COLLAR CRIME

POLITICAL CRIME

ORGANIZED CRIME

GOVERNMENT CORRUPTION

PROFESSIONAL CRIME

CONVENTIONAL CRIME

Increasing Systemic Quality of the Behavior

Increasing Integration with Economic, Political, and Other Institutions

Examples by Category

Multinational Crime:	terrorism, espionage, drug-trafficking, arms-trafficking, money laundering, destabilization of foreign governments, assassination of foreign leaders.
White Collar Crime:	bank fraud, embezzlement, insider trading, consumer fraud, price-fixing, criminal corporations, corporate bribery of public officials.
Political Crime:	political coups and revolutions, Latin American "death squads," civil disobedience, voter fraud, civil rights violations.
Organized Crime:	gambling, prostitution, extortion, loan sharking, labor racketeering, truck hijacking.
Government Corruption:	police corruption, acceptance of bribes by public officials, extortion by public officials, judicial corruption.
Professional Crime:	theft, "fencing," shoplifting, confidence games, professional "hit men."
Conventional Crime:	drunkenness, vagrancy, assault, rape, homicide, vandalism, arson, drug possession.

It shows seven major categories of crime, including multinational systemic crime, and contrasts the categories in terms of two variables. The first aspect relates to the relative degree to which each category involves systemic criminal behavior. The second aspect relates to the relative degree to which the individuals or groups in each category are integrated with the economic, political, social, and other institutions of larger society.
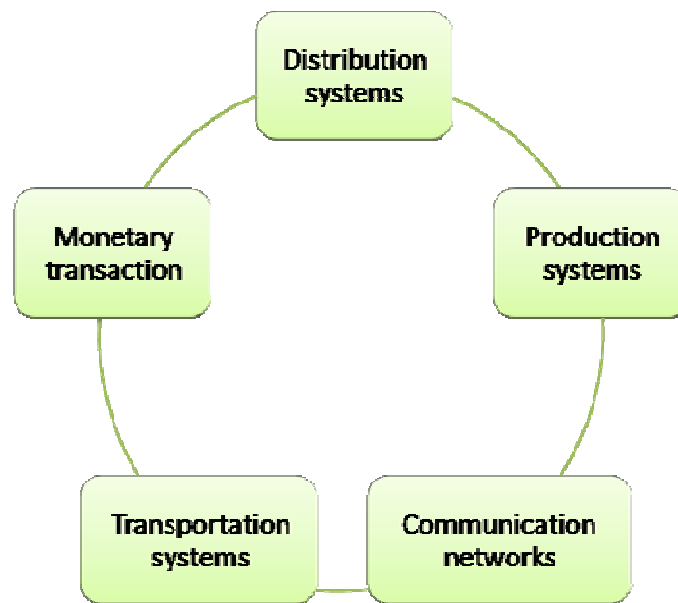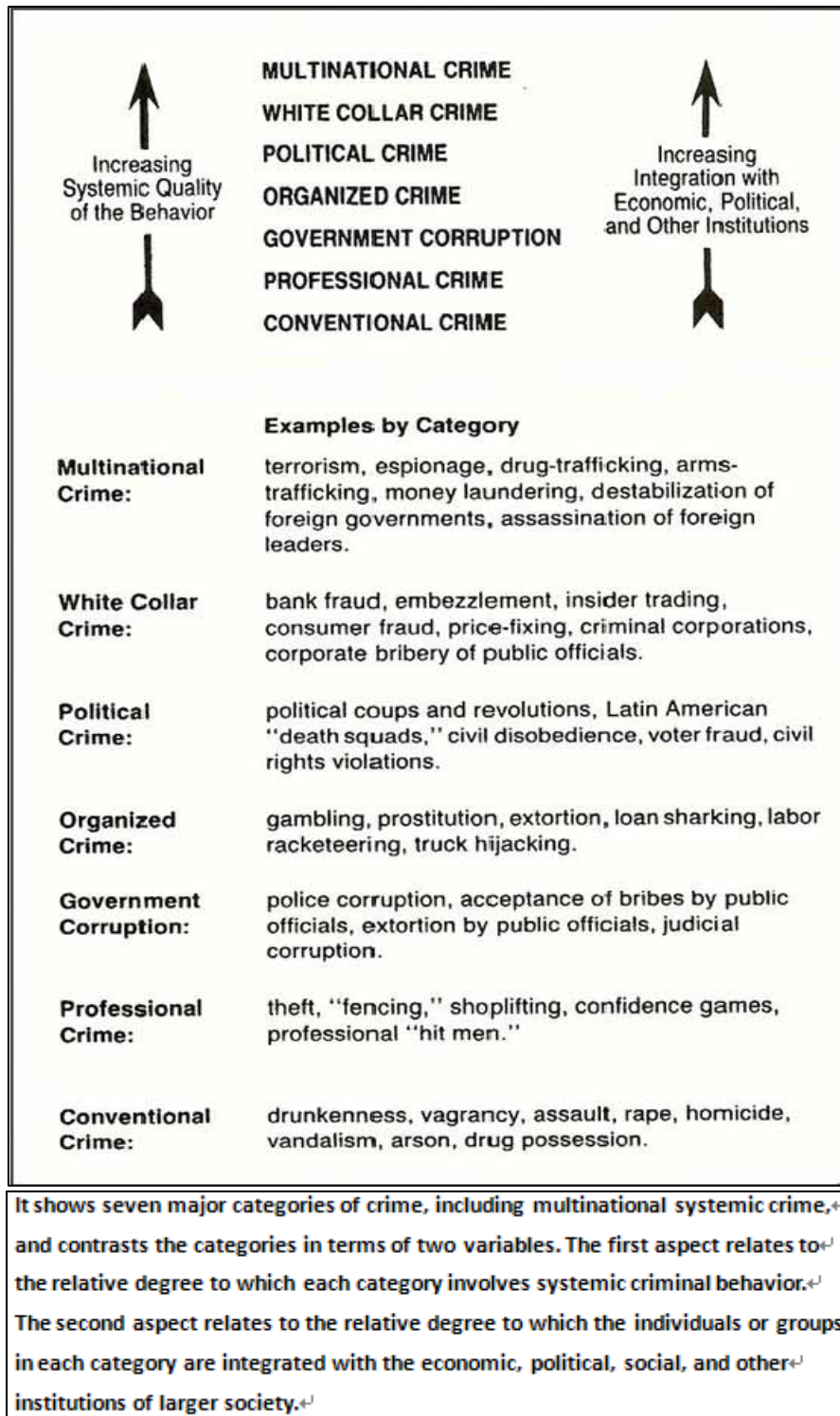
Figure 2. Categories of Crime (Martin and Romano, 1992:23)

Protection of Human Rights in Countering Terrorism

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Abstract

Although the violent action occurred increasingly in the world, the definition of terrorism has not come into consensus yet. In countering terrorism, human right protection for the terrorist suspects should also be guaranteed, for the "fair" trial and the minimum procedural guarantees are the basic element of the rule of law. Moreover, the terrorist suspects should be protected by the minimum standard of the fair trial even if before the military commission. Because the minimum due process guarantees for a fair trial may not be suspended even if the life of the nation is threatened, the procedural rights of the terrorist suspects should be regarded as non-derogable.

Keywords: Terrorism, Military commission, Fair trial

1. Introduction

While the violent action occurred increasingly such as the "September 11th" event, how to identify the nature of terrorism and find proper measures to solve these problems are becoming critical issues. The United Nations General Assembly resolution reaffirmed that States are under the obligation to protect all human rights and fundamental freedoms of all persons. (Note 1) The right to a fair trial is a guarantee in the ever increasing effort to create and maintain standards for human rights at the international, as well as the national, level. (Note 2) A fair trial is a basic element of the notion of the rule of law, (Note 3) and the principles of 'due process' and 'the rule of law' are fundamental to the protection of human rights. (Note 4) Human right protection for the terrorist suspects should also be guaranteed while countering terrorism, let alone terrorism haven't not being clearly defined.

Firstly, this paper will explain the meaning and content of terrorism within the broader regime of international law. Secondly, this paper analyzes the legitimacy of the U.S. military trials in line with the ICCPR fair trial standards, with the conclusion that the U.S. military procedure involves multiple violations of core guarantees. Thirdly, the paper demonstrates the idea of preserving the core guarantees of due process incorporated in the principle of a fair trial, such as the independence and the impartiality of the court, the right to legal assistance, the right to a trial without undue delay, the right to habeas corpus, the presumption of innocence, the right to appeal and so on. Finally, this paper addresses the issue of non-derogation from the right to a fair trial as an intrinsic step in promoting the rule of law on a universal scale, arguing that the existing International Covenant on Civil and Political Rights (ICCPR) system is broad enough to cover any emergency situations.

2. The terrorism

The International Convention for the Suppression of the Financing of Terrorism has two standards to define Terrorism. One is the activity covered by the twelve anti-terrorism treaties. The other one is any other actions intended to cause death or serious bodily injury to a civilian, or to person not taking an active part in the hostilities in a situation of armed conflict, when the purpose of such act, by its nature or context, is to intimidate a population, or to compel a Government or an international organization to react or not.

In this instance, People's struggle including defense against foreign occupation, aggression, colonialism, and hegemony, aiming at liberation and self-determination in accordance with the principles of international law shall not be considered as a terrorist crime. (Note 5) Although the acts of terrorism are frequently regarded as the "armed conflict threshold", the International Humanitarian Law (IHL) conventions do not apply to "situations of internal disturbances and tensions such as riots and isolated and sporadic acts of violence." (Note 6)

In a word, since the definition of terrorism has never come into consensus, the assumptions of terrorism should not be random. The judgment of a terrorist crime could only be made after scrutinizing all existing counter-terrorism

conventions in order to prove the crime matches any of the defined actions, which was expressed in numerous past General Assembly and Security Council resolutions.

3. Military commission

Common Article 3 of the 1949 Geneva Conventions (Note 7) requires a trial by "a regularly constituted court affording all the judicial guarantees which are recognized as indispensable by civilized peoples". (Note 8) "A regularly constituted court" means a court established and organized in accordance with the laws and procedures already in force in a country. (Note 9) It includes an ordinary military court set up in accordance with the recognized principles governing the administration of justice, (Note 10) and definitely excludes all special tribunals. (Note 11) Additionally, an acceptable degree of independence from the Executive is necessary for a commission to be regularly constituted. (Note 12)

After September 11, 2001, in response to the terrorist attacks that represented an increased threat to the security of both the Unites States and the international community, President Bush issued a Military Order (Note 13) to establish special military commissions for individual non-citizens suspected of involvement in terrorist attacks.

Military commissions can be designed for several purposes: (1) to prosecute violations of the law of war, as an alternative to courts-martial; (2) to fill a legal vacuum where armed conflict disables the civil courts; and (3) to impose swift and certain punishment against civilians suspected of specific crimes. One of the key reasons why the Bush Administration opted to create the military commissions for trying terrorism cases was the desire to use classified information. By trying before military commission, the government would not have to face a dilemma in some instances -- whether to reveal the classified information or drop the prosecution and free the defendant. In the Hamdan case, Justice Stevens maintained that the military commission created by President Bush "lacks power to proceed because its structure and procedures violate the Geneva Conventions". Thus, military commission is neither a legitimate mechanism of accountability nor "a regularly constituted court", rather, they are something like a kangaroo court. The commission tends to hide the very facts and principles that should be announced to the world, which have been perceived as granting judgments based on politics, not legal norms.

Moreover, "all the judicial guarantees which are recognized as indispensable" necessarily incorporates a minimum set of due process guarantees under customary international law. The Common Article 3 of the 1949 Geneva has long been regarded as a minimum baseline of rights that must be afforded to all prisoners. It applied to the non-international armed conflict against al Qaeda. Accordingly, military commission procedure had to comply with the minimum procedural requirements of Common Article 3. Article 5 of the Convention provides that persons captured during an international armed conflict are entitled to the protections of the treaty even if their identity as POWs as defined by Article 4 is in doubt, until a competent tribunal has determined their status.

Thus, even if the detainees are accused of the terrorist, they are entitled to POW status and their basic human rights especially the due process guarantees in a fair trial should be protected.

4. Due process and Non-derogation

4.1 Due process

When the terrorist suspects face the court, they should be granted to basic procedural rights. These basic procedural rights have been described in a number of international human rights and humanitarian instruments, specifically, in article 14 of ICCPR, article 75 of Additional Protocol I and article 6 of Additional Protocol II to the Geneva Conventions.

ICCPR reflects what the international community now recognizes as a set of minimum due process guarantees under customary human rights law. These minimum standards include a fair and public hearing before a "competent, independent and impartial tribunal established by law", (Note 14) the presumption of innocence, (Note 15) due process rights, which includes the right to counsel of one's choice , to effective representation (Note 16), to examine or have examined witnesses against the accused, to be tried without undue delay, and to not be compelled to testify against oneself or to confess guilt. (Note 17) Likewise, the UN Human Rights Committee acknowledged that the trying by military commission, if not prohibited by the ICCPR, should be very exceptional and taking place under conditions which genuinely afford the full guarantees stipulated in Article 14. (Note 18)

Therefore, any internal law must be narrowed to comply with jurisdictional limits mandated by humanitarian law and the derogation requirements of ICCPR. Due process guarantees include those necessary for fairness at the trial stage and pre- or post-trial procedures. However, the minimum due process guarantees, in particular, refer to the former rights, namely the basic procedural rights at the trial stage. (Note 19) Furthermore, the minimum due process rights under discussion should never be suspended.

4.2 Non-derogation

Rights guaranteed by a treaty are not necessarily inviolable; treaties may provide for reservation or derogation in specific circumstances. The major impetus behind derogation clauses is to balance between the rights of an individual and the rights of a state, and to maintain the flexibility in times of emergency.

However, there is a baseline. International human rights law creates strict human rights standards at the meanwhile to limit such derogation. That is, derogations are acceptable only if they are necessary, proportional, not in conflict with non-derogable provisions, as well as subject to international scrutiny and review.

Firstly, with regard to the necessity test, a state of emergency is required. Specifically, Emergency must "imperil some fundamental element of statehood or survival of the population," (Note 20) be provisional or temporary in scope, (Note 21) be imminent, (Note 22) and be of such character that it threatens the nation as a whole. In the Greek Case, European Commission on Human Rights held that, the condition of political instability and tension combined with public disorder did not create a situation of public emergency. (Note 23)

Secondly, in respect of the proportionality test, derogative measures must be proportional in duration, (Note 24) severity, (Note 25) and geographic scope (Note 26), connected to the emergency such that they are prima facie suitable to reduce the crisis (Note 27), and be a showing that ordinary measures are insufficient. (Note 28) Indeed, the fact that trials of Al Qaeda operatives have been successfully conducted in federal court, without disrupting or compromising national security, strongly challenges the necessity to try before military commission. The Human Rights Committee has looked to the proportionality of derogation in a number of cases including review of the Colombian Report, where more information was requested on the extension of military jurisdiction; the El Salvador Report, where derogation to fundamental rights of due process seemed unnecessary; and the Uruguayan report, where it was found that measures against certain groups were "repressive and out of proportion to the threat."

Thirdly, derogative measures should be consistent with other obligations under international law, such as the non-derogable provisions and jus cogens norms.

In order to interpret article 4 of ICCPR, and respond to US military commission established by President Bush, the UN Human Rights Committee issued General Comment No 29 in August 2001. This comment addresses two different issues relating to fair trial rights --- first is the link between certain procedural protections and the preservation of non-derogable rights, and second is the significance of the strict proportionality rule. Non-derogable rights must be secured by procedural guarantees, including judicial guarantees. (Note 29) In this regard, the Human Rights Committee questioned the suspension of the fair trial rights by US military commission, which may fail the test of proportionality. Safeguards related to derogation are based on the principles of legality and the rule of law inherent in the Covenant as a whole. As certain elements of the right to a fair trial are explicitly guaranteed under international humanitarian law during international armed conflict, the Committee held that the principles of legality and the rule of law require that fundamental requirements of fair trial must be respected during a state of emergency. General Comment No. 29 thus does not suggest an absolute bar on military trials of civilians, but it does indicate that the military commissions under consideration here must comply with international humanitarian law and must not deny fair trial rights.

Furthermore, the idea that the list of non-derogable rights should be expanded to include the right to a fair trial has gained acceptance and support from the international community. For example, the American Convention of Human Rights (ACHR) does list the right to a fair trial as non-derogable. (Note 30) Article 67 of the Rome Statute (Note 31) enunciates a number of "necessary" minimum guarantees, which specifically includes those rights discussed above. (Note 32) The 61st Conference of the International Law Association approved by consensus a set of minimum guarantees for a fair trial to be listed as non-derogable. (Note 33) Additional support is supplied by the Queensland Guidelines, which illustrate another step toward general recognition of the right to fair trial as non-derogable. (Note 34)

Therefore, the minimum due process guarantees for a fair trial may not be suspended even if the life of the nation is threatened, and the procedural rights of the terrorist suspects should be regarded as non-derogable.

5. Conclusion

Before the military commission the accused should be protected by the minimum standard of the fair trial. Fair trial rights have, observably, been provided for at the international and national levels. Their imperative nature has been emphasized by various human rights bodies--the UN Human Rights Committee, the European Court, the Inter-American Commission and Court, and the African Commission. The above bodies have also adopted a similar approach with regard to the relation between fair trial rights and the right to life, finding the imposition of the penalty after an unfair trial to constitute a violation of the human rights.

The idea that the list of non-derogative rights should implicitly incorporate core fair trial guarantees is receiving more acceptances in the international community.   The role of the fair trial in building democracy and the rule of law cannot

be simply replaced with unilateral policy for combating international terrorism. The due process for the terrorist suspects should be non-derogable from the main safeguard of the right to a fair trial.

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Notes

Note 1. See the report of the Third Committee of United Nations General Assembly (A/61/443/Add.2 and Corr.1)

Note 2. See David Harris, *The Right to a Fair Trial in Criminal Proceedings as a Human Right*, 16 Int'l & Comp. L.Q. 352 (1967) ("The right to a fair trial has figured prominently in the efforts made in recent years to guarantee human rights at an international level.").

Note 3. C Ovey and R White *The European Convention on Human Rights* (OUP New York 2002) 139.

Note 4. R Clayton and H Tomlinson *Fair Trial Rights* (OUP New York 2001) 2.

Note 5. Surya P. Subedi, *The U.N. Response to International Terrorism in the Aftermath of the Terrorist Attacks in America and the Problem of the Definition of Terrorism in International Law*, 4 INT'L LAW F. DU DROIT INT'L 163 (2002).

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Note 7. Geneva Convention Relative to the Treatment of Prisoners of War art. 3, Aug.12, 1949, 6 U.S.T. 3316, 75 U.N.T.S. 135 [hereinafter Geneva III].

Note 8. Geneva III, *supra* note 8, art. 3.1(d).

Note 9. Int'l Comm. of Red Cross, 1 Customary International Humanitarian Law 355 (2005).

Note 10. 4 Int'l Comm. of Red Cross, Commentary: Geneva Convention Relative to the Protection of Civilian Persons in Time of War 340 (1958).

Note 11. *Ibid.*

Note 12. Hamdan v. Rumsfeld, 126 S. Ct. 2749 (U.S. 2006), at 2804 (plurality opinion).

Note 13. Military Order of Nov. 13, 2001- Detention, Treatment, and Trial of Certain Non-citizens in the War Against Terrorism, 66 Fed. Reg. 57833 (Nov. 13, 2001) [hereinafter Military Order].

Note 14. ICCPR, art. 14, para. 1.

Note 15. ICCPR, art. 14, para.2.

Note 16. ICCPR, art. 14, para. 3(b)(d).

Note 17. ICCPR, *supra* note 14, art. 14, para.3(c)(e)(g).

Note 18. Human Rights Committee, General Comment No. 13, para. 4 , Apr. 12, 1984.

Note 19. Pre- or post-trial procedure rights include: (1) freedom from arbitrary arrest, see Banjul Charter, supra note 3, art. 6; ACHR, supra note 3, art. 7(3); ICCPR, supra note 3, art. 9(1); ECHR, supra note 3, art. 5; UDHR, supra note 3, art. 9; (2) the right to be informed promptly and in detail in a language which he understands the nature and cause of the charge against him, see Additional Protocol I, supra note 3, art. 75(3); Additional Protocol II, art. 6(2)(a); ICCPR, supra note 3, art. 14(3)(a); ECHR, supra note 3, art. 6(3)(a); (3) the right to have adequate time and facilities for preparation of defense and the right to communicate with counsel, see ACHR, supra note 3, art. 8(2)(c),(d); ICCPR, supra note 3, art. 14(3)(b); ECHR, supra note 3, art. 6(3)(b) (does not include communication with counsel); (4) the right to be tried without undue delay, see Banjul Charter, supra note 3, art. 7(d); ACHR, supra note 3, art. 8(1); ICCPR, supra note 3, art. 14(3)(c); ECHR supra note 3, art. 6(1); and (5) the right to review of conviction and sentence by a higher tribunal, see ACHR, supra note 3, art. 8(2)(h); ICCPR, supra note 3, art. 14(5).

Note 20. See Joan Fitzpatrick, *Human Rights in Crisis, The International System for Protecting Rights During States of Emergency* 38-41 (1994), at 56.

Note 21. See Subrata Roy Chowdhury, *Rule of Law in a State of Emergency* (1989).

Note 22. See Jaime Oraá, *Human Rights in States of Emergency in International Law* 14 (1992), at 27.

Note 23. See The Greek Case, Report of the European Commission and the European Court of Human Rights, 12 Y.B. Eur. Conv. on H.R., para. 165 (1969). In 1967, the military took power in Greece, replaced the legitimate government, declared martial law, suspended many articles of the constitution, and took control of the government. In the process, the military placed many of the opposition leaders in prison. At this time, Greece declared a state of emergency and claimed the ability to derogate from certain rights. After a number of countries objected to this proclamation, the case came before the Commission. It concluded that violations of the convention were not justified, as the "public emergency" declared was not of the magnitude or character necessary for derogation. The Commission applied an "objective test" that required "strong proof" of an actual emergency. According to the Commission, the condition of political instability and tension combined with an increase in communist activity and public disorder did not create a situation of public emergency.

Note 24. See Oraá, 23, at 143.

Note 25. See Fionnuala Ni Aolain, *The Emergence of Diversity: Differences in Human Rights Jurisprudence,* 19 Fordham Int'l L. J. 101, 141 (1995), at 127.

Note 26. See Alexander Charles Kiss, *Permissible Limitations on Rights in the International Bill of Rights*: The Covenant on Civil and Political Rights, in The International Bill of Rights 290.

Note 27. See R. St. J. Macdonald, *Derogations Under Article 15 of the European Convention on Human Rights*, 36 Colum. J. Transnat'l L. 225, 225 (1997), at 233-34.

Note 28. See id.

Note 29. For example, as article 6 [the right to life] is non-derogable in its entirety, any trial leading to the imposition of the death penalty during a state of emergency must conform to the provisions of the Covenant, including all the requirements of articles 14 [fair trial] and 15 [prohibition on retroactive penalties].

Note 30. The ACHR explicitly prohibits derogation from the right to judicial guarantees essential for the protection of non-derogable rights.

Note 31. The Rome Statute provides for many of the rights of the accused recognized by the international community as necessary under major human rights instruments, humanitarian, and/or customary law.

Note 32. The right to be "tried without undue delay;"--- art. 67(1)(c); "to examine, or have examined, the witnesses against him or her and to obtain the attendance and examination of witnesses on his or her behalf under the same conditions as witnesses against him or her;" --- art. 67(1)(e); "not to be compelled to testify or confess to guilt." --- art. 67(1)(g)

Note 33. In 1984, the 61st Congress of the ILA approved by consensus "a set of minimum standards governing the declaration and administration of states of emergency that threaten the life of a nation, including sixteen articles setting out the non-derogable freedoms to which individuals remain entitled even during states of emergency." The proposed non-derogable right to a fair trial includes all of the procedural components discussed above.

Note 34. Queensland Guidelines for Bodies Monitoring Respect for Human Rights during States of Emergency, approved at the 64th conference of the International Law Association's Committee on Enforcement of Human Rights Law.

Development of a New Resilience Scale:

The Resilience in Midlife Scale (RIM Scale)

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Abstract

Resilience, the ability to maintain or regain positive levels of functioning despite adversity, is one of several strengths that can assist people in positive life adaptation. Midlife (35 - 60 years) is a period when individuals need to adapt to several major changes and challenges. However, no scale exists to measure resilience specifically in the midlife population. Therefore, this study develops a new scale to measure resilience in midlife. The RIM scale consists of 25 items, each self-rated on a 5-point scale (0-4), with higher scores reflecting greater resilience. The scale was administered to a sample of 130 men and women, aged 35 - 60 years, from the normal population. The reliability, validity and factor analytic structure of the scale were evaluated, and reference scores established. The RIM scale demonstrated sound psychometric properties and factor analysis yielded five factors. The RIM scale has potential utility in clinical and research settings.

Keywords: Resilience, Midlife, Scale development, Reliability, Validity, Factor structure

1. Introduction

Recently, the field of mental health has seen a shift in focus from a deficit-oriented approach to a strengths-based approach, which encompasses an interest in the strengths that are associated with healthy adjustment trajectories, such as resilience. In the growing field of positive psychology, resilience is highlighted as a strength that can assist people in positive life adaptation (Masten & Reed, 2005). Resilience has been broadly defined as the capacity to positively adapt to, or regain levels of functioning after difficult life experiences (Luthar, Cicchetti & Becker, 2000; Staudinger, Marsiske & Baltes, 1995). Furthermore, it has been proposed that resilience constitutes not just recovery, but growth and strengthening from adversity (Bonanno, 2004; Hardy, Concato & Gill, 2004; Ryff, Singer, Love & Essex, 1998). Resilience has also been described as a measure of stress-coping ability (Connor & Davidson, 2003), and Werner's (1995) conception of resilience emphasised sustained competence under stress.

Resilience enquiry originally emerged through research that explored the characteristics of young people living in high-risk situations, such as poverty or abuse, who appeared to thrive in the face of adversity (Garmezy, 1991; Richardson, 2002). Researchers in child and adolescent development described resilience as a factor that enabled children to achieve positive outcomes despite adverse circumstances (Campbell-Sills, Cohan & Stein, 2006; Hardy et al., 2004). However, there was no attempt to measure the construct of resilience; rather, children were inferred to be resilient if they possessed certain positive characteristics (such as self-esteem). Further lines of enquiry focused on identifying the protective factors underlying resilience that could explain these positive responses to adversity (Werner & Smith, 1992). This involved a paradigm shift in focus from the identification of risk factors that led to psychopathology to the identification of protective factors that contributed to resilience; that is, from a reductionist,

problem-oriented approach to a positive approach that nurtured individuals' strengths (Kumpfer, 1999; Richardson, 2002).

It was proposed that protective factors enhanced resilience by moderating an individual's response to a stressful situation or threatening environment (Ryff et al., 1998). Garmezy (1991) described protective factors as including the dispositional attributes of the child, the familial characteristics, and the external support factors. Werner (1995) also distinguished between protective factors within the individual, the family, and the community. Subsequently, current theories view resilience as a multidimensional construct that incorporates both internal and external protective factors (Friborg, Hjemdal, Rosenvinge & Martinussen, 2006; Kumpfer, 1999; Luthar et al, 2000; Richardson, 2002). Although many factors have been proposed, common findings reveal that the internal characteristics associated with resilience include self-efficacy, perseverance, internal locus of control, coping and adaptation skills (Garmezy, 1985; Kumpfer, 1999; Luthans, Vogelgesang & Lester, 2006; Tedeschi & Kilmer, 2005). In addition, the external factors that promote coping include family and social support networks (Friborg et al., 2006; Hardy et al., 2004; Luthar et al., 2000; Werner & Smith, 1992). Assessment tools to measure resilience would therefore need to tap into these five factors.

Whether resilient qualities are learned or are a part of one's genetic nature has been the subject of debate by many professionals. The general theme in both clinical and positive psychology is that while resilience has traditionally been portrayed as dispositional and trait-like (Robins, John, Caspi, Moffitt & Southamer-Loeber, 1996; Wagnild & Young, 1993), there is mounting evidence that it is also open to development and state-like (Banyard, 2004; Bonanno, 2004; Luthans et al., 2006; Luthar et al., 2000; Masten & Reed, 2005). Research demonstrates that resilience can be enhanced by interventions (Connor & Davidson, 2003; Staudinger et al., 1995), and that there are a wide range of behaviours associated with resilience, which can be learned by almost everyone (Newman, 2005). Luthans et al. (2006) state that people can learn ways to become more resilient, for example, by practising techniques that help them stay in the present, work on the problem at hand, and keep things in perspective. Newman (2005) suggests that building resilience is a personalized process and that one individual's strategy for building resilience may be different from another's. Bonnano (2004) also suggests that there are multiple pathways to resilience. Furthermore, Luthar et al. (2000) argue that resilience is not a static state, but can fluctuate as changes during the lifespan see the emergence of new vulnerabilities and strengths, and that resilience can be achieved at any point in the life cycle. Therefore, assessment scales to measure resilience need to be specific to particular age groups. Connor and Zhang (2006) state that resilience varies with context, time, age, gender, and cultural origin, and is modifiable. In addition, individuals may display resilience in some areas of functioning (such as work), but not others (e.g. relationships) (Connor & Davidson, 2003).

Few studies have focused on gender differences in resilience; however, earlier developmental studies of children living in at-risk environments repeatedly found girls to be more resilient than boys (Werner & Smith, 1992). In the adult population, resilient women were found to elicit and provide more social support than men (Werner, 2001). More recent research on resilience in the elderly by Hardy et al. (2004) found older men to be more resilient than older women. However, resilience was measured using a six-item scale, which suggests questionable validity and generalizability. In another study investigating resilience and health outcomes in the elderly, older women scored higher on resilience than older men (Caltabiano & Caltabiano, 2006).

As prior studies indicate, the majority of resilience research has been conducted with children and adolescents, with the focus more recently shifting to the elderly, due to the increased aging population. However, the study of resilience in middle adulthood remains seriously lacking (Bonanno, 2004; Ryff et al., 1998; Staudinger et al., 1995). Scales that presently exist to measure resilience in adults are not tailored to suit the midlife population (Wagnild & Young's Resilience Scale (RS), 1993; Connor-Davidson Resilience Scale (CD-RISC), 2003; Resilience Scale for Adults (RSA), Friborg et al., 2006). The Resilience Scale (Wagnild & Young, 1993) was initially developed through interviews with older women, and was developed at a time when resilience was viewed as a personality trait (whereas it is now seen as modifiable). This scale and the Connor-Davidson Resilience Scale (2003), contain items worded for the general population – that is, not specific to a particular age group. The Resilience Scale for Adults (Friborg et al., 2006) was developed in Norway, and is a lengthy scale consisting of 45 items. These items are also aimed at the general population and not a specific period in the lifespan. Therefore, existing scales to measure resilience are not adequate for use with the midlife population.

Midlife (from approximately 35 to 60 years) is one of the longest stages in the lifespan, and a time of major changes for both men and women, yet this stage of human development is often neglected or deemphasized (Dziegielewski, Heymann, Green & Gichia, 2002; Lachman, 2004). Ryff et al. (1998) propose that midlife provides a compelling period in the lifespan to study resilience, as it is a time when individuals are faced with potentially stressful changes and turning points, and individual differences in health and well-being become more pronounced. Midlife is a period that brings a unique set of challenges and issues to be negotiated, which can include separation, divorce, marriage/remarriage, raising children/stepchildren, changing work conditions, career transitions, re-entry into the workforce or further study, financial difficulties, caring for elderly parents, retirement, deteriorating health, potential

illness, and the empty nest (Kail & Cavanaugh, 2004; Lachman, 2004). Physical changes in appearance have been highlighted as another area of concern during midlife (Berger, 2005). The emphasis on youth and the negative view of aging in Western societies creates additional pressure, especially for women (Dziegielewski et al., 2002).

The midlife period is characterised by a complex interplay of multiple roles and responsibilities, with an increasing amount of time spent juggling these roles and attempting to achieve a balance between work, family and personal needs (Dziegielewski et al., 2002; Lachman, 2004). This stage has often been referred to as the 'sandwich generation,' as individuals attempt to meet the competing demands of two generations – their children and their aging parents (Kail & Cavanaugh, 2004). According to Kail and Cavanaugh (2004), middle-aged people report the highest levels of stress, which relates to how much control people perceive to have over their lives. Although stress affects people of all ages, it is during midlife that the effects become most apparent. Each issue that individuals face has the potential to become a stressor; that is, an event that damages a person's physical or psychological well being (Berger, 2005). Furthermore, as individuals progress through this stage of the lifespan they are increasingly confronted with deaths of close friends and relatives, with parental loss being most prevalent during this stage (Bonanno, 2004; Lachman, 2004). There is agreement in the lifespan literature that no-one escapes at least one trauma during midlife (Berger, 2005, Kail & Cavanaugh, 2004).

Midlife is also a time of heightened re-evaluation and re-orientation, with the time around 40 years portrayed by some as a midlife crisis (Lachman, 2004; Levinson, 1978). Others define this time as a midlife transition, with individuals facing the challenge of resolving issues pertinent to this stage of the lifespan (Lachman, 2004). Great variability exists in the depiction of gains and losses during this period (Dziegielewski et al., 2002). The usual sources of the losses have been proffered as major life events such as illness, divorce, or job loss, which create turning points during midlife. Turning points are significant changes in the trajectory of life, which cause one to reinterpret the past (Lachman, 2004). Either way, individuals in midlife begin to assess their lives in relation to how far they've come, and how long they have left to achieve their ambitions and desires. This questioning involves a reassessment of personal goals, relationships, career, family, the future, and the meaning of life. This illumination of the self may cause many people unease, and researchers report that fear, anxiety and depression are issues of concern at this time (Dziegielewski et al., 2002).

Therefore, midlife is a time when life stresses accumulate and individuals face several major changes. It is proposed that whether the midlife transition is viewed as a challenge and opportunity for positive change, or as a stressful and trying time, depends on the personal resources each individual brings. It follows that individuals who possess the necessary personal resources (protective factors), thus being more resilient, are more likely to cope with and adapt to these stresses and changes. Furthermore, individuals lacking the protective factors that contribute to resilience can be aided by interventions designed to build resilience. Therefore, the need for a valid measure of resilience in midlife becomes evident. However, to date there are few well-validated measures of resilience for use with adult populations, and there is no scale to measure resilience specifically in the midlife population.

The purpose of the present study, therefore, was to develop a scale to measure resilience in midlife (the RIM scale). The specific aims were to establish reference scores for resilience in a normal midlife population; to assess the reliability and validity of the RIM scale; and to explore the factor structure of the RIM scale. It was hypothesized that the RIM scale would provide a reliable and valid measure of resilience for individuals in midlife. It was further hypothesized that the RIM scale would reveal a five-factor structure, reflecting the factors of self-efficacy, perseverance, internal locus of control, coping/adaptation and family/social support, which constitute resilience (as discussed in the following section).

2. Method

2.1 Scale development

The RIM scale was developed as a brief, self-rated assessment to quantify resilience in individuals in midlife.   It was designed for use with men and women aged 35 to 60 years. The content of the scale was drawn from a number of sources, and based on current research on resilience and midlife. A comprehensive literature review found resilience to be a multidimensional construct, incorporating both internal and external factors (Connor & Davidson, 2003; Friborg et al., 2006; Luthar et al., 2000; Maluccio, 2002; Richardson, 2002). Common findings revealed five interrelated components of resilience (four internal and one external), including self-efficacy, perseverance, internal locus of control, coping and adaptation, and family/social networks (Kumpfer, 1999; Luthans et al., 2006; Masten & Reed, 2005; Rotter, 1989; Ryan & Deci, 2000).

The first component, self-efficacy, involves an individual's belief in his or her ability to mobilize the motivation, cognitive resources and action to exert control over a given event (Bandura, 1997). Rutter (1987) described resilient individuals as possessing self-esteem and a belief in their own self-efficacy. When faced with adverse events, efficacious individuals tend to persist in a given task until success is achieved. Thus, unless individuals believe that they

can achieve desired goals through their actions, they will have very little incentive to persevere in the face of adversity (Benetti & Kambouropoulos, 2006; Friborg et al., 2006; Wagnild & Young, 1993).

Perseverance, the act of persistence, entails self-discipline and a willingness to continue the struggle to rebalance one's life after adversity. Resilient individuals rebound from adversity by remaining actively involved and developing new goals or plans if their original plans are unsuccessful (Schwartz, 2000; Werner, 2001). The closely related construct of hardiness also associates perseverance with commitment to work consistently towards a goal, as well as the ability to view change as a challenge (Kobasa, 1979).

Internal locus of control refers to an individual's perception of being able to influence his or her current environment and future destiny. In essence, internal locus of control represents the extent to which individuals believe that they are responsible, through their own actions, for the things that befall them in life (Rotter, 1989). Resilient individuals have a greater internal locus of control and are optimistic about their ability to create positive outcomes for themselves and others. Individuals who believe that they can influence their own circumstances and personal outcomes are more likely to face adverse conditions with resilient approaches (Friborg et al., 2006; Kumpfer, 1999; Werner & Smith, 1992).

Coping refers to a set of cognitive and behavioural strategies used by an individual to manage the demands of stressful situations (Folkman & Moskowitz, 2004), while adaptation is the process of adapting to a changing environment or adverse circumstances (Maluccio, 2002). As internal and external stressors always exist, an individual's ability to cope with these events is influenced by how he or she appraises the situation, how much has been learnt from previous experiences with stress, and how successfully he or she can adapt (Connor & Davidson, 2003). Resilient individuals are more likely to feel confident that they can cope successfully with adversity, and often employ a range of problem-solving and emotion-focused strategies (Caltabiano & Caltabiano, 2006; Masten & Reed, 2005; Rutter, 1987).

Family and social networks have also been indicated as playing an important role in building greater resilience. Secure interpersonal relationships provide an important source of emotional support, and social support from the wider community can also serve as a building block for resilience (Greff, Vansteenwegen & Ide, 2006; Wagnild & Young, 1993). Resilience includes the individual's ability to utilise family, social and external support systems to better cope with stress (Friborg et al., 2006). Furthermore, religious or spiritual belief has been implicated as another external component that can aid resilience by instilling a sense of hope in some individuals (Connor & Davidson, 2003; Johnson, 2000).

In developing the RIM scale, several items were devised to measure each of these five components. These items were then adapted to relate to the issues that individuals contend with during midlife: separation/divorce, changes with work, financial difficulties, changes in the body due to age, children leaving home, loss, illness and death (Lachman, 2004). Items relating to stress, due to the multiple roles and pressures of midlife, were also included (Berger, 2005; Kail & Cavanaugh, 2004), as well as items relating to goals and achievements (Berger, 2005; Dziegielewski et al., 2002; Lachman, 2004). This resulted in the scale being tailored to measure resilience in midlife individuals.

The RIM scale contains 25 items, each of which is rated on a 5-point Likert scale as follows: 0 – Strongly disagree, 1 – Somewhat disagree, 2 – Neither disagree nor agree, 3 – Somewhat agree, 4 – Strongly agree. A Likert rating scale format was utilised because of its ability to produce reliable scores and its ease of use for both respondents and assessors (Breckler, Olson & Wiggins, 2006). Each item was worded for sixth grade reading ability and items were worded to exclude gender bias. To avoid the possibility of a response set bias, some items were negatively worded (6, 10, 12, 13, 17.19, 20, 23) and these items were reverse scored. The total scores can range from 0 – 100, with higher scores reflecting greater resilience. The content of the individual items comprising the RIM scale can be seen in Table 1.

Insert Table 1 Here

2.2 Study sample

The study sample to represent the normal population was drawn from two sources: the first was mature-aged university students from James Cook University, Cairns (men and women aged between 35 and 60 years); and the second involved men and women in the wider community (aged 35 to 60 years). The demographic data collected included gender, age bracket, marital status, and employment status. The total sample recruited consisted of 130 participants, 90 female (69.2%) and 40 male (30.8%). The participants were divided into three age categories: 41 participants were aged between 35 - 42 years, 39 participants were aged 43 - 50 years, and 50 participants were aged 51 - 60 years. In the marital status categories: 28 participants were single, 74 were married or defacto, and 28 were separated or divorced. There were no participants in the widowed category. In the employment status categories: 22 participants were unemployed, 43 were in part-time/casual employment, and 65 worked full-time.

2.3 Procedure

University students from James Cook University, Cairns, aged between 35 and 60 years, were invited to participate in the study through advertisements. Participants from the outside community were recruited through Toastmasters City Club, Cairns, as well as through friends and colleagues via the snowball technique. Participation in the study required subjects to complete a questionnaire taking approximately ten to fifteen minutes. Approval to conduct the study was obtained from the Human Ethics Committee, James Cook University, and participant welfare was assured by following the guidelines of this committee.

2.4 Psychometric analysis of the RIM scale

The data was analysed with the following objectives: 1) to establish reference scores for the RIM scale and to assess whether scores were affected by demographic factors, 2) to assess the reliability and validity of the RIM scale, and 3) to assess the factor composition of the RIM scale. SPSS Version 16 (Statistical Package for the Social Sciences; Pallant, 2005) was used for data analysis.

To establish reference scores for the RIM scale, the range of obtained scores was calculated, as well as the mean (and standard deviation) for the total sample. Demographic differences were assessed with t-test and ANOVA.

The reliability of the RIM scale was assessed using the Spearman-Brown split half reliability test. The internal consistency of the scale was evaluated using Cronbach's alpha for the total and item-total scores. Convergent validity was assessed by correlating the RIM scale with the Connor-Davidson Resilience Scale (CD-RISC) (Connor & Davidson, 2003). Concurrent validity was assessed by correlating the RIM scale with theoretically relevant constructs. Research suggests there is a positive relationship between resilience and self-esteem (Benetti & Kambouropoulos, 2006; Tedeschi & Kilmer, 2005; Wagnild & Young, 1993); hence, concurrent validity was evaluated by correlating the RIM scale with the Rosenberg Self Esteem Scale (RSES: Rosenberg, 1965), with a positive correlation expected. Studies have also indicated that individuals high in resilience are often low in the trait anxiety (Benetti & Kambouropoulos, 2006; Connor & Davidson, 2003). Therefore, concurrent validity was further assessed by correlating the RIM scale with the State-Trait Anxiety Inventory (STAI) (Spielberger, Gorsuch & Lushene, 1970), with a negative correlation between anxiety and resilience expected.

To assess the factor composition of the RIM scale, as well as the construct validity, an exploratory factor analysis was conducted. Data was subjected to a principal components analysis (PCA), followed by an orthogonal (varimax) rotation, to identify the underlying factors of the scale. It was expected that the RIM scale would reveal a five- factor structure.

2.5 Validation measures for the RIM scale

2.5.1 CD-RISC

The Connor-Davidson Resilience Scale (Connor & Davidson, 2003), which was used to measure convergent validity, is a 25-item self-report scale that employs a five-point Likert scale (0 – not true at all, 1 – rarely true, 2 – sometimes true, 3 – often true, 4 – true nearly all of the time). All items are positively worded. Scores can range from 0 – 100, with higher scores reflecting greater resilience. The CD-RISC has good internal consistency - Cronbach's alpha for the present study was .914. Past studies indicate good convergent and discriminant validity, and high test-retest reliability (Connor & Davidson, 2003).

2.5.2 RSES

The Rosenberg Self-Esteem Scale (Rosenberg, 1965), which assessed concurrent validity, comprises ten statements. Participants rate the extent to which they agree with each statement on a 4-point Likert scale (1 – Strongly disagree, 2 – Somewhat disagree, 3 – Somewhat agree, 4 – Strongly agree). Half of the items are positively worded and half are negatively worded. Obtained scores can range from 10 – 40, with higher scores indicating higher self-esteem. The RSES has shown high reliability and good validity (Greenberger et al, 2003). Cronbach's alpha for the present study was .838.

2.5.3 STAI-T

The State Trait Anxiety Inventory - Trait (Spielberger, Gorsuch & Lushene, 1970), which was used to assess concurrent validity, consists of 20 statements. There are positively and negatively worded items. A 4-point Likert scale is used to rate each item (1 – Almost never, 2 – Sometimes, 3 – Often, 4 – Almost always). The possible range of scores is 20 – 80, with higher scores signifying higher levels of trait anxiety. The STAI, which has been well validated with a number of populations, correlates highly with other measures of trait anxiety, and has exhibited high test-retest reliability (Beiling, Antony & Swinson, 1998). Cronbach's alpha for the present study was .904.

3. Results

3.1 Reference scores and demographic groups

The RIM scores for the total sample ranged from 35 to 98, with a mean score of 75.19 and a standard deviation of 12.01. Mean (sd) scores were also calculated for the various demographic groups and can be seen in Table 2.

Insert Table 2 Here

An independent samples t-test found there was no significant difference between the RIM scores for men and women [t (58.17) = .57, p = .57]. A one-way analysis of variance found no significant difference in resilience between the three age groups [F (2,127) = .7, p = .5]. There was however a significant difference in resilience levels for marital status [F (2,127) = 7.22, p = .001]. Post-hoc comparisons using the Tukey HSD test indicated that the mean score for the single group (M = 70.79, SD = 13.69) was significantly different from the separated/divorced group (M = 82, SD = 11.77), at the .05 level.   It was also revealed that the mean score for the married/defacto group (M = 74.28, SD = 10.4) was significantly different from the separated/divorced group. No significant difference was found between the scores of the single and married/defacto groups. Therefore, the separated/divorced group scored significantly higher on resilience than the other two groups. Finally, a one-way analysis of variance explored the difference in resilience levels in groups with different employment status (unemployed, part-time/casual, fulltime), and found no significant difference between the groups [F (2,127) = .97, p = .38].

3.2 Reliability and validity

3.2.1 Internal consistency

Cronbach's alpha for the total RIM scale was .87, which indicates good internal consistency and therefore high reliability. Item-total correlations ranged from .16 to .61, with the majority falling between .35 and .57 (see Table 3).

Insert Table 3 Here

3.2.2 Split-half reliability

The Spearman-Brown coefficient for the RIM scale was .88, which suggests good reliability (Frances, 2004).

3.2.3 Convergent validity

Convergent validity was assessed by correlating the RIM scale with the Connor-Davidson Resilience Scale (CD-RISC), using Pearson product-moment correlation coefficient. A strong, positive correlation between the two scales was evidenced (r = .81, p < .01), supporting the convergent validity of the RIM scale.

3.2.4 Concurrent validity

The relationship between resilience and self-esteem was investigated by correlating the RIM scale with the Rosenberg Self-Esteem Scale (RSES). There was a strong, positive correlation between the two variables (r = .71, p < .01), indicating that high levels of resilience are associated with high levels of self-esteem. Concurrent validity was further assessed by exploring the relationship between resilience (as measured by the RIM scale) and the trait anxiety (as measured by the STAI-T). A significant negative correlation was found (r = -.682, p < .01), indicating that higher levels of resilience correspond to lower levels of anxiety.

3.2.5 Factor analysis

To assess the factor composition of the RIM scale, as well as the construct validity, the 25 items of the RIM scale were subjected to principal components analysis (PCA), followed by varimax rotation. Prior to performing PCA, the suitability of the data for factor analysis was assessed. Inspection of the correlation matrix revealed coefficients of .3 and above. The Kaiser-Meyer Oklin value was .83, exceeding the recommended value of .6, and the Bartlett's Test of Sphericity reached statistical significance, supporting the factorability of the correlation matrix (Pallant, 2005). Principal components analysis revealed the presence of seven factors with eigenvalues above 1, explaining 61.3 % of the total variance. However, only three items loaded onto two of these factors.   The factor solution indicated a primary factor underlying the data, and inspection of the scree plot revealed a break after the first factor, with another smaller break after the fifth factor. As a five factor structure was expected, it was decided to retain five factors for further analysis. Varimax rotation revealed all items loading onto one or more of the five factors. The five factors were interpreted in the following manner: factor 1 represented self-efficacy, factor 2 - family/social networks, factor 3 - perseverance, factor 4 - internal locus of control, and factor 5 - coping and adaptation. The item loadings and factor pattern are presented in Table 4. The eigenvalues of the five factors, the percentage of variance explained by each factor, and the total variance explained, can also be seen in Table 4.

Insert Table 4 Here

4. Discussion

4.1 Demographic groups

The results of this study indicated that there was no significant difference between the resilience levels of men and women in midlife. This is not consistent with previous research, which found girls to be more resilient than boys (Werner & Smith, 1992), women to elicit more social support than men (Werner, 2001), and elderly women to be more resilient than elderly men (Caltabiano & Caltabiano, 2006). However, it should be noted that there were more female participants than males in the present study and therefore this finding may not be representative of the normal midlife population. No significant difference was found between the three age groups within the midlife age range, therefore individuals at the beginning of midlife (e.g. 35 yrs) had similar resilience levels to those in the middle (45 yrs) and at the end of midlife (60 yrs). Additionally, there was no significant difference found between the employment status groups, with the unemployed, casually employed, or fulltime workers exhibiting similar resilience levels.

There was, however, a significant difference found between the marital status groups, which indicated that separated or divorced individuals were more resilient than single or married individuals in midlife. This finding contrasts with several studies, which appear to suggest the opposite – that married individuals are the most resilient. Lucas (2005) found that divorced people reported lower levels of life satisfaction than married people, and Steptoe and Marmot (2003) reported that single and divorced people were more vulnerable to risk factors and an impaired quality of life than married people. Mortality rates for unmarried people are also reported to be higher, with married people allegedly being healthier and living longer (Joutsenniemi et al., 2006; Murphy, Grundy & Kalogirou, 2007). However, these studies are not actually measuring resilience as such. One explanation for this study's findings might be that divorced people were found to be more resilient because they have been through a trying time and found ways to cope, and therefore now feel that they are more resilient.

4.2 Reliability and validity

The RIM scale demonstrated sound psychometric properties, with good internal consistency and split-half reliability. The item-total correlations were moderate to high, further indicating adequate reliability. Support for convergent validity was evidenced by a high correlation of the RIM scale with the CD-RISC, which also measures resilience in the adult population. Concurrent validity was supported by high correlations of the RIM scale with well-established valid measures of constructs related to resilience. The strong, positive correlation between resilience and self-esteem indicated that high levels of resilience are associated with high levels of self-esteem. This is consistent with previous research, which suggests that resilient people often possess a positive self-image (Tedeschi & Kilmer, 2005), and parallels the construct of self-efficacy, which was identified as an underlying factor of resilience in this study. Further support for concurrent validity was evidenced by a moderate negative correlation between resilience and anxiety, indicating that people high in resilience were often low in anxiety, and those lower in resilience were generally found to be higher in anxiety. This is consistent with Benetti and Kambouropoulos (2006), who suggest that elevated levels of trait anxiety are associated with an increased sensitivity to adverse situations, thus promoting lower levels of resilience. Therefore, this study found the RIM scale to be a reliable and valid scale for measuring resilience in midlife individuals.

4.3 Factor analysis

Analysis of the factor composition of the RIM scale revealed a five-factor structure, which supports the theoretical understanding of resilience as a multidimensional construct (Friborg et al., 2006; Richardson, 2002). The scale was consistent with four internal and one external factor: factor 1 related to self-efficacy, factor 2 to family and social networks, factor 3 to perseverance, factor 4 to internal locus of control, and factor 5 to coping and adaptation. This corresponds well with the literature, which suggests that these five factors can be regarded as the underlying mechanisms or protective factors that comprise resilience (Hardy et al., 2004; Kumpfer, 1999; Luthans et al., 2006; Masten & Reed, 2005; Tedeschi & Kilmer, 2005). Therefore, the five factors reflect the theoretical definitions of resilience, as well as provide support for the construct validity of the RIM scale.

4.4 Applications of the RIM scale

The RIM scale could have potential utility in both clinical practice and research. The RIM scale could be employed to measure and quantify the level of resilience an individual brings to a difficult life situation, his or her potential ability to cope with change and negotiate the challenges of midlife, as well as the level of recovery an individual exhibits after an adverse life event. Assessing resilience in midlife individuals may allow clinicians to distinguish those who are likely to 'bounce back' after an illness or loss, from those who may find it a real struggle, and to customise treatment accordingly (Hardy et al., 2004). The RIM scale might also identify specific protective factors that are strong in an individual, or those that are weaker and may need developing (for example, self-efficacy or external supports). Prevention and intervention programs designed to build resilience may aim to develop specific areas in an individual such as self-efficacy or coping strategies, or link the individual with supportive networks in the community (Caltabiano

& Caltabiano, 2006; Masten & Reed, 2005; Ryff et al., 1998). Richardson (2002) proposes that individuals can access and develop their inner resilience through meditation, yoga and other alternative practices.

Contemporary resilience interventions identify resilient qualities in the individual to nurture and build on, with the idea that focusing on the strengths of an individual increases his or her adaptive abilities and promotes the growth of further strengths (Tedeschi & Kilmer, 2005). Luthar and Cicchetti (2000) state that a resilience model involves an emphasis on protective factors that can be targeted and used in work for positive change. The RIM scale would be of particular use to those interested in the growing field of positive psychology, where assessments include strengths in addition to risks and problems (Banyard, 2004; Masten & Reed, 2005). Additionally, the scale can be used to assess the individual's response to a treatment or intervention. It is also envisaged that the RIM scale would be of assistance to researchers in further understanding resilience in midlife. The well-being of middle-aged adults affects not only the individual, but also the many others with whom they influence at this stage of life; thus, a better understanding of resilience in midlife can have far-reaching consequences (Lachman, 2004).

4.5 Limitations of the study

The study sample had a greater representation of females to males in midlife which may limit the generalizability of the results. Reference scores for the RIM scale were established using the normal population; however the scale is yet to be evaluated with low-resilience groups, to confirm that it can differentiate between individuals with different levels of resilience. Another limitation of this study is that the number of stressors or the degree of adversity that people in this sample have faced was not known; therefore it was difficult to determine if all individuals viewed as resilient had experienced comparable levels of adversity. Notwithstanding, midlife is a transitional period where individuals must negotiate several stressors, changes and challenges.

4.6 Future directions

Given the paucity of research on resilience in midlife, it is imperative that further research be conducted into the development of resilience in midlife, including investigation of the protective factors that contribute to resilience, and the processes involved in the development of resilience. As resilience is a dynamic developmental construct, longitudinal studies would be beneficial to measure not only the ability of individuals to recover after difficult life events, but the stability of resilience over time. Clinicians need to assess for strengths and protective factors, in addition to risk factors and psychopathology, in order to develop innovative prevention and intervention programs that build on strengths and increase protective factors, as well as address areas of concern.   Such efforts may not only enhance the health and well being of individuals presently in midlife, but potentially reduce their need for health services in the future, and ensure a successful transition into later life.

4.7 Conclusion

Positive psychology recognises the value of assessing and developing individuals' strengths to increase positive adaptation. Resilience is one of those strengths and research suggests that it is modifiable. The assessment and development of resilience in midlife is important, as it is a time when individuals are faced with many stresses, challenges and changes. The RIM scale is a brief, self-rated measure of resilience in midlife that has sound psychometric properties. Resilience is a multidimensional construct, with the RIM scale revealing five factors that constitute resilience. Prevention and intervention programs could focus on developing these protective factors.   The RIM scale could be utilised in clinical and research settings.

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Table 1. Content of the RIM scale

Item No.	Item Description
1	Deal with whatever comes my way
2	Achieve my goals
3	My life has meaning
4	Overcome financial difficulties
5	Friends I can confide in
6	Easily discouraged by failure
7	View change as a challenge
8	Can find a solution to a problem
9	In control of my own life
10	Do not cope well with stress
11	Have someone to help me if needed
12	Inability to deal with death
13	Give up when things look hopeless
14	Accept changes to body due to age
15	Can get through difficult times
16	Rely on family in tough times
17	Not equipped to handle changed work conditions
18	Belief in myself gets me through
19	Do not follow through with plans
20	I have little influence over what happens to me
21	Cope positively with illness
22	Love challenges and follow them through
23	Difficulty with loved ones leaving home
24	Control how I respond to events in my life
25	Spiritual beliefs give me hope during loss

Table 2. Means and standard deviations for subgroups

		N	M	SD
Gender	Male	40	74.18	14.66
	Female	90	75.64	10.69
Age	35-42	41	75.44	10.35
	43-50	39	73.38	12.18
	51-60	50	76.40	13.17
Marital status	Single	28	70.79	13.69
	Married/defacto	74	74.28	10.41
	Separated/divorced	28	82.00	11.78
Employment	Unemployed	22	73.59	13.10
status	Part-time/casual	43	73.79	10.76
	Full-time	65	76.66	12.42

Table 3. Item-total correlations.

Item	Scale Mean if Item Deleted	Scale Variance if Item Deleted	Corrected Item-Total Correlation	Cronbach's Alpha if Item Deleted
Q1	71.74	135.44	.500	.863
Q2	71.57	137.21	.514	.864
Q3	71.55	134.11	.572	.861
Q4	71.85	134.50	.511	.862
Q5	71.78	133.94	.490	.862
Q6	72.65	133.19	.355	.867
Q7	72.05	134.94	.386	.865
Q8	71.73	135.07	.609	.861
Q9	71.85	131.73	.576	.860
Q10	72.97	128.19	.536	.860
Q11	72.01	130.32	.524	.861
Q12	72.75	131.91	.375	.866
Q13	71.95	133.93	.427	.864
Q14	72.82	138.71	.164	.872
Q15	71.74	137.02	.402	.865
Q16	72.12	129.50	.489	.862
Q17	72.27	134.04	.363	.866
Q18	71.80	134.22	.503	.862
Q19	72.72	134.64	.292	.869
Q20	72.22	127.15	.594	.858
Q21	72.19	134.67	.423	.864
Q22	72.13	132.69	.552	.861
Q23	72.68	134.14	.326	.867
Q24	71.53	138.11	.370	.866
Q25	72.65	131.53	.351	.868

Table 4. Rotated factor pattern and total variance explained

Item	Component				
	1	2	3	4	5
Q2	.718				
Q1	.706				
Q8	.676			.333	
Q24	.638				
Q4	.631	.324			
Q18	.626			.414	
Q9	.618			.355	
Q3	.582	.462			
Q20	.497			.335	
Q15	.437				.313
Q11		.804			
Q16		.786			
Q5		.725			
Q25		.320			
Q6			.811		
Q10			.603	.338	
Q17			.587		
Q13			.492		
Q7				.797	
Q22				.691	
Q23			.300	.406	
Q14					.570
Q19			.307		-.542
Q12			.320	.327	.472
Q21	.388	.329			.425
Eigenvalues	4.32	2.79	2.30	2.24	1.48
% of Variance	17.26	11.16	9.20	8.96	5.93
Cumulative %	17.26	28.42	37.62	46.58	52.51

Extraction Method: Principal Component Analysis.

Rotation Method: Varimax with Kaiser Normalization.

Structuring Corporate Culture of China Centering on Credit

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Abstract

The deficiency of credit is a prominent problem among the widespread problems of current corporations of China, country, corporate, and consumer suffer from it a lot. Structure corporate culture of China centering on credit is the first imperative. Corporations have to build core values based on credit, and specialized evaluation system of corporations based on credit. What is more, government should increase the punishment when corporations lacking credit, and form the logos of credit.

Keywords: Structure, Credit, Corporation

Zhang Yanning, Director-General of China Association of Enterprises, pointed out on March 25th, 2003 that about 180 billion Yuan's loss is caused by dodging a creditor, about 5.5 billion Yuan's loss is caused by contract cheating, about 200 billion Yuan's loss is caused by lacking of quality of product and making fake products, and the financial cost is about 200 billion Yuan because of chain debts as well as down with one's dust. Up to about 10% to 20% of the GDP in China become invalid costs in the market because of deficiency of credit and the economic order, about 588.5 billion Yuan's loss is caused by deficiency of credit. According to the evaluation of the concerning experts, economic loss of China caused by not keeping faith is about 600 billion Yuan, which equal to 10% of yearly GDP of China. Severe invent violating good faith such as fake and forged, breaking promises, commercial fraud, dodging a creditor, evading paying taxes, tax fraud, obtaining foreign currency and false pretenses have arisen. Thus, structure corporate culture of China centering on credit is the first imperative. To structure this we have to do as following.

1. Corporations built core values based on credit

"Credit as a logo of economic, culture, society has been one of key logos in market economy. Credit deeply relates to the harmonious relations among natural persons, main market players, organizations, industry, and even countries, it will influence the development and stability if not handle well." Credit is the mainstay of market order, the cornerstone of brisk market, corporate culture built the spirit of market economic, make a general survey of the successful corporations in China and abroad, all of them develop based on credit, which is one of the successful corporations aim for and indispensable quality. Credit is the concentrated reflection of corporate culture. Modern corporations are not only the main part of market, but also the main part of maintaining credit. With the maturing circumstance of the market economics, credit is the capital of a corporation, the wealth of a corporation, the competitive strength of a corporation, and preceding switch of the corporate spirit. To put into practice, credit is the key factor of corporate survival and development, is the roll booster of society and economic. Industrialist should infiltrate credit into all connections of enterprise operations; penetrate deeply into the corporate culture. So the corporate spirit, management philosophy, management principle centering on credit will unceasingly promote the development of every undertaking in Chinese corporations.

Credit influence greatly on the success or failure of corporations, in other words, it is the foundation underlying all efforts to build the company, credit plays important part in staff inner quality, and the competitive strength, corporations' built core values centering on credit appears more importance in the modern world. The development of corporations need credit, credit as a kind of moral culture, in the rapidly economics growth circumstance, should

provide intangible moral strength, corporate culture centering on credit should help corporations form good corporate image. Corporate culture has great power. Some material may dry up, but culture cannot. Culture is as invisible production capability, latent production capability, invisible capital and wealth. Corporate culture could improve the development of corporations greatly; in this case only make good harmony, complement, promotion between corporations and corporate culture. Form excellent corporate culture can react positively and inestimable. Thus, it will increase the competitive strength of Chinese corporations to built core values centering on credit.

2. Build evaluation systems of corporations centering on credit

"Good faith is as generalized credit." From the view of the social subject to built credit, there is mainly three main subjects such as government, corporations, people, people is the base of credit, corporate credit is the emphasis, and government is the key. Government at all levels, especially price department at all levels, bears the magnificent mission to built credit circumstance. Nurturing market credit, follow price commitment is the main way to nurture and develop market for government price department. Corporations should consider credit as life source, so, once corporate culture centering on credit was built, it should limit all procedures in corporate operating and form inspection system. This kind of credit ask corporate manager have altitude of reciprocal with consumer, by forming good culture of corporations themselves to promote society culture, to achieve win-win with relative people. If government does not supervise well, the possibilities of corporations loss credit will increase, so special evaluate system should be built for credit problem of corporations.

Credit evaluation should focus on product quality. Corporate credit includes market credit, bank credit, and organization credit, and so forth. Market credit is not only the reflection of honor an agreement, but also the reflection of the fame in the market of a corporation, it directly relates to the degree of recognition of a corporation in the market, is the key of corporate credit. Build evaluation system centering on credit, firstly we have to build and use credit database, such as database including taxation, industry and commerce, financial credit information. Build credit documents of corporations as well as practitioner and use credit accounts. Enter information about corporations and practitioner's bank loan break record, tax evasion, and so on; this kind of information can be searched by relative office or staff. Secondly, build public credit manage system all over the country suitable for all people, including drawing up temporal method concerning credit information collection and management, forming public credit manage office and comprehensive credit manage database. Joining regulations with the credit management, implement credit report regulations, let corporate credit documents be the key evident for adoption, and examination, let the credit rank of a corporation is related to the profit of it.

So far, Chinese building market is implementing the credit evaluate system step by step, Ministry of Railways implement *railways building projects construction enterprises credit reputation evaluation system interim procedure*, ministry of communications also make experiments in Shanxi, and so forth. This kind of practice to promote corporate credit by product quality evaluation holds the focal point of credit evaluation, it produces good effects in practice, and make good quest for forming scientific credit evaluation system. Credit evaluation should join qualitative analysis and quantitative analysis together, join static analysis and dynamic analysis together, join history analysis and foreground prediction together, join specialty analysis and major evaluation staff analysis together. And scientific and reasonable, following the characters of local economics is the base of all the evaluation work, is also the promise to achieve" just, public, fair". The basic way to evaluate corporate credit is from the meaning of corporate risk, fully use as a source of reference in our nation and abroad, refer credit ranking method all over the world, make comprehensive and system consideration the factors affect corporate credit and be attention to their change, based on qualitative analysis and quantitative analysis, static analysis and dynamic analysis, comprehensively assess corporate credit rank.

3. Government should increase the punishment of corporate credit losing, corporations form credit logos.

Recent years, China has made a series progress in building credit system, has built primary credit system, has regulated a lot of lows and regulations related to credit construction, like general provisions of the civil law, company law, banking law, contract law, and many other laws and regulations clear consider credit as fundamental, what's more, local laws also definitely consider honor and credit as the principle of transaction and behavior.

So far, China has many problems in price and credit, price cheating in the market remain incessant after repeated prohibition, and ways to lose credit emerge in an endless stream, some industry appears whole credit crisis. Limited regulations and laws and limited power that Government supervise make price cheater hard to be punished, or the punishment is so small that less than the credit losing bring to them. That's why price cheating becomes reality. Making fake productions and sell them, making fake advertisement, business cheat, pyramid selling or its disguised form, tax evasion and fraud, smuggling and distribution of smuggled goods, and something like these kind of illegal activities, backing on ignore credit and low costs on losing credit. If the Government doesn't punish enough, there have many corporations who take a profiteering attitude, when one wins great profits in the first gaming, at the same time he damaged the profits of consumer. As a result, government should increase the strength of supervise, increase the range of supervise, and ways to supervise, increase the strength of punishment; positively use people report system, form the

environment that all people fight against the deed of losing credit; meanwhile, use the power of news media, publicize credit everywhere, reveal corporations who lose credit immediately. In this way, corporations who lose credit will face difficult, and have to retreat from the market, making the market environment more pure. Thus, we should base on our own circumstance, refer advance experience abroad, build a comprehensive system centering on credit construction. Nowadays, price management office at all levels should utilize existing regulations, increase the punishment of losing credit, making people who have credit become more. Punishment strength should be increased on behaviors violating public moral, let people who lose credit really lose.

However, the punishment not only from the aspect of law enforcement but also from the aspect of legislation cannot make people who lose credit really lose everything such as money. To be more reasonable about the punishment on losing credit, government should do the work of making effect laws. We can refer activities out of our country, build database about credit documents, once a company has stain in this kind of documents, it will suffer a lot. Fair system of rewards and penalties should be formed, "Some will practice, compensation will be harmful, the guilty must be punished", doing this can reward those who have credit, punish those who lose credit. "Credit is a kind of civil, credit is a kind of culture, credit is a kind of spirit, and credit is a kind of power". Through corporate inner conscious and limitations from outside credit logos is gradually formed and become corporate core culture.

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Relationship between Scale of
Higher Education and Economic Growth in China

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Abstract

In order to study the problems of long-term and short-term interactional mechanism between scale evolution of higher education and economic growth in China, authors in this article are going to put forward the method of cointegration. Through selection of enrollment and actual GDP data per capita in China from 1972 to 2007, it is discovered from the empirical result that: (1) the log sequences of enrollment of higher education and actual GDP per capita in China are first-order integration; (2) long-term cointegration relationship exists between enrollment of higher education and actual GDP per capita in China, and the long-term influence between them is positive; (3) through VECM analysis, when fluctuation of enrollment in higher education deviates from the long-run equilibrium, the system will pull the state of nonequilibrium back to the state of equilibrium with an adjustment rate of 7%; (4) based on impulse response function and variance decomposition, it is proved that one unit positive impact of higher education scale can lead to its further expansion; one unit positive impact of actual GDP per capita can also play a driving role to scale of higher education within a short period of time, but may restrain it in the long run. Conclusions and suggestions: (1) expansion of scale of higher education in China should correspond with economic growth; (2) to improve the utilization ratio of resources in higher education should not only expand in size, but should also adjust structure of higher education.

Keywords: Scale of higher education, Economic growth, Cointegration, Vector Error Correction Model (VECM)

1. Introduction

Just as the American scholar Brubacher, J·S said, higher education belongs to the high level education in social culture and is the highest level of learning. As for study on scale of higher education, this article mainly discusses the following three aspects: development of higher education scale, relationship between higher education scale and economic growth and forecasting of higher education scale.

1.1 Development of the scale of higher education

When oversea scholars study constrainting factors on development of higher education, they tend to give similar consideration to factors of demographic, politics, economy and culture, and study influence of demographic factor upon development of higher education at a macro-scale level. Different countries have different focus of studies. In 1997, after research on relationship between demographic structure and higher education opportunities in Kinshasa --- capital of Zaire, American scholars Shapiro and Tambashe discovered that, improvement of higher education opportunities for women was one of effective measures to reduce their fertility rate. In 2001, after statistical analysis of changes of

population at the age of 18 from 1992 to 2001, Doyon believed decline in active population in higher education would encourage Japan to conduct a series of reforms in higher education. Furthermore, by means of quantitative analysis, oversea scholars have discussed in detail the dynamic relations between microstructures in demographic structure and development of higher education, such as gender structure, ethnic structure and immigration structure, etc, and also have probed into influences of higher education on birth rate and mortality rate, etc. Generally speaking, study on relation between demographic structure and higher education in foreign countries has been started earlier and there are sufficient materials. The focus of the study is the specific relationship between demographic structure factor and higher education.

1.2 Higher education scale and economic growth

There are several methods to study rate of contribution by education to economic growth, such as, Schurz Residual Method, Denison Coefficient Method and Method to Simplify Complex Labour, etc. Zhang Liqun made a discussion on development of higher education in central cities in coastal developed area with three aspects of higher education scale, level and countermeasure, and proposed countermeasures for development of higher education. Applying the theory of systematic science, Fan Hua and Tao Xueyu mentioned that the essence of systematic coordination of higher education and economic development was to fully utilize and promote the positive relations between them and also established a model of coordination degree. We conduct an empirical analysis in systematic coordination of higher education and economic development in Jiangsu Province from 1993 to 2003, and find out that expansion policy in higher education firstly implemented in Jiangsu has coincided with the development of regional economy. Degree of coordination in the compound system is being enhanced increasingly.

1.3 Forecasting of higher education scale

Wasik classified models of forecasting on enrollment in higher education into three categories: 1) extrapolation model, which uses historical data for linear extrapolation or uses equation of linear regression to forecast enrollment; 2) model of student flow, which uses different equations to evaluate flow of individuals in an educational system; 3) Markov chain model, which uses transfer matrix to forecast flow of students among different universities and colleges. In his doctoral dissertation <<Computer Models for Enrollment Forecasting: A Management Science Approach>>, Mohamed respectively applied the method of student flow (input-output and Markov chain model), regression analysis and moving average method to establish corresponding forecasting model of enrollment, and compared accuracy of these three mathematical methods in forecasting.

In conclusion, due to lack of application of modern cointegration to study interaction between evolvement of higher education scale and economic growth in China, and as a result of nonstationarity of data, traditional methods may generate a conclusion in which two unrelatable variables have significant correlation, which, by no means, has no meaning. This article proposes comprehensive application of some methods, such as unit root test, cointegration test, VECM, generalized impulse response and variance decomposition, etc. The authors choose *ZS* as enrollment in higher education in China from 1972 to 2007 and annual data *PGDP* as GDP per capita of economic growth. Through application of unit root and cointegration test, they get the long-term cointegration relation between demographic variable and economic variable. However, according to conclusions by Granger, a necessary connection exists between cointegration concept and error correction model, and error correction model can help get short-term influential mechanism. By means of generalized impulse response model and variance decomposition, the article further discusses dynamic equilibrium relationship and shock effect.

2. Methodology and process

2.1 Data source, pretreatment and variable declaration

For discussion of interaction between dynamic changes of higher education scale and economic growth in China, two variables are selected: *ZS* which stands for enrollment of higher education and *PGDP* which stands for GDP per capita of economic growth. Annual data in China from 1972 to 2007 are collected (data sources include all issues of <<Chinese Statistical Yearbook>> and <<Chinese Educational Yearbook>> which are formally issued by State Statistics Bureau, and also include various relevant official website). In order to reduce influences of heteroskedasticity, we take the logarithm of all data, and respectively record them as *LNZS* and *LNPGDP.*

2.2 Correlativity of variables of higher education scale and economy

In order to get a quantitative correlativity between variables of higher education and economy in China, in Table 1, we list out correlation matrix of the logarithm sequence *LNZS* of enrollment variable of higher education and the logarithm sequence *LNPGDP* of GDP per capita of economic variable in annual data from 1972 to 2007 in China.

Insert Table 1 Here

From analysis in Table 1, it is indicated that, a high positive correlativity exists between changes of scale of higher education and economic growth in China, and correlation coefficient reaches 0.956.

2.3 Cointegration analysis of variables of scale of higher education and economy in China

Since the sequences of the selected variables may be nonstationary, traditional econometrics theory usually cannot generate an objective and accurate result. Therefore, first of all, this part is going to test stationarity of variables of higher education scale and economy and then, after confirming the same cointegration orders of variables, is going to conduct Johansen cointegration for a long-term cointegration relation between variables. Eviews5.0 is selected as Quantitative analysis software.

2.3.1 Unit root test of stationarity of variables of higher education scale and economy in China

First of all, we test stationarity of data and the standard method to check stationarity of sequences is unit root test. Usually adopted methods are DF (Dickey-Fuller) Test, ADF (Augmented Dickey-Fuller) Test and PP (Phillips-Perron) Test. In this article, we are going to use ADF Test to test stationarity of sequences, as is shown in Table 2.

Insert Table 2 Here

Note: critical values in the table all represent MacKinnon critical value of rejection unit root hypothesis.   stands for lagging first order difference. 5% critical value stands for 5% level of significance. The minimum value of AIC and SC is the norm of lagging order. DW stands for DW test value of self relevance sequence.

When the significance is 5%, original ADF value is above critical value, which indicates that a sequence is nonstationary. After the first order difference, ADF value of the log sequence *LNZS* of enrollment in higher education is below the 5% critical value, which indicates the sequence is stationary. Actual GDP-*LNPGDP* per capita is nonstationary, so Holt-Winters multiplication model in the exponential smoothing method is used to smooth it, and *LNPGDPM* sequence is generated, which, after test of its first order difference, is stationary. The results indicate that, the log sequence *LNZS* of enrollment in higher education and log sequence of actual GDP per capital after adjustment are both first order cointegration sequences, recorded as I(1) sequence. Although *LNZS* and *LNPGDPM* are not stationary sequences, and we cannot use traditional econometrics for analysis, their cointegration orders are similar. Thus, modern cointegration analysis can be used to establish VECM.

2.3.2 Cointegration test

Cointegration test is mainly used to analyze whether a long-term equilibrium relationship exists between variables. In 1987, conintegration theory and method by Engle and Granger offers an approach to modeling of nonstationary sequence. According to cointegration theory, if cointegration relation exists between two sequences with same cointegration orders, then a long-term stationary relation exists between these two variables, which can further effectively avoid the issue of spurious regression. Cointegration test is mainly used to analyze whether a long-term equilibrium relationship exists between variables. In order to study the long-term equilibrium relation between the two variables of enrollment in higher education and actual GDP per capita, we adopt the internationally recognized maximum likelihood method with multivariate model (Johansen, 1988, Johansen and Juselius, 1990, 1992). The test results are shown as in Table 3.

Insert Table 3 Here

Note: the significance level is 5%, those equations present the sequences with no definite trend, and the equations have an intercept.

When the significance level is 5%, the trace tests and the max-eigenvalue test both prove that there is only one cointegration equation. Just for analysis, here we choose a cointegration equation as follows:

$$LNZS=1.087185LNPGDPM\text{-}0.763931 \tag{1}$$

Cointegration test results indicate that, changes of higher education scale and economic growth present a highly positive relation. That is, whenever actual GDP per capita increases one percentage point, enrollment of higher education also increases one percentage point correspondingly.

2.4 Vector Error Correction Model

According to Granger theorem, for a group of variables with cointegration relation, there necessarily exist a expressing form of an error correction model. As has been mentioned above, cointegration relation exists among all variables, on the basis of which VECM is established to observe long-term and short-term relationship among all variables. Equation 1 has already given the long-term equilibrium relation between the log sequences of the two variables of enrollment in higher education and GDP per capita, whereas VECM can give the correction term that reflects influences of deviation of relation between variables from long-term equilibrium upon short-term changes. Equation (2) and (3) respectively give VECM of the two variables of higher education scale and economy.

$$D(LNZS) = -0.06991996284(\ LNZS(\text{-}1) - 1.087184932LNGDPSM(\text{-}1) + 0.7639306025\ ) -$$

$$0.03253230055D(LNZS(\text{-}1)) - 0.8754251516D(LNGDPSM(\text{-}1)) \tag{2}$$

D(*LNGDPSM*)=-0.01083898386*(*LNZS*(-1)-1.087184932*LNGDPSM*(-1)+ 0.7639306025) +
0.2562374663D(*LNZS*(-1)) + 0.4651152253D(*LNGDPSM*(-1))   (3)

Statistic test result of the model is shown in Table 4.

Insert Table 4 Here

Granger Causality Test of VECM is shown as in Table 5:

Insert Table 5 Here

Results of Granger Causality Test indicate that, VECM of enrollment in higher education and that of actual GDP per capita both have passed Granger Causality Test, which indicates that the fitting effects are both perfect.

Analysis of Equation (2) can tell us that, short-term fluctuation of the log sequence *LNZS* of enrollment in higher education is caused by two parts, one being direct influence of all difference items of *LNZS* and *LNPGDP* on short-term fluctuation of *LNZS*, and the other being adjustment of long-term equilibrium relation. In Equation (2) error correction coefficient is -0.06991996284, with a negative direction, indicating that when deviating from long-term equilibrium, error correction item has an opposite adjustment effect and the deviation degree is reduced. Thus, the change goes towards stationarity. However, since the value is small and convergence mechanism of deviating from long-term equilibrium plays a rather limited role. When fluctuation of enrollment deviates from long-term equilibrium, its own system can pull the nonequilibrium state back to equilibrium state only with an adjustive force of 0.09.

2.5 Impulse response

The fundamental idea of impulse response function is to analyze impact of unit standard deviation in a random disturbance term upon the current value and future value of various endogenous variables. Here we apply the method of generalized impulse response, and attribute respectively the two variables a positive impact with a unit size. Then, we get the generalized impulse response function between enrollment in higher education and GDP per capita under the model of VECM, as is shown in Figure 1:

Insert Figure 1 Here

In figure 1, abscissa axis stands for lagging period of time (Unit: Year) of the impact effect, and ordinate axis stands for response to the impact.

(1) As for unit positive impact of enrollment in higher education, the sequence LNZS is positively affected in the short time, but the influence will go down gradually, whereas actual GDP per capital is negatively affected in the short term, but the influence will also fall off and exhibits a positive trend in middle and later periods (13 years later). Afterwards, the influence on economy will be enlarged gradually, which proves that education has a serious lagging effect on economy;

(2) As for unit positive impact of actual GDP per capita, the sequence *LNZS* is positively affected in the short term, but the influence will gradually diminish, and will turn into negative influence after 15 years, whereas actual GDP per capita is positively affected by itself constantly.

3. Conclusion

This article applies some methods to analyze the mechanism of dynamic interaction between the enrollment in higher education and actual GDP per capita, the methods include cointegration test, VECM, Granger causality test, impulse response analysis and variance decomposition, with the following major discoveries:

(1) A long-term cointegration relation is found between variables of enrollment in higher education and actual GDP per capita of economic, which indicates that a long-term steady relationship exists between these two variables. With growth of the economy, scale of higher education exhibits an ascending trend;

(2) The model of VECM indicates that self-adjustment ability of the system is rather weak;

(3) The impulse response function proves that education has serious lagging effect on economy.

Growth of economy will necessarily call for more knowledge-based professionals, which will promote the development of higher education scale. However, in the long run, continual expansion of higher education scale will inevitably lead to the decreacing of the efficiency of resource investment, diminishing marginal utility and even lead to negative value, so expansion of higher education should not be practiced blindly.

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Table 1. Correlation matrix of the variables of higher education scale and economy

	LNZS	*LNPGDP*
LNZS	1.000000	0.9559258097
LNPGDP	0.9559258097	1.000000

Table 2. Unit root test result of time series of relevant variables after being taken the logarithm

Variables	ADF value	5% critical value	D-W	Stationary or not
LNZS	0.252500	-2.948404	0.9722	No
LNZS	-5.076194	-2.951125	0.0002	Yes
LNPGDP	-0.013712	-2.960411	0.9502	No
LNPGDP	-2.927301	-2.924021	0.0529	No
LNPGDPM	0.531642	-2.951125	0.9854	No
LNPGDPM	-2.962517	-2.960411	0.0498	Yes

Table 3. Cointegration test result of variables of higher education scale and economy

LNZS	*LNPGDP*	*c*
1.000000	-1.087185	0.763931
standard deviation	0.22405	1.62758

Table 4. Statistic test result of the model

	D(LNZS)	*D(LNPGDPM)*
R^2	0.383018	0.204323
Correction R^2	0.343212	0.152989
Square Sum of Residuals	0.443705	0.280132
Standard error	0.119637	0.095061
F statistic	9.622271	3.980296
Log Likelihood	25.51834	33.33660
AIC	-1.324608	-1.784506
SC	-1.189929	-1.649827

Table 5. Granger causality test of VECM

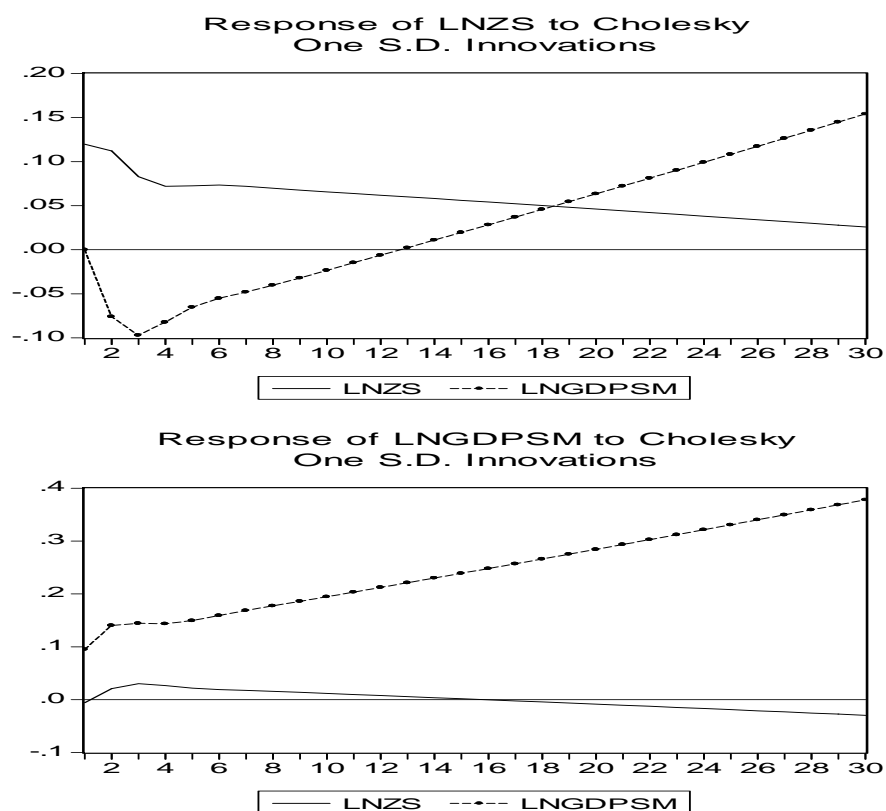| dependent variable	independent variable	Chi-sq	df	Prob.
D(LNZS)	D(LNPGDPM)	16.90109	1	0.0000
D(LNPGDPM)	D(LNZS)	5.124243	1	0.0000

Figure 1. Generalized impulse response function of LNZS and LNPGDPM

Organizational Contexts, Team Designs and Process Variables

as Factors Influencing Team Effectiveness

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Abstract

Much has been said and written about the importance of teams to the success of the organizations and emphasis has been given to the benefits of team-building activities to achieving both team and organizational effectiveness. A lot of research describes attempts to move beyond team building and to link organizational development to team effectiveness in a coherent way. There is vast literature which addresses the topic on team effectiveness. The purpose of this paper is to investigate the team effectiveness factors which focus on the organizational contexts, team design and process variables, within a manufacturing company involved in cement industry. The result indicates that these three independent variables are major contributors to the team effectiveness.

Keywords: Influence factors, Organizational contexts, Team designs, Process variables, Team effectiveness

1. Introduction

The word "team" can be defined as a reasonably small group of people, who bring to the table a set of complementary and appropriate skills, and who hold themselves mutually accountable for achieving a clear and identifiable set of goals (Hick, 1999). In many organizations, employees who are organized into progressively larger groups of teams and departments work together toward the achievement of organizational goals and objectives. There are several types of teams, for instance functional teams, cross-functional teams, problem solving teams, self-managed work teams and so on but the concept is still the same even though they might be differences in terms of its types.

A team is said to be effective if the measured output is meet or beyond expectations. However, producing quality output is not enough to judge the effectiveness of the team. There are also other criteria to be considered such as the team

should still be able to position effectively after it has accomplished its task, the team should not be torn apart by dissension after the team has been disbanded and the team members should have an enhanced working relationship that benefits the organization. Finally, effectiveness is measured by whether the teams experience satisfaction in performing their roles and if the team members are satisfied with their efforts, then the experience has been a worthy and the team has likely been effective.

Most of the top management of any company continuously encourage employees at all levels to work in teams and nurture the culture of working teams by using work teams as the basic unit of organization. Hence problem solving teams are used to improve the way the organization performs, and management teams are used to develop strategies and drive the changes. Teams can have their shady side and sometimes could be ineffective and highly dysfunctional. Theoretically, forming a team is much easier than ensuring it runs effectively with good coordination and solid cooperation implemented by team members as each employee has a unique personality and a different point of view. It is not easy to come out with a consensus in decision making. Consequently, bad decisions-making will lead to conflict among the team members. Since teamwork is viewed as an important aspect of organizational success, it is practically important to determine ways to enhance team effectiveness.

Thus, this study is carried out to investigate the link between team effectiveness and the three imperative factors such as organizational contexts, team design and processes, within the manufacturing company involved in cement industries in the Northern Region of Peninsular Malaysia.

To be specific, this research attempts to give academic insight into the link between team effectiveness and the three aspects; organizational contexts, team design and processes variables and will attempt to underline the importance thereof with current results. The problem that is investigated therefore revolves around the specific factors to be considered in creating team effectiveness in an organization. Therefore, the research questions of this study are:

Do organizational contexts affect team effectiveness?

Do team designs affect team effectiveness?

Do process variables affect team effectiveness?

2. Literature review

2.1 Previous studies on the relationship of team effectiveness, organizational contexts, team designs and process variables

There is vast literature which addresses the definition on the team effectiveness. For example, Shane and Glinow (2002) defined team effectiveness as the extent to which a team achieves its objectives, achieves the needs and objectives of its members and sustains itself over time. A team is effective when all members are satisfied with the system and able to maintain the commitment of its members, particularly during the turbulence of the team's development. Without this commitment, people leave and the team will fall apart. In this study, the researchers adopt the definition of team effectiveness as defined by Shane and Glinow (2002).

To measure the effectiveness of a team, this study considers three variables such as organizational contexts, team design and process variables.

The organizational context that surrounds a team has been identified by researchers as an important consideration in the study of work team effectiveness. Shane and Glinow (2002) have presented a model of team effectiveness by looking at organizational and team environment factors that include reward systems, communication systems, physical space, organizational environment, organizational structure and organizational leadership. However, according to Robbins (2005), the four organizational contexts that appear to be most significantly related to team performance are the presence of adequate resources, effective leadership, a climate of trust and a performance evaluation and reward system that reflect team contributions. Doolen, Hacker and Aken (2003) in their study entitled "The Impact of Organizational Context on Work Team Effectiveness: A Study of Production Team" was explores the relationships between nine organizational context variables, team processes, and three measures of team effectiveness. Organizational systems that provide teams with the necessary information were found to have a significant and positive linear relationship with both team leader ratings of effectiveness and team member satisfaction.

Besides organizational contexts, team design is also one of the variables considered in this study. According to Robbins (2005) effective teams need to work together and take collective responsibility to complete significant tasks. They must be more than a "team in name only." The work design category includes variables like freedom and autonomy, the opportunity to use different skills and talents (skill variety), the ability to complete a whole and identifiable task or product (task identity), and working on a task or project that has a substantial impact on others (task significance). Evidence indicates that these characteristics enhance member motivation and increase team effectiveness. Shane and Glinow (2002) stated that split team designs into two factors which are team composition and work design. The elements of team composition include abilities of members, personality, allocating roles, diversity, and size of teams,

member flexibility and member preferences. The elements of work designs are autonomy, skill variety, task identity and task significance. Higgs, Plewnia and Ploch (2005) found in their study titled "Influence of Team Composition and Task Complexity on Team Performance" that there is a clear relationship between team composition (diversity), complexity of task and team performance. The design of their study is based on team diversity which was operational using the Belbin Team Role model. Diversity was found to be positively related to performance for complex tasks and negatively related for straightforward tasks.

The final category related to team effectiveness is process variable. According to Robbins (2005), these process variables include member commitment to a common purpose, establishment of specific team goals, team efficacy, and a managed level of conflict and minimized social loafing. Shane and Glinow (2002) found that elements of team process are team development, team norms, team roles and team cohesiveness. Janetta and Lisa (2001) indicated that items in the categories team outcomes, team goals and team cohesion were ranked most critical to team effectiveness. However, Dreu and Weingart (2003) found in their study entitled "Task Versus Relationship Conflict, Team Performance, and Team Member Satisfaction: A Meta-Analysis, conflict has stronger negative relations with team performance in highly complex (decision making, project, mixed) than in less complex (production) tasks. Lastly, task conflict was less negatively related to team performance when task conflict and relationship conflict were weakly, rather than strongly, correlated. Their study provides a meta-analysis of research on the association between relationship conflict, task conflict, team performance, and team member satisfaction. Consistent with past theorizing, results revealed strong and negative correlations between relationship conflict, team performance, and team member satisfaction. In contrast to what has been suggested in both academic research and introductory textbooks, however, results also revealed strong and negative (instead of the predicted positive) correlations between task conflict, team performance, and team member satisfaction.

In the literature review, the researchers have listed definitions of these three concepts of organizational contexts, team design and process variables as given by various researchers. Therefore, for the purpose of this study, organizational contexts can be defined as factors that include reward systems, communication systems, physical space, organizational environment, organizational structure and organizational leadership (Shane and Glinow, 2002); team designs can be defined as the recognition of the opportunity to use different skills and talents, the ability to complete a whole and identifiable task or product, and working on a task or project that has a substantial impact on others (Robbins, 2005); and finally the process variables can be defined as incorporating member commitment to a common purpose, establishment of specific team goals, team efficacy, and a managed level of conflict and minimized social loafing (Robbins, 2005).

2.1.1 Research hypotheses

H_1: There is a significant relationship between organizational contexts and team effectiveness

H_2: There is a significant relationship between team designs and team effectiveness

H_3: There is a significant relationship between process variables and team effectiveness

3. Research methodology

This is a descriptive study undertaken to identify the factors that contribute to team effectiveness among employees at a manufacturing company involved in cement industry in Perlis. Information that researchers get from the study were concerned about the relationship between organizational contexts, team designs and process variables with the team effectiveness. Questionnaires were distributed to the respondents which were the employees from 13 departments. The questionnaire method was chosen because a large sample could be targeted. The questionnaire used five-point Likert Scale ranging from strongly agrees to strongly disagree to measure each variable. Each item in the variable was measured from a range of 1-representing extremely dissatisfied to 5-representing extremely satisfied. A set of questionnaire consists of five sections. Section A consists of personal background or demographic questions which are employee's general information such as gender, age, marital status, length of services, educational background and others. Section B touches on the first independent variable which is the organizational context. As for Section C, it focuses on the second variable which is the team design. Section D consists of the third variable which represents the process variable. The last section is section E that represents the dependent variable which is team effectiveness. The researchers used probability sampling techniques in which every member of the population was known. It was based on random selection by the researcher. This research involved sample of 220 employees. Therefore, the researchers intended to use 140 of all the employees from 13 departments, consists all levels of workers at the manufacturing company as a sample size. However, only 57 respondents completed the questionnaire given. The Statistical Package for Social Science (SPSS) version 13 for windows was used to analyze information gathered in organizing and analyzing the data. Descriptive analysis was used to obtain frequency distribution, mean, median, maximum and standard deviation. Cronbach's alpha coefficient was also obtained to indicate how well the items in a set are positively correlated to one another. Finally, the data was tested and analyzed using the Multiple Regression Analysis with hypothesis testing.

4. Results and discussion

The result of the study indicated that the highest respondents were males at the percentage of 63.20% represented by 36 respondents. The female respondents made up 36.80% which represented 21 respondents. Fourteen percent or 8 respondents from the total number of respondent represented the Electrical and Mechanical Departments; 12.30% or 7 respondents from the Finance and Human Resource Department; 5 respondents (8.80%) each from ICT and Purchasing Departments; Kiln, Material Handling and Cement Mill and Packing Plants Department 5.30% which was 3 respondents; and for the Corporate Communication; Safety and Health; Quarry and Engineering Services; and Internal Audit Departments represented 3.50% which was 2 respondents respectively. The respondent age mostly were below 29 years old (49.10%, 28 respondents); age 30 – 39 years old (29.80%, 17 respondents); age 40 – 49 (15.80%, 9 respondents) and above 50 years old (5.30%, 3 respondents), including 87.70% (50 respondents) Malay, 10.50% (6 respondents) Chinese; and 1.80% (1 respondent) Indian. 29 out of 57 respondents were single, followed by 27 respondents who were married. This represented 50.90% and 47.40% respectively. Only 1.80% represented 1 respondent who was divorced. 28 respondents (49.10%) had less than 3 years of serving and 19 respondents (33.30%) had serviced for more than 12 years. Most of the respondents (42.10%, 24 respondents) had High School Certificate qualification.

The Cronbach's Alpha testing on instrument reliability coefficient from 0.65 to 0.87 showed that the data collected are reliable because the value of Cronbach's Alpha for the independent variables (organizational contexts, team designs, and process variables) were above 0.60. It means the independent variables in this study were acceptable and all the items in a set were positively correlated to one another (Sekaran, 2000). As such the data collected does not shows any biasness and it is reliable for the follow up testing and the results are also expected to be reliable.

Table 1 presents the minimum, maximum, mean and standard deviation of the study variables – team effectiveness, organizational contexts, team designs and process variables. The number of cases in the dataset is recorded under the column labelled N. Information about the range of variables is given in the Minimum and Maximum columns. From the above table, the minimum number of respondents' answers for the dependent variable which is team effectiveness is 2.60. Some respondent felt that the team is not effective. As for the independent variables – organizational contexts, a minimum of 1.40 indicates that some of the respondents had strongly disagreed that the organizational contexts at the workplace may contribute to team effectiveness. A minimum of 3.60 for the independent variable – team designs indicates that the respondents were not sure regarding this variable but most chose "agree" with the way designing the team may affect the effectiveness of the team. The minimum of process variable is 2.60 which showed that some respondents had disagreed with the questions. Then, from the table, the researcher can conclude that the maximum of these 4 variables are 5.00 which are strongly agreed. The average answer is contained in the Mean column. The mean for the team effectiveness is 4.16, organizational contexts (3.98), team design (4.24) and process variable (3.98).

Variability can be assessed by examining the values in the Standard Deviation column. The Standard Deviation measures the amount of variability in the distribution of a variable. Thus, the more the individual data points differ from each other, the larger the standard deviation will be. Conversely, if there is a great deal of similarity between data points, the standard deviation will be quite small. The standard deviation describes how much the standard amount variables differ from the mean. The standard deviation for team effectiveness is .53, organizational contexts (.59), team design (.34) and process variable (.42).

4.1 Pearson correlation

The inferential statistic used to analyze the correlations between variables in this study. For this purpose, the Pearson Correlation was conducted to see how variables are related to one another and to indicate the direction, strength and significance of bivariate relationship of all the variables. Table 2 shows a correlation matrix with three numbers for each correlation. The correlation between team designs and team effectiveness in this study was ($r = .77$, $p < .01$) which represent strong relationship. The team designs shows the strongest relationship followed by process variables ($r = .75$, $p < .01$) and organizational contexts ($r = .68$, $p < .01$). From the table, the researcher can conclude that all the three independent variables are predicted to be significantly positively correlated to team effectiveness. The team effectiveness is high if organizational contexts, team designs and process variables are high.

4.2 Hypotheses testing

Table 3 shows the result from the regression analysis in the SPSS. The value indicates that 74.7% of the variance in team effectiveness can be predicted from the variables of organizational contexts, team designs and process variables. The adjusted R-square attempts to yield a more honest value to estimate the R-squared for the population. The value of R-square was .747, while the value of Adjusted R-square was .73. Based on Table 5.3, all the three independent variables; organizational contexts ($\beta = .30$, $p < .001$), team designs ($\beta = .69$, $p < .001$) and process variables ($\beta = .33$, $p < .01$) are significant and positively related to team effectiveness. Hence, H_1, H_2 and H_3 are all supported.

The overall findings showed that there are relationship between organizational contexts, team designs and process

variables with team effectiveness among employees at a manufacturing company involved cement industries in the Northern Region of Peninsular Malaysia. After analyzing of these three factors that influence team effectiveness, this study revealed that all three independent variables may increase team effectiveness.

Thus, from the aspect of organizational contexts in this manufacturing organization, the teams are part of the larger organization system. All teams rely on resources inside and outside the group to sustain it and a scarcity of resources directly reduce the ability of the team to perform its job effectively. One of the most important characteristics of an effective team is the support it receives from the organization. This support includes timely information, proper equipment, adequate staffing, encouragement and administrative assistance. A team must receive the necessary support from management and the larger organization if it is going to succeed in achieving its goals. Besides, team members must agree on who is to do what and ensure that all members contribute equally in sharing the workload. In addition, the team needs to determine how schedules will be set, what skills need to be developed, how the group will resolve conflicts and how the group will make and modify decisions; and agreeing on the specifics of work and how they fit together to integrate individual skills require team leadership and structure. Furthermore, members of effective teams should trust each other, and they also exhibit trust in their leaders. Interpersonal trust among team members facilitates cooperation, reduces the need to monitor each others' behavior, and bonds members around the belief that others on the team won't take advantage of them. Team members, for instance, are more likely to take risks and expose vulnerabilities when they believe they can trust others on their team.

From the aspect of team designs, for this manufacturing company, heterogeneous teams are more likely to have diverse abilities and information. While diverse teams may have more conflicts, they still tend to outperform homogeneous teams. When teams have exceeded 10 members, cohesiveness and mutual accountability declines, social loafing increases, and more people do less talking compared with others. So, in designing effective teams, managers should try to keep them to fewer than 10.

Finally, for the process variables factor, effective teams have a common and meaningful purpose that provides direction, momentum and commitment for members. These specific goals facilitate clear communication and help teams maintain their focus on getting results. Members of successful teams put a tremendous amount of time and effort into discussing, shaping and agreeing on a purpose that belongs to them both collectively and individually. In addition, managers should consider providing training to improve members' technical and interpersonal skills. The greater the abilities of team members, the greater the likelihood that the team will develop confidence and the capability to deliver their abilities based on the confidence.

5. Conclusion

The findings of this study revealed that all three independent variables (organizational contexts, team designs and process variables) may increase team effectiveness at a manufacturing organization.

This study contributes to the existing literature in several ways. First, this study extends beyond previous research by investigating the effects of organizational contexts, team designs and process variables. This study will benefit the manufacturing company by providing them a better understanding on the factors that contribute to team effectiveness among its employees. The second contribution of the study is that, the use of various factors of the predictors will permit identification of which types of predictors affect highly the team effectiveness also provide practical value for managers in formulating effective teams. A further contribution of this study is that this study will also contribute to current literature on the team effectiveness. Thus, enrich the present knowledge and understanding on the building of an effective team.

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Table 1. The descriptive statistics

Variables	N	Min	Max	Mean	Standard Deviation
Team effectiveness	57	2.60	5.00	4.16	.53
Organizational Contexts	57	1.40	5.00	3.98	.59
Team Designs	57	3.60	5.00	4.24	.34
Process Variables	57	2.60	5.00	3.98	.42

Table 2. Pearson correlation

		Total score dv	Total score iv1	Total score iv2	Total score iv3
Total score dv	Pearson Correlation	1			
	Sig. (2-tailed)				
	N	57			
Total score iv1	Pearson Correlation	.68**	1		
	Sig. (2-tailed)	.00			
	N	57	57		
Total score iv2	Pearson Correlation	.77**	.46**	1	
	Sig. (2-tailed)	.00	.00		
	N	57	57	57	
Total score iv3	Pearson Correlation	.75**	.58**	.70**	1
	Sig. (2-tailed)	.00	.00	.00	
	N	57	57	57	57

Table 3. Multiple regressions analysis

Independent Variables, iv	Standardized β Coefficients	Sig.
(Constant)	-1.23	
Organizational Contexts	.30	.00
Team Designs	.69	.00
Process Variables	.33	.02

Dependent variable: Team Effectiveness
N = 57
R Square = .747
Adjusted R Square = .733
F Value = 52.153**

Primary Investigation into

Management Ethical Thoughts by Lao Tzu

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Abstract

Thoughts of Lao Tzu contain a great variety of management ethical thoughts. The leadership codes of ethics of "kindness, thrift and not being the trailblazer" and the "ethical management mode of "governing by doing nothing that is against nature" inspire contemporary managers to lay importance on ethical management, soft management and green management.

Keywords: Lao Tzu, Management ethics, Ethical management

In western countries, since 1960s, especially since the period after 1980s, integration of two originally irrelevant fields---management and ethics has become more and more obvious, which has a profound and great effect upon management thoughts. Some scholars even describe the phenomenon as "a revolution in management thoughts". (Note 1) In the past few years, the Chinese former President Jiang Zemin pointed out that, we should not only govern the country according to law, but should run the country with morality. In the process of implementation of running the country with morality, we should derive nutrition from our own culture.

In Chinese traditional culture, doctrines of Lao Tzu have received extreme favor from contemporary human being. In 1987, the American President Reagan quoted one sentence in <<Tao Te Ching>> by Lao Tzu in his State of the Union Address, that is, "ruling a great nation just like cooking a small delicacy", which has become a philosophical maxim by some Americans. (Note 2) Some people regard doctrine of Lao Tzu as "kingcraft and philosophy of politics". However, from a current perspective, it actually contains a great variety of management thoughts.

Lao Tzu has said "There are four supreme elements in the universe and human being is one" (Chapter 25). Management thoughts of Lao Tzu involve relationship between human being and the nature and relationship between human beings, and this article is going to make initial discussion on them.

1.

Lao Tzu has said "only when the great nature is abandoned, is it necessary to advocate humaneness and righteousness" (Chapter 18) and "'etiquette' is the outcome of insufficient faith and the beginning of disastrous disorder" (Chapter 38). However, Lao Tzu was not an ethical nihilist, and he just sighed with a cynical emotion about the fact that some people pursued moral reclame but ignored its essence and even strived for personal interest in the guise of morality. As a matter of fact, Lao Tzu paid great attention to ethical culture of managers, and he advocated cultivating the morality and executing rule of virtue. He said, "Beautiful words can win others' respect and polite behavior can receive others' attention" (Chapter 62) and "The nature has no preference to any one and always helps those honest well-doers" (Chapter 79). If managers are on the straight, it is natural they win others' respect and support. "To put the principle onto oneself, one's virtue will be actual and pure; to put the principle onto one's family, his virtue will be plentiful and superabundant; to put the principle onto one's town, his virtue will be respected; to put the principle upon one's country, his virtue will be enormous; to put the principle onto the world, his virtue will become popular without limit" (Chapter 54). Managers should cultivate themselves with morality, keep their family in order with morality, govern their countries with morality and bring peace to the world with morality.

Lao Tzu put forward three most important ethical codes of management --- "The first code is kindness, the second is thrift and the third code is not being the trailblazer" (Chapter 67).

The so-called "kindness" refers to generosity. According to Lao Tzu, "lofty morality akins to a ravine" (Chapter 41),

that is, like a ravine which is tolerant and munificent. "Those who are aware of the nature are all embracive, which in turn means frankness and fairness; fairness means comprehensiveness, which in turn corresponds with 'Tao' in the nature, and then one can last for long" (Chapter 16). That is, if managers have a big heart, are open-minded and magnanimous, then they can remain invincible. Specifically speaking, first of all, managers should be good at holding together and relying on their subordinates. They should recruit more capable personnel, have sufficient trust in them, show concern with them and respect them, just as "The Big Sea is where all rivers converge because it always lies at a low position" (Chapter 66). Then, managers should tolerate others' advantages, and also their disadvantages. In other words, as managers, they should not only have the disposition to appreciate others' talents and allow others to surpass themselves, but should also forgive others' faults. Finally, managers should "treat well those kind and unkind" (Chapter 49). Even for those who are in conflict with themselves or those who have serious problems, they should also "render good for evil" (Chapter 63).

The so-called "thrift" refers to austerity. Lao Tzu said, "gay colors may make one dazzled; noisy tone may cause hearing loss; wonderful meal may confuse one's taste' racing and hunting may madden one's mind; rare articles may make one behave against the law" (Chapter 12). "Great wealth cannot be stored; if riches are overbearing, then they sow seeds of future trouble" (Chapter 9). "Excessive pursuit of fame and gain implies more cost; excessive accumulation of wealth causes more disastrous damage". Lao Tzu inspired people to ponder with heart, "reputation and life --- which one is more intimate? life and interest --- which one is more precious? gain and loss --- which one is more harmful?" He reminded further, "learn to be satisfied, then one will not feel humiliated; learn not to overdo things, then one will not be encountered with danger" (Chapter 44). "The biggest disaster is insatiability, and the biggest fault is greedy desire. Those who know when to be satisfied are always satisfied" (Chapter 46). When dealing with relations between fame and life, between fame and dignity, one should learn to be satisfied, and then one can settle down and get on with his pursuit. On the contrary, if managers are greedy and luxury and gather possessions by hook, then they will bring pain and disaster to themselves, and even invite self-destruction. Therefore, managers should "eliminate the extreme, luxury and excessive attitude" (Chapter 29), and "maintain a pure and earthy nature and get rid of the selfish desire" (Chapter 19). To pursue satisfaction of one's desire is normal, but desire should be restricted, and, what's more, managers should not pursue ill-gotten wealth.

The so-called "not being the trailblazer" means holding oneself aloof from worldly success. According to Lao Tzu, "a Saint usually has no thought of self" (Chapter 49), and "if a Saint intends to lead his people, then he must show his modesty to his people with words and puts his own interest behind them. Thus, although a Saint who has "Tao" occupies a higher status, his people don't feel heavily burdened; although he walks before his people, his people don't feel hurt" (Chapter 66). As a manager, one should always consider for others and put interest of common people at the first place. Furthermore, he should learn the spirit of water, that is, "moistening the world but not glomming on to it, nurturing the world but not being meritorious and leading the world but not dominating it" (Chapter 51). Although water makes everything, it "withdraws after success" (Chapter 9), and it would rather play a nameless role than strive for fame and gain. Lao Tzu also pointed out, "a Saint who has "Tao" is upright but not incondite, is angular but not harmful, is straightforward but not licentious, and is luculent but not dazzling" (Chapter 58). Thus, managers should not seek to prevail over others and should not even be arrogant and domineering. "When one has all, it is right time to stop; if one doesn't hide his light, then his advantages will not last long" (Chapter 9). When we conduct ourselves in the society, we should leave some leeway. Otherwise, we may hurt ourselves. As a manager, one should "hide his light, eliminate dispute, restrict his brilliance and mix himself into the earthliness" (Chapter 56), that is, to be one with the masses.

Actually, from the point of view of Lao Tzu, "no fight" is the embodiment of his thoughts of "weakness excelling power and mercy excelling force" (Chapter 78). The reason for Lao Tzu believing "as good as water" is not only that "water moistening the world but not contesting with it, and it suspends where the masses don't like to go, so it is more close to "Tao" (Chapter 8), but also that "there is nothing more fragile than water, but there is also nothing more capable than water in assaulting fortification" (Chapter 78). Thereout, water doesn't contest with the world, so there is nothing that can contest with it. In ancient times, it is said, "stooping to compromise" (Chapter 22). If a manager is charitable and doesn't seek fame and wealth, then he can free from complicated interpersonal disputes, establish a harmonious interpersonal relationship, and mould a positive personal image, which will leave more time and energy to put into his career and will gain trust and support from others. At the same time, that is helpful to create a healthy working atmosphere and to motivate enthusiasm in his subordinates. Of course, holding aloof from worldly success doesn't equal to confusing truth and falsehood, making no attempt and being content to be below others, but is finally for career development of the individual and his organization.

In addition to the above three virtues, Lao Tzu also put forward other moral standards. Such as:

1). Integrity. Lao Tzu said, "One should be honest, friendly and unselfish to others and his worlds should make the best of a bad bargain" (Chapter 8), "those who make easily a promise will seldom realize it" (Chapter 63), and "honest

words are not beautiful and beautiful words are not honest" (Chapter 81). A manager should be honest to others. Otherwise, he will lose trust and respect from others.

2). Modesty. Lao Tzu said, "a wise man never has many words, but one with many words is not a wise man" (Chapter 56), "One who knows what he doesn't know is wise. One who pretends to know what he doesn't know in his own conceit is quite awful" (Chapter 71), and "a real egghead never shows off, but one who often shows off never knows a lot" (Chapter 81). One should not indulge in exaggerations, let alone claiming to know what he doesn't know. "One who regards himself as infallible never gets prominent; one who aggrandizes himself never achieves success; one who is egotistic can never be the best" (Chapter 24). As a manager, one shouldn't aggrandize himself, be fond of the limelight, and regard himself as infallible.

3). Pragmatic. There are two widely spread sayings by Lao Tzu, "when dealing with a problem, one should start from what is the easiest, and when preparing to realize a farseeing target, one should start from what is the subtlest. Hence, a Saint who has "Tao" never seeks after great contributions, so he can accomplish a great event" (Chapter 63). "A jointly held tree comes from exiguous sprout; a hathpace of nine layers comes from a pile of clay; a journey of a thousand miles begins with a single step". "When a matter comes to its end, it should be just as cautious as when it is started, and then nothing is impossible" (Chapter 64). A manager should be earnest and down-to-earth, begin well and end well, and shouldn't boil the ocean or have high aspirations but low abilities.

2.

Lao Tzu advocated "to govern a country by inaction and quietness" (Chapter 57). Then, what is "fairness"? According to Lao Tzu, "only quietness and inaction can govern a country" (Chapter 45), and "to govern a country by inaction and quietness" means "governing a country without disturbing its people" (Chapter 57), that is, "governing by non-interference". Lao Tzu classified operation into four levels, namely, "the best ruler is one whose existence are not known; the secondary ruler is one who is close to people and who is commended; a then inferior ruler is one who is feared; a worst ruler is one who is disdained" (Chapter 17). "Governing by non-inference" is the highest ideal for operation. Referring to words of Saints (here Saints from the perspective of Lao Tzu are the best managers), Lao Tzu described for us an ideal prospect in his eye, that is, "inaction, then people can educate themselves; quietness, then people are rich naturally; unselfishness, then people are unsophisticated naturally" (Chapter 57). Once it is successful, the ordinary people say, "we are supposed to be successful" (Chapter 17).

Governing by non-interference is the most characteristic and fantastic part of Lao Tzu's management thoughts. It has brought quite profound impacts on later generations, and quite lots of managers at all times and in all lands have been committed to mastering and applying it. The principal of American Bell laboratory, Dr. Chen Yiyao ascribed success to the thought of governing by non-interference. A banner of "Governing by non-interference" is put up on the wall of his office. He further explained, "the responsibility of a leader is not only to lead, but to make people feel that you are not intervening them". (Note 3) The requirements for thoughts of governing by non-interference are as follows:

2.1 To let nature take its course

To let nature take its course is the core of governing by non-interference. Lao Tzu said, "people follow the law of the earth, which follows the law of the heaven, which in turn follows the law of 'Tao', whereas Tao exactly follows the example of the nature" (Chapter 25). The so-called nature here refers to the objective law. Lao Tzu pointed out, "to be aware of the natural law is called intelligence, whereas a flighty behavior that is not aware of the natural law tends to cause disorder and disaster" (Chapter 16). That is to say, if a manager doesn't follow the law, and regards himself as infallible, then it is necessary that he will produce exactly the opposite results and gets punished by the law.

2.2 Management mode should be magnanimous.

Lao Tzu said, "if a politics is transparent, then its people are unsophisticated and loyal; if a politics is trenchant and tenebrous, then its people are crafty and querulous" (Chapter 58). That is to say, if a manger is large-minded, then his people are pure and honest; if a manager is too harsh and strict, then his people may become craft. Lao Tzu also said, "the more an ordinance is stern, the more cracksmen" (Chapter 57). If an ordinance is too harsh, then on the contrary, the bandits will give a lot of trouble.

2.3 A leader should know how to judge and use people.

Lao Tzu had a splendiferous metaphor, "ruling a great nation just like cooking a small delicacy" (Chapter 60). If a small fish is frequently churned when cooked, then its meat will become shreds; if a government order is too cockamamie and the government wades in everything, then effects of the subordinates may have a greatly reduced quality. Lao Tzu believed that, "no issue of government order and no disturb of the people corresponds to the nature" (Chapter 23), and "too many government orders may make people perplex, which won't work" (Chapter 5). To press the least is to manage the best, and to press too hard is to become more passive. Therefore, "a primordial object of austere can be made into a waref. A man with Tao who follows truth and plainness is the head of a hundred of rulers. Thus, a perfect

politics is not indiscerptible" (Chapter 28). That is to say, a leader should take into consideration the overall situation, be aware of the direction, and let his subordinates deal with specific affairs, but should not be entangled in minor details.

To know how to judge and use people. Firstly, "a Saint who has Tao not only knows his distance, but also doesn't show off" (Chapter 72). A leader should not regard himself as infallible, but should have a level-headed recognition and correct appraisal to himself. He should be able to look in the eye all his disadvantages, and then he can unify and rely on others in his work. Secondly, "a Saint usually rescues its people, so there are no people discarded; he usually makes the best use of things, so there is nothing discarded. This is the so-called intelligence and wisdom hidden internally" (Chapter 27). A leader should come to realize that, just as he is not perfect himself, others can also not be perfect in every way. The key to employing a person is to maximize his favourable factors and to minimize his unfavourable factors. Thirdly, "those who are good at employing people are modest to others. This is a morality not to struggle with others, this is the ability to employ others and this corresponds with the nature" (Chapter 68). It is a responsibility for managers to provide a stage for members of an organization to display their ability and to create a good working environment for them. Only when a manager is courteous to the wise and condescending to the scholarly, and doesn't pay too much attention to gain and loss, then can he sufficiently tap his potential.

What should be pointed out here, "inaction" by Lao Tzu isn't similar to what some people understand, that is, to be negative and passive and to do nothing. He once said, "to behave according to the nature, then the world will be tranquil" (Chapter 3), "if one can achieve the state of inaction, then everything is possible" (Chapter 48), and "a Saint does nothing, so he won't bring about anything" (Chapter 64), etc. As a matter of fact, according to Lao Tzu, "inaction" is positive in two meanings. Firstly, "inaction" is a means, and "action" is a purpose. Secondly, to leave something undone and to leave something done.

3.

As for contemporary managers, what kind of enlightenments can they acquire from thoughts by Lao Tzu? In the author's point of view, there are primarily the following three aspects:

A manager should lay stress on moral management and social marketing. The so-called moral management means focusing on cultivating, developing and utilizing moral resources of an organization in management, and improving moral quality of a member so as to promote realization of the organization target. As for an enterprise, the core of implementing moral management is to handle well its relationship with stakeholders (such as consumers, competitors, and employees, etc), and to perform its moral responsibility. Any enterprise is an important component of the social organism. As an economic organization, pursuit of benefit maximization is totally rational, but meanwhile, the enterprise is a social organization, so it should also assume social responsibilities and consider social interests. Particularly, with development of market economy and progress of the society, the public pay more attention to moral image of an enterprise, and has more demands upon the enterprise, so influences of moral management on the long-term development of the enterprise becomes more prominent day by day. If an enterprise blindly considers its own interests, then it will finally be abandoned by its stakeholders and be eliminated by the market. The major means to implement moral management is to enhance moral level of an organization, and to model moral image of the organization by means of decision-making, leadership, stimulation and control, etc. Moral quality of a member directly determines moral management level of an organization. It is difficult to imagine that a team of members without correct moral recognition and belief, good moral ability and habit can perform its moral obligation. Furthermore, the current market competition is becoming more and more dependent on quality and image of an enterprise, among which moral quality and moral image is the most important. Therefore, an enterprise should build a team of members with high moral quality through persistent moral management and should win competitive advantages with moral advantages, which exactly corresponds with the thought of Lao Tzu, that is, "to gain victory without struggle" (Chapter 73), which is a thought of conquering the unyielding with the yielding.

The theoretical foundation of market marketing is the theory of limited sovereignty of consumers, whereas the theoretical foundation of social marketing is to expand consumers to relevant social public. In addition to legal restraint, desire and demand of part of customers may run counter to social morality and interests of other public. Satisfaction of their demand might go back on social morality and damage interests of other public. Meanwhile, that is more a harm than good to these customers and even has nothing good, while these demands can usually bring considerable benefits to an enterprise. Besides, even if demand of a customer is above criticism, when production and operation of an enterprise corresponds with legal regulations, it also directly or indirectly influences the ecological status, surrounding environment, social morality tendency or healthy growth of adolescents. Under such a circumstance, choice and decision of an enterprise can better reflect the basic guiding ideology that dominates its production and operation. Quite lots of enterprises give up commercial opportunities that are profitable but don't go against environmental protection and social civilization, and quite lots of enterprises take the initiative to develop products that are high in cost but are helpful to reduce pollution and to save natural resources. All these behaviors have exceeded the scope of customer demand and commercial opportunity in their general meanings, have taken into consideration interests of an enterprise,

its customers and the society, and have furthermore, reflected connotation of social marketing.

A manager should concentrate on "soft management", which is compared with hard management. The guiding ideology of hard management is the scientific management theory by Taylor, which stresses strict regulations and external supervision. The so-called soft management mainly refers to building perfect organizational atmosphere and establishing a harmonious interpersonal relation through cultivating common values so as to motivate people's enthusiasm. In management, strict regulation and supervision is extremely necessary, but after all, it cannot pay attention to all sides of a matter, and there is always a loophole for people to take advantage of, and what's more, it is difficult to adapt to contemporary complicated and changeable management environment which varies with each individual. Thus, it is difficult to stimulate and satisfy such high-level spiritual demands of self-esteem and self-realization. Too particular stress on hard management may seriously repress and bruise enthusiasm and creativeness of organizational members, and may cause the phenomenon of "Whenever there is a rule, there is a way to get around it", which will in turn result in retortion and tension of relations between leaders and employees. The principle of soft management is to understand, to care, to trust, to respect, to strengthen organizational cohesion and centripetal force, and to encourage organizational members to make all-out efforts to realize the target of the organization. As a manager, he should not only make the best use of legitimate power, and power of reward and punishment, but should perform his expert power, and especially the referent power, so they should influence and lead his employees with personal charm and should stimulate enthusiasm of his employees. In addition, a manager should learn to authorize and employ employees, and should try to create a relax environment for his subordinates to develop their intelligence and wisdom to a greatest extent. In a way, soft management is "to treat with the world from the perspective of inaction and to implement cultivation without words" (Chapter 2).

A manager should put "green management" into practice. Green management of an enterprise refers to an operational activity which integrates environmental protection into the entire process of its operation and management, and which combines environmental protection and enterprise development into one whole. At the time when human beings create unprecedented wealth, the ecological environment of the earth is damaged and becomes deteriorated day by day, which reduces life quality of human beings to a great extent and which poses a threat to their future survival. People come to realize that they should not be the dominator of the nature, but should realize a harmonious relation with the nature and also a sustainable development. In June 1992, United Nations Conference on Environment and Development passed <<Agenda 21>>, which symbolized that the world was gradually stepping into a "green era" that lays stress both on social economy and ecological environmental protection, such as green products, green technology, green tourism, green design and cleaner production, green marketing, green accounting and green auditing, etc. As a manager of an enterprise, he is duty-bound to assume heavy burden of environmental protection, including rational utilization of resources, reduction on consumption, control over pollution, following national law and policy on environmental protection, improvement of employees' consciousness of environmental protection, promotion of environmental protection technology, development of environmental protection industry, increase of investment in environmental protection, and participation and support in social public benefit activities, etc. Lao Tzu's thoughts of "harmony between man and nature", "The Tao [Way] follows nature" and "manifestation of plainness, embrace of simplicity" are helpful for us to carry out "green management".

"To control currently existing things with established 'Tao'" (Chapter 14). Thoughts of management ethics of Lao Tzu over two thousand years ago are precious wealth to managers nowadays. Of course, some thoughts contain negative factors, such as, his views of "inaction" and "non-struggle" are sometimes absolutized. Furthermore, thoughts of management ethics by Lao Tzu have great discrepancy from thoughts of management ethics in a contemporary meaning, and even have essential difference. Therefore, at the time when we borrow his thoughts, we should also pay attention to eliminating irrational factors and make a modernized conversion.

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The Integrative Nature of BE Teaching: Knowledge and Skills

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Abstract

With the great development of the international trade and communication after China's entry into the WTO, the demand for talents qualified in both English and business is increasing, so more universities or colleges have paid their attention to the fostering and cultivation of business talents. Starting with the status quo of the market need for BE (Business English) talents and the required knowledge and skills for them, this paper intends to explore effective BE teaching ways from the perspectives of teachers' qualifications, course designs, teaching models and teaching methodologies.

Keywords: Business English teaching, Knowledge, Skill

1. Introduction

With the speedup of globalization and opening up, business exchanges are carried out more frequently nowadays, which leads to an increasing demand for talents qualified in both English and business. As a new product of market, Business English has already gained academic endeavor and social recognition and has been taught as a major in many universities or colleges in China in the aim of meeting the need for BE talents over two decades(Zhang Wubao, 2008).

Business English is not only a highly integrated but also quite a strong application-oriented discipline, so it requires the students to be equipped with not only business-related know-how and foreign language knowledge, but also highly practical skills in proficiency and communication. However, the fact is that the development of BE teaching in universities has been far behind the economic development. Thus it is an urgent task for many universities to strengthen and improve the BE teaching to train more such talents able to do international business directly in English rather than via translators. Therefore, the essential nature of BE teaching is the integration of knowledge and skills.

This paper intends to explore effective BE teaching methods from the perspectives of market need, teachers' qualifications, course designs and teaching methodologies so as to improve the development of business English teaching.

2. The Market Niche of BE Talents

2.1 The status quo of market need for BE talents

Since China's entry into WTO, a number of multinational companies and foreign-funded enterprises, especially the top 500 international companies, have come into the Chinese market. Many of them, specialized in various fields like manufacture, trade, agriculture, infrastructure, finance, insurance, accounting, law, medicine, education, transportation and other industries, have achieved a sound development. With the success in multinational marketing goes on, their

needs for the International BE talents are increasing day after day. However, the fact is that many of the BE graduates lack of either the language and professional knowledge or the practical skills required in business activities. And the world consulting giant McKinsey believes that currently only 10% of the Chinese university students are in line with the requirements of multinational companies. Therefore, up to now, there still has been an increasing demand for the BE talents and a great market niche for BE professionals still exists.

2.2 Knowledge and skills required

To be a BE talent, not only the basic language and business knowledge but also certain managerial and other practical skills are required. As a language used in business environment, the conception of BE is expanding with the sustainable deepening of business interaction and integration. According to BE expert Nick Brieger from UK, BE teaching should include the English language knowledge, communication skills, expertise, management skills and cultural background. Apart from those requirements, some other skills are needed, such as presentation, team—working, motivation, negotiation, and computer skills, etc. Moreover, it is also necessary for BE students to master the basic knowledge on economics, management, law, statistics, marketing, financing, accounting, and so on. As a result, BE teaching should not only follow the laws of general pedagogy, psychology, linguistics (especially the applied linguistics), but also serve to meet the specific business needs, so it is different from General English (GE) teaching.

3. BE Teachers' Qualifications

Since there's great difference between GE teaching and BE teaching, which will require the BE teachers to be more qualified with both language and business knowledge and skills. However, nowadays most BE teachers in universities or colleges, who have got solid language knowledge and skills, used to be GE teachers or with GE backgrounds (Zhang Wubao, 2008), but most of them lack of business background knowledge or skills. Thus it is really an urgent task to train the BE teachers with both language knowledge and practical business skills. To be an excellent BE teacher, what qualifications are required on earth? Then let's have a look.

3.1 Recognition and Motivation

In the classes, a BE teacher should remind the students of the significance of motivation to be a successful manager and immediate oral recognition should be frequently given to the students to motivate them as well. Furthermore, the teachers are subject to teach the students various ways to motivate and encourage them to put this motivation skill into practice.

3.2 Suitable Learning Tasks and Goals

Learning tasks are seen as pivotal in the interaction between teachers and learners. They provide one of many routes through which teachers and learners show attitudes and beliefs about the learning process to each other, as well as providing a vehicle within which the learning takes place.

At the beginning of each lesson, the teacher should assign the explicit learning tasks to the students. Recent investigations illustrate the significance of explicit knowledge as well as explicit learning conditions in classroom task designing. As a result, consciousness—raising activities have grown up to be an important teaching choice in foreign language teaching. Also, the learning tasks should be graded according to their difficulty level.

Apart from the learning tasks, teachers should set suitable learning goals for their students as well. And these goals could be divided into long-term ones and short—term ones so that they will be achievable for them. Moreover these goals should be set neither too high nor too low. On the one hand, if the goals are set too high, the students will lose confidence in achieving them. On the other hand, if the goals are set too low, the students will throw their interest away owing to the easy fulfillment.

3.3 Career Design

To be a responsible BE teacher, he/she is subject to assist the students in their career development and give them necessary instructions, while for the students, they must be clear about their career orientations whether their interests are available to the market or not.

3.4 Effective Input

It is necessary to provide meaningful input which will engage learners in working with Business English at a level which is slightly above their competence.

Related to the notion of input is that of output. Swain (1985) has put forward the comprehensible output hypotheses to emphasize the role of learner output in promoting acquisition. We can borrow this idea to apply it to the BE teaching with some adjustment. Using all the language and business resources they have already acquired, learners will test hypotheses and refine their developing knowledge of the BE system by getting feedback from the teacher and from other learners in the class. Simultaneously, learners are obliged to cope with their lack of language and business knowledge by struggling to make themselves understood, by speaking slowly, repeating or clarifying their ideas through

paraphrasing. When a group of learners do this while talking together, it is called negotiation of meaning with the aim to make their output more comprehensible.

4. Learner—centered Course Design

4.1 Be clear about the students' needs

As a responsible teacher, before the course design, he/she should be clear about the students' needs or the designed courses will be invalid. During the 1970s, needs analysis procedures make their appearance in language planning related to the course design.

Richterich divides learning needs into two types: objective and subjective needs (Richterich, R., 1972). The former can be diagnosed by teachers on the basis of the analysis of personal data about learners along with information about their language proficiency and patterns of language use by means of questionnaires, interview, etc. The latter, however, include motivations, expectations, etc., which are difficult to get through a direct method. There is a tendency that objective needs are equal to specification of content and subjective needs are derived from the methodology. The dimensions themselves, however, are represented as a series of graduations rather than discrete categories.

4.2 The content of course design

Generally speaking, we can integrate the language and business knowledge and skills together, that is to say, to teach marketing, management and business know—how in English and select business—related materials for English teaching. More importantly, different teaching emphases should be selected according to different learning phases. At the beginning phase, the emphasis should be put to the integrative teaching of language and business knowledge. Then at the intermediate phase, the emphasis is subject to be turned to the teaching of language and various business--related skills. While moving to the advanced phase, the students should be given more chances to exercise their knowledge and skills in a business context, including the presentations, meetings, phoning, negotiating, email and report writing.

At the International Conference on Business English Studies 2008, Mr. Nick Brieger has proposed that the emerging trends of Business English is to focus on competence to bolt on to communication skills, reflecting changing global working patterns, thus the content of BE course design should often be adjusted to meet the changeable focuses and needs according to the economic development.

4.3 The assistance of multimedia technology

The application of CALL (computer assisted language learning) has provided for the English teaching with a new way of thinking.

Multimedia technology provides the learner with various ways of learning Business English from real—life situations. Learners are given multiple points of access to the same material and multiple potential paths through the material. For example, a business negotiation in English can be viewed at normal speed, as a native speaker would. It can be interrupted at any point with click of the mouse on a particular word or phrase. Learners can explore the material at their own level of proficiency, understanding and interest.

With the aid of computer, abundant teaching resources, ranging from business correspondence, advertisements, memos, minutes to the reports, recommendations, press release and business contracts in English, can be illustrated explicitly by means of powerpoint, which can assist the students to enhance their business knowledge and train their operational skills in a simulative environment so that their language and business knowledge and skills will be integrated much better gradually.

In a word, the advances in multimedia technology afford a type of learning that replicates non—pedagogical ways of acquiring knowledge and learning pursued in this way is exploratory and learner—driven, which are dramatically different from traditional textbook learning.

5. The necessity of teaching methodology

There is always an argument that without any knowledge of theories or principles of teaching, one might be able to teach a language based on his or her experience or intuitive sense of direction as well. However, teaching based only on personal experience and minimal practical skills will not go too far. Widdowson comments that "teachers tend to be referred as if they were factory workers to be provided with minimal practical skills and required to pick up on the job whatever extra expertise is necessary to keep the production line going." To reach standards of professionalism depends much on "a continual process of self-education through an evaluation of practice in reference to theory." (Widdowson, 1990)

One who knows a language well does not necessarily mean that he or she can teach that language well. We find that teaching and learning are bi-directionally interacting; teaching theory and teaching practice are mutually enhancing. On the one hand, experience, experimentation and observation in real-time teaching activities help to shape language teaching theories. On the other hand, these theories will in reverse act on instructional practice. Besides,

interdisciplinary knowledge (e.g. psychology, sociology, pedagogy, management science) assists in language teaching. (Liu Yumei, Xiao Su, 2007)

During the development of the FLT approaches, so many important methods and approaches have been proposed, like the grammar-translation method, the direct method, the audio-lingual approach, the silent way, the suggestopedia, the community language learning, the total physical response, the cognitive approach, the communicative approach, the task-based language teaching, the learner-centered education and the postmethod pedagogy, etc. And each approach or methodology has played an active role in different teaching contexts during different periods in the course of development.

Since there are so many methodologies for foreign language teaching, we can borrow and absorb those excellent ones which are beneficial to us as well. On our way of searching for teaching methodology for BE teaching. No matter what approach is, since students differ greatly, not just in age but also in mentality, an effective teacher should constantly revise, vary, and modify the approaches listed below on the basis of the performance of the learners and their reactions to instructional practice. A group of teachers holding similar beliefs about the approaches may each implement these principles in different ways. (Richards & Rodgers, 1986)

Among those ideas, the postmethod pedagogy is one of them. And it was first proposed by Canadian language education experts Stern (1983—1992). And some macro strategies of this pedagogy is of great value in both theory and practice to the BE teaching in China, that is, contextualizing linguistic input and integrating language skills, which are some strategies of the EFL (English as a Foreign Language) teaching methodology (Stern, H., 2003). In order to absorb those strategies into our BE teaching practice, some adjustments have to be made, i.e. to change the two strategies into contextualizing Business English input and integrating both language and business skills and then to apply them into our teaching practice in different teaching models. Apart from the two strategies, some other principles of this pedagogy are also quite useful for the BE teaching, that is, to stimulate students to explore further by intuition, to promote interactional exchange between teachers and students or among students, to encourage students to do self—study, to keep up with the development of society, and to enhance students' sense of culture, etc. And we can use several teaching models to practice those methodologies such as lecturing, presentation, discussion and group work, seminar, case study, and practice in simulated business context, etc.

6. Conclusion

Business English is not a kind of science, but a response to market needs. It will go where demand takes it. At present, great market niche for BE talents still exists or is even increasing. However, the fact is that the training of BE talents is far behind the market need, which will propose an urgent task for the universities or colleges to try their best to improve their BE teaching. Successful BE teaching relies on not only the teachers' qualifications and their course designs, but also the teaching models and methodologies. Both knowledge and skills are required for a BE talent, so the integrative nature of BE teaching is the knowledge and skills. In order to meet the market need for BE talents with profound language and business knowledge and skills, we still have a long way to go.

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Impact of Training on Earnings: Evidence from Pakistani Industries

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Abstract

Training and skills development play a vital role in individual's productive capacity and are integral part of Human Resource Development (HRD). This study aims to examine the role of training in determination of wages. By utilizing the cross-sectional data from Labor Force Survey 2005-06, results have shown that training is not significant in the determination of wages, which shows the poor quality of training in the overall economy. Results were obtained by Ordinary Least Square (OLS) technique. However, schooling and other demographic variables have expected signs and magnitudes. The recommendations of the study based on empirical findings are toward technical education and vocational training institutions; they should ideally have to devise their technical education and vocational training exactly according to the requirements of industry. Empirical results also emphasize to improve the quality of training.

Keywords: Wages, Investment in human capital, Training, Cross-section data, Industries, Developing country

1. Introduction

Training in general and skills development in particular, not only play a vital role in individual, organizational and overall national economic growth but are integral part of Human Resource Development (HRD). Empirical literature on the subject topic suggests that human capabilities can be improved through better education and training [Haq (2002)]. Education and training are indispensable instruments for improving labour mobility, adaptability and productivity, thus contributing to enhancing firms' competitiveness and redressing labour market imbalances [Cailods (1994)].

The demand for trained and technically educated human resource rises with every step towards industrialization and modernization of production units and work premises. The development of services sector, that invariably follows industrialization and modernization, requires mid-level human resource duly possessing entrepreneurial, secretarial and other skills. Over time these countries have invested heavily in both physical and human capital.

As with capital and skill, there are also complementarities between technology and skill. Technological changes have shifted demand toward higher skills in the labour force [World Bank (2002)]. The acceleration of technical change in recent decades has been complemented by greater numbers of workers with higher skill. New technologies are knowledge and skill intensive, and there is a need to train people to work accordingly.

The relationship between on-the-job training and wage growth has been the subjects of many researchers have sought to determine the validity of the predications of the theory of human capital. A well organized education system and a more educated labour force can act to attract globalize financial capital [O'Connor and Lunati (1999)]. The present study is primarily based on following hypothesis:

Hypothesis 1- Pakistani industries do not have significantly trained workers

Hypothesis 2- There is significant effect of training on wages in Pakistani industries.

Hypothesis 3- There is positive effect of the interaction terms on earnings (Gender*training, Location of enterprise*training, Schooling*training).

The organization of the study is now outlined: next section describes the historical background of the topic in the country. Section three through light on empirical evidence and leads toward data and methodology section. Conclusion and policy implication are followed by discussion on empirical results.

2. Historical Background

Pakistan inherited a weak Vocational Education and Training (VET) base at the time of independence in 1947, this argument has been supported by [Munir (2002), Shah (2003), Akram and Khan (2007)]. During the period 1950-2002, hundreds of middle, secondary and higher level vocational education and training schools, polytechnic institutes, colleges and universities in government and private sector have been set up. However in the Pakistani context, the term technical education refers to post secondary courses of study and practical training aimed at preparation of technicians to work as middle level supervisory staff; where as the vocational education refers to as lower level education and training for the preparation of semi skilled and skilled workers in various trades. At present a number of departments such as education, labour and human resources, industries, social welfare and agricultural departments are involved in TVE. The Federal Ministry of Education is basically responsible for policy planning, coordination of standards and curriculum development for post secondary technical education provided in colleges of technology and polytechnic institutes under the education department. Different prominent training policies in the country are discussed in order.

In late 1950s, the government of Pakistan put education on its development agenda. Dignity of labour and vocational education and training was declared as the cornerstone of this policy to make the best possible use of human and capital resources of the country.

The Education Policy 1972-80 duly recognized the concept of dignity of labour by advocating for trained human resources in different vocational trades. Under this policy, vocational education and training workshops were opened up at middle level in schools where students were imparted vocational training in weaving, book-binding, wood work, black-smithy, leather-work, food preservation, child care, home management, electricity and agriculture in accordance with the local needs. During 1981-91 is the worst time period in terms promotion of vocational training in the country. During this period nothing special was added to the count of vocational education and training in the existing vocational education schools and colleges rather a number of polytechnic institutes and colleges were closed to avoid the student movement against the dictatorial government.

The successive government after Zia's regime; Education Policy (1992-2002) was thoroughly analyzed and the need for the vocational and technical education was felt. The policy admitted the poor quality of vocational education and training (VET) institutes/colleges in the country but their curriculum does not subscribe to the job market owing to new human resources market. Training of semi-literate dropouts also remains a problem. The Education policy 1992-2002 led to setting up of a network of technical teachers training institutes, one each in all the four provinces of Pakistan, linking them with the National Teachers Training College at federal level. One vocational subject was declared compulsory part of general education. Even while Education Policy 1992-2002 was under implementation, a new National Education Policy 1998-2010 was formulated to cater the needs of the time by incorporating new trends in the market oriented education system.

The National Education policy 1998-2010 duly recognized that sustainable socioeconomic development is not possible by mere capital investment unless it is reinforced with proper supply of adequately trained scientific and technical human resources. The policy document admits that there has been a greater increase in facilities for general education in the country over the years but adequate facilities and opportunities has not been provided for promotion of vocational education and training (VET). Another prominent scheme is *Technical Education Project* (1996-2003) initiated by the Federal Ministry of education with the assistance of the Asian Development Bank. These are the few attempts made by the government to meet the demands of modern labor market but how much this objective is achieved is analyzed in forth coming sections.

There are few studies conducted in Pakistan to examine the impact of training, the present study is thus an extension in previous empirical work. Hussain et al., (1994) concluded that T & V (Training and Visit extension system) has increased the quantity but not the quality of extension contact and this, in turn, has increased farmers' knowledge and adoption of technology. However, the overall impacts have been small relative to those observed in a similar area in India. Anderson, Gershon, and Sushma (2006) discusses in detail the origins and evolution of the Training and Visit (T&V) extension system, which was promoted by the World Bank in 1975-98 in over 50 developing countries. The paper identifies some of the challenges faced by the T&V approach as being typical of a large public extension system, where issues of scale, interaction with the agricultural research systems, inability to attribute benefits, weak accountability, and lack of political support tend to lead to incentive problems among staff and managers of extension, and limited budgetary resources. According to Hyder (2007) the wage gap among the employees of State Owned Enterprises is lowest for different educational levels. However in her study the training coefficient in all the three sectors is insignificant

3. Data Description

Data that I used for my paper is taken from labour Force Survey (LFS) 2005-06. It is a regular feature of the Federal Bureau of Statistics (FBS) since July, 1963. These data provides comprehensive information not only on the unemployed persons but also on many characteristics of employed persons. The Labor Force Survey constitutes henceforth be quarterly as well as annual sample enquiry. However our model specification includes monthly wages as dependent variable and explanatory variables include demographic and human capital variables.

The summary statistics are given in Annexure Table 1.2 and few important statistical facts are in order. Starting from agriculture industry in which 643 employees are engaged, it is found that mean age of the employees is 32 years. Among the total employed individual in agriculture sector 95 percent are male and 65 percent are married. Summary statistics show very low human capital both in terms of schooling and training is found in this sector.

Our sample comprises of only 51 employees working in mining and quarrying industry. It is found that mean age of the employees is 35 years in this industry. Only 2 percent of total workers in this industry are female. The proportion of married individuals is 70% in this industry. Hardly 2% workers are trained in mining and quarrying sector.

Manufacturing industry comprises of 3245 employees. It is found that mean age of the employees is 30 years. 94% of the employees engage in this industry are male. Average years of schooling of employees in the industry have twelve years of schooling; however it is 14-16 years of schooling in electricity, gas and water industry. Summary statistics of workers employed in construction industry are almost similar to manufacturing industry.

There are 1387 employees working in transport industry and mean age of workers is 35 years. Average years of schooling are 12 years and a very negligible proportion represent the trained workers. The highest years of schooling is found to be in finance industry, which shows on average the employees have masters' degrees.

4. The Analytical Framework of the Model

To analyze the issue for labor market in Pakistan Ordinary Least Square method is used. Log of monthly wages is regressed upon the variables described in above section. Following equation specifically describe the functional form in detail:

$$lnmwage_{ij} = \beta0 + \beta_1\,age_{ij} + \beta_2\,age_{ij}{}^2 + \beta_3\,male_{ij} + \beta_4\quad ms_{ij} + \beta_5\,loct_{ij} + \beta_6\,schooling_{ij} + \beta_7\,Training_{ij} + \beta_8\,Schtrain_{ij} +$$

$$\beta_9 gentrain_{ij} + \beta_{1o}\,loctrain_{ij} + u_{ij} \qquad\qquad (1)$$

Where:

i = ith individual in the labor market

j = 1-9 are the nine industries according to international standard industrial classification.

And 'u' is error term which is normally distributed between zero mean and constant standard deviation.

Since main theme of the paper is to explore the impact of training on wages, thus to due to our particular emphasize on training three interactive variables are also introduced. These three integrative variables are 'Schtrain', 'gentrain', 'loctrain'; the variables shows the interaction of training with schooling, gender and location of enterprise respectively. The estimated results are presented in the next section.

5. Results and Discussion

The empirical results of all nine industries are discussed in order.

5.1 Agriculture

The result show that age in agriculture sector is significant and has a positive relationship with the log of monthly wage and shows that increase of one year in age of the workers of the agriculture industry, their monthly wage increases by .049 percentage points. The workers in this sector maximize their earnings at the age of 38 years. This is very young age to maximize the earnings, the reason may be that in agriculture sector maximum wages are not very high and saturation point arrives at an early age.

Level of education plays very important role in this sector. The result shows that education in agriculture industry is significantly and positively related to log of monthly wages. 1% increase in the education level of the employees will bring .035 percentage points increase in the wages. Economists regard education as both consumer and capital good because it offers utility to a consumer and also serves as an input into the production of other goods and services. Agriculture forms the backbone of Pakistan's economy. The sector contributes 25 percent of the country's gross domestic product (GDP) and employs almost half of its labor force. For these reasons, agricultural productivity growth is a key factor in Pakistan's economic development and poverty alleviation objectives. Thus to educate the workers in this sector should be the government priority.

Training is insignificant. '*Location of enterprise*' in agriculture sector is significant at 5% and has a positive relationship with the log of monthly wage. The first two interactive terms are dropped from the model due to negligible number of observations in these categories. The results are consistent with Hussain, Byerlee and Heisey (1994) for examining the quantitative evidence on the impact of the Training and Visit (T & V) extension system in the irrigated Punjab of Pakistan.

5.2 Mining and Quarrying

The result show that age in mining and quarrying sector is insignificant, and has no effect on monthly wages for employees in this sector. The employees working in the mining and quarrying industries maximize their wages at the age of 48 years approximately. Marital status is insignificant. However, gender is significant with a negative sign. The results show that being female increases the wages as compared to male workers. It is also very important to mention here that in this sector 98% are male and only 2% are female, thus there is the chance that this small proportion of female in our sample may be skewed toward highly paid female workers.

The variable education in mining and quarrying industry is positively and significantly related to log of monthly wages. With every additional year of schooling, the monthly wage increases by .065 percentage points. Training is dropped in estimation due to few observations in this category and pulls the attention towards low trained individuals in this industry. Another fact is that mining and quarrying is an industry which requires training due to many risks involved in it.

5.3 Manufacturing

The result show that age in manufacturing sector is significantly related to log of monthly wages. Age square is significant and has negative sign which confirms an inverted U-shaped relationship between age and earnings. The employees working in the manufacturing industries maximize their wages at the age of 52 years approximately.

Schooling is a significant variable with a positive effect on wages. There is also evidence of huge disparities in education attainment in this sector. Robert (1991) developed a human capital model which shows that education and the creation of human capital was responsible for both the differences in labour productivity and the differences in overall levels of technology. The manufacturing sector of any country bears significant importance. Pakistan's exports concentrated largely in textile and semi-manufactures, the country needs to strengthen this sector in terms of education and training.

Location of enterprise is also positively related with wages of the employees. Results show that employed in the establishments located in urban areas are more advantaged than the employed in the industries of rural areas. Kagundu and Pavlova (2007) analyzed that the urban sector has much better developed labor markets that resemble labor markets in developed economies. Labor unions are much more active in urban formal markets compared to rural relatively informal labor markets. Low level of education and exposure to the relevant labor rights legislations could imply more exploitation by relatively more knowledgeable employers.

5.4 Electricity, Gas and Water

Schooling has a positive and significant effect on wages. With the increase in level of education wages of the employees also increases in the electricity, gas and water sector. Training is significant and its effect on wages seems very high in estimated co-efficient. Significance of training coefficient in this particular industry shows the importance and good quality of training in this sector. The interactive term "Location*training" has significant and positive effect on wages.

5.5 Construction

The result show that age in construction sector is significantly related to log of monthly wages. The employees working in the construction industries maximize their wages at the age of 52 years. Marital status has significant and positive effect on wages. Schooling is again significant like other industries. Training is insignificant which shows the poor quality of training in the sector.

5.6 Whole Sales, Retail Trade, Restaurants and Hotels

The result show that age in whole sale sector is significantly related to log of monthly wages, however the wage maximizing age is 45 years approximately. The result shows that marital status in whole sale sector is significantly related to log of monthly wages. Schooling variable has its expected sign and magnitude.

Location if enterprise appears to be an important determinant of wages in this particular industry. Estimated coefficient shows that employed in such enterprises located in urban areas are more advantaged than those employed in rural areas**.**

5.7 Transport, Storage and communications

The result show that age in transport industry is highly significant at 1% and has a positive relationship with the log of monthly wage. School coefficient shows that increase of an additional year of schooling will bring .045 percentage

points increase in the wages. Transport is an important sector of Pakistan's economy as it contributes about 10% to the Gross Domestic Product and over 17 percent to the Gross Capital Formation. It is estimated that about 2.3 million people (6% of the total employed labor force of Pakistan) earn their livelihoods from this sector. Transport consumes 35% of the total commercial energy annually and receives 20-25% of the annual federal public sector development funds. Marital Status is significant and estimated coefficient shows that being married increases the wage by .0931 percentage points. Location of establishment is positively related with wages of the employees. Training is insignificant in this sector.

5.8 Financing, Insurance, Real Estate and Business services

The result show that age in finance and insurance industry is highly significantly related to log of monthly wages. Age square is significant and has negative sign also shows that employees working in the finance industries maximize their wages at the age of 49 years approximately.

School is a significant variable with a positive effect on wages. The services sector plays a vital role in sustaining the growth of Pakistan's economy, with a share of 53.3 percent in GDP, and 44 percent (which includes construction sector) in employed labour force. Banks, DFIs and insurance companies, account for 98 percent of value added in this sector. The finance and insurance sector comprises State Bank of Pakistan, all scheduled (domestic and foreign banks) development financial institutions (DFIs), all insurance (life and general) companies, Modaraba/leasing companies, moneychangers and stock exchange brokers. The financial sub-sector consists of all resident corporations principally engaged in financial intermediations or in auxiliary financial activities related to financial intermediation. The interactive term "School*training" has significant and positive effect on wages.

Training has the positive effect on wages. The male employees who are skilled (gender*training interactive category) have a positive effect on wages. A plausible for this is as compared to other categories this sector requires specific trainings and thus has significant impact on wages. Secondly employees of this sector are better trained in terms of quality and thus have positive and significant impact on wages.

Location of enterprise is also positively related with wages of the employees. The interactive term "Location*training" has significant and positive effect on wages.

5.9 Community, Social and Personal Services

The result show that age in community, social and personal services industry is highly significant and has a positive relationship with the log of monthly wages. Age square is significant and has negative sign which confirms an inverted U-shaped relationship between age and earnings. Marital status has significant and positive effect on wages. The impact of being male in *Community, Social and Personal Services* industry is positive and significant. Schooling is a significant variable with a positive effect on wages. Location is also positively related with wages of the employees. Results show that employees' of the industries located in urban areas are more advantaged than the employees' of the industries in rural areas.

6. Conclusion and Recommendations

Resource Development through vocational and technical education should be encouraged to promote the capacity of skilled manpower to adjust to changes in Labour demand. The study is an effort to assess the demographic factors in general and training and schooling in particular impact on wages. However the special emphasis of this study is training which is insignificant in most of the cases indicating shows poor quality of training and thus requires immediate attention.

Keeping in view the results of the study, some recommendations are as follows:

➢ Training institutes should develop research and development capacities in their own respective fields to keep the supply of technicians/skilled workers of TEVT institutions matched, quantitatively and qualitatively, with the demand of industry.

➢ Initiate refresher programmes and crash programmes in latest methodologies for teachers. Upgrade existing technical colleges in terms of syllabus, equipment, facilities and teachers to meet modern challenges. An internal pool of trainers in selected technologies should be created by inducting master trainers from abroad.

➢ Develop and establish national system of skills standardization, testing, certification, accreditation of institutions and equivalence.

➢ Foster public-private partnership especially in technology-intensive field. Incentives can then be provided to private to establish technical institutes relevant to their own sector.

➢ Much of success would depend on a demand-oriented vocational and technical education and reinforcement of general education with vocational education and training (VET) to vocationalize (polytechnicalize) the education in the country. There is a dire need of introducing a new model of vocational high school with the involvement of private sector.

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Table 1. Pakistan Standard Industrial Classification of All Economic Activities

Industry	Definition of Industries
Agri	Agriculture, Forestry, Hunting and Fishing
Mnq	Mining and Quarrying
Manu	Manufacturing
Egs	Electricity, Gas and Water
Const	Construction
Wsale	Whole Sales and Retail Trade and Restaurants and Hotels
Tras	Transport, Storage and Communication
Finance	Financing, Insurance, Real Estate and Business Services
Community	Community, Social and Personal Services

Table 2. Variable Descriptions

Variable	Description
Lnmwage	Log of monthly Wages
Age	The age of the respondent expressed in years
Agesq	Agesq
Male	= 1 if the individual is male; 0 = female.
Marital status	=1 if the individual is married; = 0 otherwise
Location of enterprise	= 1 if the firm located in an urban areas; = 0 otherwise
Schooling	Number of years of schooling
Schtrain	School-training
Gentrain	Gender-training
Loctrain	Location-training
Training	Technical or Trade knowledge

Table 3. Descriptive statistics

Variable	Agriculture		Mining & Quarrying		Manufacturing		Electricity, Gas & Water	
	Mean	Std. Deviation	Mean	Std. Deviation	Mean	Std. Deviation	Mean	Std. Deviation
Age	32.62519	13.2744	35.76471	13.33055	30.34391	11.82703	38.95679	9.746698
Agesq	1240.339	1004.491	1453.333	1045.824	1060.589	847.118	1612.434	763.6035
Male	.9580093	.200724	.9803922	.140028	.9442219	.2295281	.9876543	.1105369
ms_1	.651633	.4768239	.7058824	.460179	.5343606	.4988948	.8353909	.3712094
School	2.766719	4.042417	6.843137	5.525839	7.351618	5.366351	11.03704	4.740554
Train_1	.0046656	.0681989	.0196078	.140028	.0194145	.1379979	.0390947	.1940199
Loc_ent	.1213064	.3267372	.3921569	.4930895	.7226502	.4477596	.7345679	.442018
Schtrain	.029549	.564305	.254902	1.820364	.2465331	1.825526	.4814818	2.440776
Gentrain	.0046656	.0681989	.0196078	.140028	.01849	.1347357	.0390947	.1940199
Loctrain	0	0	0	0	.0169492	.1291008	.0349794	.183917
Total sample size	643	------	51	---------	3245	---------	486	-------

Variable	Construction		Whole Sale		Transport		Finance		Community	
	Mean	Std. Deviation	Mean	Std. Deviation	Mean	Std. Deviation	Mean	Std. Deviation	Mean	Std. Deviation
Age	33.07011	11.86774	27.87397	11.35274	35.42105	11.13236	35.361	11.559	36.18914	11.46436
Agesq	1233.956	891.3369	905.7548	808.8828	1378.491	852.4414	1383.771	856.92	1441.067	887.5846
Male	.9741697	.1589222	.9815068	.1347724	.9855804	.1192558	.9642	.18579	.8018093	.3986643
ms_1	.597786	.4912519	.4417808	.4967691	.7664023	.4232718	.6761	.4684	.7333333	.4422474
School	6.468635	5.572912	7.778767	4.902863	7.043259	5.470992	13.254	5.00017	10.1659	5.943407
Train_1	.0479705	.2140992	.0082192	.0903173	.035328	.1846742	.0476	.2132	.0361865	.1867669
Loc_ent	.597786	.4912519	.880137	.3249126	.7137707	.4521609	.9595	.1973	.691858	.4617577
Schtrain	.597786	2.719721	.1034247	1.143382	.3172314	1.989587	.74285	3.362	.47627	2.545144
Gentrain	.0479705	.2140992	.0082192	.0903173	.035328	.1846742	.04761	.2132	.0285317	.1664976
Loctrain	.0332103	.1795169	.0068493	.0825049	.0281182	.1653703	.04523	.20807	.0261656	.1596387
Total sample size	271	-------	1460	-------	1387	-------	420	-------	7185	-------

Table 4. Regression Results (Dependent Variable = Log of monthly wages)

Variable	Agriculture Co-efficient	Mining & Quarrying Co-efficient	Manufacturing Co-efficient	Electricity, Gas & Water Co-efficient	Construction Co-efficient	Whole Sale Co-efficient	Transport Co-efficient	Finance Co-efficient	Community Co-efficient
Constant	6.619*** (.2754)	8.1206*** (1.1588)	6.2195*** (.11800)	7.6190*** (.38793)	6.2415*** (.57984)	6.270*** (.1782)	7.1902*** (.24006)	5.727*** (.45594)	5.867*** (.0837)
Age	.04989*** (.0114)	.06706*** (.05749)	.05350*** (.0064)	.03398** (.0196079)	.00619*** (.02145)	.07543*** (.00683)	.0381*** (.01033)	.0886*** (.02169)	.0769*** (.0048)
Agesq	.00064*** (.000143)	-.000694 (.000670)	-.0005*** (.00008)	-.00020 (.00024)	-.0006*** (.000251)	-.0008*** (.000087)	-.0003*** (.000130)	-.0008*** (.00026)	-.0007*** (.00006)
Male	.2987 (.19948)	-1.4474 (.29344)	.716715*** (.0730859)	-.1223 (.10323)	.50211 (.38288)	.200620 (.1528)	.0638 (.1748)	-.08594 (.2462)	.4255*** (.0230)
ms_1	.10923 (.06986)	-.01964 (.3343)	-.03309 (.03416)	-.05258 (.07745)	.06727 (.1539)	.07047* (.04180)	.0931* (.0527)	.1147 (.1255)	.1179*** (.0238)
Train_1	.07238 (.42599)	dropped	.43714 (.49497)	2.2816** (1.0921)	.0353*** (.00999)	.0263*** (.00301)	.450*** (.00356)	.0928*** (.00805)	.0582*** (.0013)
Loc_ent	.15313** (.062927)	.22639 (.16722)	.11139*** (.02527)	.18118*** (.06526)	.13629 (.0958)	.1768*** (.03662)	.1087*** (.0352)	.4076* (.2119)	.1503*** (.0158)
Schtrain	.02198 (.41055)	-.00319 (.018805)	.05365*** (.016561)	-.10875 (.0737)	.0669** (.0302)	-.04208 (.10763)	.0301** (.0413)	.1780*** (.0629)	-.01033 (.00946)
Gentrain	dropped	dropped	-.85687** (.39763)	dropped	dropped	dropped	dropped	dropped	.00719 (.09959)
Loctrain	dropped	dropped	-.00803 (.17846)	-.85374** (.37623)	.05088 (.19447)	-.16606 (.5496)	-.2629 (.22256)	-1.431*** (.4072)	-.0492 (.0730)

Notes: Standard errors in parenthesis

*** Significance at 1% level.

** Significance at 5% level

* Significance at 10% level

A Micro-opinion Study of Supportive Policy for Talents

in Chinese Small and Middle Sized Enterprises

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Abstract

Talent is the key factor for enterprise development. It is difficult for small and middle sized enterprises to introduce, retain or make good use of talents, which has direct influence on their capability of risk prevention and sustainable development, urgently needing the government's policy support for talents. Based on the micro-opinion analyses of supportive policy for talents needed in small and middle sized enterprises, this paper attempts to provide some policy support measures on human resources management functions such as employee training, compensation management and talent introduction in small and middle sized enterprise, in order to strengthen their capability of preventing various risks and crises.

Keywords: Small and middle sized enterprises, Talent management, Supportive policy

1. Introduction

The small and middle sized enterprises play a vital role in promoting economic development, booming the urban and rural market, increasing financial revenue, expanding social employment, driving technology innovation and optimizing economic structure and so on. According to the report of China SMEs (Small and Middle Sized Enterprises) development (2007), it reveals that China has 42,000 thousand various small and middle sized enterprises in 2006, creating final goods and services value that take up 60% in GDP (Gross Domestic Product), providing over 75% town employment positions, accounting for all of the merchandise exports 68%, all of the industrial and commercial tax revenue paid 53%, all of the invention patent 65% and all of new product development 80%. However, with the further strengthening degree of market internationalization, increasingly fierce market competition and the influence of various risks and crises, small and middle sized enterprises meet a bottleneck restricting the development for the first time due to their natural characteristics that cause weak and labile, needing the government's policy support. Especially, the policy for talents in small and middle sized enterprises must be the key supported object for the government, which has the extremely vital significance to national economy as well as healthy, stable and sustainable social development.

2. Literature Review

The research on SMEs has begun since E. A. G. Robinson defined SMEs in "The Structure of Competitive Industry" in 1931. After the 1950s, the role and research of SMEs has been paid more and more attention. From the 1940s to the 1950s it tends to explore the government support of the development of medium-sized and small-sized enterprises based on market failure, and the primary goal of earlier government action is supporting SMEs to run the business; From the 1970s to the 1980s, the enforcement of science and technology plan becomes the main measure to bring along the innovation development of SMEs; After the 1980s, the government support of the innovation of SMEs turns into system construction period, not only an emphasis on goal effect of single policy, but also more attention to the need of social development, integration and coordination, cooperation and match between policies in order to pursue the total effect of policy system. So far, the government policy support system of developed countries for promoting the development of medium-sized and small-sized enterprises has become three types of support system models: indirect, direct and booting type between both represented by America, Japan and Europe. Meanwhile, the research on SMEs rapidly expands such fields as attribute and mechanism of SMEs (S. Carter, 2006), finance for SMEs, competitive advantages and competitiveness of SMEs (R.J. Rosen, 2007).

In China, the research in this field begins in the second half period of 1980s, mainly about the definition of SMEs, the

significance of SMEs and the studies of SMEs theory introduction from western countries, development experience and its reference (Chen Yongjie, 1997). Since the end of 20th century, the research focuses on some issues of financial leasing, credit and tax preferences about SMEs (Wang Xingyu, 2005), along with a series of published works on SMEs one after another (Lin Hanchuan, 2007).

From the above typical literature, it is clear that there are many high-quality researches at home and abroad but with some obvious deficiencies, mainly including: the research on SMEs at present always pauses in studying what kind of macro environment is suitable for survival and development of SMEs from the angle of macro outer environment characteristics, but little refers to micro-opinion analysis of SMEs self-feature as well as endogenous research on related support policy issues, seriously affecting the enforcement and implementation effect of government's support policy system for SMEs. Especially, the talent competitive disadvantage of Chinese SMEs due to self-feature leads to a serious constraint on human resources, enterprise technology, efficiency improvement and other aspects, while talent is the most important source of enterprise competitiveness today. The government's supportive policy for talents needed in SMEs lies in supporting enterprise human resources system to form enterprise core competitiveness by improving enterprise ability in attracting, encouraging and retain talents, in order to establish an impregnable position in fierce competition and various crises through helping enterprises obtain sustainable competitive advantage.

3. Analysis of Support Policy for Talents in SMEs

3.1 Government's Support Policy Measures for Talent Introduction in SMEs

Talent is the base of enterprise healthy development, but it is difficult for SMEs to introduce talents because, for one thing, SMEs always hope to hire the best talents, for another, SMEs are really confused about what kind of talent that is just the most suitable for enterprise. The government should help SMEs to hire the most suitable talents needed for enterprise scientifically, not only making SMEs employ suitable personnel but also getting talents to find suitable enterprise. Thus, the enterprise can introduce proper talents and also play a role to realize the match of a worker and enterprise, promoting the talents' enthusiasm and initiative.

In addition, the government should encourage the employment of university students to small and medium enterprises just like guiding them to work in the countryside. The country government has released a series of policy measures for university graduates to work in the countryside or run their own business, but there is no feasible preferential policy for university graduates to work in small and medium enterprises. It causes such a situation in which university students are not willing to "marry" SMEs when economic development is thriving and SMEs are not willing to "marry" university students in various crises, seriously affecting sustainable development of national economy and prosperity of the country.

3.2 Government's Support Policy System for Compensation Management in SMEs

The main reason why SMEs can not retain talents is its irregular compensation management. Since the policy on "invigorating large enterprises and relaxing control over small ones", the government has delegated compensation management to SMEs as the general idea of enterprise decision-making power. Under the circumstances that SMEs lack theoretical guide and policy support, many SMEs still follow traditional methods in compensation management or have very irregular compensation management, which brings about negative effect to the society and causes difficult sustainable and healthy development of SMEs. It is the basic approach of obtaining talent competitive advantage for SMEs to carry out scientific and regular compensation management. Based on the research on government's function mechanism about various dimensions of SMEs compensation strategy, the policy support system for compensation management in SMEs is put forward as shown in Figure1, in order to improve the capability of SMEs in talent competition, preventing various and dealing with crises.

Insert Figure 1 Here

Only if the government participates in support for compensation strategy management system can SMEs have strong guarantee of obtaining competitive advantage for talents, or SMEs just get not the advantage of large-sized enterprise groups (such as attractive benefits, income and decent work) but the disadvantage of enterprise-run society (such as various insurance and arbitrary requisition of donations). The government should provide a series of social safeguard measures for talents employed in SMEs and resolve their actual difficulties. For example, the financial subsidies to promote employment in SMEs must be given to employees themselves, making the talents employed in SMEs become "enterprise persons", "business persons" and "government persons". At the same time, the talents employed in SMEs can benefit from government preferential policy directly, not only lessening the burden of SMEs, but also really improving the work initiative and creativity of talents in SMEs, which strengthens their competitive advantage so as to improve the capability of preventing various risks and crises. It is different from the main point of view advocating the policy such as tax reduction or exemption, which causes SMEs to benefit directly then makes employees benefit indirectly. However, this kind of policy always results into very impossible profit to the employees who benefit directly. Without employee benefit, the enterprise must feel more difficult to encourage employees. It is called that "an enterprise

will be over without employees", losing the healthy growth base of SMEs. Therefore, the government's support policy system for compensation strategy in SMEs must focus on logistic support, stable and decent work of employees, in order to improving the enthusiasm of talents to work in SMEs.

3.3 Government's Support Policy Measures for Training Employees in SMEs

It is difficult to utilize talents because of not only the issues about management basic work in SMEs, but also the conflict of their training employees. In order to help SMEs to solve the problem on utilizing talents, one of government's support policies is supporting SMEs in training employees. Now the status about staff training for SMEs is just working for others, that is to say, SMEs can retain talents with no training but the employees will soon leave the company to seek development after training. Thus SMEs are not willing to train employees though they know that employees need training well, so as to reduce losses or foster fewer competitors at the cost of cultivating their needed talents. For the government, it is necessary to take direct support measures to train employees in SMEs, establishing expert system about supporting training in SMEs, which may be made up of university talents in related subjects, relevant expert leaders of government departments and entrepreneurs. The government also needs to provide assistance in scheduled or nonscheduled staff training for SMEs within the jurisdiction area. According to the situation of self development, SMEs can mainly take charge of selecting candidates to take part in government's support in training employees, and strengthen staff training and basic management work employment by means of enterprise self-organization, such as signing employment contracts after training, job adjustment and salary adjustment. By the aid of government's money or energy, SMEs reap the benefits.

4. Conclusion

The support policy for SMEs is a complicated system project, needing much consideration from all angles. This paper analyzes the support policy for SMEs only based on the micro-opinion, mainly discussing some policy support measures on human resources management functions such as talent introduction, compensation management and employee training in small and middle sized enterprise, in order to help SMEs attract, retain or make good use of talents, strengthening their capability of preventing various risks and crises.

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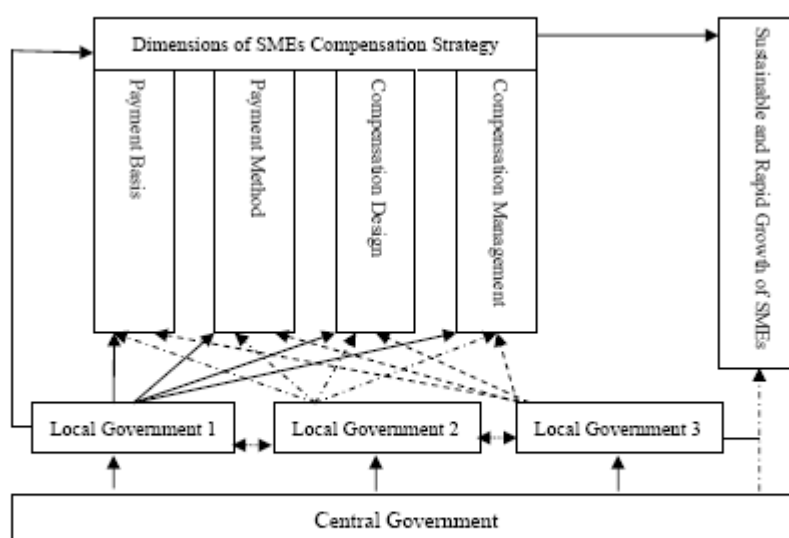

Figure 1. Graph of Government's Support

Notes: Solid-line arrow represents direct influence relation, Dash-line arrow represents indirect influence relation

Governmentality, Active Citizenship and Marginalisation:

The Case of Rural Drinking Water supply in Kerala, India

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Abstract

People's participation is a buzz word in the development agenda of the national and international agencies. In the governance of water also this concept has got central role in planning, implementation and running of the projects. The process is not a linear one rather than a pluralistic strategy including the state, civil society and the local community, to include the 'people's voice' in development. The study takes the case of world Bank aided 'Jalanidhi' project of Kerala which was implemented with the active participation of the people. Drawing from the concept of 'Governmentality' by Michael Foucault, it is argued that, remote government technologies of the state by promoting localism and active citizenship that shapes the regime of action in the water supply through a variety of discourses that redefine the rights as duties which ultimately marginalises 'resistance and negotiation' from the society.

Keywords: Governmentality, Active citizenship, Participation, Water, Kerala

1. Introduction

People's participation in rural water supply evolved as a principal strategy in Kerala in the 1990s. What strengthened this shift in Kerala's water policy was the growth of the idea of decentralisation within state in the early 1990s. Part of this discursive formation was the debates on the failure of "big government" and centralised approach to basic service delivery like water. It is implemented and run with the active participation of the local people and has been hailed as a successful model to be replicated in rural areas in order to curb the scarcity of drinking water.   What is inherent in celebrating this model is the valorisation of 'active citizenship'. The paper focuses on these discourses that legitimise the concept of 'remote government' or government at a distance; in this context "government of water". Drawing from the concept of 'Governmentality' by Michael Foucault, it is argued that, remote government technologies of the state by promoting localism and active citizenship that shapes the regime of action in the water supply through a variety of discourses that redefine the rights as duties which ultimately marginalises 'resistance and negotiation' from the society. The study takes the case of world Bank aided 'Jalanidhi' project of Kerala which was implemented with the active participation of the people. After giving a brief description of the concept of 'Governmentality' and 'Active citizenship' it analyse the implication of these concepts at the local level.

2. Governementality and Remote Government

Governementality is a neologism stemming from the writings of Michael Foucault (Note 1) and has been given different connotations, not straying from the central theme, by a proliferating body of scholarship (Note 2). It is an alternative analysis of political power and government in modern societies and can be comprehended as 'the conduct of conduct' and 'Governmentalisation of the state' (Foucault, 1979, p.20) as remarked by Foucault. The discourse on Governmentality starts from the vantage point of how Political power is exercised ,not through sovereign powers, but by working through individual freedom which is made compatible with the requirements of social life"(Neale,1997,p.4). It is a "general term for any calculated direction of human conduct" (Dean, 1999, p.3) and is a 'political technology' of the state by problematizing the specific domains it needs to govern (Murdoch and Ward, 1997). In contrast with the traditional political theories on power, which focus on the Machiavellian conceptions of rule, instead conceived power "as something which circulates" (Gordon, 1980, p.98). "It is not localized here or there, never in anybody's hands, never appropriated as commodity or piece of wealth" (Ibid). With the notion of Governmentality, he argued, power in

modern societies are exercised through the institutions, procedures, analyses and reflections, the calculations and tactics (Foucault,1979,p.20). "It involve minute regulation of bodily and other visible activities and which rely for their operation on the production of knowledge about those subjected", which Foucault called as the 'disciplinary power' (Hannah, 1997, p.171).

He used the term 'government' in a comprehensive sense that goes beyond the political tracts to cover the philosophical, religious, medical, and pedagogical texts (Lemke, 2002, p.2). Apart from the administration "government is also signified problems of self control, guidance for the family and for children, management of the household, directing the soul, and so forth" (Ibid). This implied a greater control of its population and also the new concern for the biological wellbeing of the population including disease control and prevention, adequate food and water supply, sanitation, shelter, education and so on, which Foucault qualifies as 'biopolitics'. It is more concerned about structuring and shaping the field of possible actions of subjects and relations between technologies of self and technologies of domination.

Governmentality is composed of three components-"first, a centralization around the government (Army, education, governmental ministries and/or departments, justice and so on; secondly an intensification of the effects of power at the levels of both the entire population and of the individuals (*omnes et singulatim*) and thirdly, the emergence of new forms of knowledge useful for the implementation of the centralization/intensification elements" (Darier, 1996). Foucault (1979a) used the example of panopticon (Note 3) that reflects all these three aspects of the new governmental mechanism. It represents an enduring mechanisms of surveillance that oppose our traditional perspective on political power and enable us to reflects upon the "proliferation of a whole range of apparatuses pertaining to government and a complex body of knowledges and 'know-how' about government, the means of its exercise and the nature of those over whom it was to be exercised" (Nikolas and Peter, 1992, 174).

What is important in applying the Governmentality paradigm in the context of the present study is that it draws our attention to the formation of knowledge that constitute 'active citizen' image of a participant in participatory development projects. It is analyzed in the context of neoliberal regimes of power that promotes individualization (under the guise of collective action). The new governmental mechanism shapes the field for proposed actions of the individuals by production, systematization and rationalization of specific knowledge on community and environment. The developments in the discourses on environmental sustainability deserve pivotal attention in this new governance system. The newly forged global-local linkage by the Global resource managers criticises the Human Ecologist's inability to see beyond the territoriality and locality (Goldman, 1997, p6). The "self interested small producer (Note 4)" metaphor is inappropriate for explaining the environmental degradation (Goldman, 1997, p.8). The commons inquiry has been, at the conceptual level, shifted from local to global (ibid, p.15). But the Human ecologist's, the development expert's and the Global resource manager's views converge at the point that, its use should be institutionalised by 'managerialism' driven either local or global.

The result is a renewed emphasize on the 'rational human being' and his capacity to make change in his own life; if put differently, reinventing the potential for calculated individual actions. In conformity with this point of view ,international and national development initiatives focuses on democratic local institutions as the basis of effective local environmental decision making, in which individuals and communities have or can develop the skills and desire to make and effectively execute the development projects. To complicate the picture, these organizational structures, levels and networks, can be seen as overlapped or penetrated by 'scapes', in which people, money, images, ideas and technology flow (Appadurai, A. 1996).

This process is not uniform and universal and the state – scaled at various levels – has a prime importance in setting and controlling the parameters for regime formation. Under pressure from market forces and neo-liberal political forces, many states are undergoing transformations which are evident in the reduced state authority in favour of market liberalization, regionalization and localization. In India the state power in the development sector, drawing authority from the 73rd and 74th amendments, has been decentralised and acted through the enhanced 'choices' and 'freedoms' of citizens. The focus has been shifted to people centred approach and 'active citizenship'. The hitherto followed centralised delivery of service through governmental institutions and bureaucratic control has been spelled out as inefficient and the failure of the development intervention since independence gave legitimacy to the decentralised approach. The debates, in line of the argument of the international development agencies and academia, were diligently manoeuvred to include 'citizen's voice' in the development process.

2.1 Active Citizenship as a Tool of Governmentality

Citizenship is a historical and comparative category that evolved in the last 200 years taken many different turns in the different countries of the world. In his classic study entitled 'Citizenship and Social Class' T.H Marshall (1950), shows its evolution as consisting basically of the progressive expansion of certain rights: civil, political and social. With the French revolution it becomes a socially acknowledged category (Beteille, 1999, p.2589).In recent years the concept of citizenship has become a ubiquitous catch-phrase for policy makers, social scientists and development experts

(Gianpaolo, 2003, p.1). It was a part of the popular recognition accrued to participatory development or participatory governance methods, which emphasizes the political participation of the citizens and includes their 'voice' in development (Gaventa, and Valderrama, C. 1999, Goetz and Gaventa, 2001; Gaventa, 2002; Cornwall, 2000). Some governments have promoted the notion of citizenship as a civic identity in an attempt to draw citizens together under a new form of commonality (Meekosha and Dowse, 1997) and Others have argued for the need to address the exclusions created by the linkage of citizenship to nation-states (Ellison, 1997; Newell, 2000). Beyond simple participation, the term "citizenship" is cobbled together by questions of rights, states responsibility, and responsibility of the non-state actors, mechanisms of power relations and dynamics of inclusion and exclusion (Gaventa, 2002)."Many of these questions have been theoretically explored within the academic literature on citizenship, which often distinguishes between the liberal, communitarian and civic republican traditions "which differed fundamentally based on individual freedom, differences in Identity and individual obligations in participation (ibid.p.6).

In order to analyse citizenship within the frame work of Governmentality it is usually seen citizenship as rights enables people to act as agents (Lister, 1998, p.228). It defines a person as a competent member of a society, and which as a consequence shape the flow of resources to persons and social groups (hickey and Mohan, 2003, p.11). Expressing citizenship or agency is then extending their control over the resources that involves broader range of socio-political practices (ibid). This implies the involvement of active citizen participation rather than passive or withdrawn from the development activities. Active citizenship may be referred as "to recognize their moral responsibilities to care and provide for their needy neighbors and to meet their obligations to encourage their talents and skills in the management of public and welfare services" (Kearns Adrian, 1992, p.20). In the context of effectiveness of a primarily representative democracy is increasingly being challenged (Saul, 1997), it lays a platform for the collaborative local action for the common good (Cox, 2000, 100-107) owing to difficulty of the elected representatives in engaging in the diverse issues in their constituency. Within the Governmentality framework, active citizenship is a means of remote government where the state increasingly relies on individual capacity and subjectivity, instead of directly engaged through its apparatuses. It is envisaged to decentralize its power to the lower echelons of the society but often undermines the inherent inequalities include social, economic, cultural and political. The following section analyses the various aspects of this theoretical possibilities against the backdrop of newly emerged water governance in Kerala in which drinking water supply is decentralized with citizens participation and 'disciplining' of the space.

3. On Rural Water Supply in Kerala

Kerala is situated in the southern most part of the Indian sub-continent and the "Kerala model development" has won accolades throughout the world as a successful model despite its weak economic performance. The people of Kerala practiced wide range of traditional water management technologies that have been efficient and eco-friendly. They even used a crude form of modern drip irrigation in the past. Regarding the increasing scarcity, some of the traditional water management practices of Kerala still have relevance in the modern time. The major fresh water source, traditionally in use for domestic and irrigation purposes on the Malabar Coast, was the open well. The streams, springs, and ponds were also used along with the wells in certain areas. At present, more than 70 percent of the population in the State depends on open wells for meeting their domestic water requirements. Kerala may be one of the geographical locations with the highest density of open wells. Around 40,000 ha. of land in the State is irrigated by wells, and another 50,000ha. by ponds and tanks. Location-specific soil and water conservation measures appropriate for different physiographic zones of Kerala were developed, down the decades. An integrated approach considering land-water-biomass, appropriate for this humid tropical region, slowly evolved. Wherever fresh water sources, either surface or ground,were not available, people even resorted to rainwater collection.

The history of piped water systems in rural Kerala dates back to as early as 1930's. During the 70's more than 450 piped rural systems were launched. During the 80's as part of drinking Water supply and Sanitation decade programme, several projects were launched with the support of bilateral and multilateral agencies. In 1985, World Bank approved the Kerala Water Supply and Sanitation project (Cr. 16622-IN) which was an integrated project aimed, along with other things, to strengthen Kerala Water Authority, to provide piped water supply systems in selected rural areas and introduces low cost onsite sanitation pilot programmes in rural areas. Under DANIDA assistance, three schemes were taken up during the period 1983 to 1998 covering three rural areas in Kerala. Netherlands provided assistance to set up 8 water supply schemes in Kerala. The Kerala water authority, a statutory body constituted under Kerala Water Supply and Sewage (KWSS) Act, 1986 has the responsibility for water supply in the state, both rural and urban. Its main functions include state level planning for water and sewage development, financing, implementation and operation of all existing and new schemes. As of now, Kerala Water Authority operates 40 urban water supply and 1,415 rural water supply schemes in Kerala . Kerala is the first to formulate a water policy among the states in India.

3.1 Paradigm Shift in Drinking Water Supply

Historically, ground water has been considered as a private property in India. The person, who owns the land, owns the water below the land. By consensus, he obtains virtually unlimited right to pump out this water. Similarly, water supply

through private tankers, especially under water scarcity conditions, too has been a part and parcel of Indian life since long. From a slightly different angle, the prevention of dalits from using certain water facilities in the villages like wells, ponds and so on is also a form of privatisation. In this case, the "owners" are the so called "higher" castes (Krishnakumar, 2002). This unevenness in the ownership over water is not properly addressed even by the state. In public finance literature, the budgetary allocations needed for the provision of drinking water and sanitation in rural India is earmarked mainly for the poor. Naturally, the allocations, governed by non-market principles, are not on the basis of investment criteria such as social rates of return/cost-benefit ratio. Nevertheless, cost effectiveness is, whether practised or not, usually insisted for its provision (Pushpangadan, 2002).

Discourses of fresh water managements and water policies of the state have undergone a moral turn in the early 1990s. Pivotal to this is the development of new concepts like scarce economic, environmentalism, sustainability, social capital, basic water requirement (BWR), and equity. This change is largely due to the transformations in the social, political and economic, which have increasingly limited the acceptance of traditional approaches; the long-term water planning through massive water infrastructure development has increasingly become irrational. The long-term water management approaches are based on anticipated water demands, which are then compared with expected supply: they apparently are oriented around economic feasibility (GOI, 1987).

The perceived inefficiency of above-mentioned approaches has noticeably reorganized the discourses on water, by coining new concepts. In most cases, apparatuses for supplying water are neither defined within public or private sector in Kerala; they are lumped together under the label of "informal sector" (Sridhar, 2006). Along with the greater popularity of informal sector, as a force for possible economic development, in the development literature, the retreat of state from welfare services has increasingly being celebrated. This paradigm shift has brought the resurging civil society and social capital into the orbit of development. It is in this changing context that the participatory strategies for sustainable water management evolved as an alternative. Further, the participatory strategies for sustainable water management got legal legitimacy in the Government of India's water policy of 2002; it envisages the diffusion of appropriate water and sanitation technologies with the active participation of the user communities.

The Panchayati Raj Act of 1993 was moral boost to the efforts for citizen participation for sustainable water management. The major concerns behind this change are the environmental and economic outcomes of large water supply projects. The extensive contamination of the available water resources, due to the large-scale urbanisation, unscientific interventions and uncontrolled population growth, has been a political issue from the early 1990s in Kerala. Consequently, people started suffering acute drinking water shortages during the summer months, despite being blessed with adequate water resources that are being replenished by annual rainfall of over 3000 mm (Krishnakumar, 2002).

The citizen participation strategies for sustainable water management essentially are structured on the judgments about which public "needs" and "wants" can and should be fulfilled. Here, water is not only a common good and community resource, but also a private good or economic commodity. It is not only a necessity for life but also a recreational resource; it plays a part in the social life of the communities, therefore, is imbued with cultural values (Gleick, 1998, p.571). Thus from this standpoint, ensuring greater community participation is pivotal to the success of this scheme of water management. Kerala has been acknowledged worldwide, with some of its initiatives being considered as modals of replication, for initiating participatory strategies for sustainable water management. Here the study takes the example of "Jalanidhi", a world bank aided rural water supply programme in Kerala as an example to examine the dynamics of the concept of 'Governmentality' and active 'citizenship' in basic service delivery.

3.2 Jalanidhi and the Issues in Remote Government of Water Supply

The *Jalanidhi* project of the Kerala Rural Water Supply and Sanitation Agency (KRWSA) has been initiated in 1998 in the four northern districts of Kozhikode, Palakkad, Malappuram and Trissur with the assistance of the World Bank, which is expected to cover three lakhs of households benefiting a population of over 15 lakhs in the 80 selected lowest levels of Local Self Government/Grama Panchayaths. Among the capital cost, 15% are borne by the beneficiary community, 10% by the Grama Panchayaths and 75% is the share of the government. Once implemented the beneficiary communities are expected to meet the maintenance costs by themselves.

It is one of the frequently referred sustainable water management projects operating with the participation of user community implemented and celebrated as a successful rural community movement to sustainable drinking water provision. In cooperation and technological assistance from the "Kerala Rural Water Supply and Sanitation Agency", local self government institutions and the NGOs, water here is pumped from wells, springs and streams up to a reservoir and then delivered to homes through a network of pipes. Responsibility for the planning and implementation of this plan lies with the local people. Jalanidhi initiative is repeatedly romanticised as an alternative to the failing state-run and private schemes.

3.3 Panopticism in the Water Sector

In the water sector, Control and surveillance is operated at two levels; at the macro level, i.e. at the policy level and the

micro level i.e.; at the local level. Institutional centralisation is made very powerful through the establishment of a separate ministry of water resources, ground water departments and engineers. State's control over the natural resources is evident in the Water (Prevention and Control of Pollution) Act, 1974, the Water (Prevention and Control of Pollution) Cess Act, 1977 and the Environment (Protection) Act (1986). The Accelerated Rural Water Supply Programme (ARWSP) in 1972-73, the Minimum Needs Programme (MNP) during the fifth five year plan (From 1974-75), the "International Water Supply And Sanitation Decade (81- 90) Programme" in 1981, and the Technology Mission for drinking water in 1986 , which was renames as Rajiv Gandhi National Drinking Water   Supply Mission in 1991 were also intended to the 'biopolitical' control of the population with the support of scientific and technological knowledge.

Surveillance through policy stems from the water policies of India (1987 and 2002) and Kerala and the international agreements. The water policies of India relates to the declared statements as well as the intended approaches of the central and state governments for water-resource planning, development, allocation, and management. It includes statements not only on the overall policy framework but also on specific policy issues such as project selection, water pricing and cost recovery, and user and private participation. But it is again under the 'super panopticism' of the agenda of the international agencies. For example, the basic philosophy of the Jalanidhi project is taken from the 1999 Cochin Declaration on Rural Water Supply Policy Reforms which spoke of:

- Adopting "Demand- Responsive Approaches through use of participatory processes.

- Changing the role of Government from provider to facilitator.

- Establishing financial viability and sustainability of rural water supply services; and

- Promoting integrated water resource management

Based on this the Project is designed on the redefined premise of delivery of water and sanitation services with a demand driven approach. According to the web site of jalanidhi, the project is "conceptualised, planned and implemented by the users themselves as against the "top-down approach". This will be owned, operated and maintained by the users themselves on a total cost- recovery basis".

It reveals the strong commitment of the governments policies to the international discourses and agencies related with the governance of water. As early as 1977, United Nations Water Conference held at Mar del Plata, Argentina, confirmed that: "[a]ll people have a right to have access to drinking water". The New Delhi Declaration of 1990 endorsed the principle of "some for all rather than more for some", which reflects the fundamental human rights principle of universality. It marks the official birth of the community management paradigm in India. The Dublin Statement on Water and Sustainable Development (1992) states that water is an "economic good". As explicit in the international policies on development, efficiency and sustainability are the major two aspects that has been adopted by the external agencies as a viable solution to the drinking water scarcity. It is also reflected in both the national water policies in 1987 and 2002. It states that,

> ".......efforts to develop, conserve, utilise and manage this important resource in a sustainable manner, have to be guided by the national perspective".   But the issue of efficiency and sustainability has been manifested through the proxy of "community participation" or "user participation".

In line of this, the Kerala water policy (2007) states that,

> "Access to water is a human right. As water is a common heritage having economic value, the responsibility for its regulated use and conservation is vested with every citizen and community.....it is important to make sure that the right of every citizen to equitable access to water for his or her basic needs is protected and enforced through appropriate policy, legislative and programme initiatives".

It asserts water as a human right and but it is the duty of the citizen to determine its availability and use. Kerala water authority, established in 1986, which is responsible for the public drinking water supply is now almost redundant due to corruption and bureaucratic apathy. Ensure people participation is necessary but the inherent dangers behind it invite concern in to the issue. For example the 2007 Kerala water policy states that water has an economic value. The whole debates centres around economical sustainability of water with strategies of cutting off of subsidies and efficient cost recovery mechanisms. The discourses are pointing to the efficient use of water using business management principles and its reliance on individual rationalities and market mechanisms in the water governance (Salskov, Dorte, Krause & Sven, 2000, p.3).

The role of the expert has been changed from a technocratic approach to a social centric approach. Concept of technology also shifted to new environmentally sustainable technologies that prevents over exploitation of water. It is evident from the project documents that the regime of action is defined and the rules are fixed for the government of water.

3.3.1 Spatial Disciplining Through Education

Disciplining power of modern government systems were a focal concern of Governmentality. It is exercised though an interface of power/knowledge put forwarded by Foucault (1980) which is relevant in this context. A closer examination of the projects through samples taken from three districts of Kerala i.e. Kozhikkodu, Malappuram and Palakkadu during 2006 ,it is evident that the remote government of water supply through citizen participation is merely a staged drama were the regimes of action is created and shaped deliberatively by the state. The project has adopted the basic tenets of Cochin declaration (1999) which promulgates demand responsive approach and changing the role of the government from provider to facilitator. According to this, the projects are implemented areas where people have come forward and demanded water under this scheme. The demand is created through well articulated participatory development strategies including awareness generation programmes conducted by the NGOs and other agencies. The experts are divided in to two sections. One section constitutes of social workers mostly armed with a post graduation in social work or similar disciplines take care of the community empowerment or capacity building programmes. The second is a technical section with engineers and other technicians.

The social worker's responsibility is to bring the community in a common platform where they instil their 'expert knowledge' to ensure the active participation of the citizen. A noted feature of this awareness programmes is imparting 'critical consciousness' (Note 5) of the individual responsibility (Freire, P, 1973) and create contempt towards the government run mechanisms for drinking water supply. Drawing inspiration from the Participatory rural Appraisal (PRA) (Note 6) of Robert chambers (1983), the empowerment programmes included various techniques like transect walks, videos and participatory resource mapping. During the exercise, the people were encouraged to identify the problems and possibilities related with drinking water in their locality by themselves. Through this process, the individuals are subjected to formulate knowledge on their locality. The next step is to conducting many meetings in different parts of the panchayat. The participants are made subject to self criticism through questions like "have you noticed the broken pumps and public taps which causes days long leakage in your locality? Have you ever done anything to rectify that?. If no; why it become like that?" The debates are carefully directed towards lack of responsibility of the people in rectifying it and the inefficiency of the government institutions. The moderator, who is from an NGO, locates their irresponsible behaviour in lack of monitory and physical participation and community monitoring in it. Exhorting to put aside political differences in the overall running of the projects is another noted characteristic of these awareness programmes.

Promoting health consciousness is another component of the project. The participants are made aware to the bad health habits they are following by using science and technological knowledge. Water samples would be collected from the project villages and checked in the laboratories and possibilities of leakage of faecal matter from septic tanks and open areas to the drinking water sources revealed. Behavioural changes of the community in the matter of hygiene like Importance of washing hand after defecation, dangers of open defecation were also targeted through the education of the community by the experts.

It also includes inculcating contempt towards the governmental institutions like water authority, in rural areas panchayat wells and ponds etc. it can be seen as a tactics where the state is encouraging citizen participation by projecting public drinking water supply as inefficient at the same time it promotes the "pastoral care" (Note 7) techniques through minute control and change of their 'mentalities'. It is articulated through the individuals will to rectify/control their own actions in availing the drinking water while made them retain total obedience to the state.

3.3.2 Normalisation of Dutiful Citizen

Once a consensus is formed among the participants, politicians and defying voices, participants were encouraged to organise as small beneficiary groups. This implies that the right to minimum requirement of water would be materialized only if they perform their duty as "active participants" through out the project. These groups are the manifestation of social capital hailed by the World Bank in its literature and is interpreted as a proxy for the ineffective centralized supply-driven water supply by the state, which lacks accountability and efficiency. Here the individual is responsible for his own basic water requirements and he has to act in tandem with the group dynamics. The user group often consists of ten to twenty households and has its own rules and responsibility as prescribed by the funding agencies which is operated through the grassroots level NGOs. Each group is registered under the 'charitable societies and registration act' and has a president, secretary and treasurer. They were selected by the majority decision and were given training in book keeping, accountancy etc by the NGOs. In all the cases people who have, economic, cultural or political capitals were seen selected in to these positions. The 'less active' individuals have no voice in the decision making process at all. All the decisions are taken by the selected leadership of the group, the NGO worker and other officials.

By bringing concepts like cost recovery, efficiency, effective utilisation, it goes in hand with the business management principles and Water is conceived here as an 'economic good' that has to be managed with minimal state intervention. It is contingent with the concept of "rationale economic man" in neo-classical economics. Here each individual is

responsible, self-controlled and would monitor each other's actions. This 'Panopticism' is more effective than the direct state control and the local spaces are literally under surveillance without using violence, which is the ultimate form of Governmentality. Through the 'technologies of self' the state can efficiently exercise the 'Biopolitical' control of its populations with minimum coast. The state, which has the authority and responsibilities on its citizen, has started widening its horizon to include these "scapes" to the efficient delivery of the safe minimum water requirements. The image of the local people has been deliberately transformed/highlighted form passive receptors of benefits to active citizens; who have greater control of their livelihood and they have been given more decision making power on issues related with them and their community to meet the political ends of the state.

The process of normalisation of citizen participation has two dimension; firstly it uphold the notion that water is an 'economic good', for which each individual has to pay for it, secondly it is duty of the citizen to actively participate in its delivery and monitoring. Pivotal to the debates on active citizen participation in cost-efficiency and user-community charging is the redefinition of the role of state in development. State eventually has become a mere facilitator, rather than a legitimate provider of rights and justice. Active citizenship for sustainable economic development calls for the institutionalisation of communities for effective utilisation of human capital and resources. Here, supplying economic goods and assisting the overall progress of the society become a duty of the community. Naturally, this has immense political implication, as it breaks the Hobbesian 'social contract.' 'Active citizenship' strategies reorganise some of the fundamental rights, like social and economic security or the right of poverty or of being in bad health, which the community surrendered before the state in a social contract, to duties of the community. However, this breaking of the social contract is not visible by and large, because it is reinforced by a well-built discursive formation: "economism" (Note 8), the debates on ethnic market, social capital and so on. With the discursive restructuring, some of the central concerns of development, like social justice, economic inequality and democracy are evidently marginalised. Moreover, active citizenship strategies for sustainable development operate around a politics of consensus, at least in the economic sphere. This can certainly develop a kind of democracy based on popular participation, but without inconvenience of contestational politics, as John Harriss (2001) observed. For him, participatory strategies for sustainable development increasingly marginalise the conflicts of values and ideas necessary for democratic politics.

4. Conclusion

The concept of Governmentality introduced by Michael Foucault to analyses the modern forms of power can be applied to a variety of social issues. The concept of Governmentality is coincided with the concept of active citizenship which can be used as a tool to implement the 'remote control' technologies of the government. In the case of water and sanitation the paper used this concept to show inherent dangers of valorising the concept of "active citizenship" in decentralised water supply. The analysis based on the World Bank aided 'Jalanidhi' project shows the implication of these concepts at the grass root level. These target based projects constantly encourage the participation of the people. The proclaimed idea is the inclusion of the 'unheard voices'. But the underlying agenda is to find alternatives to avoid the responsibilities of the government. The entire process is a pedagogically inclined one, which includes conscentisation at the local level through various level awareness programmes. It is in tandem with the global discourses on health, hygiene, basic water requirements etc. or more specifically it is a process of implementation of the preconceived ideas developed by the global discourses on water governance. It uses culturally imbibed techniques or customization of the objectives at the local level, set by the transnational funding organizations. 'Participatory Rural Appraisal' techniques are a classic example, which promotes the active participation of citizens to meet the political ends of the state. In short, it serves the dual purpose of enhancing people's involvement with the projects and softens the reluctant voice by the process of inclusion which redefines the right of the citizens over water as duty of the citizen and marginalises 'resistance and negotiation' from the society.

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Note 2. Mitchell Dean (1999) has offered a conceptual clarification on this topic in his book, *Governmentality* , see also, Miller, P. and N. Rose. 1990. 'Governing Economic Life.' *Economy and Society* 19(1): 1–31., Hindess, B. 1996. Discourses of Power; From Hobbes to Foucault. Oxford: Blackwell, O'Farrell, C. ed. 1997. *Foucault: The Legacy*. Brisbane: Queensland University of Technology.

Note 3. An efficient prison model designed by Jeremy Bentham involves an annular ring of black-lit cells surrounding a central observatory tower from which each prisoner is potentially visible to unseen guards. See, Foucault M (1977), *Discipline and Punish: The Birth of the Modern Prison,* Vintage Books, New York.

Note 4. Garret Hardin's parable imagines a set of pastoralists who destroy the future viability of their pastoral commons by each of them selfishly deciding to increase their herd size for individual short-term benefit, until the commons becomes over gazed. For more details see, "Hardin Garrett (1968), "The Tragedy of the commons", Science (162), pp-1243-1248.

Note 5. The term "critical consciousness" was coined by Brazilian educator Paulo Freire in the 1960s. Critical consciousness was defined by Dr. Freire as a state of in-depth understanding about the world and resulting freedom from oppression, was at first applied mainly in the field of adult education. Dr. Freire explored liberating educational methods that he believed could promote the development of critical consciousness, especially among poor and illiterate people, a process that would lead to their emancipation and fruitful advancement. His theories have greatly influenced thinking about participatory development (Freire, P 1973).

Note 6. Participatory Rural Appraisal (PRA) comprises a set of techniques aimed at shared learning between local people and outsiders. During this time, PRA has moved from the margins to the development mainstream, opening up space for a diversity of meanings and applications. During 1990s it has been adopted in accordance with the general debate on governance as a new form or even substitute of the traditional government and considered as a strategy to open up spaces otherwise closed off to citizen engagement. For more details, see, Robert Chambers (1983)

Note 7. The Foucauldian concept of care, which locates its origin in the ancient Hebraic conceptions of pastoral power modelled on the shepherd-flock relation (Dean,). "The pastoral techniques meant that the 'shepherd' (the church and now the state) 'took care of the population, while guiding them instilling in each technique of control" (Darier, 1996).

Note 8. Economism is a term used to criticize economic reductionism, in which supply and demand are the only important factors in decisions, and reduce all social facts to economical dimensions. For more details, see Duncan Hallas, "Controversy: What is Economism*?*" *International Socialism (1st series),* No.56, March (1973), pp.18-19.

Costumes Unearthed from Vault 5 of Munchaktepa in the North of Ferghana Valley of Uzbekistan

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Abstract

Munchaktepa burial is an ancient Cemetery and belongs to 4 to 7 century which is located in Ferghana Valley. Local archaeologist has found some textile and garment in Munchaktepa burial since 1987 that is very rare in Central Asian. This article mainly introduces the location and age of the Munchaktepa burial, and the type and style of garment accessories which unearthed from Munchaktepa. In addition, Author released her study of reconstruction on the style of some important kind of garment.

Keywords: Munchaktepa, Uzbekistan, Textile, Garment, Reconstruction

1. Background of the Munchaktepa burial

1.1 Location and age of the Munchaktepa burial

The Munchaktepa burial ground is located 2-3km to the South from Pap city (Namangan province, Uzbekistan) on the right-bank of Syr-Darya in Ferghana Valley. Since 1987 B.Kh. Matbabaev has been carrying out archaeological works in that area. (Note 1) During this working period, 1987-1993, the following types of burial constructions were revealed at the burial ground: single grave (pit graves and niche graves) at Munchaktepa I, vault graves at Munchaktepa II.

According to archaeologists study, there are two phases of the burial ground in Munchaktepa. The early phase of burials is between 5-6th centuries, materials of this phase were discovered from vaults 1, 5, sections and sondages of Munchaktepa II. They are dated back to earlier period, than the rest complex of burial ground.

Materials of the second phases were discovered in small vaults 2, 3 and 4 and in large vault 9. The previous (5-6th centuries) way of development of pottery production remained in this complex. At the same time deterioration of ceramic quality is observed. E.g., washed or partly peeling slip or pottery without slip at all was met. Ceramics with scratched decoration disappeared at the end of period. Some shapes decorated with painted ornamentation and raised border with incisions were revealed.

1.2 Discovery of fabrics from vault 5 of Munchaktepa

Fabric remains were founded in vault 5, vaults 1, 3 and 9, all of these vaults are belong the early phase of burials. The number of fabric from vault 5 is 27 which is accounting for the vast majority of total. Cotton and silk are the mainly types fabrics in Munchaktepa.

The silk textiles excavated from vault 5 of Munchaktepa are mainly in silk tabby, but there are other varieties as well, including taquete in spun silk, taquete in flat silk, silk samite, and damask. Among them, the large quantities of textiles in silk tabby and damask that are technically simple should have been imported from China. Such material evidence demonstrates the influence of Chinese silks to silk productions elsewhere along the Silk Road. It is obvious that the taquete in flat silk and silk samite were produced in the Sogdian area of Uzbekistan, and then exported to China via the Silk Road. However, the taquete in spun silk was most probably woven in an area between the northwest of China and the Ferghana Valley to the east of Uzbekistan.

1.3 Related research on costume from vault 5 of Munchaktepa

Find of cloth remains is rare in archaeological practice. Data on Ferghana clothes in given period was very limited until the discovery of Munchaktepa burial ground. Information about clothes was mainly hypothetical, although there were

finds of some fragments of fabric. That is why finds from the burial ground are very important in researches of Ferghana clothes.

Researches revealed that clothes in burials were not funereal. Ferghana population buried their dead in daily clothes, evidence of which is common stains, patch on dress skirt and worn multi-colored clothes due to long-term use. (Note 2)

For the first time the reconstruction of clothes was carried out by G. Maytdinova. During restoration and conservation of fabric she together with A.K. El'kina recorded data on dress-making. (Note 3) However, she did not pay much attention on classification and clipping of costume. We re-measurement and research the costume and textile from Munchaktepa in September 2008. Following is a summary of research findings.

2. The type and style of garment accessories from Munchaktepa

The discovered fabric is remains of clothes, face cover, head-dresses. The main part of clothes was made of fabric dyed with greyish black paint. Indigo was also used as dyeing material.

2.1 Face cover

Faces of some dead were covered with special veil made of thin silk of high quality. Faces of some dead were covered with special veil made of thin silk of high quality. For example, B-5-1 is a piece of face cover. (Figure 1)

With brown heavy silk tabby (B-5-1a) as the centre panel, edged with brown silk tabby (B-5-1b). The panel is 31 cm long and 47 cm wide. The width of the silk edge range from 1.8 and 3.5cm already disintegrated into a few lengths. B-5-1c is ties for the face cover, made of brown silk 1.8 cm wide. Based on the form of the knotting, there were originally two pieces, each 45 cm in length. (Figure 2)

There is another face cover founded in coffin c-8. It is a damask with lozenge pattern (C-8-1). According to the excavation staff, it was found covering the face, from which it was inferred as the face covering. It has disintegrated into 8 fragments. Its original size is 40cm in length and 25cm in width.

2.2 Head-dress

Silk frontlets 4-6cm wide and 40cm long were founded in some burials. Silk frontlet similar in shape was found in barrow 10 of Kenkol burial ground. (Note 4) Frontlets were also revealed in Ferghana burial grounds of early 1st millennium CE. The analogue shape of head-dress in many areas of Central Asia was ascertained by ethnographers. (Note 5)

Among materials from Munchaktepa there is one more type of head-dress. It was disclosed as large silk pieces placed under heads and around ears. Taking into account ethnographic data we assume that it can be remains of kerchief-shaped head-dress. Such frontlets are called "peshonaband" and worn by young ladies and brides also like kerchief as universal head-dress. Kerchiefs and frontlets were frequently combined. Other types of head-dresses were not preserved, but beads were found around head in some burials.

2.3 Upper Garment

The garments unearthed in Tomb No. 5 are basically in the style of pull-over tunics, which has three parts: bodice, neck trim and sleeves. The pull-over tunic has no full length opening at the front bodice, the garment is worn by pulling the neck opening over the head.

Usually an uncut length of cloth for the front and back, folded in half lengthwise to sit on the shoulders. Neck opening cut at the centre, then attach sleeves or edging, This basic form appear in different nations and cultures, with differences in details and embellishments. At Tomb No. 5 of Munchaktepa, 2 methods of cutting are discovered.

2.3.1 Cutting Method I

Analysis of the cutting method I is based on D-6 (Figure 3). The fabrics excavated from this coffin are rather intact as a finished garment. Upon their excavation, they have been taken care of by the conservators. All the textiles have been tacked on grey linen for support. D-6-1, a light brown tunic, is well preserved. The front and back is made in one rectangular panel (D-6-1a) shoulder and bottom edge both measure 51 cm. 55 cm in length with neck opening in the centre. The neck opens 24.5cm in depth and 8 cm in width. The left sleeve (D-6-1b) is intact, 25 cm in length, 26 cm wide at shoulder seam and 17 cm wide at the cuff. The right sleeve fragment (D-6-1C) is 21 cm in length, 26 cm wide at shoulder seam and 17 cm wide at cuff. D-6-2 is a wide outer neck facing, light brown, 36 cm in length, 17 cm wide at top section and 9 cm at bottom (Figure 4). D-6-3 to D-6-16 are all rectangular silk fragments with various lengths and widths. Some pieces have seam allowance at the edges.

The bodice and sleeves were all cut from a fabric 51 cm width. Neck opening cut in the centre (Figure 5), and facing cut from another piece. The body length is 55 cm, the measurement sleeve cuff to sleeve cuff at shoulders measure less than 100 cm, rather small size, may be made for a youngster. Its front and back view is illustrated in Figure 6.

2.3.2 Cutting Method II

Cutting Method I is relatively simple, but the width of the garments limited by the width of the woven cloth. Judging from the intact selvages, fabric widths are mostly 50-52cm wide. When made up as garment in method I, the finished width will be around 50cm. To increase the width of the garment, method II is used, as shown in the fragments of L-2. (Figure 6, Figure 7 & Figure 8)

Upper garment of silk, only part of the front bodice and sleeves are kept.

L-2-1a is the bodice panel, of 119cm in length, bottom width 52 cm. Neck opening in the centre, with a depth of about 30cm. On either sides of the bodice panel, are pieces trapezoid in shape, labeled as L-2-1b and L-2-1C.

L-2-1b measures 58 cm in length, top edge 5.5 cm in width and bottom 19 cm.

L-2-1c is 35 cm in length, top edge 4 cm in width and bottom 12 cm

L-2-1d is 5.5 cm in length and 15 cm in width.

L-2-2 is the sleeve, the fragment is 58.5 cm in length, 57 cm in width. It three pieces sewn together.

L-2-2a is a square shape, fragment measures 49 cm in length, 50 cm in width, at both sides rectangular piece of silk is stitched .

L-2-2b is 9.5 cm in length, 50 cm in width.

L-2-2c is trapezoid in shape, 49cm in length, with the upper and bottom width of 4.5cm and 7cm. L-2-3 is a sleeve panel, fragment 60cm in length and 57 cm in width, it is also made of three pieces stitched together.

L2-3a is square shape, fragment 49 cm in length and 50.5 cm in width, at both sides rectangular piece of silk is stitched .

L-2-3b is 9.5 cm in length and 51 cm in width.

L-2-3c is trapezoid in shape, 51 cm in length, with the upper and bottom width of 4 cm and 8 cm . The reconstruction drawing and cutting arrangement as illustrated below.

The bodice of L-2 has been fragmented to several pieces. After reconstruction, we can tell the fragments of L-2-1a, and the above-mentioned D-6-1a were both made from an uncut piece of fabric. What makes them different is that at the sides of L-2-1a, there are the trapezoid pieces, i.e. L-2-1b and L-2-1C. In addition, there is another piece of remains L-2-1d at the sleeve seam, which is 5.5 cm in length and 15 cm in width. L-2-1b is in a better condition, with a right-angle indentation at the top, seam allowance and stitching marks (seen in Figure 2-13: partials of L-2-1b). Based on the comparison of the two sleeves of L-2- 2 and L-2-3, we can conclude that L-2-1b and L-2-1c was employed to increase the garment width and the right-angle indentation at the top part is for the setting in the sleeve.

With these details, we can infer the cutting method from the analysis of fragments from L-2, as displayed in Figure 9. The reconstruction drawing shows the garment is 110 cm in length and 117 cm sleeve cuff to cuff, through shoulder, 91cm bottom width. Neck opening in the centre, with a neck depth around 30cm. Sleeve is 34 cm in width at armhole and 29 cm at the cuff.

2.3.3 Neck Opening Type I (Inner Neck Facing)

Type I is represented in B-3-1, C-6-1 and X-2.

B-3-1: The piece of B-3-1 is a brown collar facing, circular shape around the neck and pointed at chest, which we called as the inner neck facing made in the same style as that of C-6. Due to the damage at the upper part, it can be inferred that the original collar piece should be around 38 cm in length and 20 cm in width. The neck opening is 13 cm in depth and 10 cm in width. (Figure 10)

C-6-1: C-6-1 is a brown inner neck facing, 2 layers sewn together with a seam allowance of 0.8 cm. The piece is 41 cm long, with a neck opening of 11.5cm lengthwise, around 10 cm widthwise, with a 2.5cm wide bottom edge(seen in Figure 2-5: Reconstruction Drawing of C-6-1). A piece of silk samite fragment is stitched to the bottom edge. (Figure 11)

According to the detail of B-3-1 and C-6-1, we believe that the shape of the neck opening facing is round on the top and tapers down to the bottom. The facing piece is 40 cm in length, with a opening cut 10 cm wide and 20cm deep. There is opening at the back, possibly originally with ties as fastening. Judging from the size of the opening, it is rather close to the neck, similar to what is on this fresco Dalverzin-tepe in the 3-4th century AD (Figure 12).

2.3.4 Neck Opening Type II (Outer Neck Facing)

Type II is represented in A-6-6, B-3-2, D-6-2, D-9-3, E-2-1 and X-1.

A-6-6: A-6-6 is made of spun silk taquete, rather rectangular in shape, we call it outer neck facing. It is single layer with a seam allowance of 0.8 cm at the edge for hemming. This facing piece is made of two pieces: one labeled as A-6-6a is 35 cm in length and 10 cm in the broadest width and 6 cm the narrowest. The other labeled as A-6-6b is 10 cm in the broadest width and 6 cm the narrowest. Pairing the above-mentioned two pieces together, it can be inferred that the

collar piece measures around 49 cm in length, with the upper part of 25 cm in width and the narrow bottom of 12 cm (Figure 13).

B-3-2: B-3-2 is an outer neck facing with the similar shape as that of A-6-6 and D-6-2, D-9-3 and E-2-1. As the upper part of the collar facing is missing, it can only be inferred from the recovery illustration of the collar that the piece should be between 55 and 60 cm in length and between 30 and 33 cm in width, the upper portion 19 cm wide.

At inside and outside edges of B-3-2, decorative ribbon was stitched respectively, of which the ribbon close to the inside edge was made of 2 layers sewn together. The ribbon at the outside edge is a green silk taquete decorated with pearl roundel (B-3-2a). The ribbon close to the inside edge is made of silk samite (B-3-2b) 3cm in width. The dark brown silk ribbon close to the outside edge is approximately 1.5 cm in width (B-3-2c). (Figure 14).

Most of the neck facings measure between 50 and 60cm in length, between 20 and 30 cm in width at the top portion, and bottom edge between 12 and 20 cm. Figure 14 shows Type II neck opening facing is connected to the L-2 bodice in the reconstruction drawing (Figure 15), with front and back view. The back view of a trader on the stone engravings of Fujia in Qingzhou in the 6th century AD is a reference of what its back look likes on the body (Figure 16).

According to excavation of B-3-1 and B-3-2 condition, neck opening Type I and II are not stitched together. The shape of the inside edge of Type II(B-3-2) is similar to the shape of the outside edge of Type I(B-3-1).The two types may be arranged in pairs. They are probably stitched together with the collar, or Type I is part of an under-garment, and Type II should be the neck opening facing on an outer-garment. It is difficult to judge now because of the lack of the excavation information.

Based on a comparison with the textile fragments excavated from Coffin A-6, B-8, D-9, E-2 and L-2, this type of upper garment has a neck opening, and on top is the pull over garment with the neck facing, this should be the basic form of the local costume. Aside from upper garments, no trace of pants or skirts can be identified from the excavated textiles from Tomb No.5. Viewing from the top view of the excavated coffin No. A-10, there were strips of silk at the ankles of the body (Figure 17). These might be trimming of the upper garment, or of pants or skirts.. Russian scholar Sergery Yatsenko, made related studies on the costumes of Munchaktepa, suggesting there should be pants worn with the upper garments, as illustrated in Figure 18.

2.4 Footwear

Remains of leather goods on waist and legs below knees were disclosed in male and female burials. Definitely, they are remains of leather belt and also footwear. The footwear was, obviously, soft boots without heels and prototype of modern makhsi – massi (ichigi) of Uzbeks in the Ferghana Valley, Khorezm area, etc. The evidence of it is wooden boot-tree for footwear production. It was cut by knife out entire piece of wood; it has convex basis, obtuse toe and round-convex back reminding shape of *ichigi*. Reverse of foot-tree is even. It is 27.5sm long and 8sm wide, what is approximately corresponded to 42-43 modern size. It is thoroughly polished and very slick.

An iron knife with large massive wooden handle was disclosed near foot-tree. Perhaps, besides soft boots there were different types of footwear. It is possible to judge about it according to remains of leather and ropes made of thick threads. The latter ones were used to tie footwear somehow analogue to modern boots. The soft boots – *ichigi*, obviously were the most fashionable type in the 5-8th centuries in Central Asia. The soft boots – *ichigi* were known mainly according to murals till recent time. The analogue boots made of leather were disclosed in Sogdian site of Kafyrkala (excavated by Berdimuradov A.) and among collection of finds from Mug Mountain in Sogd and also in Tashkent oasis. In the Ferghana Valley at Karabulak Ju.D. Baruzdin disclosed boots without heels, i.e. *ichigi*.

Discovery in Munchaktepa let us learned about the costume of residents in the Fergana Basin in 5-6 century AD. Both men and women wearer large coat and trousers, it's similar to the costume of Sogdian population with the same period. Besides, the textile of the costume also reflects the technical exchanges with China.

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Note 5. Brykina G.A., 1982. Yugo-zapadnaya Fergana v pervoy poloviny I tysyacheletiya nashey yery. Moskva.pp126.

Figure 1. B-5-1

Figure 2. Reconstruction drawing of face cover

D-6-1   D-6-2   D-6-3\4\5\6
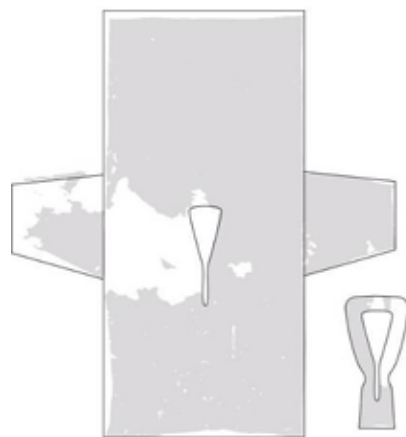
Figure 3. D-6

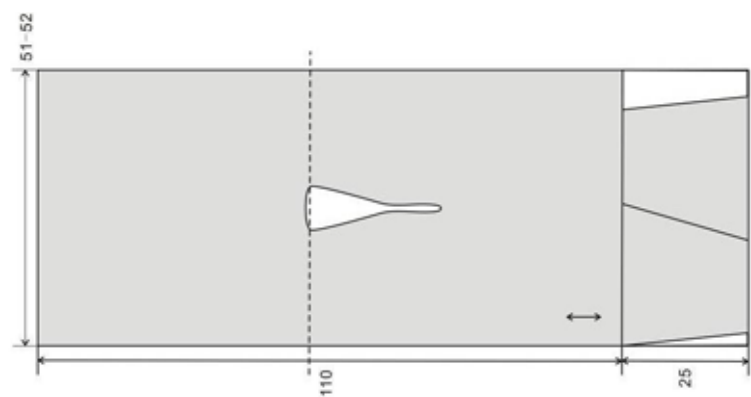Figure 4. Reconstruction Drawing of D-6
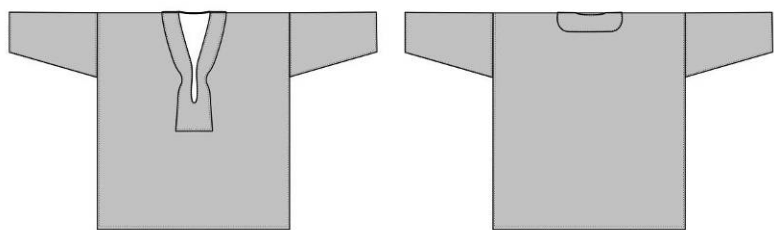

Figure 5. Cutting diagram of D-6

Figure 6a. Front and back view of D-6

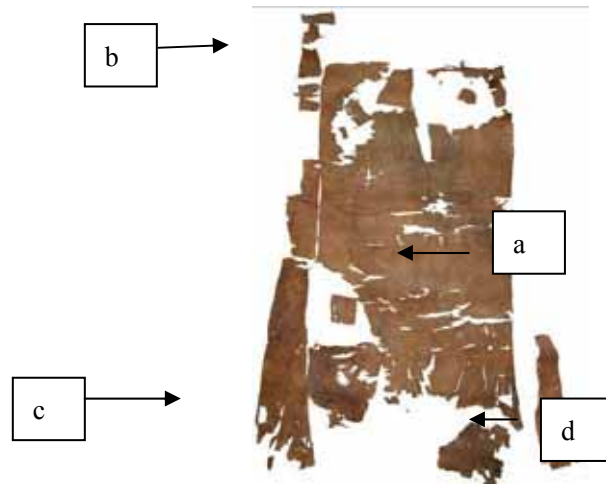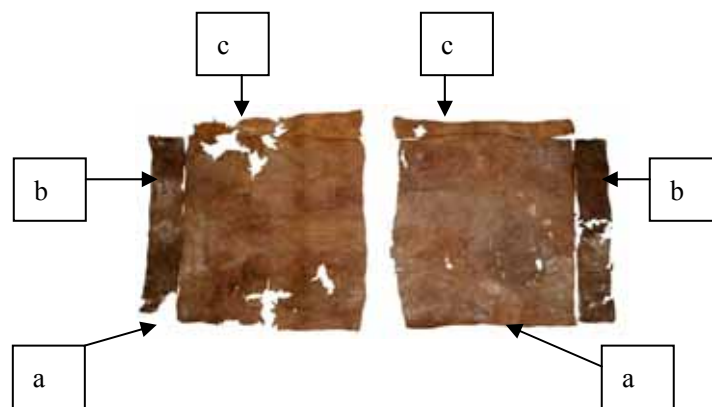Figure 6b. L-2-1

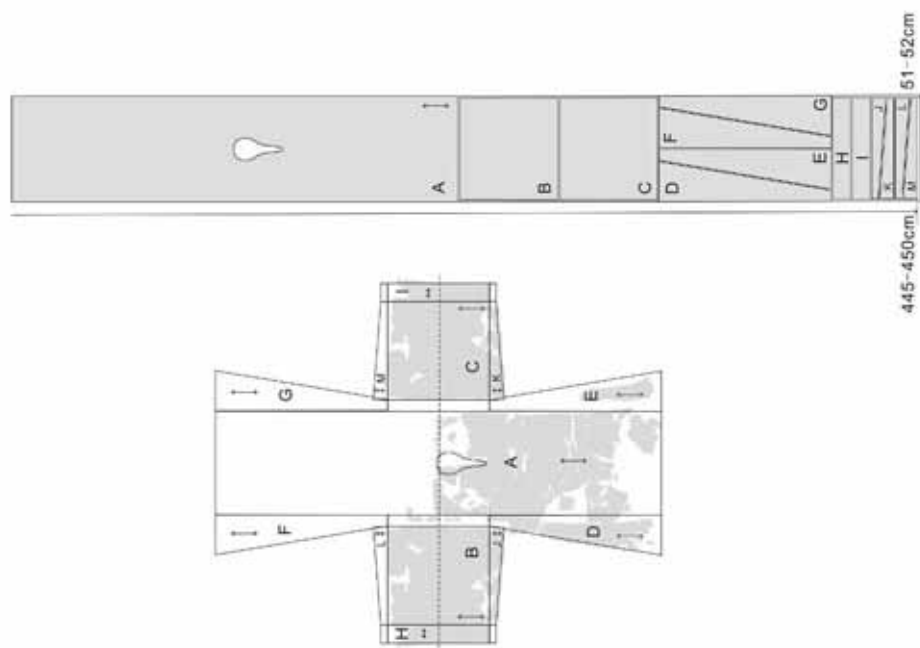Figure 7. L-2-2   Figure 8. L-2-3

Figure 9. Cutting method of L-2

Figure 10. B-3-1

Figure 11. C-6-1

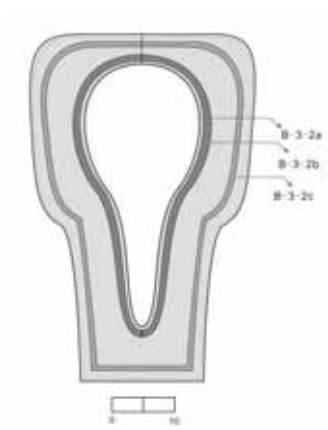Figure 12. Wall paint of Dalverzin-tepe

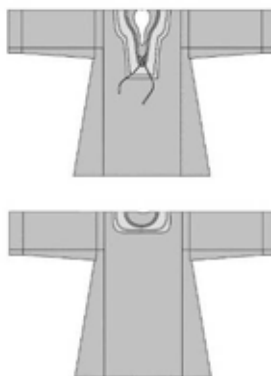Figure 13. A-6-6

Figure 14. B-3-2

Figure 15. Reconstruction drawing of L-2

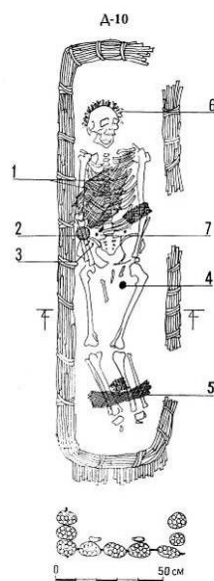Figure 16. Stone engravings of Fujia in Qingzhou

Figure 17. Top view of A-10

Figure 18. Drawing of female and male costume in Munchaktepa

Perceived Parental Overprotection and Separation Anxiety:

Does Specific Parental Rearing Serve as Specific Risk Factor

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Abstract

The present study was designed to explore the role of perceived parental rearing style in Separation Anxiety Disorder (SAD). We examined the association between perceived parental overprotection and rejection rearing style with children's SAD symptoms. The study was conducted with a normal sample of first grade school children. Findings indicate significant association between parental overprotection and SAD symptoms, means those children with SAD symptom perceived their mother as high overprotective than others. Also, we discovered parental rejection merely was not significant predictor, but it could modify the effect of parental overprotection.

Keywords: Childhood anxiety, Separation anxiety, Children, Parental rearing style

1. Introduction

Separation Anxiety Disorder (SAD) is excessive anxiety or distress concerning separation from home or a primary caregiver, typically mother (American Psychiatric Association, 2000). In time of separation sever worry about self or the person represent safety appears. For example in new and unfamiliar situations, the child with SAD is often dependent on his/her attachment figure and may refuse going to school or social activities (APA, 2000). The factors that lead to the development of SAD have not been fully identified. While some of the association between parent and child anxiety can be explained by genetic factors (Turner, Beidel & Costello, 1987), the environment factors such as stressful transition events (like beginning school), insecure attachment relationships, and negative family experiences are also, likely represent the great contribution to anxiety (Chorpita, 2001). Generally, research on anxiety suggests that early experiences that foster a sense of diminished control over the environment may contribute to a vulnerability to develop anxiety in children (Chorpita & Barlow, 1998).

Quality of parenting is the strongest risk factor contributing to child's outcomes (Collins, Maccoby, Steinberg, Hetherington, & Bornstein, 2000). Specifically the lack of warmth is strongly associated with children's increased risk for behavioral and emotional problems (Shaw, Owens, Vondra, & Winslow, 1996). Children who experience a coercive pattern are in risk factor for eventual problems such as difficulties with school adaptation and relationship with peers (Loeber & Farrington, 1998).

Due to limited evidence related to association between parental rearing and childhood anxiety as rated by children, there is no definitive conclusions about this aspect of the literature (Bogels & Brechman-Toussaint, 2006; Wood, McLeod, Sigman, Hwang & Chu, 2003). More specifically, a linkage between perceived parental rearing and SAD has not been documented empirically; and it is surprising that there are few studies to date have examined the effects of parental rearing on children's SAD. A study of parental behavior and their offspring would help to clarify these issues. This study investigated the linkage between perceived parental rearing and SAD symptoms in children to provide a more definitive statement about anxiety disorder in children.

Current study does not specifically address the interaction between mothers and their children, but, a sense of control in the child may be beneficial in targeting early forms of separation anxiety. The main objective of this study is to identify the association between particular parental rearing such as overprotection or rejection rearing, with child's SAD in particular. The authors hypothesized that parental overprotection may contribute to the development of SAD by limiting the children's independence and social development. Parental rejection also, may lead to a dysfunctional relationship between the parent and child, which could result in the children having difficulty in social situations.

2. Previous Research

Parental overprotection and rejection were found to be significantly associated with higher rates of anxiety and social phobia in children and adolescents (Lieb, Wittchen, Hofler, Fuetsch, Stein, & Merikangas, 2000). While overprotection have been consistently implicated in contributing to the childhood anxiety (Rapee, 1997), only some studies have supported parental rejection as etiological factor for anxiety. It has been suggested that overprotection behavior from the mothers, excessively protects the children from all indicators of threat that related to child anxiety (Edwards & Rapee, 2007) and contribute to children's anxiety, dependence, and social withdrawal (Wood et al., 2003). This limits children's autonomy and fosters their dependency to parents, lead children to internalizing problems (Hudson & Rapee, 2001).

Two general models of parent-child interaction may provide an explanation as discussed here. Chorpita, Brown & Barlow (1998) model proposed that, over-controlling parenting represent excessive protection of children from negative consequences, and encourage children's unnecessary dependence on the parents. When mothers protect their children during events or continue to display high level of protection during later developmental periods, children's thoughts about their abilities or their control over their environment may be affected. In this case, the child may develop an external locus of control or feeling of helplessness (Chopita et al., 1998). Parker and colleagues (Parker, Tupling & Brown, 1979) conceptualized overprotection as parental behaviors that disallow the child's personal growth, development, autonomy, and independence. They included a second variable in their model, care, which is the parent's ability to communicate, express affection, and promote closeness with the child. Overprotection and care are theorized to interact, with moderate to high levels of parental overprotection and care assumed to have positive effects on the parent-child relationship and the child's health.

The majority of studies support the association between overprotection rearing and childhood anxiety in general (Wilde & Rapee, 2008; Wood et al., 2003; Hudson & Rapee, 2005). Also, McLeod, Jeffrey, Wood and Weisz (2007), revealed that higher levels of parental rejection and control were associated with more anxiety in children, while parental control has greater proportion of the variance in childhood anxiety. Wood (2006) found parental intrusiveness specifically linked with SAD in clinical sample. Also, Gastel, Legerstee and Ferdinand (2009) presented a positive relationship between parental overprotection and anxiety in children. More so, Brown and Whiteside (2008) found that worry in children has positive correlation with parental rejection only. On the other hand, Siqueland, Kendall & Steinberg (1996), have been found no significant association between normal and clinical children in rating of maternal control. Moreover, Muris, Loxton, Neumann, Plessis, King & Ollendick (2006), also, Gruner, Muris & Merchelbach (1999) found a positive correlation between anxiety symptoms and parental anxiety, overprotection and rejection. Some study represented relationship between parental depressive symptoms with more rejection and hostility (Burt, Van-Dulmen, Carlivati, Egelalnd, Sroufe, & Forman, 2005; Cummings, Keller & Davies, 2005; Johnson, Cohen, Kasen, Smailes & Brook, 2001). However, the studies that have examined children's report of current perceived parenting do not provide the strength evidence of associations between the parenting and childhood anxiety and it has not been established yet (Wood, 2006).

3. Hypothesis

For studying the association of parental rearing and SAD symptoms in children, we test the two following hypotheses:

H1: There is significant association between parental overprotection rearing with child's SAD symptoms.

H2: There is significant association between parental rejection with child's SAD symptoms.

4. Materials and Methods

4.1 Sample and Procedures

Respondents consisted of 120 normal children aged 6-8 years, who were randomly selected from the first grade schools in the southern city of Iran. All children were interviewed individually using SAAS-C and EMBU-C in a quiet room at their school. The instructions were read by the researcher and the children were asked if they had any questions about the questionnaire. They were told also that their responses would remain confidential.

4.2 Measures

4.2.1 Separation Anxiety Assessment Scale- Child (SAAS_C): This scale is a 34-item measure designed to assess separation anxiety and related anxiety symptoms, developed by Hahn, Hajinlian, Eisen, Winder, and Pincus, (2003). The SAAS-C scored on a four-point Likert scale (1-4) and designed to assess four key dimensions of separation anxiety includes, fear of being alone (FBA), fear of abandonment (FAB), fear of physical illness (FPI), and worry about calamitous events (WCE). These symptom dimensions were drawn from the clinical child literature on SAD and related problems (Eisen & Schaefer, 2005). For purely exploratory reasons, the SAAS-C includes a frequency of calamitous events (FCE) subscale. This scale also, contains a Safety Signal of Index (SSI) of persons, places, or objects that help children feel more secure in distressful situations. The SSI may help clinicians identify unhealthy signals.

FBA and FAB are considered the avoidance dimension, which children may become anxious when alone or being abandoned, because maybe something bad will be happen. The FPI and WCE are considered the maintenance dimensions, which the children may have worry about physical sensation (like choking) and calamitous events can maintain child's FBA or FAB. The four key dimensions interpreted as general separation anxiety symptoms. Hahn (2006) examined the psychometric properties of this scale in a sample of 6-17 years old and Bahadurian (2006), in a sample of children aged 5-18 years. These studies indicated adequate psychometric properties and suggested as a useful assessment of children. In the current study, we restricted our analyses to overall score. The overall Cronbach's alpha for the SAAS_C scale was found to be 0.92 and for subscales of FBA, FAB, FPI, FCE, WCE, and SSI were 0.86, 0.84, 0.82, 0.72, 0.84, and 0.74 respectively.

4.2.2 The Egna Minnen Betraffende Uppfostran (EMBU) is Swedish and means "My memories of upbringing"developed by Castro, Van der Ende, & Arrindell (1993). The EMBU is a questionnaire for assessing memories of parental rearing and focuses on the child's report of parents' child rearing behaviors. They showed the reliability analysis of the EMBU scales in Cronbach's alphas ranging from 0.62 to 0.80 with an average alpha of 0.72.

For the present study, we used a modified 40-item version of this questionnaire (Gruner et al., 1999) for children (EMBU-C). Gruner et al. (1999) attempt to include parental rearing styles that take specifically relevant for the study of childhood anxiety. The 40 items can be allocated to four subscales: emotional warmth (e.g., your mother and you like each other), rejection (e.g., your mother treats you unfairly), overprotection (e.g., your mother want you to reveal your secrets to her), and anxious rearing (e.g., your mother is afraid that something might happen to you). Each item could be rated on a 4-point Likert-scale (1: No, never, 2: Yes, but seldom, 3: Yes, often, 4: Yes, most of the time). Many studies suggested that EMBU-C can be considered to be a suitable instrument for children in 7-13 years old, whether relations between psychological disorders and the perception of parenting (Brown and Whiteside, 2008; Muris, Meesters, Schouten & Hoge, 2004; Markus, Lindhout, Boer, Hoogendijk, & Arrindell, 2003). In the present study, all items referring to mother. The internal consistency coefficient for EMBU_C was 0.90 and for the subscale of warmth, over protection, rejection and anxious were 0.97, 0.83, 0.83, and 0.97 respectively. We restricted our analyses to two subscales scores consisted of parental overprotection and rejection.

5. Results

SPSS was used to calculate descriptive statistics, Cronbach's alpha, percentage, mean scores, standard deviations. Correlations computed in order to examine the connection between perceived parental rearing and anxiety symptom. Variance and regression analysis, used to find the significant association between variables and significant predictor of child's separation anxiety symptoms.

Data were available for 120 participating children from first grade school. The age of children as reported by the participants ranged from 6 to 8 years with a mean age of 7 year, and the gender of the children showed 45% boys and 55% girls.

The mean and standard deviation for the total SAAS-C score in the present sample were M= 75.6 and SD= 12.6. The mean score corresponds closely to the results quoted by Eisen and Schaefer (2005), who reported a mean value 75 for this scale. The mean and standard deviation for EMBU-C total score was M= 95.82 and SD= 6.95. The mean and standard deviation of subscales as represented in Table 1, were somehow differ in compare with prior study (Brown & Whiteside, 2008).

The hypothesis proposed that perceived parental rearing styles have significant correlation with child's SAD symptoms. The zero-order correlations were calculated to measure the association between each of the two perceived parental rearing and SAD symptoms among children. The parental overprotection and child SAD symptom was significantly correlated (r= 0.71, p<.05), as higher levels of overprotection from mothers was associated with the presence of higher score in SAD symptom in the children.   The correlation between parental rejection and SAD was not significant. Also, the correlation coefficient between parental overprotection and SAAS-C subscales ranged from .31 (for FPI) to .71 (for total score). The correlation coefficient between SAAS-C subscales and parental rejection, indicated that statistically significant correlation with FPI only, although the effect size was very small. These results revealed that parental rejection related more to FPI in children (r= -.20, p < .05), means with higher score in parental rejection associated with lower score in fear of physical illness in children.   More so, we did not find significant correlation between parental overprotection and rejection (see Tables 2).

A simple regression of parental overprotection on SAD revealed that the R-square explained 51% of the variance in the SAD and the model was fit [F (1,118) = 122.22, p < .001]. Also, a standard multiple regressions were used to assess the ability of both measures (overprotection and rejection) to predict level of SAD symptoms. The R-square explained about 53% of the variance in the SAD. The F statistic is very large and the corresponding p-value is highly significant [F (2, 117) = 64.82, p < .001]. As it depicted in Table 4, the largest beta coefficient is (β =.722, p< .001), which is for parental overprotection. This means that this variable makes the strongest unique contribution to explaining the SAD symptoms. The beta value for parental rejection is (β= .130. p< .05) and indicating that it made the least contribution. The findings indicated that the effect of parental overprotection on SAD symptoms reduce when the parental rejection contributed in the model (see Tables 3 & 4). Partial correlation analysis shows that there was a small increase in the strength of the correlation (from .084 to .185, p<.05) in parental rejection, means that the observed relationship between parental rejection and SAD symptoms is affected by parental overprotection. This result suggests that parental rejection is not merely to the influence of SAD symptoms in children, but with combination of parental overprotection have some effect on the SAD symptoms.

6. Discussion and Conclusion

The current study adds to recent literature by helping to investigate the association between perceived parental rearing style and SAD symptoms in children. We hypothesized that parental overprotection and rejection rearing may contribute to the development of SAD by limiting the children's independence and lead to a dysfunctional relationship in social situations.

Out of the two individual parental rearing (overprotection and rejection), parental overprotection was more significantly associated with SAD symptoms and suggests that excessive parental overprotection may play an important role in children SAD symptoms. The finding appear to support the notion that high protection by mothers, is an antecedent for the experience of SAD symptoms in children and is consistent with the more behavioral literature (Gastel, et al., 2009; Wood, 2006). These findings are consistent with those who found significant association between parental overprotection and control with childhood anxiety (Wilde & Rapee, 2008; Edwards & Rapee, 2007; McLeod et al., 2007; Wood et al., 2003; Lieb et al., 2000; Chopita & Barlow, 1998; Rapee, 1997).

Our results lend to support to theoretical models that emphasize the role of control and self-efficacy as a cause of anxiety. When parents fail to provide children with the opportunity of experience control, it is possible that children may not to provide a strong sense of self efficacy, thereby increasing their sense of vulnerability to threat and heightening anxiety (Wood, 2006; Chorpita and Barlow, 1998).

According to theoretical views, parental overprotection may lead to anxiety by increasing beliefs in the dangerousness of the situation and the lack of ability to avoid the danger (Rapee, 1997). This reflects intrusive actions that emphasize the closeness of the parent-child bond, such as restricting the child's independent activities, and unnecessary management, display high levels of distress and needness in children may prevent the formation of independent behavior on the part of the child, leading to infantilezation (Parker & Lipscombe, 1981). In turn, this limits children's opportunities to practice and improve their self-regulation and active coping skills, and communicates the message that they are incapable and require parental assistance to handle normal life tasks.

Against, in regard to the literature on developmental relationship between the mother and the child (Bowlby, 1969), there is agreement regarding the idea of need gratification early on in the child's development and a sense of safety in responding to its environment. These early attachment behaviors and attitudes between the child and mother provide a foundation for the child to feel protected and safe in its development of meaning of self and other. This result may appropriate for the nature of separation anxiety disorder. It sounds that children who have more dependency to their family and they noteworthy by their parents in comparison with other children, they have more fear and anxiety of separation from parents and home (Eisen & Schaefer, 2005).

On the other hand, parental rejection appeared to play a very small role, explaining less than 1% of the variance in children's SAD. The parental rejection had effect only if it is contributed with parental overprotection, means rejection can not merely predict the SAD symptom. Conceptually, Bowlby (1969) hypothesized that insecure attachment experience develops expectations of lack of social reciprocity, inconsistency and rejection in other social relationships, and low self-confidence. They are less likely to regulate their emotions in stressful circumstance, by displaying either heightened emotional expression or suppressing the expression of their negative arousal. This process, during the parent/child relationship, may be involved in making the child feel less safe within the environment and causing the child to develop a protective armor. Based on our findings, observed pattern suggests that parental rejection support for independency in children may facilitate children's confidence and buffer against excessive separation anxiety.

This finding is not in line with existing literature that suggests that high rejection and high over protection may induce child anxiety and it was somewhat surprising and inconsistent with (Gruner, et al., 1999; Moor, Whaley & Sigman, 2004) in identifying parental rejection as a significant predictor. We found no real relationship between parental rejection and SAD symptoms in children. An explanation is this result is that, perceived parental rejection is a more important variable in differentiating depressed individuals (Burt et al., 2005; Johnson et al., 2001; Rapee, 1997) and mothers who exhibit depression, they are less warmth, more intrusive and rejective toward their children (Elgear, Mills, McGrath, Waschbusch & Brownridge, 2007; Cummings et al., 2005). More so, Wasserman, Miller, Pinner & Jaramillo (1996) proposed positive relation between parental rejection and externalizing disorders. However, a review of Wood et al. (2003) illustrated that the associations between parenting style and child anxiety are not consistent, and mostly based on retrospectively or observational measures in community samples.

The present study suggests that parental overprotection has an important role in the pathway leading to child separation anxiety, and increases development of this disorder. It is possible that those mothers that discourage exploratory activities and overprotect their children, leading to self-perceptions of incompetence, as well as decrease opportunities for the child to face and cope with strange situations.

Although, the current study provides initial support for using the SAAS-C and EMBU-C to assess the SAD symptom and perception of parental rearing in children, it should be mentioned that this study examined children sample from the general population who self-rated SAD symptom scores. So, the children with SAD symptom may differ from an actual DSM diagnosis of SAD. The generalizability of our results was limited by the fact that we could not adequately assess consistency of the parenting and child's SAD across in a broad range of characteristics of the sample. To aid future efforts, it would be helpful for researchers to provide a more thorough description of sample characteristics and design features so that the impact of these factors can be more fully assessed. It is extremely difficult to determine whether anxious children are a product of parental overprotective, or parent behaviors that increase the likelihood of development of separation anxiety disorder in a child. Future studies may evaluate the influence of parental overprotection in clinical and non-clinical samples. Finally, it is possible that children respond to mothers and fathers in differential pattern, which will increase the knowledge of the role of parental rearing on children SAD symptom.

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Table 1. Mean, standard deviation, minimum and maximum for SAA-C total score and EMBU-C total and subscales from current study compare with Brown & Whiteside (2008) and Eisen & Schaefer (2005).

Scales	Min.	Max.	Mean	S.D	Mean	S.D
					Brown & Whiteside (2008)	
Parental warmth	14.00	40.00	25.32	9.01	32.34	6.18
Parental overprotection	18.00	38.00	29.64	4.75	23.65	4.83
Parental rejection	10.00	21.00	13.46	2.66	15.89	4.55
Parental anxious	13.00	38.00	26.94	8.88	22.56	5.75
					Eisen & Schaefer (2005)	
SAAS-C total score	50.00	96.00	75.57	12.64	75.0	
FBA	5.00	19.00	12.56	3.27	11.0	
FAB	6.00	17.00	11.46	2.98	12.0	
FPI	7.00	14.00	10.19	1.51	9.5	
WCE	5.00	17.00	12.00	2.97	13.5	

Table 2. Correlation between SAD score and four dimensions of parental rearing, among the overall sample

	1	*2*	*3*	*4*	*5*	*6*	*7*
1) SAAS_C total	1.000	.894**	.850**	.459**	.904**	.713**	.084
2) FBA		1.000	.779**	.229*	.788**	.657**	.058
3) FAB			1.000	.237**	.653**	.651**	-.009
4) FPI				1.000	.425**	.308**	-.199*
5) WCE					1.000	.671**	.136
6) Overprotection						1.000	-.064
7) Rejection							1.000

**. Correlation is significant at the 0.01 level (2-tailed).

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

Table 3. The simple regression analyses for the prediction of SAD score on the parental overprotection predicting.

variable	*B*	*SE*	*β*	*t*	*P*
Constant	19.29	5.15			
Overprotection	1.90	.172	.713	11.06	.000

Note: $R^2 = .51$, $\Delta R^2 = .50$, $F_{(1,118)} = 122.22$, $p < .001$)

Table 4. The multiple regression analyses for the prediction of SAD score on the parental overprotection and rejection predicting.

variable	*B*	*SE*	*β*	*t*	*P*	*Partial r*
Constant	19.29	5.15				
Overprotection	1.92	.170	.722	11.31	.000	.723
rejection	.617	.303	.130	2.04	.044	.185

Note: $R^2 = .53$, $\Delta R^2 = .52$, $F_{(2,117)} = 64.82$ (ps < .05)

A Corpus-based Study of Developmental Stages of

Demonstratives in Chinese English Majors' Writing

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Abstract

On the basis of comparisons between the corpus of English Majors' Composition of Ludong University (EMC corpus) and other corpora as well as among different levels in EMC corpus, this thesis studies the feature of using frequency and stages of development of demonstratives used by Chinese English Majors. The result reveals that English Majors of lower and higher grades tend to overuse and underuse demonstratives respectively; with their better and better command of English, the using frequency of demonstratives tends to be closer to that of native speakers' except for the proportion of the using frequency of singular to plural demonstratives as demonstrative pronouns as well as the using frequency of plural demonstratives.

Keywords: Demonstratives, Frequency, Developmental stages, Features

1. Introduction

Demonstratives play an important role in English writing. Appropriate use of demonstratives can make the discourse coherent and structure compact (Zhang Yan, 2006).

Demonstratives consist of demonstrative pronouns and demonstrative determiners. A demonstrative pronoun can act as anaphora and cataphora, being used instead of a noun to designate an object which is identifiable from context or usage. A demonstrative determiner is a modifying word which limits the application or reference of the noun modified. Anaphora is the use of an expression which refers to or stands for an earlier word or group of words. Cataphora is the use of an expression which refers to or stands for a later word or group of words (*Oxford English Dictionary,* 2004: 75-2366).

Many scholars have conducted researches about demonstratives. Zhang Ji (2003) studies demonstratives as anaphora and cataphora, yet the study lacks the support of data from corpora. ChenYi (2002) finds that the frequency of "that" is much higher than "this" with the statistical sampling from the British and American English vocabulary, but the sample is about native speakers which can not reveal the situation of Chinese English learners. Although ZhangYan (2006) makes a comparison with native speakers on the basis of WECCL corpus and reveals features of demonstratives (this, these, that and those) used by Chinese English learners, her corpus is static and unable to reveal Chinese English learners' developmental stages. So this thesis, on the basis of the corpus of English Majors' Compositions of Ludong University (EMC corpus), carries out a research concerning features of frequency distribution in Chinese English Majors' using demonstratives as well as features at different developmental stages through comparing with other corpora and between different grades in this corpus. The result of this study can give writing instruction some enlightenment.

2. Research design

2.1 Objectives of the research

1) What are the features of the frequency of demonstratives used by Chinese English Majors?

2) What are the developmental features of the frequency of demonstratives at different stages?

2.2 Corpus

The corpus consists of compositions of English Majors in Ludong University. The compositions originate from the final exam on comprehensive English of Grade 2008, 2007 and 2006 respectively in the first semester of the school year 2008-2009. The token of the corpus is 87,606 words, with 31,348 words in Grade 2008, 30,381 words in Grade 2007, and 25,877 words in Grade 2006.

2.3 Method and procedure

In the first place, compositions are input into computers manually and saved as documents (.txt), and after a random sampling check, the accurate rate of the input is 100 percent. Second, with the help of the software "Concord" and "Wordlist" in "Wordsmith", examples containing the four demonstratives (this, these, that and those) are collected, and then examples with "that" serving as the relative pronoun and adverb are deleted manually. Third, all the rest examples are classified in accordance with the demonstrative pronoun, demonstrative determiner, anaphora and cataphora manually. Finally, frequency in the corpus and each grade is calculated and features are revealed.

3. Data analysis and discussion of EMC Corpus

3.1 Analysis of frequency distribution of demonstrative pronouns and demonstrative determiners

Table 1 is about learners' using frequency of demonstratives in EMC corpus. The figures after each demonstrative are the times that these demonstratives appear per 10,000 words on average in the corpus.

Insert Table 1 Here

Table 1 tells that:

First of all, concerning the overall using frequency of four demonstratives, "this" (36.3) is most frequently used; "that" (17.05) and "these" (7.3) are used less; "those" (3.76) is used the least.

Secondly, in terms of the using frequency of demonstrative pronouns and demonstrative determiners, the overall using frequency of demonstrative pronouns is much less than that of demonstrative determiners (22.18<42.23). Specifically speaking, the using frequency of "this", "these" and "those" as demonstrative pronoun is less than that of each corresponding demonstrative determiner (9.02<27.28, 2.28<5.02, 0.68<3.08), while the using frequency of "that" as the demonstrative pronoun is higher than the demonstrative determiner (10.2>6.85). The column of "Pro" shows "that (10.2)" is used most frequently. The next is "this" (9.02), and then "these (2.28)"; "those (0.68)" is used the least. The column of "Det+N" reveals that "this" (27.28) is most frequently used, with "that (6.85)", "these (5.02)" next to it, and "those (3.08)" has the lowest using frequency.

Thirdly, as for the using frequency of singular and plural demonstratives, the overal using frequency of singular demonstratives "this" and "that" is higher than plural ones (53.35>11.06). As demonstrative pronouns and demonstrative determiners, singular ones are both more frequently used than plural ones (19.22>2.96, 34.13>8.1).

The frequency distribution of singular demonstratives is as follows: The overall using frequency of "this" is higher than "that" (36.3>17.05). Being demonstratives pronoun, "this" is less used than "that" (9.02<10.2), but more as demonstrative determiner (27.28>6.85). As for "this" itself, it is more applied as determiners than pronouns (27.28>9.02); the using condition of "that" is opposite (6.85<10.2).

The frequency distribution of plural demonstratives is as follows: the overall using frequency of "these" is higher than "those" (7.3>3.76); "these" is more used than "those" both as pronouns (2.28>0.68) and as determiners (5.02>3.08); as pronouns, the using frequency of "these" is lower than that of determiners (2.28<5.02), and so is "those" (0.68<3.08).

Fourthly, proximal and distal demonstratives are demonstrated in the following part:

The overall using frequency of proximal demonstratives "this" and "these" is more than that of distal demonstratives "that" and "those" (43.6>20.81). As both demonstrative pronouns and demonstrative determiners, the frequency of proximal demonstratives is higher than that of distal demonstratives (11.3>10.88, 32.3>9.93).

As to the two proximal demonstratives, "this" is more preferred than "these" in not only the total using frequency (36.3>7.3), but also the frequency of being pronouns (9.02>2.28) and determiners (27.28>5.02).

As for the two distal demonstratives, "that" is used more often than "those" in overall frequency (17.05>3.76) in being demonstrative pronouns (10.2>0.68) as well as demonstrative determiners (6.85>3.08).

Table 1 reveals that learners in EMC corpus prefer the form "Det+N" to "Pro" (42.23>22.18). What's more, they would rather use singular demonstratives "this" and "that" than plural "these" and "those" (53.35>11.06). They would rather use proximal demonstratives "this" and "these" than distal "that" and "those" (43.6>20.81). At the same time, learners in EMC corpus possess two more distinctive features when they use the form of "Det+N": firstly, they more often repeat words that have been mentioned before such as "passage, question, essay, text, people, factors, reasons, case, term, ability, condition, thought, competition, situation, etc", which do not convey new meanings, and can not be added explanations and complements to. Secondly, they usually use lots of general words without workable implication, like "way, thing, time, moment, aspect, level, concept, year, etc".

3.2 Analysis of frequency distribution of anaphoric and cataphoric demonstratives

Table 2 is learners' frequency distribution of anaphoric demonstratives and cataphoric demonstratives in EMC corpus. The figures in column "Anaphora" are the percentage resulting from dividing all the times of each demonstrative by the times of each corresponding demonstrative being anaphoric demonstrative. The figures in column "Cataphora" equal 100 percentage minusing the percentage in the corresponding column of "Anaphora".

Insert Table 2 Here

According to table 2, in general, most demonstrative pronouns work as anaphora whereas only a minor part acts as cataphora (94.33%>5.67%). The column of "Anaphora" shows the highest using frequency comes from "this" and "these" (100%), and then "that (93.26%)"; "those (16.67%)" is the lowest. The column of "Cataphora", however, indicates "those (83.33%)" is used the most, with "that (6.74%)" next to it. While no "this" or "these" is used as cataphora.

In the point of the using frequency of singular and plural demonstratives, the following features are revealed:

Between singular "this" and "that", as anaphora, "this" is used more often than "that" (100%>93.26%). *Word Frequencies in British and American English*, however, argues that the using frequency of "that" is far higher than that of "this" as anaphora. This comparison reveals that there is much difference between learners in EMC corpus and native speakers when "this" and "that" act as anaphora. While working as cataphora, "that" is used more frequently than "this" (6.74%>0). But Chen Ping (1994) proves that "this" is usually chosen to be cataphora, whereas "that" is occasionally used in this way. This comparison tells that learners in EMC corpus need to improve the use of singular demonstratives as cataphora. Results from the former comparison indicate that it is because of misuse and wrong use of singular demonstratives that leads to a much different result with the proper use of these words. Therefore, English teachings in the future should pay more attention to this aspect so as to guide learners and ensure that they can use them correctly.

Between plural "these" and "those", as anaphora, "these" is used much more frequently than "those" (100%>16.67%), while as cataphora, it's the opposite (0<83.33%). Yu Hongrong (1998) points out if demonstratives are used as cataphora, people would prefer proximal pronouns. Therefore, learners in EMC corpus still need to better the use of plural demonstratives as cataphora.

In the aspect of the using frequency of proximal and distal demonstratives, the characteristics are:

As for proximal demonstratives' being anaphora, the using frequency of "this" and "these" gets to 100%, while being cataphora, their occurrence is zero. According to Zhang Ji (2003), "this" and "these" can occasionally be used as cataphora, referring to a whole sentence or sentences of the next part of the text. As a result, it seems that learners in EMC corpus have a good learning of proximal demonstratives as anaphora. However, there are no examples in E corpus that "this" and "these" indicate a whole sentence or sentences, so the case of working as cataphora needs to be proved with a larger corpus.

Concerning distal demonstratives "that" and "those", the using frequency of "that" is much higher than that of "those" as anaphora (93.26%>16.67%), whereas it is much lower than that of "those" as cataphora (6.74%<83.33%). In other words, "that" is most probably used as anaphora while "those" is very likely to be used as cataphora. Whereas Zhang Ji (2003) points out that "that" and "those" seldom appear when serving as cataphora. If they are used occasionally, they probably convey the sense of irony. Thus learners in EMC corpus need to take further steps to learn the usage of "those" as cataphora.

All in all, learners of EMC corpus use more anaphoric demonstratives than cataphoric ones. From the point of singular and plural demonstratives, there is a wide disparity in using singular demonstratives and plural demonstrative "these" being cataphora needs further improvement. From the point of proximal and distal demonstratives, the acquisition of proximal demonstratives as anaphora is relatively good, but the acquisition of the distal demonstrative "those" needs improving.

4. Comparison between different corpora and between different grades

4.1 Comparison of frequency distribution of demonstratives between different corpora

Table 3 displays the frequency distribution of demonstratives in different corpora. Results from corpora WECCL (W) and LOCNESS (L) (ZhangYan, 2006) are also listed to make an inter-corpus comparison. Results of orpora WECCL (W) and LOCNESS (L) are from ZhangYan (2006). Figures in the table are the times that these demonstratives appear per 10,000 words on average in each corresponding corpus.

Insert Table 3 Here

Table 3 reveals the following characteristics:

To begin with, the using frequency of demonstratives in EMC corpus is much higher than that of both natives (L) and W corpus (64.37>6.89>3.97). Because learners in W corpus are Chinese English majors of Grade Three and Four, and learners in L corpus are junior and senior native speakers in American University. So the conclusion might be drawn that: compared with native speakers, Chinese English majors of lower grades have the tendency of overusing demonstratives, whereas those of higher grades have the trend to underusing them.

In the second place, characteristics of the using frequency of demonstrative pronouns and demonstrative determiners are: (1) In the respect of the using frequency of demonstrative pronouns, learners in EMC corpus have a higher frequency than native speakers' and learners in W corpus (22.14>2.74>1.47), and so is the situation in the respect of the using frequency of demonstrative determiners (42.23>4.15>2.5). It seems that compared with native speakers, Chinese English majors of lower grades have the tendency to overusing both demonstrative pronouns and demonstrative determiners whereas those of higher grades have the trend to underusing them. (2) In terms of the using frequency between demonstrative pronouns and demonstrative determiners, the using frequency of demonstrative determiners is higher than that of demonstrative pronouns in each corpus (EMC/W/L) (42.23>22.14, 2.5>1.47, 4.15>2.74). This seems to lead to a conclusion that even though Chinese English majors (EMC&W) have the tendency to overusing or underusing demonstratives, they obtain similar proportion between the using frequency of demonstrative pronouns and determiners with native speakers, that is, the using frequency of demonstrative pronouns is higher than that of demonstrative determiners.

In the third place, in the aspect of the using frequency of singular and plural demonstratives, characteristics are: (1) The overall frequency of singular demonstratives is higher than that of plural ones in each corpus (EMC/W/L) (53.31>11.06, 2.75>1.22, 5.26>1.63). (2) As to the using frequency of demonstrative pronouns, the singular form is more often used than the plural form in each corpus (EMC/W/L) (19.18>2.96, 1.22>0.25, 2.41>0.33). (3) As for the using frequency of demonstrative determiner, the overall using frequency of singular form is higher than plural form in each corpus (EMC /W/L) (34.13>8.1, 1.53>0.97, 2.85>1.3). Obviously, like native speakers, Chinese English majors (EMC &W) incline to using singular demonstratives more frequently than plural ones.

The situation between singular demonstratives "this" and "that" in each corpus (EMC /W/L) is that: (1) "this" is more often employed than "that" (36.3>17.01, 1.89>0.86, 4.82>0.44); (2) Chinese English majors (EMC &W) prefer to use "that" rather than "this" as pronouns (10.16>9.02, 0.66>0.56), whereas the case of native speakers is not so (0.22<2.19); (3) both Chinese English majors (EMC &W) and natives (L), would rather use "this" than "that" as determiners (27.28>6.85, 1.33>0.2, 2.63>0.22). All these show that Chinese English majors (EMC &W) have the similar tendency with native speakers in the relative proportion between "this" and "that" in terms of overall frequency as well as the frequency of being determiners, whereas the frequency of being pronouns is opposite.

The situation between plural demonstratives "these" and "those" in each corpus (EMC/W/L) is that: (1) In the respect of overall using frequency, "these" is more frequently used than "those" (7.3>3.76, 0.66>0.56, 1.25>0.38). (2) Chinese English majors (EMC &W) prefer to use "these" rather than use "those" as pronouns (2.28>0.68, 0.15>0.1), while the case of native speakers is opposite (0.11<0.22). (3) When the two demonstratives work as determiners, the use of "these" is more often than "those" in each corpus (5.02>3.08, 0.51>0.46, 1.14>0.16). From the above, conclusions can be revealed that Chinese English majors (EMC &W) tend to use "these" and "those" similarly with native speakers in the relative proportion between them in terms of overall frequency as well as the frequency of being determiners, whereas the frequency of being pronouns is opposite.

In the fourth place, in the point of the using frequency of proximal and distal demonstratives, characteristics are: (1) People favor to employ more proximal demonstratives than distal ones in each corpus (EMC/W/L) (43.6>20.77, 2.55>1.42, 6.07>0.82). (2) In terms of demonstrative pronouns, figures in EMC and L corpus show the using frequency of proximal demonstratives is higher than that of distal ones (11.3>10.84, 2.3>0.44), whereas figures in W corpus indicate the opposite (0.71<0.76). (3) Proximal demonstratives are more favored than distal ones when they work as determiners. It is striking to see that Chinese English majors (EMC &W) have the same tendency with native speakers in the relative proportion between proximal and distal demonstratives in terms of overall frequency, the frequency of being determiners as well as the frequency of being pronouns in EMC corpus.

The frequency of proximal demonstratives "this" and "these" in each corpus (EMC/W/L) is that: (1) the using frequency of "this" is higher than that of "those" (36.3 >7.3, 1.89>0.66, 4.82>1.25); (2) the same frequency distribution works on their being pronouns and determiners (9.02>2.28, 0.56>0.15, 2.19>0.11; 27.28>5.02, 1.33>0.51, 2.63>1.14). The comparisons can be summarized as: in the relative proportion of proximal demonstratives "this" and "these" in terms of overall frequency ,the frequency of being pronouns and determiners, Chinese English majors (EMC &W) have similar results with native speakers.

The frequency distribution of distal demonstratives "that" and "those" in each corpus (EMC/W/L) is that: (1) the using frequency of "that" is higher than that of "those" (17.01>3.76, 0.86>0.56, 0.44>0.38); (2) Chinese English majors (EMC &W) incline to using "that" more than "those" as pronouns (10.16 >0.68, 0.66>0.1), but native speakers use the two with the same frequency (0.22); (3) "that" is more frequently used than "those" in EMC corpus and L corpus as determiners (6.85>3.08, 0.22>0.16), while the case is opposite in W corpus (0.2 <0.46). As a result, the conclusion can be drawn that learners in EMC corpus tend to have similarity with native speakers in the relative proportion between "that" and "those" in terms of the overall frequency as well as the frequency of being determiners. To be more concrete, "that" is applied more frequently than "those", and there is still some room for improving the proportion between "that" and "those" when Chinese English majors (EMC &W) use distal demonstratives as pronouns.

Lastly, with native speakers' using frequency being the criteria, conclusions can be summarized. Even though learners in EMC corpus incline to overusing demonstratives while learners in W corpus have the opposite tendency, they share similar tendencies with native speakers in the relative proportion between demonstrative pronouns and demonstrative determiners in terms of overall frequency, between singular and plural demonstratives in terms of overall frequency as well as the frequency of being pronouns and determiners, between singular demonstratives "this" and "that", plural demonstratives "these" and "those" in terms of overall frequency as well as the frequency of being determiners, between proximal and distal demonstratives in terms of overall frequency, the frequency of being determiners as well as the frequency of being pronouns in EMC corpus, between proximal demonstratives "this" and "these" in terms of overall frequency as well as the frequency of being pronouns and determiners, between distal demonstratives "that" and "those" in terms of overall frequency as well as the frequency of being determiners. Whereas they share opposite tendencies with native speakers in the relative proportion between singular demonstratives "this" and "that", plural demonstratives "these" and "those" as well as distal demonstratives "that" and "those" as pronouns. So the conclusion is that although learners in EMC corpus are inclined to use the form of "Det+N" as native speakers, there are also some differences in specific usage. Most of the nouns used by native speakers express the illocutionary act and psychological process such as "claim, statement, viewpoint, quote, argument etc". These words' implication can supply new information, link and develop discourse (Zhang Yan, 2006).While learners in E corpus mostly use general words without much implication, like "way, thing, time, moment, aspect, level, concept and year etc". On the one hand, this phenomenon shows that the vocabulary of learners in EMC corpus is limited, and only common words are used frequently; on the other hand, it also indicates that learners in EMC corpus only consider grammar and ignore the importance of diction to the coherence of discourse when they write. So vocabulary and instruction of discourse should be paid attention to in the future.

4.2 Comparison of frequency distribution of demonstratives between different grades

4.2.1 Comparison of frequency distribution of demonstrative pronouns and demonstrative determiners

Table 4 is the frequency distribution of demonstratives in EMC corpus, ranging from Grade One to Grade Three, in which "G1" represents Grade One, and "G2", "G3"are Grade Two and Grade Three respectively. Figures in each column of each grade represent the times that these demonstratives appear per 10,000 words on average in the corpus of each grade. For the sake of convenient comparison the using frequency of native speakers (L) is listed as well, and the figures of L corpus are taken from Table 3.

Insert Table 4 Here

What can be found in table 4 is that:

First, the overall frequency of demonstratives from Grade One to Three is far higher than that of native speakers' (52.95>6.9, 77.76>6.9, 52.83>6.9). It seems to indicate that compared with native speakers, all students in the three grades, especially Grade Two, tend to overuse demonstratives, and Grade Three inclines to being the closest to the native. It is probable because one semester's learning of the course of grammar in Grade Two causes students not to have a good command of the newly-learnt knowledge. With the broadening amount of new knowledge, they can not absorb the newly-learnt infomation in time, so problems in using demonstratives appear. However, a second semester's learning of grammar together with one more semester's consolidation in Grade Three leads learners to progress, so when they are in Grade Three, their using frequency is the closest to natives'.

Second, as for the using frequency of demonstrative pronouns and demonstrative determiners, students from Grade One to Three prefer to use more demonstrative determiners than demonstrative pronouns (29.66>23.29, 54.73>23.03,

35.27>17.64), and so do native speakers (4.16>2.74). The using frequency of demonstrative pronouns in the three grades is much higher than that of native speakers', however, the higher the grade is, the lower the using frequency appears, and the closer frequency is to the natives'. It proves that the higher the learners' English proficiency is, the closer the frequency is to native speakers'. Demonstrative determiners are used more often by Chinese English majors: Grade Two is the most distinctive (54.73>4.16), with Grade Three the second (35.27>4.16), and Grade One the last (29.66>4.16). It seems to indicate that the learners' language level has no certain connection with the using frequency of demonstrative determiners.

Third, in the aspect of the using frequency of singular and plural demonstratives, characteristics are as follows:

From Grade One to Three the overall using frequency of singular demonstratives "this" and "that" is higher than that of the corresponding plural demonstratives "these" and "those" (46.25>6.7, 65.14>12.62, 37.16>15.75), with the proportion of 6.9, 5.16 and 2.36. In other words, with the improvement of the learners' language level, the proportion decreases successively, which is nearer and nearer to native speakers' 3.21.

In the respect of the using frequency of demonstrative pronouns and demonstrative determiners, characteristics are as follows: (1) from Grade One to Three, the proportion of the overall frequency of singular demonstrative pronouns to the overall frequency of plural demonstrative pronouns is 13.56, 5.66 and 3 respectively, which takes on the decreasing tendency and tends to be lower than natives' 7.3. As singular demonstrative pronouns, the overall using frequency of freshmen is the highest (21.69), with sophomores (19.58) and juniors (13.23) next to it. To be more exact, with the improvement of the learners' language level, singular demonstrative pronouns are used less and less, and thus closer to native speakers' 2.41. However, the using frequency of plural demonstrative pronouns from Grade One to Three is 1.6, 3.46 and 4.41, which becomes higher and higher than natives' 0.33. That is, with the improvement of the learners' language level, the frequency of plural demonstrative pronouns takes a reverse trend. It not only results in the phenomenon that the proportion of the frequency of singular demonstrative pronouns to that of plural demonstrative pronouns becomes lower and lower than native speakers' but also reveals that learners in EMC corpus do a good job in singular demonstrative pronouns, but they need to improve the learning of plural demonstrative pronouns; (2) the proportion of the frequency of singular demonstrative determiners to that of plural demonstrative determiners from Grade One to Three is 4.82, 4.97 and 2.11 respectively, which is closer and closer to that of native speakers' is 2.18.

Fourth, in terms of the using frequency of proximal and distal demonstratives, the following features are discovered: (1) Proximal demonstratives are more frequently used than distal ones from Grade One to Three (31.9>21.05, 52>25.76, 45.35>7.56), which shares the same situation with native speakers (6.08>0.82). The proportion of the overall using frequency of proximal demonstratives to distal ones from Grade One to Three is 1.52, 2.02 and 6 respectively, which shows with the improvement of the learners' language level, the proportion of proximal demonstratives to distal ones becomes increasingly higher and approaches more and more closely to natives' 7.41; (2) as demonstrative pronouns, proximal demonstratives are used less often than distal ones in Grade One (7.66<15.63), whereas it is the opposite in Grade Two and Three (13.37>9.66, 13.23>4.41). What's more, the proportion of the using frequency of proximal demonstrative pronouns to distal ones from Grade One to Three is 0.49, 1.38 and 3, which takes on a rising tendency and is closer and closer to native speakers' 5.23. The using frequency of distal demonstratives of Grade One to Three is 15.63, 9.66 and 4.41, which also moves towards natives' 0.44. In a word, with the improvement of the language level, learners have been making progress in using distal demonstratives; (3) as demonstrative determiners, Chinese English majors of Grade One to Three use proximal demonstrative determiners more often than distal ones (24.24>5.42, 38.63>16.1, 31.49>3.15), which is similar to natives (3.78>0.38). The proportion of the frequency of proximal demonstrative determiners to that of distal demonstrative ones from Grade One to Three is 4.47, 2.4 and 10 respectively. Although the proportion in Grade Two decreases a little, it rises again in Grade Three and becomes the closest to that of native speakers' 9.95.

Fifth, compared with native speakers, the three grades have the tendency of overusing demonstratives, but the overall frequency of Grade Three is approaching the most that of native speakers'. With learners' improvement of the language level, the frequency of demonstrative pronouns, the proportion between singular and plural demonstratives in terms of overall frequency, the frequency of singular demonstratives as demonstrative pronouns, the proportion between proximal and distal demonstratives in terms of overall frequency as well as the frequency of being demonstrative pronouns, the frequency of distal demonstratives as demonstrative pronouns of Grade One to Three are more and more approaching native speakers'. While the proportion between singular and plural demonstratives in terms of frequency as demonstrative pronouns, the frequency of plural demonstratives as demonstrative pronouns and demonstrative determiners are opposite to that of native speakers'.

4.2.2 Comparison of frequency distribution of anaphoric and cataphoric demonstratives

Table 5 is about the frequency distribution of anaphora and cataphora from Grade One to Three. "G1" stands for "Grade One", "G2" "Grade Two" and "G3" "Grade Three". The figures in column "Anaphora" of each grade are the percentage resulting from dividing all the times of each demonstrative by the times of each corresponding demonstrative being

anaphoric demonstrative. The figures in column "Cataphora" of each grade equal 100 percentage minusing the percentage in corresponding column of "Anaphora".

Insert Table 5 Here

Table 5 reveals that:

Firstly, from Grade One to Three the using frequency of anaphora is much higher than that of the corresponding cataphora (90.41%>9.59%, 96.77%>3.22%, 96.43%>3.57%).

Secondly, concerning the using frequency of singular and plural demonstratives, characteristics are as follows: (1) The singular "this" and "that" are more often used as anaphora than as cataphora in each grade. The frequency of three grades using "this" as anaphora is 100 and 0 as cataphora. As to "that", when it acts as anaphora, its increasingly rising using frequency of Grade One to Three is 89.36%, 97.22% and 100%; when it acts as cataphora, its decreasing using frequency of Grade One to Three is 10.64%, 2.77% and 0. However, Chen Ping (1994) points out that both "this" and "that" can be used as anaphora, though "that" is more often used. But if they work as cataphora, "this" is used much more often than "that". So the conclusion can be drawn that students of Grade One to Three in EMC corpus do a gradually better job in the usage of "that" as anaphora and cataphora, but they make no progress in the usage of "this" as cataphora. (2) As for the plural "these" and "those", "these" is more often used as anaphora, and "those" as cataphora in three grades. When "these" works as anaphora, the frequency of three grades is equal (100%), and as cataphora, its frequency is zero. When "those" is used as anaphora, its using frequency of Grade Two is the highest (33.33%), whereas that of Grade One and Three is 0. As cataphora, the using frequency of Grade One and Three is the highest (100%), the frequency of Grade Two is next to it (66.67%). Yu Hongrong (1998) makes a survey indicating that people incline to using proximal demonstratives as cataphora. There comes out the conclusion: learners in EMC corpus still need to improve the usage of "these" as cataphora.

Thirdly, in terms of the using frequency of proximal and distal demonstratives, characteristics are as follows:

In the respect of proximal demonstratives "this" and "these", they are used as anaphora in all grades. Zhang Ji (2003) points out that "this" and "these" can also be used as cataphora when they, in the most part, refer to a sentence or some sentences in the following context. In this sense, learners in EMC corpus use "this" and "these" correctly as anaphora. Since the case that "this" and "these" are used as cataphora does not exist, there is no way to expound it.

As for distal demonstratives "that" and "those", "that" is more often used as anaphora, while "those" as cataphora. When being anaphora, the using frequency of "that" from Grade One to Three is 89.36%, 97.22% and 100%, with an increasingly rising tendency; "those" is favored the most by students in Grade Two (33.33%), while freshmen and juniors never use them. When being cataphora, the using frequency of "that" from Grade One to Three is 10.64%, 2.77 % and 0 with a decreasing tendency; "those" is most frequently used in Grade One and Three (100%), with Grade Two next to it (66.67%). Zhang Ji (2003) indicates that "that" and "those" are seldom used as cataphora. So learners in EMC corpus acquire the usage of "that" as anaphora and cataphora quite well, but not "those".

Fourthly, all these analyses above lead to the conclusion: With the improvement of the language level, learners make progress in the acquisition of distal and singular demonstrative "that" as anaphora and cataphora. There is no change in the using frequency of proximal demonstratives "this" and "these" as anaphora, which suits for the usage of them. But the learning of singular demonstrative "this" and plural demonstrative "these" as cataphora as well as distal demonstrative "those" as anaphora and cataphora needs improving.

5. Conclusion

This research finds that: compared with native speakers, English majors of lower grades in EMC corpus have the tendency of overusing demonstratives, whereas those of higher grades in W corpus have the trend to underusing them. Even though Chinese English majors (EMC&W) have the tendency of overusing and underusing demonstratives, they share similar tendencies with native speakers in the relative proportion between demonstrative pronouns and demonstrative determiners in terms of overall frequency, between singular and plural demonstratives in terms of overall frequency as well as the frequency of being pronouns and determiners, between proximal and distal demonstratives in terms of overall frequency, the frequency of being determiners as well as the frequency of being pronouns in EMC corpus. Whereas they share opposite tendencies with native speakers in the relative proportion between singular demonstratives "this" and "that", plural demonstratives "these" and "those", as well as distal demonstratives "that" and "those" in terms of the frequency of being pronouns. At the same time, learners of EMC corpus use more anaphoric demonstratives than cataphoric ones. From the point of singular and plural demonstratives, there is a wide disparity with native speakers in using singular demonstratives, and plural demonstrative "these" as cataphora needs further improvement. From the point of proximal and distal demonstratives, the acquisition of proximal demonstratives as anaphora is relatively good, and the acquisition of the distal demonstrative "those" needs improving.

From the comparison of three grades of EMC corpus, the conclusion can be drawn that compared with native speakers,

three grades have the tendency of overusing demonstratives, but the overall frequency of Grade Three is approaching the most that of native speakers'. With learners' improvement of the language level, the frequency of demonstrative pronouns, the proportion between singular and plural demonstratives in terms of overall frequency, the frequency of singular demonstratives as demonstrative pronouns, the proportion between proximal and distal demonstratives in terms of overall frequency as well as the frequency of being demonstrative pronouns, the frequency of distal demonstratives as demonstrative pronouns from Grade One to Three are more and more approaching native speakers'. While the proportion between singular and plural demonstratives in terms of frequency as demonstrative pronouns, the frequency of plural demonstratives as demonstrative pronouns and demonstrative determiners are opposite to that of native speakers'. At the same time, with the improvement of the language level, learners make progress in the acquisition of distal and singular demonstrative "that" as anaphora and cataphora. There is no change in the using frequency of proximal demonstratives "this" and "these" as anaphora, which follows the usage of them. But the learning of singular demonstrative "this" and plural demonstrative "these" as cataphora as well as distal demonstrative "those" as anaphora and cataphora need to be improved.

The enlightenment of this research to the teaching instruction of English writing concerning demonstratives is that both teachers and learners should attach proper attention to the importance of demonstratives because they have the irreplaceable function in discourse and communication. So in the process of teaching, teachers should pay attention to the explanation of the function and usage of demonstratives, make sure that students can use them properly, and thus promote the development of using demonstratives into a higher level.

This thesis also has some deficiencies. First, this research only involves four demonstratives "this", "these", "that" and "those" and the scale is not comprehensive, so in the future, the number of demonstratives should be enlarged to make a more comprehensive research of them. Second, the data sample is not large enough, a larger sample will be of more help in proving the result of this research.

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Table 1. Frequency distribution of demonstratives in EMC corpus

	Pro	Det+N	Total
This	9.02	27.28	36.3
These	2.28	5.02	7.3
That	10.2	6.85	17.05
Those	0.68	3.08	3.76
Total	22.18	42.23	64.41

Table 2. Frequency distribution of anaphora and cataphora from Grade One to Grade Three in EMC corpus

	Anaphora	Cataphora
This	100	0
These	100	0
That	93.26	6.74
Those	16.67	83.33
Total	94.33	5.67

Table 3. Frequency distribution of demonstratives in different corpora

	Pro	Det+N	Total
	EMC/W/L	EMC /W/L	EMC /W/L
This	9.02/0.56/2.19	27.28 /1.33/2.63	36.3/1.89/4.82
These	2.28 /0.15 /0.11	5.02/0.51/1.14	7.3/0.66 /1.25
That	10.16 /0.66 /0.22	6.85/0.2/0.22	17.01/0.86 /0.44
Those	0.68 /0.1/0.22	3.08 /0.46 /0.16	3.76 /0.56/0.38
Total	22.14/1.47 /2.74	42.23/2.5/4.15	64.37 /3.97/6.89

Table 4. Frequency distribution of demonstratives of different grades in EMC corpus

	Pro	Det+N	Total
	G1/G2/G3/L	G1/G2/G3/ L	G1/G2/G3/ L
This	6.7/10.65/9.45/2.19	22.01/32.69 /23.93/2.63	28.71 /43.34/33.38/4.82
These	0.96/2.72/3.78/0.11	2.23/5.94/8.19 /1.15	3.19/8.66/11.97 /1.26
That	14.99/8.92/3.78/0.22	2.55 /12.88 /0/0.22	17.54 /21.8/3.78 /0.44
Those	0.64/0.74/0.63/0.22	2.87 /3.22/3.15/0.16	3.51 /3.96/3.78 /0.38
Total	23.29/23.03/17.64/2.74	29.66/54.73/35.27 /4.16	52.95/77.76/52.83 /6.9

Table 5. Frequency distribution of anaphora and cataphora from Grade One to Grade Three in EMC corpus

	Anaphora	Cataphora
	G1/ G2/ G3	G1/ G2/ G3
This	100/100/100	0/0/0
These	100/100/100	0/0/0
That	89.36 /97.22/100	10.64/2.77 /0
Those	0/33.33/0	100/66.67/100
Total	90.41/96.77 /96.43	9.59 /3.22/3.57

Democratization System about Anti-corruption
and Uphold Integrity

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Abstract

This article outlines the inevitability of democratization system of anti-corruption and uphold integrity, and analyzes the current situation and causes concerned, thereby introducing the idea of democratization system of anti-corruption and uphold integrity. It Points on relevant solutions of anti-corruption and uphold integrity, intensifying public democracy education and improvement democratization system in anti-corruption and uphold integrity, at the same time, it more try to find out the way of thinking for democratization system of anti-corruption and uphold integrity in China. The democratic consciousnesses are thinking basic of anti-corruption and uphold integrity. The democratic systems are poise of restricting power of anti-corruption and uphold integrity. The democratic enlist is strength headspring of anti-corruption and uphold integrity.

Keywords: Anti-corruption, Uphold integrity, System analysis, Democratization

1. Introduction

Anti-corruption and uphold integrity, has become a common concern about serious political issues in different countries. This study is universal topic of anti-corruption and upholds integrity. There is different state of the nation in the different nation. It is worthy of considering how anti-corruption and uphold integrity in China. What is the anti-corruption and upholds integrity relied on? It is must depends on the system. The system is officiating by personnel. It is enslaved to social democratization for personnel officiating system.

No stipulation's power is springhead of induce corruption. In many localities or departments, some official reception clearly beyond the reasonable power areas, that becomes important manifestations of corruption. The norms and reform of official power is imperative. Some government organs exertion power currently, such as ultra-category, jobbery and other issues. This is to say, official powers regulate, are a major event in promoting the reform of the administrative system, combat corruption and improve the bureaucracy. on the basis of full analysis these issues and harm caused, according to our government administration actual situation and learning from the experience of some foreign countries, a number specific proposals of regulating government power of the are bring forward, such as the reasonable definition of official power, the rigidity of the power constraint, the operational system, the strength of technical anti-corruption and uphold integrity, and the allocation of resources standardize, the operation of power monitored, the supervision strengthened and the public service improved.

2. Methodological choice in progress

It has spent a lot of effort that should be placed on upholding integrity, supervision of power and clean and honest governance with the anti-corruption and upholds integrity work over the past years. The state has intensified correction of unhealthy social practices and exerted great efforts to resolve problems that harm the interests of the public, greatly promoted governance according to law and seriously dealt with irregularities and commercial bribery so as to root out corruption. It has been serious penalties toward corruption, especially those involving government officials. The collusion between officials and business, trade between power and money, power and sex, and cases seriously infringing upon public interest should receive heavy punishment. The commercial bribery cases involving civil servants and leaders of state enterprises, public and financial institutions accepting and sending bribes by abusing power would be seriously handled in line with the law. A lot of effective measures have been adopted to strike commercial bribery activities on the Chinese mainland organized by overseas economic organizations. These have be launched to deal with overseas sightseeing tours funded by public money and construction of luxurious buildings in special government

campaigns. China has strengthened its anti-corruption work under the framework of the United Nations Convention Anti-Corruption in recent years. The state had also stepped up its international cooperation to recover money taken abroad by runaway government officials involved with major economic crimes. These have demonstrated the resolution of the Communist Party of China Central Committee to build a clean party, promote clean governance and fight corruption. "Whoever it is, no matter how high their positions are, anyone who violates party rules or national law will be severely punished".

However, for long time, the superincumbent path was relied on anti-corruption principally. It is only call for leaders of various departments to strictly comply with self-discipline rules and uphold integrity. Although the strength of this instrumentality work up to increase for sure, public could not obtain to be concerned with anti-corruption and uphold integrity from top to bottom and fret one's gizzard little by little. This may be a special difficulty in Chinese state.

There is many method of anti-corruption and upholds integrity in the world. Advantage and weakness is existent in the each method. For example, severe punishment ran a country could keep the corrupted phenomenon within limits in initial stage effectively on one hand, but produced non-democracy in the administration and local officials passively on the other hand. The limited consensus may increase the difficulty of attacking corruption in practices. We should come out the mistake area of the severe punishment ran a country, to avoid blindness on the penalty, and to run into no realistic severe punishment mistake. For instance, Hong Kong Independent Commission against Corruption (ICAC) is a kind of advanced mode. This kind of mode depend the independent mechanism with the society's democracy.

In reality, the democratization system of anti-corruption and uphold integrity is all along assertion of communist people. Mr. Yen-pie Huang thought the corruption is provided with periodic law in an act of god. While he visited Zedong Mao in Yen' an, he had had consultation for Zedong Mao how does the communist avoid this periodic law about corruption? Zedong Mao replied to him by the word of democracy.

Recently, Jintao Hu, general secretary of the Communist Party of China (CPC), presided over a meeting of the Political Bureau of the CPC Central Committee ahead of the party's 88th birthday. He has called for more to attach importance to push democracy development inside party on our own initiative. (People's Daily, 2009, 7, 1) He said the Party will establish a sound system under which the Political Bureau of the Central Committee regularly reports its work to plenary sessions of the Central Committee and accepts their oversight, and the standing committees of local Party committees at all levels do likewise to plenary sessions of local Party committees and accept their oversight. At the same time, the article of the democracy to weave anti-corruption tight encirclement is published in People Newspaper on August 31, 2009. The article direct point is the power more concentrate and the democracy more difficult expressly. The article appeal to guarantee know the inside story right and superintendence of common party member and to accelerate the democracy, setting a limit the power, anti the corruption in Chinese state currently. (People's Daily, 2009, 8, 31) This voice doubtless reveal out some considers with the trend that high layer search after anti-corruption and uphold integrity and investigate political civilization developments in People's Daily, as a result it is particularly attention-getting. It will indicate that anti-corruption and uphold integrity more turned up to the Chinese characters democracy. Such purpose is for the sake of enhancing the Communist Party's ruling capacity and leadership in the national development. We must pay greater attention to inner-party democracy actively. As these will help we perform our duty with a ruling party by more scientific and democratic accordance ways, we must promote inner-party democracy and social democracy.

The democratization system of anti-corruption and uphold integrity is choice in developmental course. The democratization system of anti-corruption and uphold integrity is inevitable in history development of anti-corruption and uphold integrity. The democracy is a basic method of restricting power. It is an ultimate means to ravel out corruption. The democratic consciousnesses are thinking basic of anti-corruption and uphold integrity. The democratic systems are poise of restricting power of anti-corruption and uphold integrity. The democratic enlist is strength headspring of anti-corruption and uphold integrity. It couldn't bring into play fully for democratization supervised at the present time. Concretely, it is short of the system, there isn't a suit of whole system, ensuring run of democratization supervised. Many are devoid of polity fervor, consciousness of democratization right and activity atmosphere. These result in great and concentrate power excessively. Therefore, as an important part of China's overall reform, political restructuring must be constantly deepened along with economic and social development to adapt to the growing enthusiasm of the people for participation in political affairs. We need to intensify investigation and research. Anti-corruption and uphold integrity must be flexible enough to cope with new situations and solve new problems.

3. How to practice the democratization system?

Good system could make malefactor unable to run amuck, not good system could make a good sort unable to work sufficiency. The democratization is one of the most extensively used political concepts. How to practice the democratization system of anti-corruption and uphold integrity? On condition that democratization system of anti-corruption and uphold integrity put into practice in word and deed, democracy with freedom and equality would be must be absolutely necessarily. The democracy, freedom and equality are three key influential factors of anti-corruption

and uphold integrity. Focusing on special issues of the democratization system of anti-corruption and uphold integrity, the Figure below described their mutual functions of the democracy, freedom and equality. The democracy, freedom and equality are depended upon subsisting indispensability interdependently. First key influential factor is freedom. The freedom could ensure to come into being strength of anti-corruption and uphold integrity. The individual or groups are independence status of anti-corruption and uphold integrity. For instance, the free press and public opinion is free. Second key influential factor is equality. The citizen possesses the equal rights. For instance, the supervisor and accepter are in possession of the equal rights. Third key influential factor is democracy. The democracy oversight must be provided higher authority. The basic effective and extensive way for the people to be masters of the country is that people directly exercise democratic rights in accordance with the law to manage public affairs and public service programs at the primary level, practice self-management, self-service, self-education and self-oversight, and exercise democratic oversight over cadres. If official business power to realizes, it is must pay attention to right process and strengthen legal system. For example, the development of inner-party democracy must depend on the guarantee of democratic rights to know, to participate, to vote and to supervise for all Party members in all internal affairs of the Party. All Party members should be encouraged to supervise and suggest on all matters concerning inner-party democracy, such as the work to fight corruption inside the Party. The mechanisms to ensure the inner-party democracy must be improved, such as the congresses at some levels, and the system to elect, supervise, evaluate and promote officials. We need gradually extend direct election of leading members in primary Party organizations, and explore various ways to expand inner-Party democracy at the primary level. We must be to expand inner-Party democracy to develop people's democracy by increasing transparency in Party affairs and preventing arbitrary decision-making by an individual or a minority of people.

Insert Figure 1 Here

If the social democracy is put into practice far and wide, it is the most important to be provided with integrity. Integrity is the quality of being honest and of always having high moral principles. It is nothing doing to lose the integrity for an individual to an organization. There are personal integrity, public integrity, organizational integrity, government integrity and national integrity.

In order to ensure scientific and democratic decision-making, it improving the information and intellectual support for it, increasing its transparency and expanding public participation in it. Public hearings must be held for the formulation of laws, regulations and policies that bear closely on the interests of the public. All of individual and organization could join to remove its root cause, take preventive measures, and improve relevant systems forwardly.

It is needed innovate with new machine-made rules to promote Governmental entities transparency, in order to strengthen the corruption fight and promoting a clean government. These are the importance of a scientific and democratic decision-making process. Policies regarding the immediate interest of the masses should be made by soliciting public opinions or holding hearings so as to enhance public participation and receive public supervision. Public official should demonstrate achievement and personal integrity, and should increase their own ethical and cultural progress. We must reform power restricting system of officials on the basis of science and transparency. These will be expand people's democracy and ensure that people are masters of the country really and truly. The party members of the Communist Party of China have been nearly 76 million out of the 1.3 billion Chinese populations. Therefore it is hold the balance effect to anti-corruption and uphold integrity. We must expand inner-Party democracy to develop people's democracy. We ought to improve institutions of democracy, diversify its forms and expand its channels, and put into effect democratic election, decision-making and administration and oversight in accordance with the law to guarantee the people's rights to be informed, to participate, to be heard and to oversee. The Party need reform the inner-Party electoral system and improve the system for nominating candidates and electoral methods. The Party organizations must strictly implement democratic centralism; improve the system that combines collective leadership with division of responsibilities among individuals. It is sticking point that Party committees will adopt a voting system in discussing and deciding on major issues and appointing cadres to important positions. Party organizations at all levels and all Party members ought to take the lead in upholding the authority of the Constitution and the law. It needs to improve the mechanism of restraint and supervision. Power must be exercised in the sunshine to ensure that it is exercised correctly. The organic laws and rules of procedure should be improved to ensure that state organs exercise their powers and perform their functions within their statutory jurisdiction and in accordance with legal procedures.

4. Conclusion

All in all, it is a systems engineering for anti-corruption and uphold integrity, dealing with social very field, to require whole set measure. The democracy development is basic precondition of anti-corruption and upholds integrity. The inner-Party prevention and punishment of corruption is primary. The democracy development is an important footstone of Socialism modernizes. This is the basic direction that modern public power runs. It is seasoned with Socialism market economy. It is basic ensure of anti-corruption and uphold integrity to workout narrow system net with technical means.

The democracy development is a long-terms gradually unused process. It need be supervised from grass roots party member, from societal public, and demand a system channel to concentrate sporadic opinions. We need make an aims at establishing a democracy system to punish and prevent corruption for long-term. The anti-corruption aims should take into account the prevention of corruption along with punitive measures, which would combine punishment with education, supervision of officials and improving China's judicial system. We must fully inspire the creativity and vigor of societal public, we must be converge public wisdom and strength to an utmost level, in order to advance social democracy development of China. The democracy supervise consciousness need improve with educate means. Awaking many, arming many and starting many, building up ideas of People benefits higher than everything and country benefits higher than everything. We need accelerate the separation of the functions of the government from those of enterprises, state assets management authorities, public institutions and market-based intermediaries, standardize administrative practices, strengthen administrative law-enforcement agencies, reduce the number of matters requiring administrative examination and approval and standardize such procedures, and reduce government intervention in microeconomic operations. The governance transparency should be further improved to safeguard the public rights to knowledge, participation, expression and supervision. The power must be restrict and supervised by public. Such as, the work order is publicity, the work result is publicity. The obscurer work is an importance approach of running power for individual. Only supervisory function enough can prevent to lose control power, to misplay decision-making and disqualification behavior. The democracy development is a long-terms gradually unused process. No other than these, societal public can become aware of own power, the societal basic of anti-corruption and uphold integrity could be strike up.

Currently, the request of anti-corruption and uphold integrity is higher and higher, the task is heavier and heavier, the difficulty is greater and greater. We need hold on created to intensify corruption fighting and conduct additional international exchanges in the field. Studying and implementing scientific outlook on development, adapting new position, we must pay attention to construct democratization system. Making passiveness treatments to initiative keep away, changing keeping within limits corruption to preventing corruption, we try hard to enhance anti-corruption legal system level, gradually consummate education of anti-corruption and uphold integrity extended mechanism, system and power supervised. Above these, there are certain reference meanings to today's work of anti-corruption and uphold integrity and building a clean and honest society.

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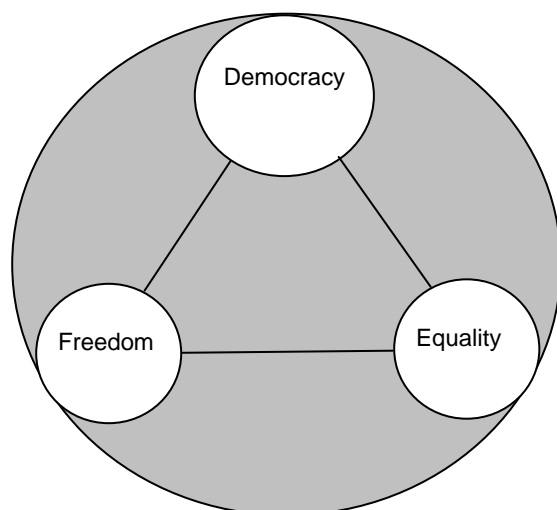
Figure 1. The three momentum model of democratization system of anti-corruption

The Relationship between Organizational Culture and

Government Performance-Based on Denison Model

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Abstract

In this paper, based on Denison model, we research the relationship between organizational culture and government performance by empirical studies, through conducting questionnaires in six-governmental organizations of Shaanxi and Shanxi, and using factor analysis and correlation analysis. The results showed that the participatory culture and performance of internal processes have significantly positive correlation, the consistency cultural and financial performance have significantly positive correlation, the adaptability culture and performance of learning growth have significantly positive correlation, and mission culture and performance of customer dimension as well.

Keywords: Denison model balanced scorecard, Organizational culture, Government performance

The huge role of culture in organizational performance has attracted so much concern that the contemporary theory and practice of management have also entered the era of cultural management. With people's vision is no longer limited to rigid management elements, culture, which as the core elements of soft management, become increasingly important to researchers and managers. Peters (1982) summed up the cultural features of some successful enterprises, and formed a set of "excellent" business theory. Barney (1991) believed that organizational culture as an important intangible corporate resources, could bring about lasting competitive advantage. Kotter and Heskett (1992) in "corporate culture and business performance", which studied corporate culture and business performance of 72 enterprises from 22 industries of United States between 1987 and 1991, pointed out that corporate culture have far-reaching effect on company's long-term business performance, and may be the key factor in the rise and fall. Denison (1995) studied organizational culture based on survey, and found that staffs' participation will bring in excellent financial performance. To date, there are too many studies in the relationship between organizational culture and corporate performance, however, the empirical research on the relationship between organizational culture and government performance is very few. This article will explore the impact of four cultural characteristics on government performance based on Denison model, so as to provide some references for the government to improve its organizational performance.

1. Literature review

The concept of organizational culture was first proposed by Pettigrew (1979) in paper named *Research on Organizational Culture* which was published in the Administrative Science Quarterly, and later, different scholars studied the dimensions, levels and characteristics of organizational culture from different angles. In the early study, some people, such as Hofstede, divided culture into four dimensions: Individualism vs Collectivism, Power Distance, Uncertainty Avoidance and Masculinity vs Femininity. Schein (1992) distinguished three levels of culture: explicit behavior and signs, shared values and implied basic hypothesis. Denison (1995) grouped organizational culture into four characteristics: participatory, consistency, adaptability and mission.

Since the 1980's, people in academia and industry generally thought that the organizational culture have a significant impact on the organizational performance. Government performance, well known as "Public Productivity", "National Productivity", "Government Performance" and so on in the West, refers to the behavior, which is in the process of achieving their organizational goals, and its absolute level and relative level of output in specific situations (WU

Jian-nan, Yan Bo, 2004). Kaplan and Norton (1992) made the idea become a reality, and put forward Balanced Scorecard, which integrated different stakeholders into a set of evaluation system. The Balanced Scorecard has already applied to the Government Evaluation System (WU Jian-nan, GUO Wen-jing, 2004).

2. Research hypotheses

The theory of organizational culture is so rich, and we selected organizational culture questionnaires from adapted Denison organizational culture model, based on reference to a large number of literatures of organizational culture from domestic and abroad. In the questionnaires, description of attribute value is divided into three dimensions, and each dimension is measured by three issues. The measure of the governmental performance used the Balanced Scorecard. The Balanced Scorecard is composed of four parts: the area of finance, customer, internal operation and learning growth. Based on the successful experience that Balanced Scorecard was adopted in foreign countries concerning performance management, this study refers to the framework made by Professor WU Jian-nan (2004).

2.1 Participatory culture and internal processes of organization

Participatory culture emphasis on the input and participation of members, and organizational culture which has high input is of effective. Based on high input, organizational members would highly concern about organizational immediate interests and increase the cohesion, so they can easily reach agreement in existing problems. Organizational members of government provide products or services for Public with high input, so the evaluation is high level of civil servants, and high efficiency of the government. For this to make the following assumptions:

H1: participatory culture and internal processes are significantly correlated.

2.2 Consistency culture and financial dimension

Consistency culture, in fact, is a theory of strong culture. Its main view is widely shared beliefs and values, helping organizational members to reach consensus and take concerted action, so as to have a positive impact on the performance. Such a high degree of unity government can save manpower, materials, financial and other resources. When governmental members can easily reach consensus in certain matter, the cost of communication will be significantly reduced and efficiency of decision-making will be improved, bringing government more budget surplus. For this to make the following assumptions:

H2: Consistency culture and financial dimension are significantly correlated.

2.3 Adaptability culture and learning growth

Adaptability culture refers to the culture which quickly responds to a variety of signal from external environment of organizations. Adaptability organizations can timely adjust strategic objectives in accordance with changes of external environment, in order to enable organizations to achieve better development. The purpose of governmental organizational learning is to enable members to keep on learning new knowledge, accessing to new technologies and adapting changes of external environment, or to enable a department to play a leading role. For this to make the following assumptions:

H3: Adaptability cultural and learning growth are significantly correlated.

2.4 Mission culture and customer factors

Mission culture is used to judge whether organizations are only focus on immediate interests, or focus on development of the strategic action plan of system. For local governments, the fundamental goal is to serve local residents, so that people can live and work in peace. Only when local governments see a variety of policy put forward by central government as mission, the people are the real beneficiaries. For this to make the following assumptions:

H4: Mission culture and customer factors are significantly correlated.

Insert Figure 1 Here

3. Empirical analysis

3.1 Variables measured

The design of the organizational culture questionnaires reference to some successful design forms of organizational culture, which from both home and abroad. Denison organizational culture model is more comprehensive and detailed than other models in revealing content of organizational culture, and its OCQ scale focuses on the use in management practices. So this paper chose Denison organizational culture model and made brief changes, in order to make the design of questionnaire to be concise and easy to understand.

Scale the performance of governmental organizations is in the light of governmental performance assessment framework, which is based on the Balanced Scorecard, made by Professor Wu Jian-nan. Because of its characteristics, Balanced Scorecard is used in governmental department frequently. First of all, the Balanced Scorecard is based on a balance concept, and emphasizes that the level of organizational performance should pay more attention to

organizational capacity of sustainable development and potential value creation. Second, the Balanced Scorecard put development at the center of all. It changes strategic objectives into indicators of performance evaluation, and then these indicators will be linked to their members to improve organizational performance, through specific organizational acts. Finally, the Balanced Scorecard provides organizational performance evaluation with two different ways, which are qualitative analysis and quantitative analysis. The local governmental performance evaluation is the comprehensive use of the qualitative and quantitative assessment. Introducing the Balanced Scorecard to the field of non-profit organizations and government is still in its formative stage. In this paper, based on the characteristics of Chinese government, we removed a number of objective performance indicators and that were not related to the target of the study, and then prepared organizational performance questionnaires.

3.2 Sample investment

3.2.1 Sample selection

In line with the principles of convenience sampling, we selected nine-governmental organizations from Shaanxi and Shanxi, including Development and Reform Commission of a city, Investigation Agency of a city, village committee of a city, Public Security Bureau of a city, Agricultural Council of a city, Investigation Agency of a county. These governmental organizations cover governmental departments from different areas, different sizes and different functions, so has wide representation.

3.2.2 Methods of investigation.

To issue in government departments at the scene, to answer questions on-site, and then recycle on-site.

3.2.3 Sample recovery

A total of 160 questionnaires were issued, then deleted 18 that are default, half-heartedly or similar. Eventually, the number of valid questionnaires we obtained is 142, and the questionnaires' efficiency is 88.75%.

3.3 Variables basic information

3.3.1 Reliability analysis

In this paper, we adopted the consistency coefficient α to test the reliability of the questionnaires. We obtain the following results: The reliability coefficient of organizational culture questionnaires is 0.9174, and reliability coefficient of Standardization is 0.9182. The reliability coefficient of the four dimensions (participatory, consistency, adaptability and mission) are 0.7253, 0.7526, 0.7662 and 0.7731. After the deletion of corresponding items, variance of questionnaire itself, average and Alpha value are evenly distributed, indicating that Organizational culture questionnaires have good reliability. The reliability coefficient of performance questionnaire is 0.7427, and reliability coefficient of standardization is 0.7427. After the deletion of the corresponding items, variance of questionnaire itself, average and Alpha value are evenly distributed, indicating that performance questionnaires have good reliability.

3.3.2 Factor analysis

In this study, the organizational culture questionnaires were built on Denison organizational culture model, and divided organizational culture into four dimensions. As a result, the factor analysis of organizational culture is divided into four levels.

3.3.2.1 Factor analysis of participatory culture

Factor analysis of participatory culture is divided into nine projects. By the Bartlett Test, the value is 320.722, a significant level of P is 0.000, and the KMO value is 0.778, indicating that factor analysis is suitable. In factor analysis, we use principal component analysis and extract two factors whose characteristic value is greater than 1, in according to Kaiser's criteria. The largest rotation of variance is convergent after 24th iteration, and the accumulated contribution rate of variance is 51.226%. Two factors are named as team leads and developmental capabilities. The specific details are shown in Table 1.

3.3.2.2 Factor analysis of consistency culture

Factor analysis of consistency culture is divided into nine projects. By the Bartlett Test, the value is 266.957, a significant level of P is 0.000, and the KMO value is 0.806, indicating that factor analysis is suitable. We use principal component analysis in factor analysis, and extract two factors whose characteristic value is greater than 1, in according to Kaiser's criteria. The largest rotation of variance is convergent after 24th iteration, and the accumulated contribution rate of variance is 49.652%. Two factors are named as core values and cooperation-coordination. The specific details are shown in Table 2.

3.3.2.3 Factor analysis of adaptability culture

Factor analysis of adaptability culture is divided into nine projects. By the Bartlett Test, the value is 317.392, a significant level of P is 0.000, and the KMO value is 0.808, indicating that factor analysis is suitable. We use principal

component analysis in factor analysis, and extract two factors whose characteristic value is greater than 1, in according to Kaiser's criteria. The largest rotation of variance is convergent after 24th iteration, and the accumulated contribution rate of variance is 52.432%. Two factors are named as organizational learning and innovation. The specific details are shown in Table 3.

3.3.2.4 Factor analysis of mission culture

Factor analysis of mission culture is divided into nine projects. By the Bartlett Test, the value is 284.580, a significant level of P is 0.000, and the KMO value is 0.837, indicating that factor analysis is suitable. We use principal component analysis in factor analysis, and extract two factors whose characteristic value is greater than 1, in according to Kaiser's criteria. The largest rotation of variance is convergent after 24th iteration, and the accumulated contribution rate of variance is 49.971%. Two factors are named as predictability and targeted. The specific details are shown in Table 4.

Insert Table 1, Table 2, Table 3 and Table 4 Here

3.3.3 Correlation analysis

As can be seen from Table 5, the correlation coefficient between participatory culture and internal processes is 0.822, indicating that the participatory culture and internal processes is significantly positive correlation. Organizational members of government provide products or services for Public with high input, so the evaluation is high level of civil servants, and high efficiency of the government. The correlation coefficient between consistency cultural and financial dimension is 0.796, indicating that the consistency cultural and financial dimension is significantly positive correlation. When governmental members can easily reach consensus in certain matter, the cost of communication will be significantly reduced and efficiency of decision-making will be improved, bringing government more budget surplus. The correlation coefficient between adaptability culture and learning growth is 0.896, indicating that the adaptability culture and learning growth is significantly positive correlation. The purpose of governmental organizational learning is to better adapt to the environment and accelerate development. The correlation coefficient between mission culture and customer factors is 0.781, indicating that the mission culture and customer factors is significantly positive correlation. When local governments see a variety of policy put forward by the central government as mission, the mission of serving people can be achieved. The four assumptions mentioned in this article are verified by test results.

Insert Table 5 Here

4. Conclusion

In this paper, we collected the information—the relationship between various characteristic organizational culture and government performance of six government departments from Shaanxi and Shanxi, and then analysis, test and explain the impact of various characteristic organizational culture on government performance. The study found that the participatory culture and internal processes are significantly correlated, the consistency cultural and financial performance are significantly correlated, the adaptability culture and learning growth are significantly correlated, and mission culture and customer factors as well. The governmental cultural construction should not only concern about internal stability and control, but also the external changes and flexible. The government should not only pay attention to promote the continuous growth of members, but also to the satisfaction of the majority of the people.

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Table 1. Rotated factor matrix of participatory culture

Rotated Component Matrix (a)

	Component	
	1	2
(4)	.695	.210
(6)	.679	.079
(5)	.662	.213
(3)	.568	.366
(2)	.250	.765
(1)	.153	.748
(8)	.372	.670
(7)	.443	.501
(9)	.425	-.478

Table 2. Rotated factor matrix of consistency culture

Rotated Component Matrix(a)

	Component	
	1	2
(18)	.714	.087
(12)	.703	.210
(13)	.688	.123
(17)	.648	-.220
(10)	.554	.226
(15)	.553	.345
(11)	.543	.354
(14)	-.045	.831
(16)	.308	.681

Table 3. Rotated factor matrix of adaptability culture
Rotated Component Matrix(a)

	Component	
	1	2
(26)	.811	-.024
(27)	.725	.067
(22)	.700	.298
(19)	.657	.189
(23)	.593	.477
(25)	.549	-.036
(20)	-.082	.754
(21)	.114	.738
(24)	.468	.502

Table 4. rotated factor matrix of mission culture

Rotated Component Matrix(a)

	Component	
	1	2
(34)	.698	.371
(36)	.693	.014
(35)	.683	.052
(32)	.539	.301
(28)	.525	.420
(29)	-.127	.826
(33)	.302	.672
(30)	.417	.521
(31)	.426	.468

Table 5. Correlation analysis about organizational culture and Government Performance

|	Participatory	Consistency	Adaptability	Mission	Internal process	Financial dimension	Learning growth	Customer factor
Participatory	1	.896**	.917**	.848**	.822**	.579**	.787**	-.041**
Consistency	.896**	1	.870**	.842**	.680**	.796**	.212**	.633**
Adaptability	.917**	.870**	1	.851**	-.083**	.831**	.896**	.680**
Mission	.848**	.842**	.851**	1	.116**	-.013**	.007**	.781**
Internal processes	.822**	.680**	-.083**	.116**	1	.046**	.057**	-.009**
Financial dimension	.579**	.796**	.831**	-.013**	.046**	1	.084**	-.021**
Learning growth	.787*	.212**	.896**	.007**	.057**	.084**	1	-.154**
Customer factors	.775**	.633**	-.041**	.781**	-.009**	-.021**	-.154**	1
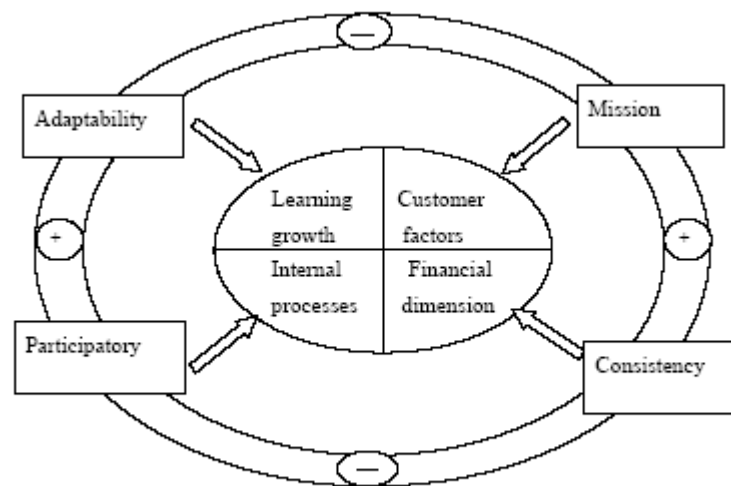
Figure 1. Research Framework Chart

Thoughts on Cultural Crisis and National Identity

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Abstract

At the Post-Cold War Era, western cultural hegemony came under question, and was replaced by cultural diversity. Cultural diversity is likely to result in cultural relativism, and might, as Huntington said, cause competition and clash among all civilizations, which will in turn lead to a global cultural crisis. Cultural crisis in China has changed with the period of time, and has not broken away from the sign of crisis so far. In this article, the authors will start from reflection upon the fever of "Sinology", and ponder over viewpoint by Mr. Yu Ying-shih on national identity. Then, the authors put forward their own view. That is, for national identity of China, it is still necessary to search for foundation in the cultural tradition of the three thousand years' history. Meanwhile, some new elements in the world should be integrated, which is the only way to avoid cultural crisis and work towards "modernization".

Keywords: Cultural crisis, National identity, Modernization

Since the Post-Cold War Era in the 1990s, the western mainstream consciousness headed by America came under question, and on the contrary, cultural diversity has received more universal recognition. In his << The Clash of Civilization and the Remaking of World Order >>, Huntington made a deep elaboration that pursuit of self cultural identity by all nationalities in the world had launched challenges to western cultural hegemony. It was not only a threat to western culture, but that various ethnic groups were formed in all nationalities. Cultural identities are different from each other, and cultural identity of each nationality has its strong exclusiveness. Therefore, multi-cultures mutually interweave with and affect each other. Competition and conflicts exist between different civilizations, and serious cultural crisis still underlies in the current world. In the spring tide of the world, cultural crisis in China has changed with time sequence, and still has not broken away from the sign of crisis.

1. Reflection upon the fever of "Sinology"

In the past few years, the fever of "Sinology" has appeared in China. Scholars undertaking humanistic studies have begun to seek for cultural identity from the tradition, and attempted to realize re-deconstruction on national identity, so as to break away from cultural crisis in China. Mr. Yu Ying-shih called this phenomenon "fundamentalism". At the same time, he also deeply pointed out that, study on "Sinology" in China was still in its infancy, and was still far away from being qualified to burden the task of Chinese history and culture. Generally speaking, similar to scientific research, humanistic research also calls for a long-term tradition of research as its base of foundation. The deeper the tradition of research, the more likely it is to get rid of the stale and bring forth the fresh. Humanistic research in western countries has had various variations in recent twenty or thirty years, but the entire tradition becomes more and more abundant. As for study on "Sinology", China established its profound foundation in the first half of the 20th century. On one hand, China inherited the heritage of all parts of its traditional Classics, History, Philosophy, and Literary Collections. On the other hand, China has developed its own new viewpoint and methods, and orientation of its research is also polynary. A number of masters in traditional Chinese culture at that time, such as Wang Guowei, Chen Yanke, Qian Mu and Feng Youlan et al left behind abundant heritage. However, after 1950s, study on "Sinology" in China was enforced to be discontinued, so it might not be easy to resuscitate study on "Sinology" for the time being. A historiographer from Russia analyzed that, after the disintegration of Soviet Union, a "philosophical blankness" was left and "cultural

vacuum" appeared in Russia. The old-fashioned traditional value system was criticized and even overthrown, and a new value system was not confirmed yet, so various ideologies were prevalent everywhere. Compared to Russia, there also existed "cultural vacuum" in China and Chinese people had no spiritual sustenance. Solitary and alienation of the spiritual world nowadays is more obvious than any period in the history as a result of the attack from the current market economy.

2. Path choice for China to search for cultural identity

At present, to seek for cultural identity and to re-deconstruct the value system in China is said to be a long way to go. However, what is certain is that search for cultural identity is absolutely not simply what "the Bring Principle" and "Fundamentalism" can resolve. Modernization in China needs to seek for its foundation in the cultural tradition of three thousand years in China. At the same time, new elements in the world should be integrated, which is the road we must take in order to avoid cultural identity and seek for national and cultural identity.

The famous Tang Dynasty Poet Du Mu said, "Each step of movement of a chessman in a chessboard should be determined by specific situation of that time, which cannot be predicted in advance. However, what is sure is that the chessman can never move out of the chessboard." Mr. Yu regarded "chessboard" as "traditional" external structure, and "chessman" as motive for internal development of the tradition. Before the 19th century, all sorts of reformations of different scopes had happened within the tradition in China, and some were even quite vehement. However, that still didn't break through the fundamental traditional pattern, just as "chessman can never move out of the chessboard". At the end of the 19th century, under attack of domestic and foreign power, traditional political system in China went into total disintegration. The feudal autocratic monarchy system with a long history of more than two thousand years in China was eliminated and the chessman has moved out of the chessboard. After the year 1911, if we say that political and economic system as "hardware" of "tradition" in China had already perished, then whether the "value system" as "software" of "tradition" had also perished? According to Mr. Yu, the value system as "software" had entered a state of "perishing, but not disappearing". The central idea of "three cardinal guides and five constant virtues" in Confucian thought was criticized by <<Doctrine of Benevolence>> (1896) by Tan Sitong, and was said to "perish" by the time of "May Fourth Movement". However, some individual values and concepts in the "tradition" did not and was unlikely to disappear immediately after they dissociated from the system of "tradition". This is the so-called "perishing, but not disappearing". These values and concepts not only stimulate and affect a lot of "modern" values and concepts, but also supplement each other. Hence, a quite important yet extremely eccentric degree of orientation is brought into form in the History of culture in China in the 20th century. Research achievements by Mr. Yu have been known both at home and abroad. Reading articles by Mr. Yu can leave a deep impression upon people. Through the complex superficial image of the society, Mr. Yu can work out transitional threads in the culture in China. However, the viewpoint of the authors is a little bit different from the previous ideas of Mr. Yu. From the perspective of the authors, the "traditional" value system of China hasn't perished with collapse of the political system, and has also been far away from reaching the state of "perishing, but not disappearing". "Traditional" individual values and concepts dissociated from "traditional" system and stimulate with modern values and concepts, which is only the alienation of "tradition", or just a superficial phenomenon. However, as a matter of fact, its kernel still exists and plays a certain role. Only observation on the "life down at heel" of the common people can tell us something.

Here, the authors are going to talk about a story mentioned in <<New Discussion on National History>> (295) by Qian Mu, the great master of Sinology, that there was a retired general who had gone through the Civil War in American. He had a bad temper and lived all his life in isolation. Each time he was in a bad mood, he would scold and beat whichever domestic servant he hired, so his servants came and left one by one. There was a man from Shangdong Province in China with the name of Ding Long, and he came to the general. However, the general still continued to scold and beat him when in a bad mood, so Ding Long also left out of anger. Several days later, the house of the general went on fire and Ding Long came back again. The general asked in surprise, "Why did you come back?" Ding Long answered, "I heard that your house was set on fire and you were in great need of hands for help. The Principle of Benevolence and Loyalty of Confucius is carried down from generation to generation, and I thought that I should come back". More surprised, the general said, "Confucius was a saint in China several thousand years ago. I did not know you have read and known about the principle by saints in your country." Ding Long said, "I am illiteracy and I haven't read any books. It was my father who taught me the principle". That general said, "Although you are illiteracy and haven not read, your father is a scholar." Ding Long continued, "Not yet, my father was not illiteracy and it was my grandfather who taught my father that principle. Even my grandfather was illiteracy and it was my great grandfather who taught that to my grandfather. Further beyond that, I also have no clear idea. In one word, all my ancestors had the class origin of farming but not reading." Extremely surprised, that general kept Ding Long at home and the master and the servant turned to friends. By the time when Ding Long was ill to death, he said to that general, "I have lived at your house for all my life. What I have eaten and used are yours, and you still give me salary. I have no home, relatives or friends, so all my money should be left here. Now, I am going to die, and I will return the money to you. Of course, this is supposed to belong to you." This general was even more amazed. He sent the remuneration Ding Long had left aside and another

large sum of donation to Columbia University. He specially set up a course of lectures in the university for special study on Chinese culture. The lecture was called "Ding Long Lecture". That was the first special lecture set up in American universities for Chinese culture. As a matter of fact, Ding Long was not a saint, and so long as we go deeper into life of common people in China, we can find there are too numerous such cases to mention one by one.

Thereout, we come to a conclusion that, the "value system" of Chinese tradition does not mean perishing, but precipitating. These traditions have been inherited and accumulated from generation to generation in Chinese people, and it is not possible for them to be pulled up by the roots within several decades. They have just infiltrated into consciousness of human beings, and formed a cultural identity or national identity. Today, in order to realize Chinese modernization and re-deconstruct its value system, people have no other choice but to take "tradition" into consideration. Just as Mr. Yu said, the so-called "modern" was actually "modernization" of the "tradition" and "modernization" could go nowhere if it was dissociated from the subject of "tradition". Meanwhile, if China always held a unique and particular attitude in the world, it would be impossible to obtain general recognition from the entire world and to realize "modernization" in China. Unsuccessful integration into the world might result in other crises in addition to cultural crisis.

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Thematic Operational Approach
and the Writing Teaching of College English

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Abstract

Thematic structure, an important factor for textual metafunction, plays a significant role in inspecting and promoting the textual coherence. With a theoretical statement of Thematic theory and TP patterns, this paper proposes the feasibility of the Thematic Operational Approach in the teaching of college English writing. This approach is proved to not only strengthen students' application awareness of TP patterns, but also promote the coherence of the whole text. It might be a good trial in college English writing teaching.

Keywords: Coherence, Thematic Operational Approach, Thematic progression patterns, Teaching of college English writing

1. Introduction

Writing itself is the process of making a coherent passage. It is the most effective way to show one's English proficiency. In recent years, great achievements have been made in both the theoretical research and the practice of college English writing teaching and learning. However, many of the students' writings are still far from satisfactory.

In the authors' view, college students' discourse inability is the root cause. Many students do not know how to make a coherent discourse. Consequently, they cannot present their statements or argumentation closely around the topics of the passages in a coherent way. In fact, the thematic organization of the text is closely connected with discourse coherence or text connexity. Different Thematic Progression (TP) patterns accelerate the coherence with different effects. Whereas researches on this aspect are few, the present study on the application of various TP patterns is of practical significance. In most of the texts, the thematic progressions are the integration of various TP patterns, and suitable TP patterns should be chosen and applied accordingly and appropriately in the light of grammar structure, cohesive devices, rhetoric and even genres to improve the discourse coherence.

The authors explore, as a trial, the feasibility of Thematic Operational Approach in the writing teaching of college English. This approach, based on the empirical teaching by the authors, is also the creative point of this paper.

2. Theme, Rheme and Thematic Progression

In the framework of Functional Grammar by Halliday (1976), the textual function refers to the integrity, identity and coherence of a text. Thematic structure, an important factor to achieve textual metafunction, plays a significant role in examining whether and how a sequence of sentences or paragraphs constitutes a coherent text.

2.1 Theme and Rheme

Halliday (1976) defines "Theme is the element which serves as the starting point of the message; it is that with which the clause is concerned. The remainder of the message, in which Theme is developed, is called in Prague School terminology Rheme." In that sense, theme is the first part of a sentence. It is the framework of the starting message, which tells the topic of the sentence. All the following parts are called rheme. It, as the core of the sentence, is the narration, description and explanation of the topic.

Themes can be classified into three groups by Halliday according to the complexity: simple theme, multiple theme and

clause as theme.

2.1.1 Simple Theme

Simple theme is an independent unity which cannot be split.

E.g. 1) An operating system runs a computer.   2) On the wall there was a picture.

　　 3) What has he written down?　　　　　 4) Leave the lamp here.

As illustrated, nominal groups, adverbial phrases, interrogative pronouns and verbs can be used as simple themes in different sentences. Halliday usually calles such themes as "Topical Themes".

2.1.2 Multiple Theme

Generally speaking, simple theme only includes topical theme which relates to the experiential function, while in addition to the topical theme, some sentences also have a textual or interpersonal theme.

E.g. 5) And so the angry headmaster left the classroom at once.

　　 6) Probably the newly set up team will win their first game.

In 5), "and so" is the textual theme, and "the angry headmaster" is the topical theme; in 6), "probably" is the interpersonal theme, and "the newly set up team" is the topical theme. The theme of each sentence is the combination of topical theme with textual or interpersonal theme.

2.1.3 Clause as Theme (Thematic Equative)

If theme is a clause (namely the clause or the non-finite verbs, such as –ed or –ing phrases), it is called clause as theme.

E.g. 7) What the duke gave to my aunt was that teapot.

　　 8) The way Dinah washed her children's face was this.

Halliday (1970) refers to theme as a line of nails on the wall. The contents of the texts are carried along the nail line. He suggests that theme is "what the clause is about", and no matter what the author wants to talk about, he must arrange the relative information around this topic in a logic order, with the thematic structure arranged distinguishingly according to the specific genres and aims. In a word, thematic structure is one of the necessary conditions for creating discourse coherence.

Themes and rhemes make up its own thematic structure of each sentence. While sentences being integrated into a context, the thematic structure of each sentence is closely related to those of the previous and latter sentences. In this way, the coherence of a discourse is ensured.

2.2 Thematic Progression

F. Danes (1974) determines the term thematic progression as "the choice and ordering of utterances, themes, their mutual concatenation and hierarchy, as well as their relation to their hyper-themes of the superior text units (such as paragraph, chapter, etc.), to the whole text, and to the situation. Thematic progression might be viewed as the skeleton of the plot." Three main Thematic Progressions (Chained TP, Continuous TP and Derived Hyperthematic TP) are shown in the following diagrams (Diagrams 1, 2, 3) to indicate how themes are derived from rhemes, or how themes are repeated with new rhemes, as well as how themes are derived from the general idea.

Insert Diagram 1 Here

E.g. 1): Nevertheless, there are still a number of film-fans (R1) nowadays. They (T2=R1) claim that as classical art, film is far more enjoy able than TV (R2).

Continuous TP pattern is one of the basic forms of English paragraph organization. Paragraph with such TP pattern often describes a central idea, because the themes in the text constitute a chain of co-referential items. The whole paragraph is coherent and focuses on a key point as themes are clearly related. Rhemes describe different aspects of the same event or the same thing from different angles.

Insert Diagram 2 Here

E.g. 2): "We (T1) shall defend our island, whatever the cost may be, we (T2) shall fight them on the beaches, we (T3) shall fight them on the landing grounds, we (T4) shall fight in the fields and in the streets, we (T5) shall fight in the hills; we (T6) shall never surrender." (Churchill 1940)

In Derived Hyperthematic TP, the themes of the various constituent clauses are all derived from that general idea, but are not identical to one another (see Diagram 3).

Insert Diagram 3 Here

E.g. 3): Color (T) in our daily life is meaningful. Red (T1) represents enthusiasm and ardor. Green (T2) symbolizes

hope and vitality. White (T3) is a mark of chasteness….

As the thematic structure and TP patterns play a significant role in promoting the coherence of the passages, empirical teaching is employed for the study. And Thematic Operational Approach based on the thematic theory and TP patterns has been proposed to not only strengthen students' awareness of applying some TP patterns, but also promote the coherence of the whole passage.

3. Writing Problems and the Operation of Thematic Operational Approach

3.1 Writing Problems

According to the data via the questionnaire and interview, most of the students have improved their communicative abilities and they have great expectation to construct good compositions. Pitifully, their writings are still loose in structure and disordered in logic; the whole texts lack unity. One of the major obstacles for the students in writing lies in the logical organization of the text content and the coherent layout of the textual structure.

In addition, the data about teachers' assessment on the compositions (see Table 1) reveals that teachers' excessive focuses on grammatical mistakes mislead students to think that correct grammar is the primary factor in writing, which, in turn, leads to the result that students pay too much attention to grammar instead of the rationality of organization and fail to make a coherent writing.

As for writing guidance, Product Approach, Process Approach and Length Approach are three prevailing approaches in college English writing teaching. Each approach has its own emphases and different effects on assisting students to write. However, these approaches do not contribute sufficiently to the unity and coherence of the whole passage.

Each individual sentence, grammatical correct as it is, is not equal to a coherent discourse. Thematic Operational Approach is testified effective in facilitating students to stick to the topic and form the coherent passages.

3.2 The Operation of Thematic Operational Approach

In view of the writing problems, Thematic Operational Approach aims to emphasize the connecting modes and regulars among sentences with the starting point of the whole passage structure. With the appropriate build-up of the thematic structure and TP patterns, students are guided to stick to the central point and express their ideas coherently at discourse level.

This approach can be conducted with three steps: brief introduction of theoretical knowledge, analysis of sample compositions and relevant exercises.

Step 1. Brief Introduction of Theoretical Knowledge

3.2.1 Theory about thematic structure and TP patterns

Thematic theory is the kernel of this new writing approach. Before thematic theory is introduced, some terms belonging to the sentence elements are reviewed again for comparison, such as the subject, predicate and object of a sentence. And special attention is paid to the subjects of a sentence. Usually nouns, noun phrases and gerund phrases can be taken as the subject of a sentence. For example, both in 1) "*I went my way from house to house*" and in 2) "*From house to house, I went my way*.", "*I*" is the grammatical subject of the sentences.

Then, the terms "Theme" and "Rheme" are elicited on the basis of comparing them with the grammatical subject of a sentence. As Halliday says, "Theme" is the first constituent and "Rheme" the remaining parts, so that in 1), grammatical subject *I* is also the theme of the sentence and the remaining part is the rheme; whereas in 2), the adverbial phase *from house to house* is the theme of the sentence, and "*I went my way*" is the rheme.

After a general description about "Theme" and "Rheme", a detailed classification is introduced as   presented in 2.1. It will help students understand better what "Theme" and "Rheme" are and how to classify themes in different sentence patterns. Three basic categories of TP patterns discussed in 2.2 are also introduced. When instructing this theoretical knowledge, teachers should follow two principles as follows:

(1) No excessive theoretical knowledge. The focus should only be Halliday's Functional Grammar. The aim of introducing thematic theory is to help students with a better understanding of writing skills rather than a specific theory learning. Otherwise, it diverts from the teaching aims.

(2) Not too much classification of themes and TP patterns. The focus should only be the three kinds of theme (simple theme, multiple theme and thematic equative) and TP patterns (simple linear progression, constant theme progression and thematic progression with derived themes) respectively.

3.2.2 Theory about cohesion and coherence

Cohesion and coherence are very complex and integrated with each other. Illustrations are limited only in terms of some knowledge about grammatical cohesion and lexical cohesion. But considering students' existing problems and knowledge construct, it should be pointed out that those simple connectors frequently used in their compositions are

overt and lexical conjunctive adjunct in form, which itself can not ensure the whole coherence of texts. To improve the coherence of the whole passages, it also depends on the combination of overt and lexical cohesion and the covert cohesion in meaning (thematic structure).

The aim of this first step is to help students with a general knowledge and awareness of thematic structure and TP patterns. Since college writing teaching is closely related with CET 4 writing, and since most of CET 4 writings are argumentations, the samples in the empirical teaching are mainly argumentative writings. An argumentation uses language to justify or refute a standpoint, with the aim of securing agreement in views. It is obvious that good logic is even more important for argumentative discourse than any other types of discourse. Without coherent and logical progression in structure, the passage will be rather disordered and inconvincible. It is proved that proper application of thematic structure and TP patterns can facilitate students with a better structural coherence in their CET 4 argumentations.

Step 2. Analysis of Thematic Structure and TP Patterns in Sample Compositions

The second step is sample analysis to illustrate how thematic structure and TP patterns work in constructing compositions. A well-chosen argumentation is handed out to students. The students are asked to do the following tasks: 1) To find out all the themes and rhemes in each clause and classify them into the corresponding categories; 2) To find out all the TP patterns used in the passages and classify them; 3) To give comments on the coherence on basis of the analysis.

A particular example is presented to show how the tasks are conducted. The passage "*Practice Makes Perfect*" is the virtue writing task of CET 4 in Jan. 1997. This sample is analyzed in the article *Theme-Rheme Theory and the Textual Coherence of College English Writing* written by Chen Mei in 2005. All themes and rhemes in the writing have already been underlined by Miss Chen. The whole passage is shown totally as follows:

As the saying goes (T1), practice makes perfect (R1). Whatever you do (T2), you are certain to aim at perfection (R2). But perfection (T3) lies in practice (R3). Without practice (T4), you can never expect to be really good at anything (R4). On the contrary, the more you practice (T5), the more likely you are to have things perfectly done (R5).

A case in point (T6) is the study of English (R6). If you are to improve your pronunciation (T7), you must practice every sound again and again (R7). If you want to write an excellent composition (T8), you have to practice your writing (R8).

Another example (T9) is Deng Yaping, the world No.1 woman ping-pong player (R9). This short girl (T10), who does not seem to be cut for sports, owes her success to painstaking and prolonged practice (R10). Practice (T11), so to speak, can even make a difference between becoming merely good at something and becoming a champion (R11).

One thing needs to point out that students are asked to do the three tasks as mentioned above before the sample underlined by Chen Mei is shown. For the identification of each theme and rheme, students can do almost as well as the above underlined sample.

The progression of the TP patterns can be indicated as follows: R1=R2=T3, R3=T4=T5, R7=R8, R9=T10, R10=T11

Attention should be paid to how these patterns contribute to the coherence of the passage. It is also found that the most frequently used pattern is simple linear progression (used for 4 times in total). They are R2=T3, R3=T4, R9=T10 and R10=T11. By analysing the progression of TP patterns in the sample, the teacher should explain explicitly the relationship between themes and rhemes. New information in the previous rhemes is usually expressed by the themes of the latter sentences in chain.

With this empirical teaching, students come to realize the significance of theoretical instruction and have a better understanding of the thematic structure. They not only know how to use the acquired thematic progression consciously and properly in their writing, but are even able to notice new TP patterns (as shown in R1=R2, R7=R8 for example) themselves. They are satisfied with their progress in their writing.

Step 3. Relevant Exercises for Reinforcement

In order to consolidate students' awareness and sensitivity of/to thematic structure and TP patterns, various exercises are provided for reinforcement. (1) To correct the unsuitable themes in the given passages and tell how these errors obstruct the structural coherence of the whole passage. (2) Blank-filling with appropriate connectors and modal adjuncts. But it should be pointed out that in this section several answers may be acceptable, as different students have their own viewpoints about the passage. Comparison is necessary to see which is more suitable. (3) Composition writing in class. Students' compositions are collected and compared with their previous writings.

According to the author's experiment, the proportions of TP patterns used in the pretest samples and posttest samples are listed in the following Table 1.

Insert Table 1 Here

This table shows that the students have made apparent progress in using TP patterns. Through the instruction of thematic operational approach, students' awareness of employing relative theories in their writing is also significantly enhanced. Their writings are much more coherent with the application of various TP patterns. They can express their statements with logic clear and central ideas enlightened.

4. Conclusion

Thematic structure and TP patterns play a significant role in constructing a passage. They are the skeleton of the plot. (Danes, 1994) Choosing words is one thing, while arraying words is quite another. In written discourses, the appropriate build-up of the thematic structure and TP patterns help students express their ideas logically and coherently. Thematic Operational Approach emphasizes the connection of sentences, clutching to the central idea of the writing.

As indicated by the experimental teaching, Thematic Operational Approach, based on Thematic structure and TP patterns, contributes to the close connection between lexical cohesion and covert cohesion in meaning, and the highlight of the central ideas of the text. This approach will not only strengthens students' application awareness of TP patterns, but also promotes the coherence of the whole text. It might be a good trial in college English writing teaching.

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Table 1. Data of TP pattern proportions

	Proportions of TP patterns (%)
Before experiment	25.46
After experiment	50.09

$$T1\text{-----}R1$$
$$\downarrow$$
$$T2\ (=R1)\text{-----}R2$$
$$\downarrow$$
$$Tn\ (Rn\text{-}1)\text{-----}Rn$$
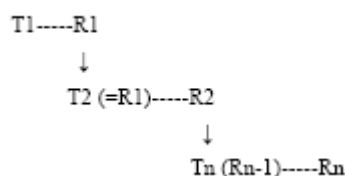
Diagram 1. Chained TP usually arranged consciously in a Z-form

$$T1\text{-----}R1$$
$$\downarrow$$
$$T2\ (=T1)\text{-----}R2$$
$$\downarrow$$
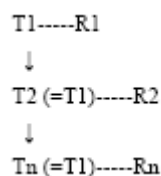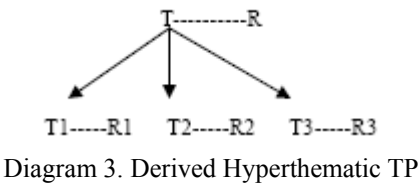$$Tn\ (=T1)\text{-----}Rn$$

Diagram 2. Continuous TP

Diagram 3. Derived Hyperthematic TP

A Study on the Possible Causes of China's Trade Deficits

with South Korea after Their Establishment

of Diplomatic Relations

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Abstract

The trend of globalization since the early 1990s has had a profound impact on trade relations between China and South Korea. It affected these two countries in positive ways, and brought Sino-Korean trade to its highest level since the establishment of diplomatic relations on August 24, 1992. Sino-Korean trade, as the scale of its growth and development accelerated, was also exposed to and encountered various problems. Among those problems, the most important and urgent problem to be solved was that in Sino-Korea trade, the deficit on the China side has continued to increase. This paper focuses on analyzing the causes of this problem.

Keywords: Sino-Korean trade, Trade deficits, Trade balance, Win-Win situation

1. Introduction

There are more and more studies on Sino-Korean relations in recent years especially since 1992. However, most of those existing studies predominantly document the Sino-Korean trade relations from the standpoint of South Korea, and focus on how South Korean enterprises increase market share in China. This paper tries to discuss the Sino-Korean trade relations from the standpoint of China. From China's stand, it will look into the exposed problems particularly focusing on China's increasing trade deficit in Sino-Korean trade relations, and concentrate on finding its possible causes.

2. A Review of Trade Balance between China and South Korea

The relationship between merchandise imports and exports is referred to as the balance of trade, or trade balance. If a country exports more goods than it imports, it has a favorable balance of trade; if it imports more goods than it exports, as China has done in Sino-Korean trade during the last 16 years, it has an unfavorable balance of trade, according to the statistical data, as shown in figure 1. Usually a country that has a negative balance of trade also has a negative balance of payments.

Insert Figure 1 Here

The actual figures in the last column of table 1 show that balance in China's trade with South Korea recorded deficits of USD 1.22 billion in 1993, USD 5.66 billion in 2000, and   USD 4.89 billion in 2001. In 2002 and 2003, China recorded trade deficits of about 6.35 billion dollars and 23 billion dollars in its trade with South Korea. The trade deficits reached a peak of 47.7 billion dollars in 2007. It decreased to 38.2 billion dollars until 2008.

From 1993 total accumulated surplus in Korea's trade with China was more than that in its trade with USA and with Japan, it shows how important China is for the Korean economy, and also shows how the imbalance the Sino-Korea trade is.

Insert Table 1 Here

3. Causes Analysis of China's Increasing Trade Deficit with South Korea

Sino-Korean trade has made noticeable development since 1992, going from nothing to something, from small scale to big scale trading. As the scale of Sino-Korean trade growth and development accelerated, it also became exposed to and

encountered various problems.

Among these problems, the most important and urgent problem to be solved was that in Sino-Korean trade, the loss of the Chinese side has continued to increase since 1993. This increasing trade deficit with China led trade disequilibrium to be one of the main problems in bilateral economic cooperation.

It is hard to avoid the trade deficit in Sino-Korea trade. China's increasing trade deficit with South Korea will bring a negative influence on China's economy, especially unfavorable to the healthy development of bilateral trade. Now let's analyze China's increasing trade deficits problem in Sino-Korean trade relation.

3.1 Influence of the Asian Financial Crisis

The Asian financial crisis in South Korea broke out in August 1997, with the country's currency greatly depreciating. There were sharp drops in Korean current prices of stocks at that time. All of that made the domestic economy of South Korea threw in a state of disarray. Under the situation, Korean enterprises couldn't do export/import business as usual. On the other hand, China's "no depreciation" policy increased export costs relatively. Korean enterprises began to cut orders for Chinese down. The result was that exportation from China to South Korea decreased at a large scale.

In order to raise foreign exchange reserve, the Korean government increased exportation taking advantage of Korean currency's depreciation. Trade surplus in Korea grew with a small favorable balance, and it became larger and larger. China, the biggest export market for South Korea, was sure to be influenced by the wave of Korea's enlarging exportation. It brought the disequilibrium in Sino-Korea trade into a tense situation.

3.2 Influence of Structural Fluctuation of Export and Import Commodities

On the aspect of export and import commodity structure, China mainly exported primary products or low tech-, low value-added products to South Korea, and the exportation was concentrated on the labor-intensive industries, for example, crude materials, agricultural products, mining products, textile and apparel, etc.

On the other hand, South Korea exported technologically intensive and capital intensive products to China, such as chemical industry manufacture, telecommunication equipment, electron and electrical articles, and so on. Even if China exported some electrical articles to South Korea, they were mainly electronic spare parts. This kind of difference was based on technological difference, and was the possible main reason for bilateral trade disequilibrium.

Given the analysis by Qi Zhang (2003), it can be concluded that the structural fluctuation of the above three kinds of commodities{chemical industry manufactures, articles of plastic rubber or leather and machinery} did have a direct influence on the increasing trade deficits on the Chinese side. That is, the structural fluctuation of import and export commodities of Sino-Korean trade acted as the actual and direct cause of increasing Chinese trade deficits in Sino-Korean trade. Structure of import and export commodities of Sino-Korean trade, based on vertical bilateral specialization, was the main factor which accelerated trade imbalance between China and South Korea.

There were many cheap products in the international market after the break out of the Asian financial crisis. China was sure to lose the market share due to the relatively high price of its export commodities. In other words, even if Korea did not suffer the currency crisis, the difference of trade structure would widen the trade balance and enlarge the trade disequilibrium in Sino-Korea trade. Generally speaking, the export and import commodity structure with the characteristic of vertical division was one of the most important causes for China's increasing trade deficit.

3.3 Influence of Fluctuation on Korean Direct Investment in China

The characteristic factors of Korean investment in China are reasons for the imbalance of bilateral trade. In order to encourage the development of new industries and speed up the procedure of upgrading the industrial structure, the Korean government took positive policies to encourage labor-intensive industries to invest in overseas. Of course China became the first target country of their investment in that the geographically close location; lower economic development; lower cost of labor resources; and plenty of agricultural, mining resources, etc.

Actually, Korean direct investment in China has exploded since the opening of diplomatic relations in 1992. As China's cheap labor has been a key factor in attracting Korean investors, Korean direct investment has largely focused on the sectors of manufacturing (fiber, costume, electronic and appliance assembling, footwear making, petrol-chemical product, the food and beverage industry), transportation, construction, real estate, and so forth.

Looking at the investment scale, Korean small and medium-size enterprises are leading the Korean investment charge in China. The average size of Korean investment in China was only 1.77 million dollars, as reported by C. Min Han(2000, P10, P23).

Most Korean enterprises in China did the main export and import business (about 70 per cent) in Sino-Korean trade relations. The bilateral trade lacked increasing power due to the above two features, and also lack of the ability to withstand risks. In a word, the increased Korean direct investment in China is supposed to be another factor of increasing China's trade deficits in Sino-Korea trade.

3.4 Influence of Change of Average Tariff Rates

Due to China's high economic growth, geographic proximity and industrial complementary, Sino-Korean trade is expected to record fast growth. The Korea Ministry of Commerce, Industry and Energy predicted that Sino-Korea trade will triple to USD 102.5 billion in 2008, and now it becomes true. Korea's exports to China will continue to increase as China's joining the WTO lowered tariffs for core industries like automobile, chemistry and electronics.

China has already been a member of World Trade Organization since November 2001. According to the statistical data, China's average tariff decreased at a very large scale. Since 2002, the Chinese government has lowered its overall tariff level from 15.3 per cent to 12 per cent, involving about 5300 tariff items. Until the year 2005, the overall tariff level would be lowered to 10 per cent as committed. It is obvious that there is an important relationship between the decreasing of average customs tariff and the increasing trade deficits on the Chinese side.

4. Conclusions

With the fast development of bilateral trade, the problem of China's increasing trade deficits with Korea was exposed and became an important and urgent problem to be solved. According to the analysis of this paper, four main causes for the problem are as follows.

As well as the influence of the Asian Financial Crisis, structural fluctuation of import and export commodities of Sino-Korean trade acted as the actual and direct cause of increase in China's trade deficits to Korea. Besides of the above two reasons, the increased cumulative total of direct investment by Korea in China is another factor of increasing China trade deficit. As the direct investment by Korea increased more rapidly, the import of raw materials and production facilities to China continuously increased and caused the acceleration of Chinese trade deficits in Sino-Korean trade. Last, The declining average tariff rate in China against the average tariff rate in Korea also had quite a strong relativity on the increase of China's trade deficit.

Based on the above causes analysis, in practice, it would be better to carry out the measures (tariff, price, anti-dumping, etc.) in all round way, thus can lead to achieve a Win-Win situation which is of mutual benefit for their sustainable economic growth..

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Table 1. Sino-Korean Trade Scales Since 1992

(Unit: 100 million $)

| Year	Total Ex/Im	China's Import from Korea	Export to Korea	Trade balance
1992	63.8	26.5	37.2	10.7
1993	90.8	51.5	39.3	-12.2
1994	116.7	62.0	54.6	-7.4
1995	165.5	91.4	74.0	-17.4
1996	199.2	113.8	85.4	-28.4
1997	236.9	135.7	101.2	-34.5
1998	184.2	119.4	64.8	-54.6
1999	225.5	136.8	88.7	-48.1
2000	312.5	184.6	127.9	-56.6
2001	314.9	181.9	133.0	-48.9
2002	411.5	237.5	174.0	-63.5
2003	632	431	201	-230
2004	900.7	622.5	278.2	-344.3
2005	1119	768	351	-417
2006	1343	898	445	-453
2007	1599	1038	561	-477
2008	1862	1122	740	-382

Source: *Statistical Yearbook of China,* 1992-2008.
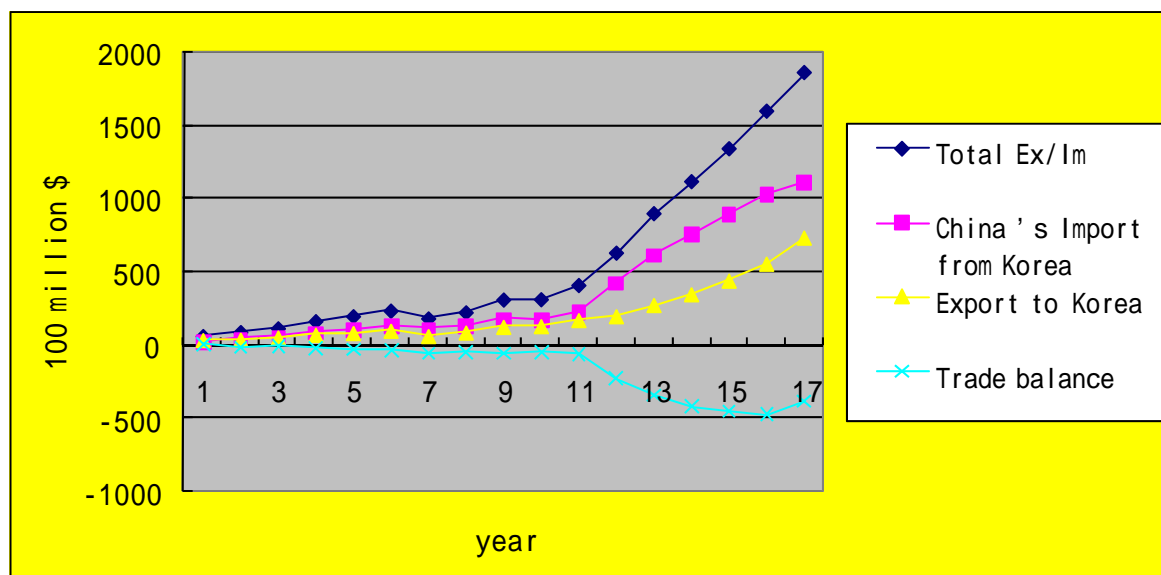
Figure 1. Change of Sino-Korean Trade Scale Since 1992

The Application of Psychological Factors

in the Experience Product Design

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Abstract

Since 1990s more and more enterprises have realized the importance of commercial rules such as "customer-centered" or "market-targeted", the experience economy has turned up recently. This new time has triggered a great revolution in human history of design: the experience design has arisen. In this context, the following paper aims to discuss the application and importance of psychological factors in experience design and how to use the psychological and related knowledge to get rid of the market predicament of product homogenization, so as to upgrade and develop the traditional product.

Keywords: Experience economy, Experience design, Psychology, Psychological factors

1. Preface

The British economist and philosopher mill said: "for human time is important than money. The good life is full of freedom, Engaged in the activities of interest, to meet the basic needs of the responsibility that limit life. Human beings should use limited time to think of the problems which have value, Reading valuable books, writing poems, singing, appreciating the art, learning a new language, walking in the park, to see sunrise and sunset on the beach, or to listen the birds singing……." (Liu Qunwang, Wang Yumin, 2005)

In the 20th century, for human beings this fantasy about future sounds unreachable and so far from our real life! However, since 1990s people have got rid of the regular work time, the core family has gradually collapsed, DIY movement has flourished for the moment, all these have just fulfilled the prophecy by Alvin Toffler who is American future historian! We can say that the human beings now have more freedom to a large extent, They have entered a new era—The Experimental Economy era!

2. The meaning and characteristic of experience economy and design

In B·Joseph Pine   and James H·Gilmores' book: "The Experimental Economy", the authors have described it as: "Here consumption is just process, consumer is its product. When the process comes to end, experience memory will be kept in the consumers mind for a long time. They are willing to pay for the experience, just because it is a nice, scarce, unique, unduplicated, nontransferable and fleeting thing, every moment is exclusive." (B. Joseph Pine, James H. Gilmore, 2002) It is clear that the character of experimental economy is emphasizing the consumer's feel and their initiative. By the words "feeling" and "experience" we can see the experimental economy is emphasized in consumer's satisfaction in the process of consumption. In the experimental economy, the rapid development of science and technology makes the realization of the product's function much easier, the traditional function innovation is no longer a businessman's main selling point, the product's homogeneity phenomenon is seriously. So If businessmen want to gain an advantage in this competition, The only shortcut is to pay high attention and excavate consumer's psychological factors deeply in the design, they can survive only by this way. In this case, as requested by society, the "experimental design" (Mu Feng, Zhu Junjie, 2008) has turned into the strongest note of all design styles! Those psychological factors involved have become the soul and melody of the design.

The Industrial design is a discipline which always ready to solve problems, we all know that at the beginning of the 20th century Germany "Bauhaus" (Wang Shouzhi, 1987) laid the foundation of modern industrial design discipline. It had established the function design style, and its influence has been alive until today. However, along with the development of modern disciplines, many new subjects are regularly coming out. Such as: Modern Psychology,

Marketing, Ergonomics and so on. Various disciplines crossover fusion has expanded industrial design with its connotation and denotation. Modern product design has become a multidisciplinary subject, the concept of product has a broader definition, it has expanded to include product, service, movement, information, knowledge, property and so on which can be market-oriented, in this era the successful product definition also has taken subtle change, the successful products are those which can capture the consumers emotional needs, touch the inner potential demand of users, thus arouse consumers purchasing desire.

3. The psychological factors and its importance in experience design

While how to make the product more emotional in this new economic system? If we only do some facial work, hope for win consumer's favor by changing the product shape and its exterior decoration, I think that is impossible. This will get into another trouble, just like the American "planned obsolescence" (Wang Shouzhi, 2002), and be bound to case a waste of resources! So we must analyze the key role of psychological factors in the product design according to the present economic form. The product by which use the psychological factors is the one really satisfy consumers' demand, this product can touch the consumers heart and soul, thus arouse their purchasing desire. Not only that, I think only such products can be lasting and classical ones. Take the top brands throughout the world for example, they all brand experience and the user's experience design ability as the core competitiveness. Now we give some existing successful examples, it is observed that they all verified this theory.

As Europe's leading design Italy ALESSI (ALESSI'S design philosophy) means art and taste, it always pay attention to the original taste and life, ALESSI'S special character is its develop direction just in conformance with the request of nowadays industry, at the same time they pay attention to add human's spiritual power to products. Many of them possess irresistibly appetency, they are the typical representative of good use of the psychological factors in design.

Italy ALESSI, the DreamWorks, has many international famous designers, their classical products are the successful application of psychology factors, they are easily sympathized with the customers.

The following pictures are some ALESSI'S classical household goods and kitchen tackle:

Figure.1—Figure.2 are some ALESSI'S kitchen tackle, undoubtedly, facing these goods do evoke a hearty laugh. Because they are so lovely, humorous, rebellious and screaming! They can jog your memory, make you feel it is your own personal items, they are unique, and you are inclined to bag it. They are just the results of clever apply psychological factors in design projects.

IKEA (Chen Guang, 2005), as the world's famous brand, is one of a few dazzling commercial wonders in 20th century. It aims to build better life for the masses, its business philosophy is to provide variety, beautiful, practical and affordable household articles. The source of its design is derived from humanistic ideas, functionalist methods, traditional crafts with modern technology and peaceful nature of the modern lifestyle in boreal Europe. Among these the most important is, it builds a new kind of consumption pattern—Experimental Consumption, it has adopted the modular design thought of DIY, which fully mobilize the enthusiasm of the consumer, thus induce the users to exploit their creativity to participate in the redesign process actively.

It is said in Modern Psychology: "Everyone has the potential of creativity, only in the process of creation, can their natural instinct of interest and requirement be satisfied, under such conditions, their personality can fully display, their thoughts get free and emotional satisfaction." (Jung,C.G.(Swiss), Trans. Cheng Qiong and Wang Zuohong, 1991) IKEA'S success is just the result of fully use of psychological factors, its successful story just prove the importance of the usage of psychological factors in design.

In IKEA, you can enjoy your creative, assemble different products and build your small and warm home, the following picture (Figure3) shows some assemble styles:

Another example is the modern adult toys market which has the mental compensation effect: for modernist there is too much pressure at work and study, their life is always monotonous. These adult toys let a person fondle admiringly for their plain design, people in the play can relieve fatigue, release pressure and regulate their emotions, for most important they meet the modernists inner desire who want to avoid rip-roaring city, return to their childhoods. These toys are not like the children's, which are colorful, rich voice, simple operation, they are not depend on these characters but on exquisitely made, simple, easy, beneficial wisdom, creative, and funny to attract people's attention. The following Figure4 is a new kind of adult toys which is made of rubber, they can get all of your emotions out when you are in a bad mood.

There are many such examples, such as the Apple and Philips's experimental products and so on. Each one is a classic, designers use their talent to surprise the consumer, and all these products are collected by many fans.

To sum up, those classical products are not only with luxuriant appearance, because shape innovation is most likely to be followed by others, but the soul of product is not easy to be copied! The selling point of experimental products is its psychological touch function, only by adding psychological factors into product can make it eternal, such merchandise can capture and hold the consumers sight at the first time.

4. The design methodology based on the experience economy

Then how to use psychological factors to success in the product experimental design? To some extent, it is a design methodology, its importance seems to be a self-evident statement. The correct methodology is the key to success, so it is necessary to comprehensive use of psychology, marketing knowledge to summarizing the principle.

The next we make a further research from psychological factors, summarize some psychological principles of the product experimental design. Considered of my limited ability, mistake is inevitable. So there is a long way to explore and perfect, in order to make a better guide for design practice.

1) Comprehensive use various senses, consciousness, make the products more friendly to consumers-- this is the foundation.

2) make use of the "group psychology" and "association psychology", choose stars as celebrity spokespeople to increase the products additional psychological value.

3) To arouse the consumers past wonderful memories, make the products more "plot" and "story".

4) understanding the consumers original psychology of participate in creating, leave certain space in product design, let customers take part in redesign, they may feel good in the process.

5) excavating the consumers' potential perception of his psychological needs—this is the highest ideal state

According to consuming psychology (Xu Ping, 2005): the relation of need, motivation and behavior is:

	Stimulate		Drive		Achieve		Meet the requirements	
Need	⟶	Motivation	⟶	Behavior	⟶	Target	⟶	Action to end
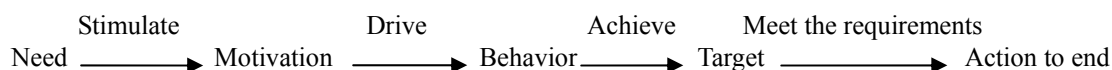
Here we can see the demand is the first motive of consumer's behavior. So design is related to a kind of psychological emotional first, then it is related with technology and materials.

5. Conclusion

To sum up, modern product experimental design is the system of planning and integrated design, its starting point not confined to the function, or shape elements, but includes all the elements the customers valued. Among others, the psychological factors are the main factors. Because the "experience" is itself a psychology vocabulary, its characters can be summarized as "flexibility, emotion blends and then creation" (Min Zongtao, Quan Lixia, 2003) so psychological factors are the soul of experimental product. Just as "the hierarchy theory of needs" (Abraham Maslow's Van (US) the 3rd edition, 2007) which was proposed by American humanism psychologist Maslow in the 1940s, the experimental product design is just the new product of economy, in which human have step over their physiological basis and safety needs towards higher psychological ones.

In the experimental economy era, how to stimulate the economy and looking for a new economic growing point is the most severely problem we have faced. Especially in recent global economic crisis, how to upgrade and develop our traditional products is the shortcut for our economic recovery. Therefore, have a deep research on the psychological factors of experimental design is our urgent task. Psychological factors should be better applied to the innovation of the product design, so as to use these methods to guide our design practice. Making the products more emotional, and then cultivating the consumers' loyalty, also is more advantageous to the construction of our economical society.

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Figure 1. A Cruet Design for ALESSI: China Style

Figure 2. Kitchen Tackles of ALESSI

Figure 3. Fully Exert Your Creative Everyone Can Be Designer

Figure 4. A Rubber Ball Named "Wan Yan A Gu Da"

Nonverbal Communication and the Effect
on Interpersonal Communication

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Abstract

It cannot be denied that the importance of interpersonal communication to the development of our society. Without interpersonal communication, people are unable to understand each other, cooperate with each other and promote the development of human society unceasingly. Therefore, the study of interpersonal communication has great significance.

Interpersonal communication is fulfilled through two forms: one is verbal behaviors, the other one is nonverbal behaviors. Verbal communication is the most common and significant form of communication. But it does not mean that we can ignore the importance of nonverbal communication .In interpersonal communication, many messages and meanings are expressed through touch, eye contact and gaze, slight diversity of tone, gesture and facial expressions with or without the help of verbal behaviors .We often try to understand one's heart thoroughly and make important judgment and decision to others according to nonverbal behaviors. So, the study of nonverbal communication and the effect on interpersonal communication has great practical significance.

Keywords: Nonverbal communication, Interpersonal communication, Nonverbal behavior

1. Introduction

The appearance and development of human society cannot be achieved without the communication of messages .As everyone knows, language is the main difference between animal and human beings. Without language, the appearance of human society is impossible. People communicate with each other through language, gestures, facial expressions and so on. Therefore people can understand each other better, improve interpersonal communication and finally promote the development of society.

From this angle, we can see the importance of studying interpersonal communication. Interpersonal communication has two forms: one is verbal communication, the other one is nonverbal communication. Verbal communication refers to the communication form which people communicate with each other by language or written language — characters. The way people transmit messages by the other methods (except language and characters) were called nonverbal communication. It cannot be denied that verbal communication is important, but at the same time the importance of nonverbal communication cannot be ignored. Famous scholar Larry A. Samovar once said: "most experts think that in face –to –face interpersonal communication, only about 35% of the "social meanings" is expressed by verbal behaviors, the rest is expressed by nonverbal communication." Therefore, studying nonverbal communication and the effect on interpersonal communication is very helpful to improve interpersonal communication.

2. What is Nonverbal Communication?

2.1 The Definition of Nonverbal Communication

For nonverbal communication, western scholars have provided us several definitions. According to Larry A. Samovar, "nonverbal communication involves all those nonverbal stimuli in a communication setting that are generated by both the source and his or her use of the environment and that have potential message value for the source or receiver."

The definition is consistent with current thinking in the field and reflects the cultural orientation, it can not only mark the boundaries of nonverbal communication, but also reflects how the process actually works.

2.2 The Classifications of Nonverbal Communication

The earliest classification of nonverbal communication was issued by Ruesch and Kees according to the fundamental components of nonverbal communication. The classification is as follows:

● Sign language.

Including the gestures, which indicate meanings of words, numeral and punctuation marks. It not only includes each single gesture but also the whole sign language system.

● Action language.

Including various movements which can has different messages and meanings .For example, walking and drinking have two functions: one is to satisfy ourselves, the other one is to send a certain message to the partners.

● Object language.

Including various objects that are set up unintentionally and intentionally, such as tools, machine, work of art, construction structure, dress, etc.

M. Knapp put forward another classification through the study of relevant researches and works; all together there are seven categories: body motion and kinesic behavior, physical characteristics, touching behavior, paralanguage, proxemics, artifacts and environmental factors.

Afterwards, Jensen advanced another classification on the basis of the former scholars' study achievement on "silent language", which includes body motion and gestures, attitudes toward time, attitudes toward space and general habits in communication.

Condon John thought that nonverbal communication is relevant to psychology, sociology and physiology, its contents are extensive. Condon summarizes twenty-four types of nonverbal behaviors, which already drew scholars' attention; Including: gestures, facial expressions, posture, costume and hair style, walking posture, proxemics, touching behavior, eye gaze and contact, architectural design and home decoration, signs and symbols, body odor, paralanguage, color, make-up, conception about time, silence, etc.

3. Nonverbal Communication's Effect on Interpersonal Communication

As everybody knows, nonverbal communication is the indispensable part of interpersonal communication. Whether the use of nonverbal communication is proper or not decides the result of interpersonal communication directly . It is better to choose several common and representative nonverbal behaviors to expound how nonverbal communication affects interpersonal communication under the influence of various limiting factors, especially cultural differences.

3.1 Body Behavior

Body behavior refers to the expression and movement which transfer communicative messages. For the study of body behavior ,we can trace back to Aristotle — the most great Greece philosopher .The first man to study body behavior formally is Darwin, he point out that there were many similar expression between animal and human beings in his book *The Expression of the Emotion in Man and Animals*, (1872). And the most successful scholar who systematizes body behavior is Rag L. Birdwhistell, he advanced the theory of kinesics in his work *Introduction to Kinesics*, (1952). Fast, *Body Language*, (1970), is another summary and representative work in this field. Since then, body behavior became a new bi-disciplinary science, and continuously there are new study achievements emerge.

According to estimation, people can do up to 270,000 types of gestures and movement .The meanings of so many gestures and movement are complicated. Some of the meanings are definite, some are vague; some are used in communication, some are only self-expression; some express emotion, some reflect personality and attitude .For this reason, the classification of body behavior is complex.

In the study field of intercultural communication, the most common classification of body behavior is put forward by Samovar. He divided body behavior into: general appearance and dress, body movement, posture, gesture, facial expressions, eye contact and gaze, touch, smell, paralanguage, etc. The following part will expound body behavior according to Samovar's classification.

3.1.1 General Appearance and Dress

Concern with how one appears is universal .As far back as the Upper Paleolithic period (about forty thousand years ago), our ancestors were using bone for necklaces and other bodily ornaments. From that period to the present, historical and archaeological evidence has shown that people are fixated on their bodies. In modern society, people usually make judgment based on personal appearance, dress, and the objects we carry around or place on our bodies. When deciding whether or not to strike up a conversation with a total stranger, people are influenced by the way that person looks .If the person's dress is neat and facial expression is mild, people will be willing to talk to him or her. A charming girl in suit may get a new job more easily. A rich man may wear a diamond ring or smoking cigar to reveal

that he is wealthy and superior. These may make the person who wants to talk to the man feel depressing, humble or annoying. It can be called appropriate that people dress up themselves according to their age, class, occupation and so on. For instance, police and attendant should wear uniforms; merchant and government officials 'dress are exquisite; artists' dress should be fashionable; students 'dress style should be leisurable, etc. Just as Ruben says, "we make inferences about another's intelligence, gender, age, approachability, financial well-being, class, tastes, values, and cultural background from attractiveness dress, and personal artifacts." Our culture's obsession with attractiveness is so deep-seated, and begins so early in life, that, as one study revealed, even very young children select attractive friends over less attractive ones.

In all, it is natural people make judgment from a person's general appearance and dress, if a person's general appearance and dress are not proper, it may cause misunderstanding or even some worse consequences. Therefore, it is necessary to learn how to make our general appearance and dress more proper in practice, thus we can communicate efficaciously.

3.1.2 Body Movement

People have always known that action communicates .The study of how movement communicates is called kinesics. In general, kinesic cues are those visible body shifts and movements that can send messages about (1) our attitude toward the other person, e.g., standing face-to-face with a friend, or leaning forward may show that we are relaxed. (2) Our emotional state, e. g, tapping on the table or playing with coins can mean we are nervous, and (3) our desire to control our environment, e. g, motioning someone to come closer means we want to talk to him or her.

Scholars have suggested that we can make as many as 700,000 distinct physical signs, any attempt at cataloging them would be frustrating and fruitless. Moreover, the ways of how to use and interpret these movements will be different if they belong to different cultures, and in most instances the messages the body generates operate only in combination with other messages.

3.1.3 Posture

The same as body movement, posture can communicate varied messages too. Posture offers insight into a culture's deep structure. In many Asian cultures, the bow is much more than a greeting, which signifies that culture's concern with status and rank .In Japan, for example, low posture is an indicator of respect. Although it appears simple to the outsider, the bowing ritual is actually rather complicated. The person who occupies the lower station begins the bow, and his or her bow must be deeper than the other person's .The superior, on the other hand, determines when the bowing is to end. When the participants are of equal rank, they begin the bow in the same manner and end at the same time .The Thai people use a similar movement called the wai. The wai movement — which is made by pressing both hands close together in front of one's body ,with the fingertips reaching to about neck level — is used to show respect .The lower the head comes to the hands, the more respect is shown.

In the United States people are not accustomed to squat, and view this posture unrefined. If it is possible, they prefer kneel or sit on ground. Provided they really have to squat, they often squat with one tip of toe and the other sole of foot place on ground. Women avoid squat especially when they are in skirts, if it can not be avoid, they would use their skirt to cover their knees to maintain elegance, not like some Chinese women prefer place the skirt between legs.

People communicate all the time. In interpersonal communication, under certain circumstances, postures have different meanings. Use and understand them correctly is helpful to the harmony among people, this is also the aim of communication.

3.2 Space and Distance

The flow and shift of distance between us and the people with whom we interact are as much a part of communication experiences as the words we exchange .We use space and distance to convey meanings .The study of space and distance called proxemics, the word is created by Edward T. Hall .In his book *The Silent Language*, (1959), he divided the distance which people keep in interpersonal communication into eight sections:

Insert Table 1 Here

The nearer the more secret the messages people transmit are; the further the louder the volumes of people are.

Afterwards, people divide the distance people keep in conversation into four zones:

1)   Intimate Zone. (0-18 feet)

From the angle of psychology, this zone belongs to ourselves, except close people, the others who rush in the zone are unwelcome. People in this zone often talk about top-secret things. But in crowded public place, such as on a bus or in a theater, the intrusion of intimate zone cannot be avoided.

2)   Personal Zone. (1.5-4 inches)

This is the zone for close friends, the contents of conversation are generally about private affairs, and the speaker talks

softly .Of course, if people are in outdoors, the volume will be higher.

3)   Social Zone. (4-12 inches)

It is the normal distance of social interaction .In this zone people usually talk about public issue, which are not necessary to keep secret to other people, the volume of speaker is also moderate.

4)   Public Zone. (over 12 inches)

In this zone, the speaker's volume is quite high, commonly it happens in the situation of lecture or play act.

There are also gender differences in the use of space .Men use space as a means of asserting their dominance over women, as in the following: one, they claim more personal space than women; two, they more actively defend violations of their territories which are usually much larger than the territories of women; three, under conditions of high density, they become more aggressive in their attempts to regain a desired measure of privacy; and the last one is, men more frequently walk in front of their female partner than vice versa .

3.3 Silence

An African proverb states, "Silence is also speech." We contend that silence sends us nonverbal cues concerning the communication situations in which we participate. Silent cues affect interpersonal communication by providing an interval in an ongoing interaction during which the participants have time to think, check or suppress an emotion, encode a lengthy response, or inaugurate another line of thought. Silence also helps provide feedback, informing both sender and receiver about the clarity of an idea or its significance in the overall interpersonal exchange. Silence cues may be interpreted as evidence of agreement, lack of interest, injured feelings, or contempt. Like olfactory and tactile cues, silence cues transcend the verbal channel, often revealing what speech conceals. The intercultural implications of silence are as diverse as those of other nonverbal cues, a particular instance of silence is: in response to the question "Will you marry me?", silence in English would be interpreted as uncertainty; in Japanese it would be interpreted as acceptance. In Igbo, it would be considered a denial if the woman were to continue to stand there, and an acceptance if she ran away.

3.4 Signs and Symbols

Signs and symbols are a type of nonverbal communication forms which can represent verbal communication. In modern society, people often feel unsatisfied with or unable to use language as communication method, so we often seek the help of various signs and symbols which can directly stimulate people's sense organ, and use these signs and symbols to substitute language so that we can make response more directly, effectively and rapidly.

Signs and symbols have two forms: symbolic signs and symbols and notional signs and symbols. Symbolic signs and symbols represent abstract meanings, such as the crucifix represents Christianity. All symbolic signs and symbols are crystallizations of cultures; they have deep historical tradition and contain plentiful emotions. Notional signs and symbols can express certain meanings more succinctly and directly. Initially people use these signs and symbols on traffic routes, such as the road sign (highway), signal banner and lamp signal (ocean). At present, they are used in many fields and occasions. As the life rhyme of modern society accelerating unceasingly, in diverse public places, it is common that use signs and symbols to substitute written explanation. Along with the rapid development of international communication, the emergence of generally used signs and symbols eliminate language barrier and accepted by people universally.

4. Conclusion

It is evident that nonverbal communication is important to interpersonal communication. Now we all know it is impossible to list all the nonverbal behaviors, for nonverbal communication is so complicated. Because of the differences in gender, occupation, class, race, culture and so on, the messages and meanings of nonverbal behaviors become more complex. Especially the effect of culture, in different cultures, the same nonverbal behavior even transmits just opposite messages and meanings. Therefore, the study of intercultural communication is imperative, it would be helpful to the harmony among countries.

The study on nonverbal communication has great effect of guidance on practice. Through the study on nonverbal communication, we know what and how we should do in certain communication circumstances, thus we can improve our nonverbal behaviors. In recent years, the use of nonverbal communication methods has new development. For instance, as the rapid development of Internet, now it is common to chat with another person on Internet by chat software, such as QQ, MSN Messenger, UC, etc .If we want to tell the person we are happy, we can send an emotion picture with a smiling face, and then the person will understand your mood. This way is more interesting and vivid than characters.

In all, as long as we can comprehend nonverbal communication comprehensively and understand the different messages and meanings of various nonverbal behaviors under the effect of different factors, it is not hard to behave properly and

make correct judgment to other people's nonverbal behaviors, thus the aim of improving interpersonal communication can be reached. In the future, we have reasons to believe that nonverbal communication will get inconceivable new development, bring us more surprises and change the traditional communication patterns more greatly.

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Table 1.

1.	Very close	3-6 feet
2.	Close	8-12 feet
3.	Near	12-20 feet
4.	Neutral	20-36 feet
5.	Neutral	4.5-5 inches
6.	Public distance	5.5-8 inches
7.	Across the room	8-20 inches
8.	Stretching the limits of distance	20-24 inches (indoors) up to 100 inches (outdoors)

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