

# ADVANCES IN SOCIAL SCIENCES RESEARCH JOURNAL

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## **Indian wine Label Contour and Content Narration and its influence on buying pattern of consumers in South India**

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### **Abstract**

The Indian Wine Market has been showing a steady growth. The demand of both the domestic and foreign wines has been growing day by day. There is enough room for each and every wine brand, be it Indian or foreign, in the Indian market as the market has registered a significant percentage of growth in both volume and value terms in recent years (PR Newswire, New York). This boom in wine production and wine consumption also has seen a myriad of different wine labels in India, each of them distinctly different in terms of contour, color, size of the label and textual information. Cashing on this growing interest in wines, there are lots of seasoned and novice consumers who are inclined in wine appreciation and buying. The paper tries to give an overview of domestic wine label contour and content information influence on consumers when they make a buying decision.

### **INTRODUCTION**

The decision to purchase a bottle of wine is often difficult for consumers. Influenced by levels of self-confidence, the decision conflict between competing characteristics of the wine products offered can affect the consumer's decision behavior. Research has suggested that the front label conveys key information to consumers relating the benefits of purchasing a wine product. (Barber, Nelson Ismail, Joseph; Taylor, D Christopher). Over the last decade, 90 wineries have sprung up across many states, and still counting in India, where the subtropical climate is favorable for growing wine grapes, (Asia News Monitor, Bangkok). With an average of 6-7 labels (varietals) per company, there are on average 450 to 500 different Indian wine labels and most this wine labeling is in an evolving stage, where it can influence consumer buying pattern. A generic understanding of how Indian wine labels can help and educate wine consumers and purchase better specific to demographic points out that wine companies in have a long way to curate the label contours. There's no such thing as a natural-born wine expert. It's all a matter of education. A good memory and set of working taste buds help immensely, but they can be honed with practice. So it is with wine. You have a reference source right there in your hands when you browse the liquor store aisles. It's on the bottle. (Kislenko, Dan. The Spectator). The same logic applies to Indian wines also. With an emerging market, and a cluttered field, it's high time the Indian Wine label undergoes a change in terms of what else, or "what not" the label should contain. Since Indian label primarily focuses on the grape varietal on its label, it adds more to the confusion in terms of what is a good wine to buy. Most domestic consumers do not know grape names. Savvy wine buyers can tell quite a lot about the wine they are purchasing by examining the packaging. Wine labels can give up a lot of information. A couple of important things to look out for are: 1. Alcohol level. By law, the alcohol content of your wine must be clearly visible on the label. (Nugent, Matthew). Some of the key label issues that influences Indian wine buyers to buy the wine can be attributed to:

### **Myriad Wine retail formats**

Indian wines are retailed in multiple places, and in different formats beginning from Government retail stores, wine boutiques, retail stores in shopping malls and across the counter beverage kiosks. In almost 75% of beverage retailing in India, it' found that all alcoholic beverages are retailed together (spirits, beers and wines). Even liquor stores no longer stack just rows and rows of Bagpiper and McDowell, which are value whisky brands. Premium brands are prominently displayed, but luxury labels, considered a rung above, are found only at select liquor vends.( Iyer, Ravee. McClatchy). With this sort of mixed retail format, though there are multiple wine labels, they compete with other spirit label brands. It's difficult for a consumer to identify, choose an appropriate wine, as the store format is not conducive for exclusive purchase of wine. This adds to the woes of the discreet wine consumer.

### **Bridge the label myth**

Floor executive are not trained in wine or wine education, any wine labeling does not amount for it being sold, as the executive has no idea about the number of wine labels the store retails. This primarily is the main cause of concern as many of good wines remain unsold, as the floor executive is not able to explain the wine to the consumers, in spite of attractive labels. Unless the aura and myth is bridged, specifically in the domain, it is going to get tougher as the Indian market will see more spurge of domestic wine labels. Current wine sales in India are estimated at 5m litres by the Associated Chamber of Commerce and Industry of India (ASSOCHAM) and are expected to grow at a CAGR of 25-30% over the next three years. This equates to a very low per capita consumption of 5ml of wine per year, leaving a huge opportunity for growth for the sector. Sales are expected to touch 9m litres by 2015, according to ASSOCHAM. Significantly, the industry body estimates that over 650m Indians will see an attitudinal shift in alcoholic preferences, and start favoring wine in the next five years (.Rathore, Bhavna). With staggering numbers being projected, unfortunately, most shop floor executives are entrusted to monitor store racks, not on product knowledge but on the availability of personnel on a day to day basis. This is a matter of concern, as there is no tutored or curated wine education offered to the employees. Moreover, employers feel there is no logic in the training as Wine sales do not get them volume business as compared to spirits. This leads to lacunae where labels are well defined, but point of sales executives has no inkling to read or understand the wine.

### **Wine label travails**

A wine label with wide appeal is a winery's single greatest sales tool. It can make a good wine more desirable and a bad wine more salable. It is the sole emissary on the store shelf and perhaps, as Corey Miller hopes, a source of great wealth (Teague, Lettie). A lot of people are label buyers, it's unbelievable," "Even at the \$50 to \$60 level, they (shoppers) go for attractiveness. Wine is a romantic thing. Obviously, quality is required but attractiveness and packaging is crucial."(Daley, BillView ). From occasional imbibers to serious oenophiles, just about every wine drinker I know cares about labels -- and even employs them as a buying guide (Teague, Lettie.) When we buy them, we don't know whether these weirdly packaged wines will be good, but we do know they will be fun to try simply because of their container or goofy label. And that's good enough reason for us. (Dan and Krista Stockman). Wine is all about enjoying the moment and celebrating anything. This is precisely what consumers desire for, have a very quirky wine label. Many domestic wine labels have fancy names, for impulse buy, but do not focus on product narration for commoners.

## CONCLUSION

With modern day millennial consumers, it more a challenge for domestic wine players and marketers to be able to compete, with well rehearsed and seasoned imported companies. More so when imported labels with well thought label layout techniques are far better in style than Indian counterparts. Wines have set benchmarks already recognized in the global wine arena. Research supports the importance of packaging and the reliance of wine consumers on the label to infer the quality of the bottle contents. In particular, it is the infrequent and new wine drinkers who rely most heavily on label information in comparison to regular drinkers. (Statia; J.E. (Joe) Barth). With competition to curate and sell good wines for domestic consumers, wine labels should be more narrative in nature, and especially in Indian context. Wine companies can also look at vernacular content, to improve impulse purchasing by native diaspora. . This will help wine consumers to be able to read and buy wines more easily. Consumers believed the information on wine labels accurately reflect content, and they use that information in making purchase decisions. However, consumers generally held misconceptions about when products are varietals, that beverages believed to be "wines" contain less than 50% wine grapes, and where wine grapes are grown. Therefore, it may be concluded that current labels may not adequately convey important information for consumer purchasing decisions. (Tootelian, Dennis H.

Ross, Karen). This aptly summarizes the India label scenario, which wine companies have to introspect for future growth.

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# Cultural Festival as a Salient Tool for Strategic, Holistic and Sustainable Rural Development in Africa: The Case of the Opemso) Festival of the Asantes of Ghana

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## Abstract

The Opemso) cultural festival is one of the iconic cultural festivals among the Asante ethnic society in Ghana. It is historically and culturally charged, glued to the beginnings of the most vibrant Asante kingdom because of its affiliation to the birth of the founder, Otumfuo Osei Tutu I. Using qualitative approaches, the researcher accentuates the immense contributions of the festival to the cultural, historical, social and economic development of the people of Anyinam and Kokofu in the Ashanti region of Ghana. Semi-structured interviews as well as direct observations were the main instruments for the collection of rich data on the great significance of the festival in the lives of residents and visitors from respondents who were purposively and randomly sampled. The data were qualitatively analyzed using the Data analysis spiral method to interpret the archetypal roles that the Opemso) cultural festival plays in the everyday life of the people. The study contends that if cultural festivals are strategically planned and well tailored in line with developmental policies and ideologies of a society or nation at large, they can be salient tools for the development of rural areas especially in festival-prone nations in Sub-Sahara Africa.

**Keywords:** Cultural Festival, Opemso), Sustainable Development, Holistic, Asante Kingdom

## INTRODUCTION

Cultural festivals are ancient traditional events that played pivotal roles in the development of societies in the past generations especially of the African descent. They have been and still are powerful but latent agents for sustainable development in festival prone communities in the Sub-Sahara region of Africa. Jaeger and Mykletun (2013) posit that cultural festivals play universal roles basically cultural, social and economic in the host community that observes the event. These seemingly ancient roles played by cultural festivals are still significant and even more instrumental in the rural and urban development of modern societies. O'Sullivan and Jackson (2002) reveal about cultural festivals in modern societies that their important roles are now established fact, boosting local economies of particularly the host communities. McClinchey (2008) agrees that today, cultural festivals' influence has become a central element in developmental affairs. This is due to the cultural, historical, social and economic exchanges that ensue between residents of the host community and visitors. However, it is distressing to know that despite these age-long, pivotal impacts of cultural festivals in societal rapid and sustainable development, many organizations searching for avenues for sustainable forms of development, especially in rural communities either turns a blind eye to its great potentials and/or are ignorant to the weld in developmental affairs. Quinn (2006) is in a league with this argument when he admitted that many scholars, researchers and policy makers have not explored on how festivals can be used as effective vehicles in sustainable development. This notwithstanding, few scholars have sensitized the need to factorize them in developmental agendas of modern societies owing to their indispensable impacts (Crespi & Richards, 2007).

Richard and Hall (2000) contend that sustainable development via cultural festivals promotes renewable economic, cultural and social benefit to modern communities.

The refusal of many modern developers and policy makers to incorporate and consider cultural festivals in the sustainable development agenda in societies might be as a result of failure on the part of event organizers and host communities to strategically plan its organization resulting in poor service delivery as well as inadequate marketing and publicity (McClinchey, 2008). This makes the event less enticing for developers to invest huge sums in their organization. Also, the focus of cultural festivals today plays much currency on the economic benefits without looking at the other very essential services that can be tapped for sustainable development such as the cultural, historical and social values. Thus, as Crespi and Richards (2007) noted, such misplaced emphasis result in total failure of the event. Therefore, the researcher suggests that to boost the interest of developers in considering and factorizing cultural festivals in developmental agendas, they must be a sensitization of the potential holistic developmental impacts that they exert and not just the leaping economic benefits. This includes accentuating the historic, social and cultural implications for sustainable development in addition to the economic players. Therefore, the research was targeted at highlighting these holistic developmental roles of cultural festivals using the Opemso) festival of the Asantes commemorated by the Anyinam and Kokofu host communities in the Ashanti region of Ghana. The study was also to enlighten ill-informed scholars and developers on how festivals can be strategically planned to achieve a holistic and sustainable development in especially rural communities in Ghana and other Sub-Sahara African states where the spirit of cultural festivals has and is still looming very high in the everyday life affairs of the people.

### **Cultural Festivals and their Significance in Sustainable Development**

Cultural festivals contribute immensely to the historic, cultural, economic and social development of communities and nations. Historically, cultural festivals illuminate the rich origins of clans, families and ethnic societies. They are instruments for expressing the historic tradition of a group of people (Getz, 2007). Odotei (2002) concurs that the events in cultural festivals usually depict the traditional history of a group of people. She cited the Hogbetsotso festival of the Ewes of Ghana that is commemorated to mark the journey their ancestors made to their present location with the events depicting the ordeals their forebears went through. In the same line of thought, Nketia (1975) on historical account said that the people of Elmina celebrate the Bakatue festival to remember the beginnings of their fishing profession at the Elmina lagoon traced to the god La-Kpa. Thus, the festival is carried out to propitiate him for a bumper harvest before the annual fishing activities commence. Likewise, the Krobos in Ghana observe the Ngmayem festival to mark the historic food Ngma (Millet) that sustained their forebears when they lived in the Krobo hills in the Eastern region of Ghana. These are but a few examples of the historical content that drives the observance of festivals in Ghana. This knowledge is very important in tracing the geographical identities of ethnic societies in a particular region on the continent. It will assist public and private developers in deepening their understanding of the local people whose communities they may be undertaking projects and this would reflect positively on their outcomes.

Commenting on the cultural significance of festivals, O'Sullivan and Jackson (2002) state that festivals are used as platforms in unveiling and sharing the rich culture of towns, villages and societies to visitors who attend. It is the perfect event in the community that reveals the total culture of a people such as their worldviews, values, religious beliefs and norms. Festivals are used in affirming or denouncing certain values and social structures in the community while

giving the local people a sense of belongingness (Quinn, 2006). It paints the authentic portrait of the celebrant community. This is what Crespi and Richards (2007) refer to as 'place identity'. This place identity is the cultural makeup that identifies the host community of the festival. Jaeger and Mykletun (2013) add that the cultural tradition, the geographical confines as well as important practices of the host community is marketed and branded in grand style to outsiders during the festival observance. A premium should always be placed on this cultural element that pivots every cultural festival. This underscores why Quinn (2006) strongly argues that the cultural ingredient must never be overlooked in festival commemorations. Odotei (2002) makes a general assertion which is true of all cultural festivals in Africa especially Ghana that it's binding element is its religious beliefs, values and practices which is a definition for culture. Thus, any celebration of a cultural festival which swerves the cultural flavor eventually fails (Crespi & Richards, 2007). Therefore, cultural festivals must always be aimed primarily at celebrating, maintaining and ensuring the cultural development of a society with the economic attracters being secondary (McClinchey, 2008). This should be the goal of event organizers and festival organization committees if sustainable cultural development is to be achieved. After all, if cultural festivals lose its core responsibility of cultural education, which other event would aid in publicizing the unique cultural heritage of a people?

Socially, cultural festivals strengthen the political powers of the traditional institutions. It is in fact, a celebration of the political powers of the chief and members of his traditional council (Odotei, 2002). Members of the local communities deepen the awe and respect they have for the ruling traditional powers when their authority is much felt during festival celebrations. O'Suvillan and Jackson (2002) remark that cultural festivals enhance the leadership roles of the traditional authorities. The local people are able to see their influence and the distinct duties that they perform in the society leading to improved governance structures which is linked to achieving the developmental objectives of the host communities. The physical structures in the town such as road networks, lanes, community centres, traditional palaces and other historic buildings receive maintenance and repairs as a result of the festival observance (Janniskee, 1996). Tree planting exercises and environmentally friendly activities that are undertaken in the societies improve the ecological conditions, thereby impacting positively on health and good living. Quinn (2006) adds that heated arguments, age-long social tensions and conflicts are solved during such festivals. Solutions to very perplexing social and economic challenges are sought during society gatherings leading to the festival (McClinchey, 2008). It is even said that the gods and ancestors would be incensed at persons who disturb the peace of the town at such celebrations and as such headlong individuals are even quick to compromise or yield to understanding in the name of peace. Odotei (2002) emphasizes that the reunion of family members and friends, engagement in traditional gaming and leisure activities helps in ensuring peace, unity, oneness and social cohesion and integration culminating to sustainable social development.

The economic values of cultural festivals have been well noted by the few scholars who have written about this event and even branding it as tourism bait. This is very noticeable because the local people are able to maximize the sales of their products and services, thus, booming the local economy (O'Sullivan & Jackson, 2002). Traders, shopkeepers, service providers, food vendors and public transport owners have earned bountifully since the soaring numbers of attendees at the festival. As Odotei (2002) noted, there is high expenditure as a result of accelerating consumption of food, drinks and other products and services on the part of visitors and the local indigenes during the festival. The event sponsors offer valuable monetary sums to the traditional council, which revamps the local economy and assist in the carrying out development projects in the community. On the other hand, the event sponsors use the festival

platform to advertise and mobilize sales for the products and services. The exploitation and excessive pulling of the economic thread of festivals have been criticized by some scholars as making the event lose its other impacts. Getz (2007) warns against an overly emphasis on the economic benefits of festivals by scholars with little or no attention assigned to the cultural and social values. He argues that to make cultural festivals, instruments for sustainable development, their social, cultural and historic values must be highlighted. This informs the focus of the study undertaken by the researcher to unveil the holistic developmental benefits of cultural festivals using the case of the Opemso) festival of the Asantes in Ghana.

### **METHODOLOGY**

The qualitative research design was used for the entire research from the gathering of data through to its analysis. This method was seen as appropriate for the study because of its exploratory, inquiry nature and its ability to thoroughly describe phenomena (Leedy & Ormrod, 2010). Seeking for rich and thick description of the history as well as the cultural, economic and social significance of festivals would require seeking views of the people who engage in those practices which can best be carried out using qualitative approach and not in statistical forms as in quantitative research.

Its time-tested research methods, thus, descriptive study, narrative study and phenomenological study which seeks to systematically document current event, situation or phenomena were adopted (Fraenkel, Wallen & Hyun, 2012). The narrative study helped the researcher in accurately relaying the oral tradition as was told him by key respondents interviewed. The long hours of inquiry with respondents as well as its naturalistic field work which are peculiar of phenomenological study assisted the researcher in gaining in-depth information and understanding of the festival and its significance in ensuring the development of Anyinam and Kokofu towns.

The researcher intentionally focused the interviews which were semi-structured and sometimes in focus group discussions, to the two chiefs, two queen mothers, one traditional priest and eleven elderly ones in the communities as well as six members in the traditional councils who were first purposively sampled and later randomly sampled because they were seen as well versed in the history and significance of the cultural festival. However, eight local youths were interviewed to find out how much they know about the festival and its significance in the development of their communities. Traders, service providers, drivers, sponsors of the festival as well as the event organizers totaling eighteen respondents were interviewed to ascertain the economic relevance they accrue from the festival. Direct observations of the Opemso) cultural festival by the researcher and his research assistants gave him a personal experience and first hand information on the festival's significance in the development of the people of Anyinam and Kokofu (Kumekpor, 2002).

Finally, the gathered data via interview and direct observation were analyzed qualitatively using the data analysis spiral method. In qualitative research data analysis utilizes inductive reasoning, sorting and categorization of data into thematic forms for easy analysis (Denzin & Lincoln, 1994). The data were organized and perused severally to get the entire overview, after which the general themes that runs through the data are identified and categorized. The meanings or interpretations are then projected by the researcher (Creswell, 2009). After rigorous analysis, the common themes identified were: The historical significance of the Opemso) cultural festival to the development of Anyinam and Kokofu towns, the cultural significance of the Opemso) cultural festival to the development of Anyinam and Kokofu towns,

The social significance of the Opemso) cultural festival to the development of Anyinam and Kokofu towns, and the economic significance of the Opemso) cultural festival to the development of Anyinam and Kokofu towns. Conclusions were drawn and recommendations made concerning how cultural festivals can be used as agents for sustainable and strategic development of societies and countries in the sub-region of Africa.

## RESULTS AND DISCUSSIONS

### **The Historical Significance of the Opemso) Festival to the Development of Anyinam and Kokofu**

The name of the festival 'Opemso)' is the title that was given to the first king of the Asante ethnic society, Otumfuo Osei Tutu I who is credited as the one who single-handedly united the seven Akan clans and forming the vibrant Asante kingdom (Opanin Kofi Nti, personal communication, September 2, 2016). The festival is commemorated to mark the events that led to his birth, acknowledging and celebrating the bravery of his mother, the assistance of the three hunters who rendered immense assistance to the mother of the great king culminating into his birth, the parlor, care, motherly love, affection and kindness showed by the then queen of Anyinam, the numerous assistance of the deities, spirits and ancestors in the everyday life activities of the Asante people and many more.

Concerning the events that led to the birth of the first Asante king, Otumfuo Osei Tutu I, the oral history, as told by the respondents has it that his mother, Nana Gyamfua Manu Kutusi, who craved so much for a child due to her spontaneous loss of her conceived children was fortunate to have been blessed by the gods and ancestors for another child. This was through a consultation and a prayer to the Tutu deity at Awukugua, a village in the Akuapim district of Ghana. She was determined this time round not to lose this child. Therefore, she did not engage in any strenuous activities like rigorous farming activities and household chores that were peculiar of married Asante women in that era. In the ninth month when the birth of the child was imminent, she decided to visit the mother so that she can successfully deliver. It was a Friday. This was because it was a custom among the Asantes that every woman who was about to give birth, lived among her kind, especially the mother for her to assist in the delivery and care taking of the child for the next forty days to as long as two years.

On her journey to the mother's town called Esiase, the birth pangs increased suddenly when she got close to the Kakaawere River. Owing to the belief of the Asantes in animism, which postulates that both animate and inanimate objects and things like rivers, mountains, trees and so forth have spirits and are even deities, Osei Tutu I's mother asked for the assistance of the river deity to help her in her delivery of the child since she was caught up in a thick forest with no human being around to assist her. She promised to appease and thank the river deity with a male cock (Akok) asense) and schnapps. The river deity, is believed, spiritually prompted three hunters who were in the forest to come to her aid. These hunters who are celebrated today by the Asantes as epitomes of mercy and kindness, patiently took her to an elderly woman called Afranewaa Gyasi of the closest village to help her in the delivery processes of the child who became an iconic figure in Asante politics.

A certain respondent, however, had a different view that it was only one hunter who chanced on the pregnant woman who was nude and as a result, the hunter was killed since it was tabooed in the Asante community for a man to see the nakedness of a woman who is not his wife (Akosua Frema, personal communication, September 3, 2016). Her view was objected by the majority, especially members of the traditional council that the three hunters rather saw the woman who was not naked but in birth pains and assisted her by taking her to the nearby

queen mother of Anyinam. They said that these hunters were handsomely rewarded contrary to the view by some that they were killed. Even in the festival commemoration, as observed by the researcher, the current queen mother of Anyinam together with three hunters came to the venue where the grand festival was commemorated. These hunters played mock roles of the deceased hunters to remember and honor their kindness and assistance to the mother of Otumfuo Osei Tutu I which is to be mimicked by society members to especially visitors, some of whom are believed to be deities visiting the residents in the area.

With the assistance of the river deity and the ancestors who are believed by the Asantes to have sent the child from the spirit world to unite the Asantes, the woman was able to successfully give birth. The queen mother took Otumfuo Osei Tutu's mother to a giant tree which is called Onyina Sei Ase and it is orally said that it was under this tree where the first Asante king who made history was born. It is interesting to note that even today, that spot where the king was born in the gazette forest tract do not grow grass and is plain. This may probably be as a result of spiritual protection of the gods and deities. After the delivery, the elderly woman took up a temporary motherly role and assisted the mother of the first Asante king to wean the child till her real mother was summoned. Thus, the small village of Anyinam became the birthplace of the first Asante king, Otumfuo Osei Tutu I.

The researcher asked whether anyone under any circumstance can enter the forest tract where Otumfuo Osei Tutu I was born. The spokesperson of Anyinam who was interviewed told the researcher that:

'Today, it is tabooed for anyone to enter the forest tract where the king was born unless the necessary rites and ceremonies are performed by the Kokofu and Anyinam chiefs, the present Asante king and their traditional priests. Usually, such rites are performed as part of the Opemso) festival, which is commemorated once every two years. However, only the chiefs and residents of Anyinam are to enter the forest tract (Ban mu)' (Oluman, personal communication, August 5, 2016).

During the rites earmarking the festival, the river deity called Kakaawere is offered a cock and schnapps by the chiefs and the current Asante king on behalf of the deceased mother of the great first king of the Asantes. This was observed by the researcher during the commemoration of the festival when the chiefs in palanquins halted at where the river is located in the street about two metres to Anyinam. The traditional priest engaged in some miming and recitations when he performed the libation and offering of a cock to the river deity as promised by the mother of Otumfuo Osei Tutu I.

At Anyinam, the pathway to the gazette forest tract where the first Asante king was born is laid with kente clothes and the kings walk barefooted to the premises. Prayers are said to thank the gods and ancestors and incantations as well as appellations of the deceased kings of Asante are chanted by the traditional priests. Libation is performed with the slaughtering of a fat white sheep and the blood is spilled on the spot under the tree where the birth took place. The researcher noticed that the spot was bare ground with no grass. It was hinted to the researcher by one spokesperson that that spot has not grown grass since time immemorial.



**Fig. 1. Entrance and Pathway to the Birth spot of Otumfuo Osei Tutu I (Photographed by the researcher)**

After the rites, the chiefs and their queen mothers' as well as the jubilant crowd of indigenes and visitors troop in the big football field where the actual commemoration takes place called 'Adwab)' (Gathering of dignitaries and their subjects).

## **The Cultural Significance of the Opemso) Festival to the Development of Anyinam and Kokofu**

### ***Bragoro Rites***

The festival is an avenue for the display of traditions, customs, beliefs, norms and values of the Asante kingdom. For instance, puberty rites, known in the local parlance as 'Bragoro' is carried out by the elderly women and the queen mothers of Anyinam and Kokofu for the girls who have reached their puberty stage. This rite was and is still very important in the cultural life of the Asantes. This is because it helped greatly in barring against any pre-marital affair that impugned the marriage rites and curbed the abundance of teenage pregnancies, single parenting and family insecurities.

These adolescent girls strictly abstained from sex and any foul acts that defile their virginity. Due to the fear that the gods and deities would incur their deep wrath on girls who engaged in premarital sex as well as any foul acts before the rites and their eventual marriage, these girls lived a good moral life. Also, gifts are offered to the initiates during the Bragoro rites by the members in the society especially the elder women to acknowledge the good moral behavior exhibited by these girls. The number of the gifts offered to these girls varied greatly. The variance was dependent on the gravity and extent of the respect, hardworking and exhibition of traits peculiar to the ideals of womanhood set by the elderly women in the society. Thus, a girl who was able to demonstrate these moral values to the fullest of her abilities was offered and showered with the highest numbers of gifts. Aside from this, the event served as an advertising tool for the girls who have reached the marital age for suitors or husbands. It was and is still a great honor and pride for any responsible man in the Asante society to marry an initiate.

Owing to this, every Asante girl demonstrated good moral life and not the carefree, loose moral life pertinent of most teenage girls today so that they would have this wonderful privilege and its accolade benefits. Thus, at every Opemso) festival, the Bragoro rites are organized to educate the young girls of the need to exhibit and lead good moral life. During the rites, powerful instructions pertaining to the laws of the land, personal hygiene, home management skills, good marital relations and many more are offered to these young girls. It is in fact, an avenue for a workshop of cultural values, norms, beliefs and expected code of ethics accepted in the Asante society.

The young girls are adorned with cultural clothes like kente in different arrays of colours and designs. Their bodies are also lavishly and artistically decorated with body painting, marks and coiffure in extravagant symbolic styles. As part of the rites, mashed cooked yam, known as 'et' is prepared for the initiates and is eaten with cooked eggs. The initiates are made to eat the cooked egg without chewing it because it is asserted that if they do, they were literally eating their would-be-children in their womb. Finally, they parade through the streets with the playing of music and the display of various dances. The cultural significance of the Bragoro rites which is part of the Opemso festival is to accentuate the essence of living a good moral life in line with the accepted ethics of good societal living.

This cultural practice is significant today, even in the face of globalization since it constantly serves as a moral regulator for the youth against bad behavioural practices like teenage pregnancy and its allied sexually transmitted diseases, poor and single parenting, and loose moral life that stifles development in the society especially among the rural folks. This was the general impression noticed by the researcher from the responses given by especially the elderly women.

'Today young girls do not respect their parents and husbands. Marital problems are always in the ascendency as a result of bad traits by today's young girls who are influenced by the carefree moral life perpetrated by western culture and education. Bad dressing styles that reveal private parts of wearers with no dread of shame are the order of the day. Thus, this Bragoro cultural rite serves as a correcting and sensitization tool for the young girls of today on the need to exhibit good moral lives' (Obaa Panyin Adwoa Pinaman, personal communication, September 2, 2016).

The festival is also marked by numerous contests and competitions which are all culturally driven. They include local food preparation contests, explanation of difficult riddles and proverbs, cultural dress codes and their cultural interpretations, traditional games, traditional music and dance forms, beauty pageants and many others.

### ***Food and Cooking Contest***

The women from different homes in the Anyinam and Kokofu jurisdictions come together to compete in the preparation of local and cultural dishes like Aprapransa, Et), Abunabunu soup (prepared from a type of local green leaves known as 'Kontomire'), Adibe (prepared from corn dough with palm oil), palm nut soup with fufu (prepared from yam and plantain) and many others. The prepared meals are taken to the traditional palace of Kokofu for the skilled elderly women in cooking as well as the queen mothers to taste and judge the best cook who is awarded with a monetary sum as well as gifts such as kente clothes, jewelry and others. When the researcher asked the essence of this cooking contest as part of the festival commemoration, these were some of the responses given:

'This cooking contest is aimed at reviving, advertising and promoting the cultivation of local crops which is grown by the farmers in the society' (Abrewa Monica, personal communication, September 2, 2016).

Another elderly man of 74 years also stressed on the contest promoting the food culture of the Asantes. He argued that 'If healthy and delicious local meals can be prepared from them, it would sensitize those who are blinded exclusively by western culture to patronize the eating of

these local meals and aid in promoting and preserving the food culture of the Asantes' (Agya Nketia Kumankoma, personal communication, September 3, 2016).

### ***Contest on the Knowledge of the Customs and Wise-Sayings of the Elders***

Moreover, the riddle and proverbs contest organized by the traditional council of Anyinam and Kokofu was aimed at unveiling the philosophical meanings behind these wise and geared-to-life sayings of the Asante old sages. They are usually used in highlighting the good and acceptable societal values and norms while frowning against the vile and unacceptable traits in the Asante society. Only youngsters are allowed to participate in this contest to ascertain their knowledge about the customs as well as the deep thought of the elders in the community which is embedded in the wise and thought-provoking statements of riddles and proverbs. The young girl or boy who is able to explain and unearth the latent but morally invigorating meanings of the wise sayings is awarded by giving him a monetary sum. This contest is held in the traditional palace amidst a large group of attendees of both young and old from the two local communities and visitors from in and around the country. The cultural significance of this event as part of the festival was clear to virtually all the attendees. It was about the need to know the meanings of one's local customs, especially the imports of verbal art forms like riddles, proverbs and folklores.

A young man of 28 years had this to say: 'I am very elated to attend this festival. This contest has really enlightened me about various wise sayings of the Asante forebears and their meanings. It is interesting that the meanings are very applicable to contemporary situations. I think that if all members of the society live by the virtues in these sayings it will help in ensuring cordial human relations in homes, workplaces and the entire Ghanaian community'(Kofi Appiah, personal communication, September 11, 2016).

When the researcher asked him the best proverb he was taking with him home, he mentioned the proverb 'Woforo dua pa a na pepia wo' (You are assisted and helped when you climb a good tree) which was translated at the contest that when a good course which is beneficial to the society's advancement is applauded while bad ones are disdained and even talked against by societal members it will help in Ghana's socioeconomic advancement. He explained that when politicians take a wrong course that would not benefit the Ghanaian society, all and sundry must talk against it including his own political party supporters and not those in opposition. This he said would bring peace and development in Ghana. He also alluded to the import of the proverb to the morally degenerating songs played on Ghanaian airwaves that dramatizes bad moral lifestyles and disrupt the moral upbringing of children and the youth. He said that these songs are ill-mannered and is a bad course the singer has taken thus, 'climbed a bad tree' and must not be assisted or helped by buying or playing that song by the entire Ghanaian populace. The researcher was enthused about how eloquent the young man was in highlighting the philosophical values.

### ***Contest on Cultural Dresses and their Interpretations***

The people engage in a special cultural dress contest where various forms and ways of adorning oneself in various cloth styles are shown. Elaborate interpretations of the meanings of the styles of wearing the clothes as well as occasions when they are worn are explained and demonstrated to the attendees. Some of these styles of wearing traditional clothes such as Ntomakwaha (rolling the cloth thickly around the waist to cover the lower part of the body with the torso laid bare), me yere besi ama me (My wife will wash it for me- a cloth wearing style where the cloth is worn in such a way that some of the piece drags the floor) and other styles are worn by participants of the contest. The first three contestants who are well able to

demonstrate the traditional styles through the wearing of the clothes as well as explained their meanings were awarded.

Also, traditional ways of wearing the headgears are also keenly contested by the young women. Each of these styles has their names as well as their meanings. Awards in the form of money are given to deserving contestants who tactfully describe and demonstrate the various styles and their meanings.

Dressing styles form part of the culture of every society. Thus, celebrating the culture of the people of Anyinam and Kokofu in the Opemso) festival cannot be complete without instructing the attendees of the festival on the cultural dressing styles of the people. The display of the traditional clothes such as Kente, Kobene, Kuntunkuni and others helps in advertising and promoting the purchase and wearing of them by the young ones as well as visitors. This would boost the sales of these products produced by the indigenes of the towns assisting in the economic development of the entire towns. The explanations of the styles of wearing the clothes and headgears serve as a cultural education and sensitization tool for the youth in the community about their culture and visitors also have the same advantage, ensuring the cultural development of the societies.

### ***Traditional Games***

Traditional games that were educative and health beneficial to the forebears of the people, but are almost forgotten as a result of numerous modern computer games are also revived and promoted through the festivals. These indigenous games aside their entertainment and health relevance groomed the young and old in grasping problem-solving skills, developing their intellectual abilities in mathematics, public speaking and many more. It was interesting to note that the elderly ones played with the young ones making the traditional games age-friendly and not restricted to gender too. Traditional games such as Ampe, Antokyere, Dame, playing of Ludo, skipping, running, playing of football, netball, volleyball among others.

Traditional music and dance forms are performed alongside the game performances, setting the entire festive mood in a cultural atmosphere. These indigenous music forms are full of the cultural values, norms and ethics of good living which impacted positively on the moral behavioural upbringing of the youth who attended the festival unlike most of today's modern music stepped in loose moral activities. Societal and family members mingled with each other promoting social cohesion and unity in the society.

### ***Miss Opemso) Beauty Pageant***

This beauty pageant clearly describes who is said to be beautiful traditionally. It reveals the traditional ideals of beauty which is not just the outward appearance, but also and more importantly, the inner traits of a woman. The contestants were drilled in the traditional customs, ethics of social living as well as moral values of the land. They were given mock situations or scenarios in the family circles and asked their practical opinions. The judges included the queen mothers of Anyinam and Kokofu, two influential elderly women in the two communities and two elders from the traditional councils of both communities. The pageant serves as an eye opener on what the young men desiring to marry must look out for in their prospective wives. This contest educates the young girls in the communities on the need to demonstrate good behavioural traits which would make them 'marriageable commodities'. The best behaved young lady was acclaimed with the prestigious title 'Miss Opemso) 2016'. This enviable title most graced by the young ladies in the two communities has its own benefits.

Aside the monetary worth and gifts given the winner, it gives her the wonderful privilege of being a prospective wife of any of the chiefs and other dignitaries who grace the occasion.

### **The Social Significance of the Opemso) Festival to the Development of Anyinam and Kokofu**

#### ***Promotes Social Integration and Cohesion***

The Opemso) festival is seen by most of the members in the Anyinam and Kokofu communities as social events and gatherings. It is on the eve of this festival where long time family members, friends and even marriage partners who have travelled to urban centres and greener pastures abroad for employment avenues return back home. Thus, the festival is a big family, kin and societal affair. A seamstress who was interviewed along the street buttressed this social significance of the festival. She said:

‘To us, the Opemso) festival is more than Christmas or Easter celebration. It is a joyous occasion because all my brothers who have travelled to the city or urban centres return home with their families. It is indeed a moment of belonging because it is during the festival that you actually feel that you have a big family. When I tell my brothers to visit me, they usually say that I will come during the Opemso). Therefore, it is indeed a great social affair for all of us. Old, childhood friends and classmates return to Kokofu due to the festival and we engage in a lot of chatting and association that makes me very happy’ (Sister Joyce Ampafo, personal communication, September 4, 2016).

Another elderly woman I met and interviewed in a big family house of just two residents before the festival hurriedly responded when I asked her about the social benefits she derives from the Opemso) festival. She said:

‘Look at this house and how empty it is. All my siblings, children and grandchildren have all left to the city as a result of schooling and job placement. During the Opemso) festival, you come and see that this house is filled to its capacity with some of us sleeping in this inner space of the house where we spread our mats. I am happily anticipating the return of my family so that we can have a good time together’ (Auntie Connie, personal communication, September 4, 2016).

Out of curiosity, the researcher went again to the house on Saturday evening during the Opemso) festival to ascertain the truth and noticed that it was just as narrated by the elderly woman. The house was filled to the brim with people feasting, watching videos, playing music and dancing. The researcher observed that some family members were sitting together chatting.

Families living in neighboring houses shared meals together, others ate from the same bowl, the common one found was the Kodo) bowl. There was indeed social integration among local residents. This same social integration was noticed among visitors and local residents. The latter with open arms welcomed visitors to their homes and offered them meals. The festival helped in uniting the people together in a communal fashion.

#### ***Agent for Societal Development***

Before the actual event that took off on Saturday, Monday to Wednesday are used for massive environmental sanitation and cleaning activities. Choked gutters in residential lanes are diligently scrubbed, sweeping of homes and streets, refuse wrongly disposed are cleared, and weedy areas are also cleared by members of the community. The work is done on communal fashion and it is believed by the people that those who wholeheartedly support and partake in

the cleansing activities are blessed by the gods and ancestors. This was noticed by the researcher as the sole motivating factor behind the participation of community members. For instance, the researcher asked an elderly woman in her late sixties who was part of the cluster of elderly women who were spotted sweeping the street why she partook of the cleansing exercises before the festival. She said:

'My ancestors would be visiting us during the occasion and they will be very annoyed at us and vouch their anger on us, including me and my family if they found the entire society in filth and dirt. I know that they would reward me and my lineage for participating in this exercise' (Aunty Ama, personal communication, September 2, 2016).

However, the elite indigenes who were engaging in the cleansing exercise, especially the youth were very happy for participating. They were proud to see their community in a very clean, tidy state. Aside the blessings they said would come from the gods and ancestors, most of the elite group also highlighted the health and ecological benefits of the sanitation exercise. This is what Martin, a twenty-five years old student of Kumasi Polytechnic, an indigene of the Kokofu vicinity said:

'It is prideful for me to see my community in clean and tidy condition as a result of the festival. I wished this exercise is carried out monthly and stays since it has several health benefits to society members. For instance, clearing choked gutters would help in preventing cholera, malaria and other waterborne diseases' (Martin, personal communication, September 2, 2016).

Indeed, the health benefits and environmental aesthetics which are by-products of the cleaning exercises is very commendable and contributes to the social development of the Anyinam and Kokofu towns. Most of the houses in the communities were renovated because of the festival. The researcher noticed as he surveyed the community with his research assistances that weak and leaking roofs were removed and replaced, surfaces of the buildings received new paintings, and old entrance doors were replaced with new ones. This really improved the aesthetic appeal of the landscape of the towns.

Aside the sanitation exercises, the Kokofu chief, Nana Barima Ofe Akwasi Okogyasuo II led a two day planting exercise in the streets and special spots in the Kokofu and Anyinam jurisdictions. In an interview with the researcher, some members of his traditional council revealed that the chief sees the ecological relevance of trees in preventing global warming, giving fresh air to societal members and thus good health, preventing floods and bush fires.

In addition, the elders felt that they were mandated as per their positions in the community to ensure that the biodiversity resources in the environment were protected from extinctions. Thus, the trees that were cut in the environment for usage needed to be replaced to maintain a stable ecological condition in the towns. More importantly to these elders was their accountability toward the ancestors with respect to the upkeep of the society that was left in their care. This is what one of the elders told the researcher:

'When I was a child, our surroundings were crowded with a lot of trees and we had a lot of domestic and even forest animals and birds that frequented our homes and streets. These trees are being cut down at an alarming rate due to habitation as a result of increases in human population. Therefore, these trees must be replanted so that when the ancestors re-visit us, especially during occasions like this, they would not be angry at us and even feel that we have

destroyed the towns they left in our care' (Opanin Manu, personal communication, September 4, 2016).

### ***An Avenue for Settling Disputes***

The festival is an event for uniting family members who are at loggerheads due to pertinent issues in the family. These conflicts among families are mostly as a result of unfair sharing of family property such as lands. Others are due to marital problems which result in conflict between the two families that contracted the marriage. Thus, the festival is used as a platform whereby the family head or abusupanyin and the elders in the family settle family disputes. This event is seen as the right time for settling and ironing out differences among kinsmen because every family member is present. The family head and elders usually capitalize on the spirit of the festival as propagating peace and unity which the gods and ancestors act as advocates to resolve age-long problems.

In a larger spectrum, the chief and his traditional council members also use the festival as grounds for settling disputes among the big wigs in the community that cannot be mended at the family level. Families are reconciled together by the chief who preaches unity and peace. A married woman who fought with the husband was eagerly waiting for the festival so that the heated dispute that has arisen between her and the husband that was nearly submerging the marital union in divorce can be solved by the two families. This is what the mother of the woman said:

'My daughter is no more living with the husband as a result of some problems and she is now living with me. I have tried everything possible to meet him so that the issue can be resolved but to no avail. Because he will attend the festival, I am hoping that the heads of the families will see to it that the issue is resolved for her to return to her marital home' (Obaapanin Abenaa Pinamang, personal communication, September 5, 2016).

This account and many others that were made known to the researcher indicates the social relevance of the festival in ensuring social cohesion within families, between families and the entire society as a whole.

### ***As Platforms for Relaying Local and National Policies***

The Opemso) festival is used as an avenue by policy makers, government officials, civil workers and other agencies for explaining policies, programs and plans on social issues like health, environment and biodiversity conservation, education and so forth. The researcher noticed that health workers from the Kokofu government hospital, peace and love hospital used the festival gathering at the football field to explain and alert societal members of diseases and ailments such as breast cancer etc. as well as ways they can protect themselves from attack.

Due to the political atmosphere in the nation, the researcher observed that the Member of Parliament and their contestants from the other political parties like the C.P.P. Flag bearer, N.P.P. Ashanti regional chairman and others, also used the festival as platforms in telling the members of the communities, their vision and plans for developmental projects and stressing the need for why they have to vote for them in the upcoming elections.

### **The Economic Significance of the Opemso) Festival to the Development of Anyinam and Kokofu**

Opemso) festival is a week long feast that boosts the local economy of the sister communities thus, Anyinam and Kokofu. Individuals, small-scale industries and companies in the vicinity

that offer various products and services earn greatly during the week. Thus, as noted through observations and interviews, is as a result of the soaring number of attendees of the festival both indigenes of the towns and visitors.

### ***Increase in Sales of Products and Services***

The traders interviewed confessed that the sales that they get during the one week celebration equate the sales that they make within as much as four months! The food sellers told the researcher that they prepare thrice or sometimes four times the quantity of meals that they prepare for a non-festive day on a daily basis during the festival. A rice seller happily told the researcher:

'I sell almost two bags of cooked rice every day during the festival, which is four times what I sell when there is no festival. Because of this, I am able to tell for the fees of my children in the new academic year commencing this September' (Maame Nyarko, personal communication, September 11, 2016).

Those who sell foodstuffs like yam, cassava and plantain also toned the same line as the rice seller that, they also make triple sales every day. Since most of the indigenes in the two communities are farmers by profession, this would eventually boost the rural economy and ensure its economic advancement.

Prior to the commencement of the festival, the traders would demarcate where each of them will sit and sell their products during the festival. The local people and visitors are given equal chance for the allocation of space for selling their products. This, however, did not sink well for most of the indigenes of the communities. One elderly woman in Anyinam who was aggrieved told the researcher:

'The visitors who come here to sell are usually given the spaces to sell at the expense of us. I have to hawk my products and this is very tiresome for an elderly woman like me' (Nana Dufie, personal communication, September 12, 2016).

The event organizers and some sellers denounced this claim by those who made the same claim as the interviewed respondents. They said that the offer for space allocation was given first to the local people one month before the commemoration of the event for free. The remaining spaces were then given to the outside traders for a small fee.

The service providers like the restaurants, guest houses and hotels also heap their pockets with a lot of gain during the festival. Many visitors both inland and overseas troop in to enjoy different meals and lodge in the hotels. The manager of one restaurant in Kokofu told the researcher that during the festival, they intensify the local foods that they serve and even include those that are seasonal to attract more people.

The drivers at the Kokofu transport station also told the researcher that they work all day and night during the festival week transporting clients to and from the festival premises at Anyinam and to their places of lodging. 'It's a cocoa season [time for boosting of sales] for us drivers', Mr. Nsiah, the transport station assistant told the researcher.

### **Generation of Funds for the Traditional Councils and Event Sponsors**

The traditional councils of Anyinam and Kokofu also earns revenue from the Opemso) festival. Usually, sponsors of the events give them a whopping sum of money to cater for the smooth organization of the festival and for the development of the towns. Books, T-Shirts, Plastic fans, calendars and magazines displaying pictures of chiefs, past and present, members of the traditional council, history of the festival and others are sold as festival souvenirs to attract revenue for the traditional councils.



**Fig. 2. Festival Souvenir Items Sold by the traditional council (Photographed by the researcher)**

The event sponsors also get the chance to sensitize, promote and sell their old and especially, new products and services to all the attendees. For instance, the main sponsor of the festival, SAI CRUX Limited used the platform to explain their construction, real estate developing and industrial management to those present. Likewise, Coca-Cola brewery, Goil Fuel Company, Bosumtwe Rural Bank and many others who were supporting sponsors also used the occasion to market their products and services. Winners of the various contests are also given some of the products for them to experience their usage. This would eventually result in the patronization and mobilization of sales of their products and services.

### **SUMMARY AND CONCLUSION**

The main thrust of the research was to investigate into the significance of the Opemso) festival and highlight its quintessential roles in the strategic and sustainable rural development of the people of Anyinam and Kokofu. The findings gleaned from the research affirms that indeed cultural festivals like the 'Opemso)'impacts greatly on the historic, social, cultural and economic development of societies and nations. The historical significance was with the festival being linked to the birth of Otumfuo Osei Tutu I, the founder of the Asante kingdom and thus form part of the historic heritage of the Asante people. Culturally, the festival is a regulator of the moral behaviours of residents in that it accentuates the values, norms, beliefs and code of ethics expected of every Asante and these as indicated by the research, are the ideals that ensures societal developmental growth. Socially, the event assists in changing the state of the communities by impacting positively on the environment and the architecture of the communities while propagating unity, oneness and social cohesion and integration. Economically, the Opemso) cultural festival boosts the businesses of individuals, small-scale enterprises and companies while aiding the traditional councils of host communities in generating revenue for societal development. The study emphasizes that though cultural

festivals are not much considered in the developmental agenda of especially the rural folks, and its voice is not much heard in academic discussions as being a viable means of sustainable development, the findings of the study buttresses that if cultural festivals are well crafted and strategically organized by societies, they can be used as efficient and salient tools for development.

However, the researcher has put forward some powerful suggestions and recommendations on how to improve cultural festivals to intensify and strategize the development of societies and countries in the sub-region of Africa.

1. Cultural festivals must be carefully planned ahead of time so that event organizers can have adequate time to prepare the event to maximize development in the host communities by liaising with cultural analysts and economists to draw up programs that would perfectly aid in achieving sustainable development.
2. Cultural festivals such as Opemso) of the Asantes which is a great weapon for the development of the host communities must be undertaken annually instead of the observance being carried out once in every two years. The government and the district municipalities must generate funds from sponsors to help its annual celebration.
3. Financial institutions must offer soft loans or credit to the local residents who have long term or short term businesses and/or attractive business plans, especially on the eve of cultural festivals to assist financially, those who do not have the financial strength to increase the numbers of their products and services.
4. Prior to the commemoration of cultural festivals, there should be massive sensitization and awareness programs in the country via the social media (Internet social networks like Facebook, Twitter, Instagram, Whatsapp, and others) and the mass media (Television and radio adverts and discussions, newspaper advertisement) as well as traditional visual communication tools (posters, flyers, banners, billboards etc.). This would publicize the event, deepen its significance, mobilize and entice event sponsors while increasing the number of attendees.
5. The greater number of the space allocated for trading at the premises where the cultural festival is being held must be offered to the local/rural residents in the host communities with low fee or without a fee. This would encourage them to engage in petty trading during the event to raise money to cater for themselves and their families, thereby reducing the percentage of the rural poor in Ghana and her other sub-regional counterparts.

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## A Cladogram and Taxonomy for Emotions

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### Abstract

A selection of character traits for emotions, desires and attitudes were used to construct a cladogram showing their potential relationships. A cladogram is possible if a theorised interaction desire is used as the original motivation behind these more complex neocortical developments. A distinction is made between desires, natural emotions, caged emotions and attitudes as responses to increasingly intransigent blocks that reduce the level of freedom needed to be wild, and obstruct the naive desire for positive interaction.

**Keywords:** Interaction; desire; emotion; attitude; parsimony; wildness; feelings

### INTRODUCTION

There are a number of influences on the mind that determine behaviour. Most can be captured within the words emotion, desire, reason, cognition, mood and attitude. Are these separate competing influences or variations upon one underlying process? In the constructionist view of emotions, these states are thought to have a common stem. For example, Gross and Barrett (2011) consider that all mental states including emotion, cognition and perception arise from the one process, as they all involve subjective experience, expressive behaviour and physiological responses.

A candidate for the underlying process that sorts and distributes action states in the neocortex is a theorised interaction desire (Cookson, 2015). The mechanism for determining its own level of fulfilment may be based upon the measurement of parsimony (Cookson, 2013), where the performance of a given effort going into the neocortex can be judged according to the number of subcortical pleasure hotspots that were stimulated as feedback in the limbic system. The more subcortical hotspots stimulated from the one effort, then the more parsimonious, linked, skilful and aware must have been the arrangement of pathways available within the neocortex. Parsimony allows an organism to expend less effort for the same outcome (Gavalas, 2014). If the effort was blocked, inhibited or indirect then the number of subcortical hotspots stimulated would be fewer or less intense.

This desire for fulfilling interaction or parsimony has been suggested as the process that underpins our seemingly frivolous interests in art, poetry and religion. Parsimony, or information compression into simple rules, may also inspire our appreciation of music (Cookson, 1999; 2013; Hudson, 2011). While these pursuits can often be followed during periods of calm, an interaction desire must also deal with life-important impediments and difficulties. How a theorised interaction desire based on parsimony might produce and distribute emotions and attitudes during such strain is the subject of this article.

A desire for parsimony suggests that the neocortex is an interpreting organ that looks for a better understanding of the meaning behind events. It may be preoccupied with the immediate problems of how to meet important somatic desires (Cookson, 2015) such as hunger, thirst and

sex. It may also become a moralising organ looking for right and wrong, strongly influenced by ideas. Emotions are influenced by interpretation, and are known to be tightly bound with cognition. We can change the way we feel by changing the way we think (Ochsner et al., 2002). The role of interpretation before the appearance of emotions is also demonstrated by the need to learn context before the full range can establish. They are not present ready-made from birth (Spitz, 1949; Davidson & Irwin, 1999; Widen & Russell, 2003).

Emotions are also tightly bound to feelings. However, to progress an understanding of the role of emotions in the neocortex, it may be necessary to separate the functions of emotions from feelings. Emotions arise in the neocortex (Ochsner et al., 2002; Damasio et al., 2000; Phelps, 2006), while feelings occur in the limbic system (Joseph, 1992; Ploghaus et al., 1999; Burgdorf & Panksepp, 2006). The feelings generated for somatic desires such as hunger, sex and thirst are ancient and occurred in animals prior to the evolution of the neocortex. The feelings generated by outcomes in the neocortex are also thought to register in the limbic system (Cookson, 2013; 2015).

The separation of feeling from emotional interpretation and motivation is supported by the finding that in some people, all emotions produce only two feeling states, happy or sad (pleasure or displeasure, fulfilment or emptiness). Yet other people can experience a different feeling for each of many emotions. This emotional granularity suggests that while we can interpret events into a wide variety of emotions, the underlying differentiation of associated feelings acts on an original core of pleasure and displeasure located in the limbic system (Barrett, 1998; 2004; 2006). Emotions generated in the neocortex may actually be interpretations that then influence our view of happy and sad feelings, so that they instantly refine how we consciously experience those feelings. Knowledge of context is vital before, for example, a displeased feeling can be further conceptualised into fear rather than anger (Clare & Ortony, 2013). For some, fear and anger simply produce the same empty feeling. The instant association of cause or blame with feeling may be so closely bound, and driven by a need for action, that it becomes difficult to sense that the large variety of emotions may simply be different interpretations that colour the underlying feelings of fulfilment and emptiness.

If feelings feel, then what is the role of emotions? They may be interpretations and motivations that carry an expectation or desire for improved interaction, whether that is through improved parsimony, justice and morality, or attendance to the important somatic survival needs. The emotion then becomes a motivational state that wants to act according to its interpretation, rather than being a feeling state. The intensity of the feeling state can of course dictate the urgency or level of desire behind emotions, but they are still different parts of the interactive equation (Cookson, 2015). Emotions are action readiness stances, called into service when circumstances are not going smoothly (Cole et al., 2004). They are energy intensive and agitated states whose purpose is to resolve block and return the animal to a place of freedom and wildness. 'The function of emotion is to restore the individual to a state of equilibrium' (Plutchik, 2001). Once the 'no more action needed' signal has sounded, there is no more need for emotion (Frijda, 1988).

In developing a cladogram with the interaction desire at its base, it is important to identify the trigger that might generate emotions. Such a trigger could be blocks or obstacles to the original desire for fulfilling interaction. It is easy to see how negative emotions might be stirred by block especially when one is clearly identified and disturbing, such as an enemy or someone's laziness. For positive emotions such as love, the block is often felt as ostracism, social rejection (Blackhart et al., 2009), or a generally unfulfilled state without any clear cause or disturbing

focus against which to act. 'A person is ready to fall in love because of one of a number of reasons, loneliness, sexual need, dissatisfaction, or a need of variety' (Frijda, 1988).

If emotions are triggered by our identification and interpretation of block, then the level of block being faced must also have a major impact on the kind of emotion being constructed. In nature, animals usually live a relatively wild and free state where they can do, or try to do, whatever they want according to their own internal honesty (Cookson, 2011). They can pursue a simple psychology of pain and pleasure. However, while it would be nice to maintain a state of wildness where you can do what you want, in nature wild animals often cannot get their way and if they survive the unpleasant encounter then they may ponder, ruminate or adjust (Kross et al., 2012). Children also start life with a free and natural approach, but then learn to become more circumspect as the reality of our adult restrictions takes hold. 'Between ages 4 and 7, children increasingly recognize that emotional satisfaction is shaped not only by a desire psychology but also by the rules and obligations that restrict people's ability to choose their own behaviours' (Lagattuta, 2005). In the face of block the interaction desire will try something different during its next interactive attempt. One option is to simply leave the difficult environment. Another is to tackle the block by producing emotions that can arouse and focus actions. There is often a chronological order to the appearance of emotions. Those first attempted could be called natural emotions, which have an expectation of being able to resolve block. A mixture of complete wildness (where only desires need be followed) and a proportion of natural emotions is probably the natural state for most vertebrates.

If natural emotions do not succeed then they must bow to the superior forces of those blocks and undergo further change. Such intransigence coupled with survival is probably rare for the wild animal, as it would suggest they are not in their correct niche. The next available option for natural emotions is to convert into those that become mesmerised by block as permanent components in their niche. The animal becomes surrounded by certain fixed blocks, trapping the mind and diluting its expectations and chances for freedom. The resulting emotions could be called caged emotions. They must give up the spirit of the desire for quality interaction and resign to a certain loss and incapability (Rawlins, 1998). The caged emotions would be more secretive, circumspect and manipulative, and probably lack the expressions often linked to 'basic emotions', some of which are called natural emotions in this article. Animal captivity also often produces a range of unusual mental states not found in the wild (Wiepkema & Koolhaas, 1993; Stein et al., 1994; Balcombe, 2006; Preti, 2007).

If the block cannot be resolved by emotions, then it is fruitless to continue using them especially when their implementation can be energy intensive and mentally draining (Turner et al., 2007). When they cannot relieve the stress created by unrelenting block, the next alternative is to convert caged emotion into attitude. Attitudes are relatively stable ideas about the block, whether something is good or bad (Cunningham & Zelazo, 2007). For example, anger at continued frustration on crime can convert emotion into a long-term attitude supportive of capital punishment (Ellsworth & Gross, 1994). Attitudes can present a similar approach to life as emotions but in a less energy intensive and damaging way. A grumpy person can warn people off without having to feel angry all the time. It can become a standard calm response. With attitudes, blocks and problems become accepted parts of the world, no longer being novelties requiring attention and emotion.

Cladograms traditionally use the rules of parsimony to show the evolutionary pathways and relationships taken to produce species (Sober, 1983; Goloboff et al., 2008). They have also been

used in studies on the development and migratory spread of language (Gray et al., 2009). In this article it is hypothesised that the neocortex is influenced by a desire for parsimony; therefore, it should be possible to produce a cladogram for its products including emotions. 'A useful goal in emotion research would be to find a parsimonious way to describe their variations while maintaining what is meaningfully different about them' (Barrett et al., 2007). A cladistic analysis may facilitate such a process. An important step in developing a cladogram is to find an appropriate outgroup (Nixon & Carpenter, 1993), which for emotions could be the desires (e.g. hunger, interaction desire). Desires are the plesiomorphic states, while emotions take block ever more seriously into apomorphic states. In the list of characters given below, the plesiomorphic states are assigned a 0 value, while apomorphic states are 1 or the even more derived 2 or 3 states.

The cladogram presented here attempts to map the emergence of a selection of desires, emotions and attitudes as examples. In theory, it should be possible to construct one tree for all emotions and attitudes. However, it is unlikely to be completed due to the changes wrought by each new personal experience and the involvement of cognition that could bring a new appraisal or interpretation at every step (Kemper, 1987).

## METHODS

### Characters of Systematic Utility

#### *Physical Inherited Characteristics*

Character 0. Inherited organs directly involved in their production, not relying on interpretation by the neocortex. This character separates desires from emotions and attitudes. State 0 = State arises directly from specific somatic organs such as the stomach, gonads, inner ear balance, skin (somatic desires). The interaction desire arises from the neocortex and its production does not rely on interpretation, although its level of fulfilment does. State 1 = All emotions and attitudes begin in the neocortex according to interpretation or appraisal, they are not inherited (basic emotion supporters will disagree here).

Character 1. Neocortex not involved in the direct production of the desire or state. Similar to above but can be used to separate the often older somatic desires from the interaction desire that is theorised to have evolved when the neocortex appeared. State 0 = The somatic desires such as hunger originate from various bodily organs. State 1 = The interaction desire arises directly from the neocortex. State 2 = Emotions and attitudes arise indirectly in the neocortex after neocortical pathways are blocked.

Character 2. Associated directly with a prime expression or action (body or face). Clear expressions or actions may associate with an emotion because they are inherited (basic emotions) or because the way to implement a constructed emotion is learnt consistently under natural conditions. The point is moot in this analysis as either will show which emotions are plesiomorphic. The more artificial the emotion or attitude the more indirect or hidden should be any associated expression used to aid its delivery. State 0 = The presence of an expression/action such as salivating and licking the lips, eating (hunger); an engaged or interested expression similar to that described by Sullivan and Lewis (2003) (interaction desire); crying, whimpering, begging, asking (hope); grunting, vocalisations, talking, gesturing (reason); crooning, glistening eyes, battering eyelids, gentle smile, play (love) (Shaver et al., 1996); stern look, furrowed eyebrows, bare teeth, growl, glare (anger); agitated, fidgety, brash, displacement activity (frustration); shaking, raised eyebrows, stunned wide eyed look (fear). State 1 = If present, the expressions are borrowings or blends. Borrowed expressions include those for violence (from anger), dread (from fear), passion (from love, or expression may be

hidden), opinion (from reason). Blended expressions are for hate (mixture of anger and frustration) and shame (mixture of fear and love, fear that bonded ones will disapprove). Hidden expressions are for hate/contempt and deception. No expression is for belief (praying actions learnt). The attitudes are calmer states, so can easily avoid the use expressions, or they may simply elaborate or blend those already available.

Character 3. Valence, or wanting versus avoiding, seems to be an inherited division that has often been used to help characterise emotions. The wild or natural state should be to want interaction, engage in life. State 0 = Appetitive valence include the desires. While desires may be considered not to have a valence (Ortony & Turner, 1990), they do present to the neocortex with want so are included here. Emotions and attitudes with positive valence include hope, love, reason, opinion, belief, religiosity, obsession. State 1 = The negative or avoiding valence can be assigned to the usual negative emotions such as anger, fear and hate. Shame, and being coy or lying are included here as even though the blocks or standards are not negative, we would like to avoid the sensations. Blushing (embarrassment, shame) is clearly negatively valenced (Leary et al., 1992).

### ***Order of Appearance***

There is a definite order of appearance for emotions (Lewis, 1995), and some may or may not occur in other animals (Panksepp, 2011). These orders do not necessarily imply inheritance, but may simply show that certain emotions will always be learnt in a certain order under natural conditions. Only one example is given here, although other ages and species comparisons could be listed.

Character 4. Occurring in infants to around six months of age. State 0 = Common in young infants, such as the desires (excluding sex), and all of the natural emotions considered here except reason. State 1 = Absent in young infants, as they are usually too young to have belief, opinion, passion, dread, hate, deception or attitude.

### ***Approach to Block***

Most of the characters used to separate the emotions and attitudes are placed under this category, as it is postulated that all emotions and attitudes arise in response to a blocked interaction desire. Each approach to block could be considered the result of a different appraisal. 'Appraisal theorists assume that the type of emotion elicited by an event can be reliably predicted if one knows how the individual has appraised the event' (Ellsworth & Scherer, 2003).

Character 5. Degree of block intransigence, where block may or may not be at fault. This character summarises the broader divisions previously discussed in their response to block. State 0 = Desires. State 1 = Natural emotions. State 2 = Caged emotions. State 3 = Attitudes. Desires arise irrespective of block as they are bodily or neocortical needs. Natural emotions can resolve block fairly easily. Caged emotions cannot resolve the issues so are trapped. Attitudes accept blocks as part of life, which eases the stress of having to use emotions.

Character 6. Degree of blame that can be levelled at the block. State 0 = block to fulfilment occurred but is not necessarily the fault of the block, so it does not need to be harmed. We can remain bonded to the setting. Block is not disturbing applies to all desires (they simply want), positive emotions and attitudes. Unlike valence, this character focuses on how the block is perceived rather than whether we want more of the associated feeling. Therefore, while

shame, coyness and lying are not emotions/attitudes we want to experience, the block that caused those feelings is not bad or disturbing. Instead, we need to lift our game and become more natural or skilful. State 1 = Disturbing or negative block is managed by the negative emotions (such as anger, frustration, fear, hate) and associated attitudes.

The degree of blame, good or bad, divides quite early so that further refinements can be broadly grouped into positive and negative streams.

### ***Emotional positive streams***

Character 7. Act positively to ease block. State 0 = The plesiomorphic state used here is that we should not have to adjust ourselves to get a positive result, because block to wildness does not occur (desires), is easily fixed just ask (hope), or it is too disturbing to act positively so act negatively instead (negative emotions and their attitudes). State 1 = Need to try more positively or helpfully (e.g. love, reason, belief, bias, passion, shame, coy). This character separates hope from the other positive options as hope barely recognises a block as being so serious that it requires lifting effort or altering psyche beyond simply wishing.

Character 8. Act positively using understanding. State 0 = The block does not occur (desires) is easily fixed (hope) is disturbing (negative stream), or may not be moved sufficiently by understanding (love stream) (= e.g. of 'otherwise'). State 1 = Need to tackle the block more positively using understanding (reason, opinion, biased, conceited).

Character 9. Act positively and forcibly promote our understanding. State 0 = Otherwise. State 1 = We have focused positively on block and do understand it, so we should promote our understanding and overrule dissenting views (opinion, biased, conceited). Separates reason from this remaining intellectual stream, as reason is still willing to listen and consider.

Character 10. Act positively to ease block to fulfilment using belief. State 0 = Otherwise. State 1 = Need to focus more positively on block by filling in the blanks and inconsistencies with imagination (belief, fantasy or superstition, religiosity).

Character 11. Act positively to ease block using commitment. State 0 = Otherwise. State 1 = Need to focus more positively by increasing our bonded commitment (love, passion, obsess, hobby).

Character 12. Act positively but are unsure. State 0 = Otherwise. State 1 = Need to focus more positively on block by increasing commitment to others but we are inadequate or have to present a facade (shame, coy, liar).

### ***Emotional negative streams***

Character 13. A specific block needs to change, but in a way that will teach or discipline as block is good intentioned like ourselves, just mistaken. Still bonded or inclusive to block. State 0 = The block is within our grasp and not disturbing, we can ease the problem by being positive, or if block is specific and identified and does not want to change we can still engage positively through anger to try and bring the block back into the fold (positive stream, and anger). State 1 = The disturbing block persists and cannot be resolved or changed (fear, frustration, remaining negative streams). This character has the same listings as for character 6, except that it distinguishes anger from the other negative emotions. Anger is a helpful natural emotion distinguished from harmful aggression and the pursuit of violence, as discussed later.

Character 14. Act negatively to the block with aggression and disdain. State 0 = We do not seek to harm the block as we can still be positive or bonded with its setting (positive motivations, and anger), or we would be better off avoiding it (fear) or waiting to sort it out (frustration) rather than harming it. Note that the hunger desire causes death to prey, but this does not arise out of hate or anger. Many cultures treat their prey with respect. State 1 = We seek to harm the block due to its intransigence which makes us have intense dislike or disrespect for the block (hate, violence, grumpy, cruelty, misogyny, racism).

Character 15. Act negatively without any hope that the block could ever become a friend. State 0 = We do not seek to seriously harm the block as we can still be positive or bonded with the block (positive stream, anger and frustration). Frustration is included as while we cannot act now, there is the expectation that resolution can still occur positively at some time, simply be patient. State 1 = The block is disrelated or alien to us, attunement is not possible, we want nothing to do with the block (fear, hate, violence, dread, inaction, and negative attitudes).

Character 16. Act negatively by mentally disengaging. State 0 = We can actively resolve the block. Attunement is still possible where we can come to positive arrangement (positive stream and anger) or we can fix or harm or guard against the block (frustration, violent, grumpy, cruel, hate, misogynist, racist, neurotic, morbid) or we can leave it (fear) (= e.g. of 'otherwise'). State 1 = The block cannot be resolved but persists so we must live with it by withdrawing or turning off (inaction, escape mentally, apathetic).

Character 17. Act negatively but cannot overcome or leave/disengage. State 0 = Otherwise. State 1 = Cannot leave or withdraw from the block, it is ever present and looming (dread, morbid, neurotic).

Character 18. Act negatively but must try to hide your disdain. State 0 = Otherwise. State 1 = We are supposed to tolerate the disliked and frustrating block even though we would like to tackle it, so we must try to hide our dissent unless an opportunity presents (hate, racist, misogynist).

Character 19. Act negatively and harmfully when we can get away with it. State 0 = Otherwise. State 1 = We are supposed to tolerate the disliked and frustrating block but would still like to tackle it and cause harm (violent, grumpy, cruel).

### ***Positive attitudes***

Character 20. State 0 = The block does not occur (desires) or could still be fixed using emotions (natural and caged emotions) (= e.g. of 'otherwise'). State 1 = Need to accept the blocks and problems but still act positively by shifting arena of interaction into beliefs (religious, fantasy).

Character 21. State 0 = Otherwise. State 1 = Need to accept the blocks and problems but still act positively by expecting others to accept our superior opinions (conceited, biased).

Character 22. State 0 = Otherwise. State 1 = Need to accept the blocks and problems but still act positively by focussing on our bonded passionate outlets (obsess, hobby).

Character 23. State 0 = Otherwise. State 1 = Need to accept the blocks and problems but still would like to act positively but we are unworthy (coy, liar).

**Negative attitudes**

Character 24. State 0 = Otherwise. State 1 = Need to accept the blocks and problems but dislike them so act negatively by calmly taking opportunities to harm them (grumpy, cruel).

Character 25. State 0 = Otherwise. State 1 = Need to accept the blocks and problems but dislike them so act negatively by harbouring reasons to belittle them (misogynist, racist).

Character 26. State 0 = Otherwise. State 1 = Need to accept the blocks and problems but dislike them so act negatively and fatalistically as they are an ever looming danger (neurotic, morbid).

Character 27. State 0 = Otherwise. State 1 = Need to accept the blocks and problems but dislike them so act negatively by withdrawing or escaping from them mentally (escape, apathy).

**Cladogram**

A summary of the characters and their assignments are given in Table 1. This dataset was submitted to the TNT (Tree analysis using New Technology) phylogenetic software program based on parsimony, made freely available online through the sponsorship of the Willi Hennig Society (Goloboff et al., 2008). By following the steps for ‘basic analysis’ (Goloboff et al., 2008), the cladogram shown in Figure 1 was produced.

**Table 1: Data matrix for TNT software program, showing assignments under each character number (00 to 27) for affective states.**

	Character number
Affective state	00000000011111111122222222
Hunger	0123456789012345678901234567
InterDes	0000000000000000000000000000
Hope	0100000000000000000000000000
Reason	1200010000000000000000000000
Love	1200110110000000000000000000
Anger	1200010100010000000000000000
Frustration	1201011000000100000100000000
Fear	1201011000000101000000000000
Belief	1210120100100000000000000000
Opinion	1210120111000000000000000000
Shame	1211120100001000000000000000
Passion	1210120100010000000000000000
Hate	1211121000000111001000000000
Violent	1211121000000111000100000000
Dread	1211121000000101010000000000
Inaction	1211121000000101100000000000
Religious	1210130100100000000010000000
Fantasize	1210130100100000000010000000
Biased	1210130111000000000001000000
Conceited	1210130111000000000001000000
Coy	1211130100001000000000010000
Liar	1211130100001000000000010000
Obsess	1210130100010000000000100000
Hobbyist	1210130100010000000000100000
Grumpy	1211131000000111000100001000
Cruel	1211131000000111000100001000
Racist	1211131000000111001000000100
Misogynist	1211131000000111001000000100
Neurotic	1211131000000101010000000010
Morbid	1211131000000101010000000010
Escapist	1211131000000101100000000001
Apathetic	1211131000000101100000000001

A variety of emotions and attitudes can be distributed in a cladogram according to how a block is perceived and the level of persistence of that block. The cladogram is but one example arrangement, as different individual experience and therefore appraisal could easily reassemble the order of appearances presented here. A conceptual representation of the cladogram overlaid with varying degrees of block persistence is shown in Figure 2. The



## RESULTS AND DISCUSSION

### Natural Emotions, Resolvable Block

The interaction desire is placed as the starting point for neocortical processing, and whether it will be influenced by more ancient somatic desires such as hunger will depend on their degree of satiation (Cookson, 2015). When the desire for fulfilling interaction cannot be met, hope seems to be the first emotion into which the interaction desire will convert. It is the simplest and most inoffensive emotion, and carries most purely the original intention of the interaction desire. It is like a wish or plea to higher forces for better interaction (Lazarus & Hope, 1999; Scioli et al., 2011), and can be seen in other animals when they beg or whimper for help. This naive emotion is strong in children, and may be encouraged by providing institutions such as Father Christmas. All the child must do is hope, make a wish, and it might come true. In dogs it can be begging, where the dog just sits before someone who is eating, hoping that a scrap may be thrown its way. Due to its naivety, the reliance on hope usually subsides in the adult world.

When hope does not work and fulfilment remains difficult, a more targeted emotion will arise, most often love if a companion is available that will accept bonding. In this form, the emotion can seek and promise greater commitment to the companion and enlist their aid in meeting desires. Love here is meant as an emotional form of bonding, a recruiting emotion. Love can soon change to a close bonding where emotional intensity subsides. The clearest example of this distinction in adults is when surges of the heady and preoccupying emotion of love brings a couple together, but then subsides and is replaced by respect, intimacy and commitment (Shaver et al., 1996; Murray et al., 1996; Milivojević & Ivezić, 2004; Ahmetoglu et al., 2010). The former is the emotion and the latter attunement or bonding.

When hope and love does not work, then the block may be specific and dangerous rather than representing a lack of attention to needs. A concept that the block is being intentional, preventable or unjustified seems to require a theory of mind that another is deliberately obstructive (Javela et al., 2008). The next emotion to use may directly target this block as anger. If the block retaliates and cannot be beaten, then emotion may become fearful or worried. Frustration is also placed within the natural rather than caged emotional arena as while it arises for persistent block, there is still an expectation or agitation to resolve fully, it is just a matter of time. In the wild frustration occurs naturally and can be relieved through various displacement activities (Duncan & Wood-Gush, 1972; Kortmulder, 1998).

Reason has also been placed in the cladogram as a variation of emotion. Like other emotions, reason is an interpretation that appears in response to block, which it tries to resolve through improved understanding. It may approach the block from various directions, perhaps logically or laterally (De Bono, 1967). In a social and complex setting it is one of our most successful emotions so is exalted above all others and usually not considered an emotion. Reason as emotion is not obvious because unlike many others it can delay its association with feeling because it expects its own strength (of reason) will carry the day. If it fails and the person is mature, it may reassess and look for other reasons so remain harmless. However, reason can also quickly decide to use other emotions and take the most drastic of actions. Reason feels a sense of justice, and it can also feed strong feelings of injustice.

Others have noted that emotion is an aspect of cognition or that there are indistinct boundaries between them (Barrett et al., 2007; Parrott & Schulkin, 1993). Cognition may not be separable from emotion (Smaldino & Schank, 2012). In this taxonomy, reason is considered different to thinking even though both are forms of cognition. An unencumbered interaction desire (that has not converted into emotion) can still travel and meander through the pathways of its

neocortex, and then it is called thinking. Thinking explores and considers, is curious, and arises from the engaged or interested approach of the interaction desire, as it searches for things with which to interact. Indeed, any thought is a desiring attempt at interaction. 'Interest is no more an emotion than thinking' (Ortony & Turner, 1990), but it is a sign that there is desire in the neocortex. Thinking is exploratory arising from desire, while reason is an emotion targeting block. The psychological construction model considers that the ingredients causing emotions also cause cognitions (Gendron & Barrett, 2009).

### **Caged Emotions, Overwhelming Block**

When caged by superior blocks, the range of positive actions available becomes limited. The blocks become fixed like the bars of a cage. Boldness and bravery could be attempted against all the odds, to try and remove the block, while holding true to the desire or spirit that tries to return the animal to freedom. Alternatively, the limitation felt may turn desire into a restricted stream of passion that accepts that there must be fewer outlets (Belk et al., 2003), to become an emotion that must be hidden or careful. But more often, weaker emotions with reduced spirit and respect must be used, such as hate, jealousy and contempt (Brewer, 1999; Rozin et al., 1999; Harmon-Jones et al., 2009). Fear may not be able to escape block so turn into a more pervasive dread (Berns et al., 2006). The caged emotion must be more devious and concealed (hate, deception), focused (passion), illusory (belief), change the environment of block using opinion, or submit to being overpowered (inaction, cowering). Inaction can hide from the overwhelming block, or become subservient. Caged emotions often fantasise and plot for opportunities in vengeance and cruelty, and are often risky, desperate and violent. Outlets that seek mental escape will be common (Sadava et al., 1978). Unlike desires and natural emotions, caged emotions are indirect. Therefore, they will often lack expressions or more obviously borrow from the range available in natural emotions.

Caged emotions should take longer to develop than natural emotions so occur more often in teens and adults than in children. The social emotions could also be placed within this category. A young child has no embarrassment or shame (Darwin, 1965), and self-conscious emotions begin to emerge during age 2-3 (Lewis, 2000; Davidson, 2006). By learning social expectations certain constraints or cages become reference points that we agree should be upheld. Some natural desires must be suppressed to meet social expectations and consensus. An element of phoniness or pretence must be introduced, and then, discovery and scrutiny of inadequacy in upholding these standards may lead to embarrassment, shame, lying and guilt. Self-conscious emotions tend not to have universally recognized facial expressions (Davidson, 2006).

Caged emotions should also be relatively rare in wild animals, though they might be more common in social animals or during captivity. Hate is probably rare or brief in wild animals as they can use other emotions to resolve the issue quickly or simply leave the difficult environment. What we interpret as cruelty sometimes occurs in the wild, but more accurately they are examples of hunting skills being honed (thereby reducing clumsiness during future predations) (Kitowski, 2005; Thornton & Raihani, 2010), rather than acts of vengeance or punishment for persistent unfairness (De Quervain et al., 2004; Singer et al., 2006). Similarly, aggression and violence causing unnecessary harm (as opposed to 'violence' caused by hunger) is rarer in the wild than supposed, and there are many postures and displays designed to reduce harm between species members (Lorenz, 1966). Anger can be distinguished from aggression/violence, as the former seeks compliance while the latter has given up on the block. It seeks harm (aggression) or serious harm (violence) (Anderson & Huesmann, 2003; Parrott &

Giancola, 2007). The natural usage of anger in a bonded setting is to teach or adjust rather than commit violence, and is initially applied as a positive emotion. Anger has been associated with prosocial actions that seek to raise moral codes or reduce unfair situations (Javela et al., 2008). The block (usually a naughty offspring or group member) is not to be killed or seriously harmed, but simply needs to be bought back into line. Reconciliation is possible afterwards (De Waal, 2000). In comparison, aggression and violence are born out of longer term unresolved frustrations (Harrington, 2006; Walker & Bright, 2009) that stimulate elimination.

Belief is another emotion arising in the cage or under adverse conditions. Beliefs can help us to cope emotionally with difficult conditions and stress (Sharp, 2010; Harris et al., 2013), find greater meaning or belonging (Freeman et al., 2002; Gebauer & Maio, 2012), meet desired outcomes rather than reality (Mele, 1998; Bastardi et al., 2011), and for narcissists it helps maintain a sense of superiority while reducing empathy for others (Crocker & Park, 2004; Judge et al., 2006; De Zavala et al., 2009; Cooper & Pullig, 2013). Belief is made possible by our ability to fabricate and imagine new 'realities' in the neocortex and enforce their compliance in the environment due to our technological advances, a feat not open to the wild animal that must deal with reality directly. Through belief, a person can redraw their circle of interaction and involvement to select for favourable portions that suit their belief or delusion (Sharp, 2010; Chadwick & Lowe, 1990; Eisen et al., 1998). There is no direct evolved expression for belief, although it can borrow from the expressions of hope and contentment. Similar to belief is opinion, ideas that are emotionally protected from objective judgement.

### **Attitudes, Incorporated Block**

As people experience complexities in our imperfect societies, certain realities about the intransigence and durability of a raft of blocks hit home. The continued use of natural and caged emotions can become mentally harmful and draining, which can be alleviated through the development of a range of attitudes. As used here, attitudes refer to settled methods for handling right or wrong, while personalities include attitudes but also other methods learnt since birth and womb when block was not necessarily being experienced. With attitudes, blocks and problems become accepted parts of the world. They become incorporated into our memories and neural pathways so that they no longer become novelties requiring attention and emotion. Williams (2007) provides a suitable example of the processes involved in response to continual ostracism, where the final response involves acceptance of social exclusion and learned alienation when an individual's resources for fighting the position become depleted. There are many other attitudes available so that one can become apathetic, conceited, prejudiced, jaundiced, or unhelpful.

Attitudes are different to emotions, being relatively enduring beliefs and predispositions (Scherer, 2005). However, attitudes may still be a derived form of emotion because they exist to handle block. The underlying problems have not gone away, and life does not feel as fulfilling as imagined possible.

## **MOODS**

An arrangement for moods has also been provided in Figure 2. They are listed in the background medium of the figure rather than on the branches themselves. Moods influence the consistency and fluidity of the neural substrate in the neocortex through which the tree of emotions must grow. They vary according to the type, balance and quantity of the various neurotransmitters that control the excitability of cortical neurons (Gu, 2002; Ruhé et al., 2007).

A pleasant feeling can produce a happy even excited mood, with a range such as serene, happy, buoyant, cheerful, excited, bubbly and elated. A positive mood will encourage neocortical usage, allowing desire or emotion to travel quickly along its pathways as more pleasure can be expected. An unpleasant feeling may inhibit usage of the neocortex through moods of sadness (sad, despondent, gloomy) that reduce the supply of desire into the neocortex while also making its pathways slower to transverse. If the problems continue, the mood may sink further into depression, which is probably the most disengaged mood experienced. Similarly, a neocortex that is regularly overwhelmed, surprised or uncertain can produce an anxious or stressed mood, one that anticipates surprises but does not know in what form. This mood can make a person more alert, fidgety, nervous, anxious, or listless.

The default mood for a wild animal is probably to have no mood other than its positive expectation for interaction, as being in mood suggests an unsettled state. During unsettling or unfulfilling times, the success or failure of emotions should generate moods that enhance or restrict the continuing usage of those emotions. When attitudes develop, results are more likely to follow expectations so the presence of blocks no longer produces extreme moods or feelings of discomfort, blocks are accepted. By coming to terms with events, homeostasis or a state of 'no mood' is likely to return.

### CONCLUSION

An interaction desire that judges the quality of the pathways organised in the neocortex according to parsimony is presented as a possible contender for the motivation behind emotions, attitudes, cognition and personalities. Unencumbered, the interaction desire can pursue calm curiosities and esoteric interests such as art, music and thinking. When restricted by block it can become emotional, with intensities and forms determined by perceptions and appraisals about the intransigence and properties of the blocks being faced. If overwhelmed the desire may convert into attitudes that accept or anticipate the restrictions. Resolving block should improve naturalness and freedom. If interactive quality can be sorted to the highest level, a constructive level of wildness should appear.

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## **Effect Model Inquiry Training on Student's Science Process Skill**

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### **Abstract**

The aims of this study to analyze the science process skills that students are taught by inquiry training model better than students who use conventional learning. The research method is a quasi-experimental design with non-equivalent pretest-posttest Groups Experimental Design. Experimental class with inquiry learning model training and control class with direct learning model of instruction. The instrument used was a test of skill for science process skills. Data was analyzed using one way ANOVA. The results showed that science process skills that students are taught by inquiry training model better than students who use conventional learning. Inquiry learning in the classroom with Inquiry Training which requires the active involvement of the students can improve learning achievement and attitudes of children to lessons, especially the ability of understanding and communication students. Learning process with Inquiry Training Model able to create the basics of scientific thinking on students, so in this learning process students are learning themselves, develop creativity in solving problems and improving science process skills. Students actually placed as the subject of learning, the role of teachers in teaching with inquiry training is as mentors and facilitators.

**Keywords:** inquiry training, science process skills

### **INTRODUCTION**

Education has a very important role in generating fully human resources both as individuals and as a society. In order to improve education in Indonesia learning activities at school is an activity that should be improved so as to achieve the goal of changing behaviors, knowledge, and skills in self-learners. Educators have an important role to improve the quality of the learning process of students. In conducting the study, teacher educators as well as mastering the material, of course, need to understand the model and choose the right model to deliver the subject matter and how the characteristics of learners who receive the subject matter. Heywood, D. & Parker, J. (2010) said the failure of educators to give lessons not only because of lack of mastering the material, but because of the use of learning and teaching methods are not appropriate. Therefore, one of the efforts that must be made to improve the student learning outcomes is through the use of learning and teaching methods appropriate to the subject matter being taught, so students can learn with a nice atmosphere.

In educational experiences, pedagogical elements also help the learners avoid developing superstitious behavior, such as believing they are influencing something by a particular action when they are really not (Aldrich, C., 2005). Educating is helping learners with full awareness, both with the tools or not, in their obligations to develop and grow yourself to improve as well their role as individuals, members of the community, and the people of God. Pidarta, M. (2007) is an effort to educate creates a situation in which students can learn and want to push yourself to develop your talents, and personal potential more optimally in a positive direction.

Teachers do not engage students so that students are less active. Learning often takes place in one direction and centered on teachers without involving students. Due to lack of active participation of students, the students feel less involved in education, not creative, and do not have the skills. Teachers also tend to teach students to memorize theories, laws, postulates, and formulas that accentuate the shape of the concept of mathematical equations that must be applied. As a result, students have difficulty in solving problems related to physics skills to the students was low. (Rauf, R. A. A., Rasul, M. S., Mansor, A. N., Othman, Z. & Lyndon, N., 2013) revealed science process skills need to be realized by teachers that it is important in the learning of science and it serve as a scaffold to other cognitive skills such as logical thinking, reasoning and problem solving skills.

Science process skills of students is low in the learning process of learning physics applied due to still use the lecture method is varied with informed discussion, in addition to the low level of ability of teachers are able to raise the motivation for the students to follow the learning process. Teachers lacking guide students to be able to formulate and discuss a question that could encourage the emergence of students' curiosity. Teachers tend to not provide encouragement that the students are able to think critically in porses learning, so that students do not have good science process skills. Science process skills of the students is very important because these skills make students able to work and ready to face all problems, especially problems in physics. Learning science brings a change in character and give the opportunity for more creative thinking and imagination of the students were able to compile (Kumari, U. N. & Rao, D. B. 2008).

Karamustafaoğlu, S. (2011) state that Science process skills are crucial for meaningful learning; Because the learning continues throughout life, and individuals need to find, interpret, and judge evidences under different conditions they encounter. Learning physics experiments using a modest course regardless of the performance of each student carefully to make the most students tend to play alone and less followed the experiment well, so there are still students are not monitored and inactive. Exclusion from the majority of students in learning makes students less in developing science process skills. It will be increasingly difficult for students when they are required to develop science process skills of students while they do not get used to train the skill to experiment or inquiry. Kazempour, E. (2013) stated will be a balance between content and education process if: the priority between content and education process is kept, both of them can be taught in the class even briefly. Based on consideration of these issues, efforts to improve the physical science process skills is by means creating a learning effective, efficient, and creative. Heywood, D. & Parker, J.(2010) stated the teacher not only requires the ability of science but also the ability to carry out the development of appropriate learning to support learning.

Based on the above, there are other things that are needed to make the students be more active, namely science process skills. Siddiqui, M. H. (2013) stated Inquiry Traringing model to

teach learners a process how to investigate and explain unusual phenomena. Upadhyaya, A. K. & Upadhyaya, A. K., (2015) revealed Inquiry Training Model is more effective than the Traditional Teaching Method in developing the Scientific Aptitude for the students of High & Low Intelligence. Base on this research Inquiry Training model can improve the science process skills of students in the class.

## METHOD

This research will be conducted in Class XI SMK in Medan. The research method is a quasi-experimental design with non-equivalent pretest-posttest Groups Experimental Design. Experimental class with inquiry learning model training and control class with direct learning model of instruction, such as research design in Table 1.

**Tabel 1. Research Design**

Sample	Pre-Test	Treatment	Post-Test
Experiment Class	P <sub>1</sub>	X <sub>1</sub>	P <sub>2</sub>
Control Class	P <sub>1</sub>	X <sub>2</sub>	P <sub>2</sub>

From McMillan Schumacher, 2001.

- P<sub>1</sub> = Pre-Test  
P<sub>2</sub> = Post-Test  
X<sub>1</sub> = treatment by *inquiry training model*  
X<sub>2</sub> = treatment by *conventional model*

The data obtained in this study is data on science process skills on the topic of electric current measured by testing the science process skills of each student. Data collector taken with the observation sheet and test data analysis one way Anova F test.

## RESULTS

Inquiry training has five phases. The first phase is the student's confrontation with the puzzling situation. Phases two and three are the data-gathering operations of verification and experimentation. In these two phases, students ask a series of questions to which the teacher replies yes or no and they conduct a series of experiments on the environment of the problem situation. In the fourth phase, students organize the information they obtained during the data gathering and try to explain the discrepancy. Finally, in phase five, students analyze the problem-solving strategies they used during the inquiry (Joyce, B & Weil, M. 2003).

Inquiry learning model application in the experimental class began to form a group of students into four groups with each group consisting of 7 students. Then the teacher gave a demonstration which makes students confused and interested about the dynamic electrical material. It aims to develop students' critical thinking skills by asking students about the fishing demonstrations by the teacher. A series of questions posed by students can only be addressed teachers with yes or no answer. By the questions they submit, then instructed to perform lab to test the hypothesis that they have made to develop students' science process skills.

Experiments conducted by the student aims to train students' science process skills. Students do experiments by following a student worksheet that has been given. After data collection and processing is completed, students are asked to verify the results of their experiments and make

a conclusion on each experiment they do. After each group presents the results of their discussion, the researchers then gave explanations and draw conclusions.

Test results of one-way ANOVA science process skills gained from the study are shown in Table 2.

**Tabel 2.Result of One way ANOVA students' science process skills ANOVA**

	Sum of Squares	Df	Mean Square	F	Sig.
Between Groups	1275,586	1	1275,586	19,598	,000
Within Groups	3644,828	56	65,086		
Total	4920,414	57			

Based on the table 2 can be seen there is an increase of skill the process of science the student with use the inquiry training model on class experiment there has been increasing in science process skills than student use a conventional learning model.

In the calculation results obtained output SPSS 22.0 statistical test result data science process skills of students using the inquiry training model and science process skills using conventional learning. To model gained significant learning of  $0.000 < 0.005$ , it can be said that the test results reject  $H_0$  or accept  $H_a$  in alpha level of 0.05. It can be concluded that the science process skills of students by inquiry training learning model is higher than on conventional learning. In other words, science process skills of students by inquiry training learning model is better than conventional learning.

## DISCUSSION

From the tabel 2 was shown the differences of science process skills by inquiry training learning model is higher than on conventional learning. Consistent with previous research, Pandey, A., Nanda, G. K. & Ranjan, V. (2011) revealed teaching of physical science through Inquiry Training Model is more effective than the teaching through the Conventional Method and Vaishnav, R.S. (2013) revealed a statistical significant effect of Inquiry Training Model over traditional teaching method on academic achievement of students. Akpullukcu, S. & Gunay, F. Yasemin. (2011) revealed the learning environment in which inquiry-based learning methods are applied in science and technology courses is an effective way of raising the academic success.

Schlenker (Joyce, B & Weil, M. 2003) said that the practice of research will improve understanding of science, productivity in creative thinking, and skills in obtaining and analyzing information. Then the students' science process skills can be improved with the Inquiry Training model.

Inquiry learning in the classroom with Inquiry Training which requires the active involvement of the students can improve learning achievement and attitudes of children to lessons, especially the ability of understanding and communication students. Learning process with Inquiry Training Model able to create the basics of scientific thinking on students, so in this

learning process students are learning themselves, develop creativity in solving problems and improving science process skills. Students actually placed as the subject of learning, the role of teachers in teaching with inquiry training is as mentors and facilitators. Based on the research results and the discussion can be concluded student's science process skills using inquiry learning model training is better than conventional learning model. It proved by results of testing that given to the students in inquiry training model are better than students in conventional learning model.

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## Raising EFL Learners' Metacognitive Awareness in a Writing Class by Using Analytic Writing Rubric

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### Abstract

This study aims to find if applying Analytic Writing Rubric is effective in improving EFL learners' writing skill. Both quantitative analysis and qualitative analysis are employed in this study. The analytic writing rubric which includes content, coherence, cohesion, grammar, vocabulary, and mechanics, is applied to help students monitor their own learning. The result of one-way analysis of variance (ANOVA) shows that there is a significant difference between the Experimental Group and the Control Group. The students in the experimental group are trained to monitor their writing by using analytic writing rubric, while students in the control group are not. The result shows that applying Analytic Writing Rubric is effective in enhancing EFL learners' metacognitive awareness, and hence, improves their writing skill. Analytic writing rubric is, in essence, a simple and clear criterion for students to monitor their own learning. Thus, it is encouraging to find that EFL learners can benefit a great deal by using Analytic writing rubric to improve their writing skill.

**Keywords:** EFL learners, analytic writing rubric, metacognitive awareness, ANOVA

### INTRODUCTION

Among the four language skills, writing has been widely perceived as the most challenging skill to master. An abundance of studies have shown that raising learners' metacognitive awareness assists in mastering their writing skill (e.g. Gerring, 1990; Joe & You, 2001; Kasper, 1997; Victori, 1999; You, 2002; You & Joe, 1999, 2000, 2001, 2002, 2003; Lu, 2006; Xu & Tang, 2007). Analytic scoring is based on an in-depth analysis of aspects of writing such as focus/organization, elaboration/support/style, grammar usage, and mechanics. To some extent, analytic scoring is one method that can help learners monitor their own writing process. Therefore, finding out whether applying analytic scoring in a writing class is useful in raising learners' metacognitive awareness and hence, enhancing EFL learners' writing skill is worth exploring.

### REVIEW OF THE RELATED LITERATURE

An abundance of studies have demonstrated that possessing a strong cognitive knowledge base plays an important role in successful learning (e.g. Baker & Brown, 1984; Devine, 1993; Flavell, 1979; Kasper, 1997; Vandergrift, 2002; Xu & Tang, 2007). Metacognition refers to knowing of one's awareness, monitoring, and regulation about one's cognitive activities in the process of performing a task (Baker & Brown, 1984; Flavell, 1979, 1985; Gorgey, 2001). Many studies have been carried out to examine the function of meta-cognitive knowledge in ESL/EFL learners' performance of receptive English skills such as reading and listening (e.g. Baker & Brown, 1984; Devine, 1993; Yang & Zhang, 2002); however, relatively few studies have been conducted to investigate the role of meta-cognitive knowledge in EFL learners' performance of productive English skills, particularly writing (Devine, 1993). A pioneer study on ESL writing in this vein is Devine, Railey, & Boshoff (1993), while in EFL context, You & Joe (1999) were

among the few pioneers to investigate the relationship between English writing and meta-cognitive knowledge base. In 2001, You & Joe examined how skilled writers employ meta-cognitive strategies by means of introspective interview. In the investigation, they discussed five types of declarative knowledge and the procedural knowledge for planning and revising based on the analysis of interview transcriptions. You & Joe (2002) also examined the problem of lacking coherence in EFL learners' writing within the framework of meta-cognition. The results revealed that there were three reasons contributing to the problem of incoherence: 1. The participants did not possess sufficient conditional knowledge; hence they failed to apply the appropriate writing strategies; 2. The participants possess very few internalized skills; 3. The participants had difficulties regulate their writing process. In 2003, You & Joe provided instructional guidelines and strategies for Taiwanese EFL writing instructors. The guidelines include three components: explicit instruction, scaffolded instruction, and an academic school year's training.

Under the influence of cognitivism, education witnessed a marked emphasis on experiential learning (Gold et al. 2012) and problem solving (Mohanty, 2007). There has been a move toward process-oriented theories of writing which is, as Hairston (1982) claims, a paradigm shift in composition theory. In the new perspective, writing is viewed as a process of creation of meaning in which the writer gets involved in the recursive process of preparing the draft, revising and checking (Majid, 2015).

## METHODOLOGY

### Participants and Context of the Study

The study was conducted in the fall of 2015 at a technological university in southern Taiwan. There were fifty-six junior college students participating in this study. The fifty-six participants were randomly divided into two groups: Twenty-eight students with nineteen female and nine male students formed a control group, while the other twenty-eight students with fifteen female and thirteen male students formed an experimental group. This was an 18-week study with two class hours per week. Students in the control group received non-analytic-writing-rubric writing class training, where students' essays were graded by using holistic writing rubric, which was scaled ranging from 0 to 5, designed to grade students' writing as a whole; students in experimental group received analytic-writing-rubric writing class training, which meant students' writings were graded based on an Analytic Writing Rubric. The students in experimental group were aware that their essays would be graded on the basis of an Analytic Writing Rubric and they were given clear and detailed instruction of what their analytic writing rubric was comprised of.

### Instrumentation

Instruments employed in this study included a pretest (a 350-word paragraph), a posttest (a 350-word paragraph), and an Analytic Writing Rubric. The Analytic Writing Rubric was used as a criterion for grading the participants' writings of the Experimental Group. Participants' reflective journals were also used to administer the qualitative analysis. A reflective journal is a personal record of student's learning experiences. It is a space where a learner can record and reflect upon their observations and responses to situations, which can then be used to explore and analyze ways of thinking. A reflective journal is a means for learners to reflect on their learning and learning experiences in different ways. They are used to: 1. record the development of learners' ideas and insights and / or those of a group in a given context and can include concepts, ideas and main points from experience and theory; 2. reflect upon the subject content and personal experiences as a means to increase learners' understanding; and 3. analyze learning process for self development.

## Procedure

In the first two-hour class, both groups were asked to write a 350-word paragraph entitled “An Unforgettable Experience” as a pretest. Students in the experimental group were taught to understand the content of the Analytic Writing Rubric which was applied to assess their writings for the rest of the semester. The instructor made sure that the experimental group students were aware of each and every detail of the evaluation requirement of the Analytic Writing Rubric. Then, during the following sixteen weeks, aside from lecturing, students in both groups were required to submit the following four articles under the author’s guidance: a process paragraph, a narrative paragraph, a descriptive paragraph, and an opinion paragraph. The contents of the lecturer’s instructions for both groups were the same. The only difference between the two groups was the grading method. In the last two-hour class, both groups were asked to write another 350-word paragraph as a posttest. Both pretest and posttest were graded using non-Analytic-Writing-Rubric method, the holistic writing rubric.

## Analytic Writing Rubric

The Analytic Writing Rubric employed in this study is comprised of the following six categories: Content (main idea/ unity), Cohesion (logical organization/explicit transition signals), Coherence (adequate supporting ideas), Grammar, Vocabulary, and Mechanics (spelling and punctuations). Each of the categories of Content, Cohesion, Coherence, and Grammar accounts for 20 percent, while both of the categories of Vocabulary and Mechanics account for 10 percent, respectively. Each category is given a scale from 1 to 5 and each scale describes clearly what students should achieve to gain the points. For example, to attain the highest scale of 5 on the category of Content, students have to make sure the paragraph’s main idea directly addresses the topic and is stated clearly and succinctly. If the paragraph does not address the topic or lacks a main idea, then students can only gain the scale of 1.

## Data Collection

The pretest and posttest writings were both graded by the author. The results of the pretest indicate that the inter-rater reliability of both pretest ( $\alpha=.82$ ) and posttest ( $\alpha=.88$ ) is high. The average scores of pretest and posttest rated are calculated for the use of analyses. Besides, there is no significant difference on the pretest between the experimental and control groups. It implies that students’ English proficiency levels in both control group and experimental group, which are randomly divided, are quite similar. One-way ANOVAs are used in this study for quantitative analyses.

## Statistical Analysis

The one-way analysis of variance (ANOVA) is used to determine whether there are any significant differences between the means of two or more independent (unrelated) groups. ANOVA partitions the variability among all the values into one component that is due to variability among group means (due to the treatment) and another component that is due to variability within the groups (also called residual variation). Variability within groups (within the columns) is quantified as the sum of squares of the differences between each value and its group mean. This is the residual sum-of-squares. Variation among groups (due to treatment) is quantified as the sum of the squares of the differences between the group means and the grand mean (the mean of all values in all groups). Adjusted for the size of each group, this becomes the treatment sum-of-squares.

Each sum-of-squares is associated with a certain number of degrees of freedom (df, computed from number of subjects and number of groups), and the mean square (MS) is computed by

dividing the sum-of-squares by the appropriate number of degrees of freedom. These can be thought of as variances. The square root of the mean square residual can be thought of as the pooled standard deviation.

The F ratio is the ratio of two mean square values. If the null hypothesis is true, you expect F to have a value close to 1.0 most of the time. A large F ratio means that the variation among group means is more than you'd expect to see by chance. You'll see a large F ratio both when the null hypothesis is wrong (the data are not sampled from populations with the same mean) and when random sampling happened to end up with large values in some groups and small values in others (Zar, 2010).

## RESULTS

### Quantitative Analysis

Table 1 shows that the Experimental Group (M=4.18) demonstrates higher score on Posttest than that of the Control Group (Mean=3.88), while the pretest of Experimental Group (M=3.14) shows slightly lower score than that of the Control Group (M=3.28). This statistical analysis reveals that the Experimental Group students made progress after 18-week of training.

One-way ANOVA analysis of Table 2 shows a significant finding: the Experimental Group has significantly higher performance than the Control Group on paragraph writing,  $F(5,226) = 87.66, p < .001$ . This result corroborates the fact that using analytic writing rubric, which is metacognitive-based, is better than not using analytic writing rubric to enhance learners' writings.

### Qualitative Analysis

Students from both groups were required to keep a reflective journal. Reflective journals are used to explore situations from a personal perspective, but generally within the context of learning from students' own experiences. They are used to reflect on, in and for action. Journals collected from the Experimental Group showed that by applying Analytic Writing Rubric, many participants admitted that they were more aware of choosing vocabulary words and checking the use of punctuation. Besides, some participants would even try their best to write concise sentences in order to meet the requirements of succinctly addressing the main idea of the paragraph, which is normally neglected by students. Journals collected from the Control Group revealed that most students wrote essays as whatever they wanted to express without paying extra attention or raising any awareness. The journals revealed that they were aware of the differences among process paragraphs, narrative paragraphs, descriptive paragraphs, and opinion paragraphs, the four distinctive paragraphs taught in the classroom. Except for that, they did not pay extra attention to the correct usage of grammar or succinct conveyance of main ideas while they were writing.

**Table 1 Descriptive Statistics (Mean and Standard Deviation) of Writing Pretest and Posttest**

	Experimental (n=28)				Control (n=28)			
	Pre-test		Post-test		Pre-test		Post-test	
Test Item	M	SD	M	SD	M	SD	M	SD
Paragraph Writing	3.14	5.31	4.18	6.37	3.28	5.07	3.88	4.21

**Table 2 One-way ANOVA Analysis of Control and Experimental Groups' Posttest Comparison**

Test Item	SV	SS	Df	MS	F	
	Between	582.15	1	5226.45	87.66***	2>1
Paragraph	Within	1536.46	118	68.49		
Writing	Total	2118.61	119			

**\*p<.001                      2=experimental group   1=control group**

### DISCUSSION AND CONCLUSION

The results of Table 3 illustrate that students in the Experimental Group who received Analytic Writing Rubric training demonstrate significantly higher performance than the students in the Control Group. It shows that using Analytic Writing Rubric to guide students is quite effective in improving students' writing skill. The qualitative analysis obtained from students' reflective journals also show that students are aware of using correct words, phrases, and punctuation; they even try to check if they clearly express the main idea, which they seldom showed the awareness before.

This study shows that applying Analytic Writing Rubric is effective in enhancing EFL learners' metacognitive awareness, and hence, improves their writing skill. Writing has always been viewed as the most difficult language skill for EFL learners to master. Thus, it is very encouraging to find that making use of Analytic Writing Rubric is helpful in aiding EFL learners' writing skill. There are many ways to raise learners' metacognitive awareness in learning, but using an analytic rubric, in essence, is a simple and clear criterion for students to monitor their own learning.

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**APPENDICES**  
**Analytic Writing Rubric**

Score	
	<b>Content (main idea/unity)</b>
<b>5</b>	The paragraph's main idea directly addresses the topic and is stated clearly and succinctly.
<b>4</b>	The paragraph's main idea is related to the topic and is reasonably clear.
<b>3</b>	The paragraph indicates a main idea related to the topic, but in ways that could be clear and more explicit.
<b>2</b>	The paragraph's main idea is only marginally related to the topic or is difficult to identify.
<b>1</b>	The paragraph does not address the topic or lacks a main idea.
	<b>Cohesion (logical organization/explicit transition signals)</b>
<b>5</b>	The paragraph is logically organized, its coherence marked by explicit transitions.
<b>4</b>	The paragraph shows solid organization and use of coherence markers.
<b>3</b>	The paragraph's organization may lack logic or coherence because connectors and transition signals are not used consistently or effectively.
<b>2</b>	The paragraph does not have an obvious organizational structure; coherence is weak because connectors and transition signals are inappropriate or absent.
<b>1</b>	The text lacks organization and coherent.
	<b>Coherence (adequate supporting ideas)</b>

5	The paragraph contains specific supporting ideas, examples, and explanations explicitly connected to the main idea.
4	The paragraph contains at least two supporting ideas, examples, or explanations clearly related to the paragraph's main idea.
3	Supporting points may be underdeveloped due to a lack of specificity or examples. The paragraph may also lack an adequate number of supporting ideas.
2	Supporting points are inadequate in number and either unclear or irrelevant.
1	Attempts at supporting the main idea are ineffective due to inappropriateness or an absence of development; explicit coherence markers are altogether absent.
<b>Grammar</b>	
5	Grammatical errors are minor and infrequent.
4	There may be minor grammatical errors that do not interfere with the main idea.
3	The paragraph may contain major grammatical errors that compromise its comprehensibility.
2	Grammatical errors may be numerous and major, to the extent that the text cannot be easily read and understood.
1	Major grammatical errors abound, causing the reader major comprehension difficulties.
<b>Vocabulary</b>	

5	Choice of vocabulary is excellent.
4	Vocabulary use is above average.
3	Vocabulary use is average.
2	Vocabulary use is weak.
1	Vocabulary use is extremely weak.
<b>Mechanics (spelling + punctuations)</b>	
5	Spelling and punctuation are generally accurate.
4	Errors in spelling and punctuation occur but do not distract the reader.
3	Spelling and punctuation errors may distract the reader.
2	Errors in spelling and punctuation consistently distract the reader.
1	Spelling and punctuation errors are frequent and highly distracting.
<b>Total</b> content cohesion coherence grammar vocabulary mechanics	

## Change Management: A Golf Club's Struggle With Assimilation of Members Who "Don't Conform"

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### Abstract

Membership to private social and recreational clubs is taking root in Kenya, especially with the growing consumerism of an emerging middle class. Further, the number of women who are taking up club membership – either for leisure, sports or social interactions – is on the upward trend. Most membership clubs, especially golf clubs, have been primarily male-dominated, private, and with locked-in members. This research seeks to find out the effect of assimilating members who have hitherto not been able to access the services of these closed-in groups. The research employed an ethnographic approach in which the researchers interacted closely with other club members for a one-year period. During this time, the researchers observed the interactions among club members, held interviews with some of them, and examined archival data held at the club. Content analysis was used to analyze the large amount of data. Findings indicate that there are many benefits accruing to the club as a result of admitting new "different" members. These benefits include, but are not limited to, increased funding, more patronage, and expanded quality of league players. However, with the coming of this new category of members, problems arose in areas such as club norms, facilities, social change and the pain of sudden change for the established members. The researchers provide several recommendations that can hasten and ease the assimilation of members with diverse characteristics and preferences.

**Keywords:** Golf, Kenya, organizational reforms, change management, middle class, gender.

### INTRODUCTION

Private social and recreational clubs in Kenya and other parts of the world offer different membership formats and price structures. They are formally constituted and have their own facilities. They are limited to members for compatibility and congeniality (Somers Jr., 1994). People join these clubs for a variety of reasons. Bekkers (2005), for example, opines that people join groups to "find meaning in life, to express their social identity, to contribute to the wellbeing of others, and to improve their chances in the labor market." Some private clubs primarily sports activities. Some benefits of sports club membership include both physical and mental health. Premature death and such lifestyle diseases as colds, heart attack, stroke, cancer, depression, and suicidal tendencies are known to reduce substantially through social interactions that clubs offer (House, Landis & Umberson, 1988).

There are about 40 golf courses in Kenya, many of which started when the country was a British colony (Travel Weekly, 2006). These courses are primarily private country clubs, with locked-in members. The clubs are supported by their members through subscription fees and other spending. The quality of a club, and hence its standing in society, is a factor of the economic status and lifestyles of the club's members. To many members, the club is a "second home" because of the special social interaction involved with the leisure activity of golf and

other activities. This feeling has been built over time as most members join when they are relatively young.

Kenya has a wide range of social and recreation clubs that offer such sports as tennis, swimming, rugby, cricket and golf, as well as other activities. This research paper borrows extensively from various sports with particular interest in golf clubs.

### **History of Golf in Kenya**

Golf is a popular and fast-growing sport in the African continent. Kenya has seen an explosion of the sport's interest (Kenya Golf Marketing Alliance (2015) [www.golf-kenya.com](http://www.golf-kenya.com)) and is now a leading destination for golfers. The country has hosted several national and international competitions bringing with it profound exposure and international interest. The interest shown by sponsors and international organizations is testimony to the popularity and influence the sport has developed over time.

Golf has a long history in Kenya; the country's first golf course –The Nairobi Golf Club, now the Royal Golf Club – was opened in 1906, six years after the arrival of the East African Railway at the present city of Nairobi. At that time, the game of golf was dominated by the early European settlers who introduced a joining fee and a strict vetting procedure for prospective member ([http://visitkenya.com/3\\_0\\_22\\_1\\_Golf-in-Kenya-:-Best-Destination-Travel-Guide-by.html](http://visitkenya.com/3_0_22_1_Golf-in-Kenya-:-Best-Destination-Travel-Guide-by.html)). This essentially locked out most natives. The Meru (now defunct) and Nyeri Golf Clubs were opened in 1910 with Mombasa Golf Club opening shortly after in 1911 (Kenya Golf Marketing Alliance,[www.golf-kenya.com](http://www.golf-kenya.com)). The Kenya Golf Union (KGU) was set up in 1928 to promote the interests of the game in the colony and protectorate of Kenya, and to control the amateur golf championship of Kenya (Kenya Golf Union Constitution n.d). With the entry of ladies in the game in the 1930s, the Kenya Ladies Golf Union (KLGU) was established to take care of their interests.

In the succeeding years, golf has undergone rapid growth. Forty very attractive, challenging and alluring golf courses have been established across the country. Investors have established fully private clubs such as Windsor, The Great Rift Valley, Rea Vipingo, Thika Greens and Migaa. Today, the golf courses and clubs offer thousands of Kenyans leisure and fitness while also providing them an opportunity to socialize. In addition, the clubs offer employment to thousands of people not only in the recreational facilities, but also at the club restaurants and spas. It is the same trend with other countries; in the UK, for example, golf courses and the country clubs market consist of over 11,000 businesses, employing a third of a million individuals and generating \$23 billion in revenue (Willis, 2015).

The sheer size of a golf course (which may run to thousands of hectares) makes it costly to manage. Further, golf equipment is fairly expensive. These two factors, plus annual subscriptions and club membership fees for new entrants, have made golf a relatively expensive sport. Consequently, this has reinforced the perception that golf is an elitist and exclusive sport, a preserve of the "moneyed." This perception has discouraged a fairly large number of individuals from taking up the sport. The above reasons have led to various challenges that are found in many private clubs around the world.

### **Challenges Faced by Private Sports Clubs**

Despite the growth of golf in Kenya, and benefits clubs offer, there have been some challenges. For instance, when there is an economic downturn, leisure activities take a backseat as

people's priorities change. Willis (2015) notes that the changing socio-economic landscape in the UK, and the harsh economic times, have led to club member losses and reduced revenues. Further, although golf is popular and continues to generate significant interest, there has been an oversupply of golf courses without a commensurate growth in the number of golfers, leading to financial distress for some of the golf facilities. Therefore, clubs have resorted to such strategies as reducing their entry charges to attract more members, diversifying to other sports and activities, opening up their restaurants for meetings, wine tasting, and other activities. The new strategies have attracted the ever present and aggressive middle class; and, awakened the challenges of a patriarchal society as discussed in the following sections.

### **Emergence of a New Middle Class**

Kenya's middle class is driving growth in many sectors, including golf. This growing middle class, comprising mainly of Gen-Xers (people in their 40s and 50s) and the millennials (people in their 20s and 30s), is challenging the status quo by their lifestyles and capacity to spend. They have boosted Kenyans' purchasing power, giving rise to a thriving mall culture and booming housing market, and a double-digit boost in domestic tourism (African Development Bank (AfDB), 2015). Some of these self-made entrepreneurs and business people have revolutionized the cultures of the private clubs due to their departure from the "accepted" norms that are the hallmark of the older members. This new trend sometimes leaves the older members feeling disenchanting and alienated.

Middle class is a trend marked by changing lifestyles, greater spending power, more recreational time, the harnessing of technology and a new political assertiveness and cultural self-confidence (Grail Research, 2013). According to AfDB (2011), the African middle class is the fastest-growing segment in the world and is attributed to a reduction in income inequality, a robust and growing private sector, stable and secure employment, quality and accessible tertiary education and a well-developed infrastructure. In Kenya, the middle class – a product of over four decades of relatively decent education and healthcare – stands at 44% with 34% in the lower middle and 4% in the upper middle incomes. This bourgeois is mainly based in urban areas (Gettleman, 2008).

In 2008, according to Githongo, Africa's middle class were disillusioned because despite possessing a world-class education, technical skills and knowledge, most sectors of the economy were performing poorly, while the political class plundered the vast country's resources. Evidence shows that the growth of a middle class can be associated with a country's better governance, economic growth and poverty reduction given that people in this cohort are more likely to use their greater economic clout to demand more accountable governments (AfDB, 2011). This includes pressing for the rule of law, property rights and a higher quantity and quality of public services. The situation is similar in Mexico and Brazil, where Birdsall (2007) noted that an increase in the size and economic command of the middle class markedly improved macro policies, adherence to fiscal policies and reduction in poverty in the preceding decade.

### **Sexism in Golf**

In recent years, women in Kenya have been breaking the "glass ceiling" in many spheres of life. Changing economic, social and cultural demographics among women have helped break the invisible barrier to advancement based on attitudinal and structural bias, which means today, Kenyan women are leaders in many spheres. Coupled with more disposable income, a break in social inhibitions, and the hunger for assimilation, women have found comfort and pride in hitherto male dominated territories such as private member clubs.

Golf started as a gentleman's game. The trend continued in different parts of the world even as the game got introduced in Kenya during the early 1900s. In some clubs, ladies were not allowed to enter the Club House or even work there. Although the structural barriers to women's integration into traditionally male sports are disappearing, profound social and psychological barriers and constraints remain (McGinnis, McQuillan & Chapel, 2005). For instance, similar to many occupations, people often frame golf as masculine, making women golfers feel different or unexpected (Snyder, 1977). Similarly, the disproportionate number of men compared to women on the course exacerbates men's dominance and subtly encourages conscious and non-conscious sexism, social closure, tokenism in golf settings and stereotypes. These factors have some ramifications for women's participation and persistence in golf (McGinnis, McQuillan, & Chapple, 2005).

Sexism in Kenyan golf was hitherto a hushed subject until a major problem arose in Limuru County Club in 2013. The Club had amended the rules to read, "The Golf Committee being a male only affair, only full male members with valid handicaps, and who are fully paid up, will be allowed to participate in the meeting and the lady golfers will attend the meeting as guests." Aggrieved ladies instituted litigation and the judgment was made in their favor. The judge noted, "The amendment to the by-law passed by the Board Resolution of 18th December 2012 was not only discriminatory contrary to Article 27 but is also in violation of the right to freedom of expression protected under Article 33 of the Constitution of Kenya 2010." The judgment was a wake up call to not only Limuru club, but also to other clubs that gender-insensitive rules.

### **Theoretical Background for Change Management**

Jamali et al. (2006) opine that every type of modern organization has little choice but to adapt to the relentless pace of change otherwise it will face the risk of failure. Researchers have advanced different theories and structures for the change effort. These have been reviewed and used variously to advance and guide organizational change. In this section, a review of three change management theories that were deemed more relevant to this research has been made: Lewin's Field Theory and Group Dynamics, Kotter's 8-Step Process in 1996 and Bandura's (1977) social learning theory. The first two have been fundamental to planned change and most other recent theories have largely borrowed from them (Burnes, 2004; Schein, 2006; Hayes, 2010). In addition, since this research is about people changing internally, Bandura's (1977) social learning theory that identifies behavior modeling, as a prerequisite for change has been reviewed.

Lewin's Field Theory and Group Dynamics which was advanced in 1951 identified three phases that can be used to manage planned change:

First phase is Unfreezing – This is the phase in which a situation is prepared for change and felt needs for change are developed. It involves the deliberate altering of the status quo that supports existing behaviors and attitudes. Readiness for change is distinguished from resistance and is described in terms of the organizational members' beliefs, attitudes, and intentions (Armenakis, et al., 1993). Readiness would require deliberating on the threats that change is likely to bring as well as motivating people to accept that change is inevitable, thus helping attain the natural state of equilibrium (Armstrong, 2009), and minimizing resistance. This phase also involves developing a compelling message on the need for change, while challenging beliefs, values, attitudes and behaviors that are most difficult and stressful.

Second phase is Changing – This is the phase in which something new takes place in the system and change is actually implemented. It involves developing responses based on new information gathered to steer the change process (Armstrong, 2009). People move from cynicism and resistance to change to a place they can believe in, and support, the change effort. However change needs to be introduced gradually as some people will be genuinely hurt by it. Other people may resent the change as it disrupts the status quo. This phase requires superior communication, negotiation and persuasive skills to have the desired effect.

Third phase is Refreezing – This is the phase of stabilizing change and creating conditions for its long-term continuity. It involves solidifying the change by introducing new responses to those involved in the change effort. This stage requires organizations to internalize and institutionalize the new direction, while some cultures and Behaviors have to be remodeled to accommodate change. Organizations need to celebrate any major and minor successes that they achieve to help people find closure and to help them understand the benefits accruing from the change effort.

The second theory is the Social Learning Theory was advanced by Bandura in 1977. According to Bandura, people's actions are influenced by their own choices, environmental influences, and the relative importance attached to the choices, abilities and consequences.

This theory brings out three implications for managers. First, there is a link between a particular behavior, outcome expectations, environmental and personal factors. Environmental factors include situational influences and the environment in which behavior is expressed (Bandura, 1986). Second, the more an outcome is deemed desirable the more likely that one's behavior will lead to it. Third, the more a person believes that they have the ability to achieve the desired behavior, the more likely they will try it (Armstrong, 2009). Managers therefore need to create an environment within which a change is expected, communicate the value of the change process, and train and develop people so that they can believe that they are capable of achieving the change.

The third theory, The Transformation Programme, was advanced by Kotter in 1996. This theory specifies an 8-step process that improves the ability to change and could therefore help organizations increase their chances of success while avoiding failure (Armstrong, 2009). The eight steps required to transform an organization are:

1. Establishing a sense of urgency through identifying risk and opportunities.
2. Forming a powerful guiding coalition by identifying change leaders and encouraging teamwork.
3. Creating a vision to guide and direct the change effort.
4. Communicating the vision to guide the establishment and practicing new behaviors.
5. Empowering others to act on the vision through identifying obstacles and encouraging risk-taking.
6. Planning for and creating short-term wins through addressing performance management, improvements and reward systems.
7. Consolidating improvements and producing still more change through increasing surveillance on change activities and systems.
8. Institutionalizing new approaches through aligning new behaviors with the overall business strategy.

Kotter's transformation model emphasizes the need to engage with people emotionally because unless people themselves change, changes made in the organizational environment do not persist.

### **Criticism of planned change**

Burnes (2004) criticizes Lewin's theory of change in four areas: (1) his view of stability and change in organizations was at best no longer applicable and at worst 'wildly in-appropriate' (2) his approach to change is only suitable for isolated and incremental change situations; (3) he ignored power and politics; and (4) he adopted a top-down, management-driven approach to change (p. 996).

Other scholars have supported the Lewin theory. Schein (1996) studied the theory and said that "I have reflected only on some aspects of Lewin's theory, but even those few aspects have deeply enriched our understanding of how change happens and what role change agents can and must play if they are to be successful" (p. 71). In addition, Burnes (2004) opines that the change theory recognizes that: (i) change is not constant and group dynamics is a fact of life; (ii) change is a slow process involving groups with the aim of achieving behavioral and cultural change; (iii) one of the strengths is that "they identify the forces within and between groups and show how individuals behave in response to these" (p. 996); and (iv) the charge that he saw change as being management driven or top-down is difficult to sustain since he sympathized with those that were discriminated against and the disadvantaged to the extent that national and local government, religious and racial groups, and employers and unions sought his consultancy.

Kotter's change management model has also received considerable criticism. For instance, Bucciarelli (2015) noted that the model does not take into enough consideration the need for analysis before the creation of the "urgency" for change. This is an important step as the need for change cannot be easily seen by success or failures without the underlying factors being monitored. In addition, the author noted that the model lays a lot of focus on leadership as the most important aspect of the change process without considering other aspects like economics, sources of finance, political forces, the oppositions and the other restraining factors to change. Other observed flaws are that the model is too linear and prescriptive; the hierarchy of steps means that once started it is difficult to change or go back; it does not encourage participation; and it may lead to conflict and dissatisfaction on the employees.

This research paper is about change in the social economic facets of Kenya. It opines that societal conflicts usually arise from resistance to change, brought about by the view that change destabilizes the status quo. Burnes (2004, p. 979) observes that, "For most of his life, Lewin's main preoccupation was the resolution of social conflict and, in particular, the problems of minority or disadvantaged groups." This paper aligns with this position as the Lewin's theory has strong facets that can guide a change process successfully: the creation of strong vision and mission statements for change management, clear leadership, motivation for all those involved, focusing on the people and their behavior, creation of a working environment, having a clear reward system and institutionalizing change. In addition, as Bandura opines, behavior modeling is a necessary activity that assists the change effort. On the other hand this research also borrows from Kotter's eight step of change management.

The following variables were therefore found to be sufficient for data collection analysis and interpretation: establishing relationships, resistance to change, communicating change, behavior modeling, change implementation, solidifying change and, risk management. These

aspects have been used to discuss and advance recommendations for the change effort at the institution under study.

### **PROBLEM STATEMENT**

It is often said that the only constant in life is change. Even though most things have changed so much over the years – fashion, technology, preferences, among others – the golf has remained the trusty constant; a place where “things have always been done this way.” At the same time, golf clubs have been experiencing financial distress as a result of low demand for new members and non-payment of subscriptions by existing members. To remain viable ventures, how then can golf clubs attract the well-heeled Gen-Xers and the millennials without alienating the still hugely influential older members?

This research was triggered by a series of events starting with the researchers joining a golf club during a membership recruitment drive. The researchers' experiences upon joining the club provided an opportunity to document the events taking place and then subjecting them to rigorous scientific tests to make interpretations based on the emerging cultural anthropology. In addition, the research bug set in when the hiatus of research on private member clubs, in particular golf clubs became evident. For instance, this research has relied heavily on websites and pamphlets for literature review due to the lack of scientific evidence on the subject under study, more so scientific literature on the Kenyan context.

### **Justification For the Research**

Organizations all over the world face myriad and potential challenges and implications arising from emerging technology, globalization, changing social and political climates, competition, shifting economic conditions, swings in consumer preferences and demand for better performance and standards (Hughes, Ginnet & Curphy 2012). Change can also be brought about by internal factors that arise when change in one part of the system creates the need for change in another part of the system. Equally, change can be brought by the need for an organization to respond to one or more external forces. Furthermore, Joshi, Denker, Franz, and Martocchio (2010) state that to manage change successfully, organizational leaders would need to proactively minimize any resistive aspects of inter-generational interactions—mostly through incentivizing appropriate collaborative efforts between generations.

This research paper examines a rapid organizational change and people's response to it. In particular, the paper focuses on the existing norms and standards in private member clubs. Findings of this research will be useful to membership organizations that are going through or intend to change. Management of membership clubs will find this research useful as they continuously deal with new and existing members. Prospective investors in the business of golf and other sports will benefit from the findings and recommendations.

### **METHODOLOGY**

This paper employed qualitative methods with an ethnographic approach. Hallet and Barber (2014) view ethnographers as mainly being concerned with how individuals and groups live out life in social spaces, and they challenge ethnographers to go further and consider how digital spaces inform the study of physical communities and social interactions. On his part, Falzon (2012) explains that ethnography is a multifaceted methodological choice that allows the researcher to achieve an engaged, contextually rich and nuanced type of qualitative social research where fine grained daily interactions, socialization, observation and interviews constitute an essential part of data.

The researchers joined the Club under study during a recruitment drive in June 2014. The aim of the drive was to incorporate new members as the Club was undergoing transition from a 9-hole course to an 18-hole one and therefore required additional funding. The researchers interacted with the members, the board of directors, visitors as well as the workers to gain a better understanding of the club's day-to-day processes.

The choice for the research method was informed by the fact that it allowed the researchers to collect data in a realistic setting in which people behaved naturally and felt less intruded. The fact that Club members knew the researchers made data collection easy and adventurous since the research could be carried out in any area of the club such as in the golf course, at the bar counter, in the dining room, changing rooms, and even in the gymnasium. However, where possible the researchers made use of a notepad and/or audio recorders to preserve the conversations.

This research employed three main methods of data collection. First was observation. Behaviors, interactions, and non-verbal cues were noted and recorded. In ethnography, observation is important because ethnographers observe and participate in the lives of those under study to elucidate predictable patterns and discern activities and interrelationships in the population (Angrosino, 2007). Secondly, formal and informal interviews were conducted; the researchers interacted with different members of the club through directed conversations and discussions to gather intended data. Thirdly, archival records such as minutes of meetings, records of different activities and the Club website were analyzed for information gathering.

Snagasubana (2009) notes that ethnography research usually involves "a full immersion of the researcher in the day-to-day lives or culture of those under study." He adds that collection of data is best done over an extended length of time through multiple ways for triangulation, resulting in a process that was inductive, holistic and involving. Conclusions and interpretations that are formed can be probed and feedback from those who are under study, making the research extremely rich and discourse very engaging. This research was personalized since the researchers were both observers and participants in the lives of those under study.

In analysing ethnographic data, it is sometimes difficult to make a clear delineation between data gathering and analysis because some preliminary analysis and interpretation occurs during data gathering (for example, making sense of and recording observations), and sometimes analysis reveals the need to double-check and seek more data. Ghauri and Gronhaug (2010) observe that in qualitative research "Data collection and analysis are often conducted together in an interactive way where collected data are analyzed, initiating new questions, and initiating further data collection." In this research, it was observed that the feedback received during the interviews determined the categorization of data, which formed part of the analysis.

Ethnographic research is best analyzed through content analysis as the data is fragmented and diverse. To deal with this massive amount of data, content analysis was applied to seek structures and consistencies in the data collected (Myers, 2009). Roper and Shapira (2000) suggest the following strategies for ethnographic analysis: First, coding for descriptive labels – this involves identifying codes and meaningful categories, placing the data into the correct codes, and then organizing to compare, contrast and identify patterns. This reduces and manages the massive data collected during ethnography. Second, sorting for patterns – in this

step, the researcher develops themes from the codes and makes sense of possible connections between the information. Third, identifying outliers – this stage identifies data that may not be useful to the research and provides the basis for the decision on whether they can be kept, or reorganized to make sense. Fourth, generalizing constructs and theories – here data collected is collated with theories and existing frameworks to make sense of the collected data. Fifth, memoing with reflective remarks – memos are written and insights or ideas that one has about information, and which may require further clarification or testing, are collected.

This research collected a large amount of data that described the way people reacted, behaved and also the conversations that were held with the participants. A total of 198 members were approached to take part in the research. Out of these, 22 members did not want to take part while 18 did not complete the interview process. Through both formal and informal interviews, data was collected from 158 respondents and their contribution used to make conclusions for this research. In addition, the Club Manager, Club Chairman and three members of the golf administration took part. Below is a table showing the respondents demography.

**Table 1: Respondents**

Gender	Age (years)				Total
	25-35	36-45	46-55	Over 55	
Male	9	38	34	28	109
Female	4	16	18	11	49
Total	13	54	52	39	158

The numbers in the table above is a reflection of the demography of the club, where men are the majority and the younger people are fewer than the older ones Interviews conducted from the 158 members, the observations made and perusal of archival records produced a large amount of data. Johnston (2010) observes that triangulation of data generates large amounts of data from several sources, making analysis and organization of the data critical. The large amounts of data collected posed a great challenge in its analysis and interpretation, a fact that was also observed by (Roper & Shapira, 2000). It was therefore necessary to reduce and edit the data through coding so as to make it more manageable and meaningful. Codes function as a shorthand strategy to distinguish, label, compile and consolidate data to make it easy to manage information for the purpose of interpretation. In this study, the variables identified through literature review were used as codes to analyze the large amount of data collected. These were: establishing relationships, resistance to change, behavior modeling, change implementation, communicating the change, solidifying change, and risk management.

## FINDINGS

This study was done as the researchers interacted with veteran or newly recruited golf club members. The club in question has been in existence since 1923. The Clubhouse is a hallmark of British architecture, design and commonality. As it is with most golf courses in Kenya, the Club was founded as a recreation facility for workers at the institution where it is located. It started off as a 9-hole course, but five years ago it was elevated to an 18-hole course. Currently, the Club is registered as a society with diverse membership that includes people from all professions including politicians, government officials, and business. Findings for this research were derived from extensive interviews mostly conducted among members and the Club administrators in informal settings. In addition, the researchers perused documents held by the Club and also observed the general settings, interactions and the behavior of the Club community, which included members, workers and visitors.

According to one director, the recruitment drive was occasioned by challenges that the Club was facing which included cash flow, a situation arising from poor patronage and the ageing membership. This position was exacerbated by an addition of 9 golf holes, meaning more funds were needed for water and maintain the new 18-hole course. The cost of utilities were rising and the membership, as constituted then, could not sustain this, hence the need to generate additional revenue. Indeed one member commented that the senior corner could not sustain the Club because the members “only take one glass of wine or a cup of tea and a bun.”

Secondly, to grow the Club, there would be need to develop infrastructure and diversified sports activities. The recruitment drive would hence offer much needed cash injection and opportunities for increased sponsorship of events.

Thirdly, the dilapidated Clubhouse, constructed during the colonial era and with very little renovations over the preceding years, required a facelift.

Fourthly, ageing membership – prior to the recruitment drive, the median age was about 54 years. This in itself brought issues of patronage, succession planning and golf competitions. According to one senior member, golf clubs have been associated with the elite and most members tried to guard that position jealously. Thus, joining a club depended more on parentage and social status than on other considerations. In addition, most clubs had “cartels” of old, wealthy members who had gone to school together and lived in the leafy suburbs. Their children went to the same elite schools. This situation acted as a disincentive to prospective members who wanted to join the Club. Another problem was that the members’ children, having been educated abroad, preferred new savvy entertainment (not golf) clubs for their leisure. Furthermore, the older members demanded to get “life membership” meaning that they would be exempt from paying annual subscriptions.

Fifthly, gender imbalance: for a long time golf clubs were exclusively “men only.” During the colonial times, there would be a sign at the entrance stating, “women, children and dogs, not allowed.” Although this is no longer the practice, the number of women patrons is still low. Indeed, most of the lady members and golfers only have supplementary membership through their spouses. It was, therefore prudent to reduce the entry fees for ladies in order to close the yawning gender gap.

Sixth, paucity of ideas – a club whose composition of members does not change soon becomes dormant and may not be able to have any meaningful change. Prior to the recruitment drive, the board of directors had observed that during annual general meetings, there were hardly any new ideas suggested. Further, new opinions would be vehemently opposed, necessitating the need for a different calibre of members with a different paradigm.

Data collected for this study is from the Club recruitment drive held in May 2014 where the fees for joining were reduced by almost fifty percent. The target members were categorised according to their ages and gender. The younger members paid less and women were admitted at a discounted fee, as shown in Table 2 below.

**Table 2: Fees for joining the Club in May 2014**

Gender	Age			
	25-35	36-45	46-60	Over 60
Male	150	200	250	300
Female	100	130	150	200

As can be observed, if an applicant was young, say, between ages 25 to 35 and a woman, then they paid the lowest amount, while older applicants were made to pay more.

The recruitment drive resulted in an additional 153 members of diverse ages and gender. Below are two tables showing the composition of club members before and after the recruitment drive.

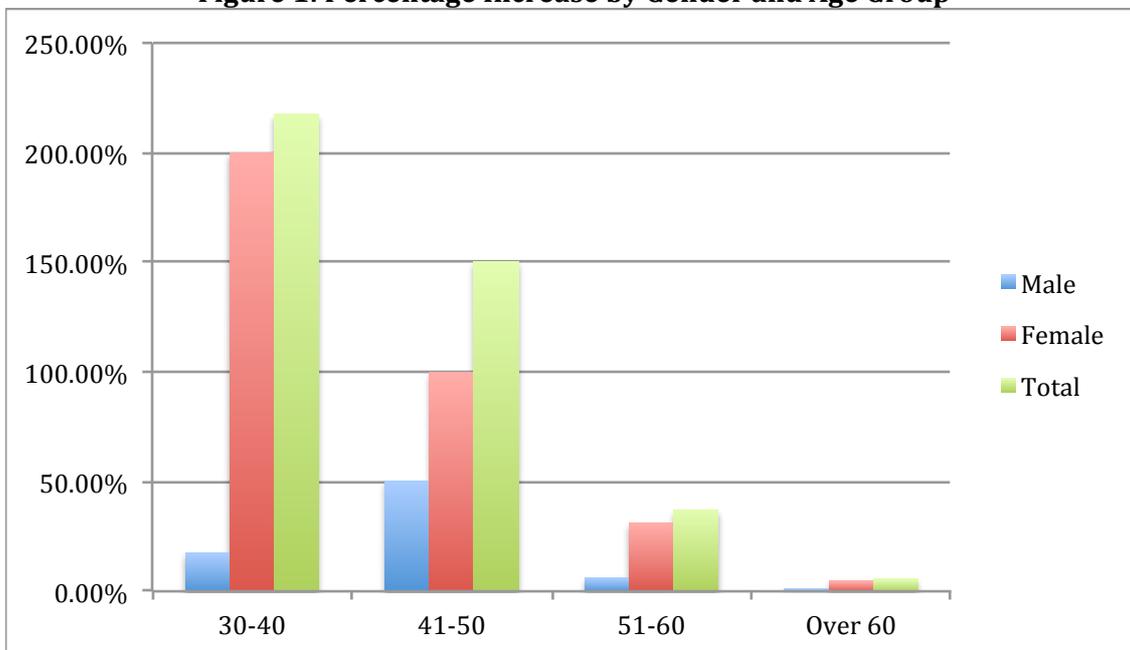
**Table 3: Composition of Members Before the Recruitment Drive**

Gender	Age (years)				Total
	30-40	41-50	51-60	Over 60	
Male	63	105	210	219	597
Female	6	41	58	47	152
Total	69	146	268	266	749

**Table 4: Composition of Members After Recruitment Drive**

Gender	Age				Total
	25-35	36-45	46-60	Over 60	
Male	74	158	223	221	676
Female	18	83	76	49	226
Total	92	239	299	270	902

**Figure 1: Percentage Increase by Gender and Age Group**



As can be observed from Tables 3-5 and Figure 1, the recruitment drive achieved the duo purposes of raising the number of lady members and also attracting younger members. The median age shifted from about 54 years to around 49 years. The ratio of female to male

members also changed from 1:4 to 1:3. Of the ladies who joined, 17.2% were in the ages between 30-40 years while 50.5% were in the ages 41-50 years.

The increase in different cohorts presents interesting data. The overall increase in membership was 20.4%. New male members increased by 13.2% while new female members increased by 48.7%, pushing the male to female ratio from 1:4 to 1:3. Out of the 153 new members, the largest growth was in the 41-45 year bracket where male membership grew by 50.5% and female members more than doubled with a growth of 102.4%. In the 30-40 year bracket however, female membership grew by a significant 200%.

The cohort with the highest increase in membership was ages 41-50 (63.7%) while the cohort with the lowest increase was that of over 60 years, increasing by only 1.5%. There was a substantial increase in the 31-40 years cohort (33.3%). A possible explanation for this phenomenon is that those in the 41-50 age bracket are at a more stable stage in their lives and can therefore afford to pursue this hobby that “should be followed with a single mind” (Robinson, 1897). Those younger than 35 years are still going through career turbulence and may not perceive club membership as a priority. Those between 46-60 years and have an interest in joining clubs have already done so, unless they want to join a second or a third club. This is corroborated by an AfDB (2011) report that notes that Africa’s middle class, aged between 35-50 years, is characterized by stable and secure employment, among other attributes.

The profiles of the new members effectively changed the Club’s demographics. Most of the new members included the emerging middle class – a young dynamic population – and a significant number of women. As one older member quipped, “the ladies in this club are no longer our laid back wives but a new crop of independent and moneyed lot that wants their special space.” This group of new members brought with them new behaviors and ways of thinking, requiring a paradigm shift in the way the Club conducted its business.

### INTERPRETATION

The effects of the recruitment drive are clearly discernible from the transformation of Club composition, patronage, and improved facilities. In addition, collected data from members’ responses was interpreted using the variables identified through empirical and theoretical literature review. These areas are: establishing relationships, resistance to change, behavior modeling, change implementation, communicating the change, solidifying change and, risk management

#### **Building Relationships**

Interviews with the members revealed that the Club experienced new vibrancy and patronage has continued to be on the rise. Unlike other golf clubs in Kenya, it is possible to find over 100 members at the Club long after 10 p.m. During sponsored events, the Club engages a disc jockey. This has become a significant highlight for the members who often dance till the wee hours.

Building relationships between the newly recruited members and the older members was however not as smooth as it was envisaged to be. Some older members felt invaded by the “loud, testosterone-laden and poorly dressed” newly recruited members. Newly recruited members indicated that they too felt that the older members were not ready for the transformation that was taking place.

### **Resistance to change**

The older members expressed displeasure at "being pushed to the periphery." They felt that their needs were not being met as had always been the case and further that the level of service had gone down. Most of these people are retired and had established the Club as a second home. Furthermore, the Clubhouse became too small for the bigger number of members, giving rise to the need for new and more apt space.

Management of change should take into account factors that lead to resistance of change. Such issues include poor communication, lack of support, implicit or explicit fear, threat to economic or social security, uncertainty, self-interest, low tolerance to change, lack of clarity, and the perception of losing out. Torrington, Hall, and Taylor (2005) noted that veterans are bound to be loyal to their peers and the establishment while the Gen-Xers strongly resist any tight control systems and set procedures. Change needs to be introduced gradually as some people will be genuinely hurt by it while others will be disrupted. This phase requires superior communication, negotiation and persuasive skills to have the desired effect (Lewin, 1951).

### **Behavior modeling**

This involves showing people how to do something and guiding them through the process of imitating the modeled behavior (Bandura, 1967). Interviews from members of the Club brought out to fore how some members blatantly ignore norms, to the chagrin of the other members. Increased numbers have also had an impact on the members of staff because too many members seek individualized attention and when it does not come fast enough, they become aggressive and rude.

Older members felt that new members should be thoroughly inducted to the Club rules and etiquette in order to preserve the dignity associated with such an establishment. Although some new members were not too enthusiastic about adapting to a new set of behavior, most were however happy to habituate to the new environment. Thus it was suggested that specific and functional New Member Orientation Programme be introduced so that incoming members get to understand their expectations and responsibilities. Further, vetting of new members need to be guided by specific criteria that takes into account wider considerations than just the motivation to generate more revenues.

Some respondents were of the opinion that the Club rules and code of conduct should always be enforced to ensure comfort of members and their guests. While this is practiced to some extent, consistency is however needed. In addition, training, development and coaching is necessary to align the new members with new knowledge and skills (Nadler, 1998).

### **Change implementation**

In this stage, all the planned activities were put in practice to effect the necessary change. This resulted in a number of positive outcomes; First is the stabilisation of cash flow, as evidenced by the club accounts. The new, mostly younger members, cough up more on food and drinks and they invite their friends thus spending more time patronising the club. However, a department like the cash bar did not post any profits despite a significant increase in sales. Second, recruitment of members injected fresh capital that was used to renovate the Clubhouse, expand the changing rooms, build a sauna, and equip a gym. Today the Clubhouse is one of the most beautiful in the country. Third is that golf, special and annual general meetings have become more interesting and resourceful with big attendance. Fourth, with the increase in new, younger and diverse members, the Club has been able to recruit more competitive league players. This has greatly improved the quality of competitive play as evidenced by the

results of various tournaments. Fifth, the Club has achieved diversity in membership, with the younger members transforming it to a more lively and interesting place.

To achieve desired change, strong, sustainable and transformational leadership is required to guide the change process. Transformational leaders motivate followers to go beyond normal expectations by pushing people out of their comfort zone (Raineri, 2011). They achieve this by modeling the way, challenging established processes, enabling and empowering others, inspiring a shared vision and encouraging their followers. This involves recruiting or developing people to champion the change process, and constructing an acceptable reward system for those who succeed. Notwithstanding, the choice for change champions must take into account their temperaments, traits and emotional stability.

### **Communicating change**

Some respondents, especially non-golfers, expressed disappointment with the channels and level of communicating such major change. According to the respondents, most announcements about change were made during golf tournaments prize giving, by when most of the older members would have left. Furthermore, non-golfers would not be at the prize giving anyway. In addition, some respondents indicated that they were yet to embrace technology, hence they did not check their emails regularly. On probing the disenfranchisement of older and non-golfing members, the club administrators confirmed that most communication is done through emails, text messages and posts on the Club's Facebook page.

The involvement and participation of everyone in an organization is necessary. People are more likely to support, commit to, and own something they have helped create. Thus management must do all it can to explain why change is essential and how it will affect everyone. Further, an environment that allows for self-expression would help the change to thrive.

In a world of global competition, technological innovation, turbulence, discontinuity, change is inevitable (Quinn, 1980). Employees are ultimately responsible for executing change initiatives. Change, therefore, succeeds or fails depending on employee behavior (Armenakis and Bedeian, 1999). Hence, leading employees to support the change process is essential for the success of the change initiative. Effective communication of hard evidence and data to support the need for change is therefore critically important and will most likely lead to successful change.

### **Risk management**

A number of respondents felt that the Clubhouse had become too loud in the evenings, unsettling some members who join with the hope of enjoying some peace and quiet. Furthermore, discos and other forms of entertainment, introduced by the new and younger members, only added to the woes of the older members. Some new members face a different kind of challenge: difficulties in integrating and not finding camaraderie among existing cliques.

Another challenge is that of security. With the surge in numbers, the reception staff could no longer distinguish between the new members and non-members. Visitors and non-members would therefore gain entry to the club without the requisite permission.

Change must take into account existing cultures and organizational structures that can either derail the change process or allow it to grow. People who have shown leadership potential will most certainly welcome the challenges and opportunities that change provides. Failure is part of the change process and should be embraced and seen as a learning experience. In addition as Kotter (1996) suggested, change should be seen as a continuous process and organizations must plan for that change.

### **Solidifying change**

The Club in this study, cognizant of the needs brought about by a diverse group of new members identified specific areas that needed improvement. One, it was necessary to build a sports bar to accommodate members whose interest lies in television sports, thus freeing the main Club bar to members who find television intrusive. Two, most new members have young families. The Club therefore plans to build a swimming pool and develop a children's playground. Three, the Club has started organizing golf induction lessons on every Club Night to sensitize new members with golf etiquette and rules. Fourth, junior golf was introduced and the Club has since signed in one of the most promising young players in Kenya.

Performance-based rewards recognize employees for accomplishing specific tasks, for exceeding annual performance, or other indicators of organizational performance (McShane, Olekalns and Travaglione, 2010). An appraisal system that gauges performance on the Club's transformative programme would encourage and motivate employees, especially in light of the monumental changes accruing from increased membership. Leaders ought to ensure that rewards are linked to work performance, and further that rewards are aligned to performance within the employee's control (McShane, Olekalns and Travaglione, 2010).

It is important to celebrate milestones that may be achieved, to serve as motivation and synergistic impetus for success (Armstrong, 2009). The Club, with its 18-hole manicured lawns and impeccable greens, should carry out more aggressive campaigns to encourage golf tourism. In addition to added revenue, golf tourism would enhance sponsorship deals. A club with a good reputation can attract and host national and international tournaments, elevating its standing amongst peers.

## **RECOMMENDATIONS**

This research paper has adopted an ethnographic approach. The writers experienced, first-hand, a phenomena that unfolded over a period of one year when a golf club was undergoing transformation. The following recommendations are therefore a collection of the Club members' opinions and the writers' views in light of compelling research findings. In addition, the recommendations are guided by theoretical frameworks on change management as reviewed earlier in this paper. Raineri, (2011) observes that change management strategies include diverse organizational interventions that must correlate with internal and external events. The recommendations are therefore based factors both within and without the organization, but which influence the change process.

Effective change processes, structure and systems ease people's change in behavior, attitudes and corporate culture. Structured change yields better results than if the change was ad hoc and un-anticipated. It is recommended that the Club management consciously plans and applies strategic actions to achieve desired objectives and move the Club towards a clearly defined direction (Tiffany, 1994).

The club under study has significant untapped potential in the form of encyclopedic data lying within the senior members. A new programme, for example a Reminiscence Day, would offer a platform for the sharing of ideas.

Every effort should be made to protect the interests of those affected by change. For instance, to address the concerns of senior members, there is need to engage them and find out what their specific interests are. Would they, for example, be interested in games such as bowling and chess?

The club membership comprises some of the most successful people in such areas as business, academia, and public service. This pool of resources should be utilized for community partnerships. Like most golf clubs in Kenya, the Club neighbors a slum. This is where most caddies live. The Club could start an initiative to uplift the living standards of the less endowed members of the surrounding communities.

Kotter (1996) emphasizes how vital it is for organizations to embed the change process into the organization's strategic objectives and to make continuous efforts to ensure that the change is maintained. In addition, Raineri (2011) observed that failure in the first stages of the change process (i.e. developing a new vision) is likely to derail later stages i.e. communication of change plan, implementing the plan and evaluation of the process). Implementing change is a demanding task and managers should spend a great deal of time planning so that they can be fully in charge, oversee the change process better, and be able to control outcomes more effectively (DiBella, 1992).

### **Limitations of the research**

Bryman (2012) describes delimitations as the restrictions or bounds that researchers impose, prior to the inception of a study, to narrow its scope. This research is limited to members of only one golf club in Kenya. Although literature suggests that other clubs have similar issues, generalization should be done with care. Further, despite the recommendations sufficing to other sports, this research is restricted to the game of golf. Other researchers could, therefore carry out more comprehensive research on other sports and a larger population of study.

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## **Factors Affecting Career Success of Employees in the Insurance Sector of Pakistan**

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### **Abstract**

**Present article focuses on the key factors having influence on career success of employees in the insurance sector of Pakistan. We proposed an evolving process of career success and career commitment of working employees of insurance sector of Pakistan. It is found that career development practices like promotional opportunity, rewards, job security and training play vital role to build career commitment and career success of working employees of insurance sector.**

**Keywords:** Career commitment, Career success, Promotional Opportunity, Job security, Reward, Training and Self-Efficacy.

### **INTRODUCTION**

A firm has been found very easy to measure the gains and losses of the firm through multiple financial tools but it rarely seen or discussed that what organization is doing for its employees or not by with the organization or with their career ( [1], [2], [3]). In the 21st century, career success is treated as the fundamental thought of human resource management in this competitive business world [4].

Human resource are the real asset of any company because it is they who bring about the heights of success and failure of company [5]. The employee is the organization' success and failure depends upon the passion, commitment, love to work to their career, employee is key factor in the career success and career commitment.

According to ( [6]) in the last 10 years 90 studies have been in the US, Germany, France, Switzerland, Japan and particularly European countries on productivity measurement of insurance sector but not on the individuals (employees) of the companies. Insurance sector is considered to be the long term business in European countries. According to ( [7], [8]) in European countries, there is significant, positive and strong relationship between insurance sector and economic growth. Internationally insurance sector is contributing almost 30 percent annually. It also shows the relationship between insurance companies and economic development that how insurance sector of world is growing too fast as compared to under developing countries like Pakistan. In developing countries that are 80 percent population of world, still remain low in generating the insurance premium [9].

Insurance industry is relatively a small sector in Pakistan. In spite of the fact that the insurance sector had been established since in inception of Pakistan, yet still it is a neglected sector in Pakistan [10]. Pakistan's insurance sector is using the conventional and long-established approaches, while developed countries are enjoying the benefits from insurance system [11]

There are almost 35 insurance companies working in Pakistan and there are only 8933 employees working in all over the Pakistan. Among these 35 companies, 29 of them are non-life insurance companies while 6 are life insurance companies [12].

It has been reported that there is huge number of unemployed people in Pakistan and yet the insurance sector has not been able to attract the attention of that huge number of unemployed personal. Quite a reasons can be posed for this poor performance of insurance sector and some of them are people are not inclined towards insurance sector because of having no education, religious factor that insurance is considered prohibited, less understanding and lack of trust on the insurance personnel's and companies ( [13], [14]).

Because of this opposite nature of the public and private sector, the career orientations and the attachment with the career of the employees is markedly different and almost opposite by all means [15]. The thinking, mindset, behavior and energy associated to the work changes drastically when they are in private sector and they have to toil hard for the success in their career. These views and values lead toward career success.

The employees' career improvement becomes a cause of improvement in the working of the employees also, and this helps not only the company but also in the development of professional career [16]. According to [17] the employees of the insurance companies need to be motivated incessantly to achieve higher levels of outcome that are needed not only for the insurance company, but also for the career of the employee. The emphasis is given regarding performance and productivity that career success and performance are closely interlinked and depend upon each other [18].

By providing the facilities and opportunities to employee to grow and develop in insurance sector will enhance and create a positive relationship between employee development and insurance sector development [19]. The importance that is given to career and success varies from person to person.

Career success deals with the proportional value of work and career within an individual's whole life. One of the major factors that play its role in making career successful is the culture and culture is a blend of different attributes which may be values, beliefs and norms and it is shared among the individuals.

A question of career success, career commitment or career opportunities is answerless without the mutual interaction between employees and organization [20]. Employees want to find a path and explore career in insurance sector. Job security rewards, training and development programs can manage the employee's career and it ensures the success factor in career [21]. Promotional opportunity and reward system are the indicator of career success. According to [22], employee's career development factors are the assets of the organizations and these factors which are promotional opportunities, rewards, job security and training are considered to be the foundation of employee's career success. Supporting career developments needs will ensure career success in any organization but particularly in insurance sector [23].

The hard working, loyal and sincere employees can be easily guaranteed and anticipate for their job security, training, promotion, rewards, higher wages, career success and development and hence have no issues of being driven away by the employer [24]. When employee and employer will think in same direction, the goals will become easier to be achieved [16].

It is important to recognize the causes of insurance sector that why it is still stays on its sluggish pace of growth. For under developing countries such as Pakistan only minor cluster of studies examined the profitability of insurance companies but no one discussed that why people are reluctant to join insurance companies as a career because people join it as a part time not professionally [25].

This research study suggests that organizational and legislative rewards, opportunities for career development, managerial support, and promotion are important and key career development practices that are always necessary and also expresses the fundamental organizational thinking in having long term relationship for benefit of the employment. This study is going to focus on the point that career development practices (CDP) are going to play a huge part in improving employee career commitment and they will feel satisfied with their work and they will no longer look away to search for more attractive and appealing career and because this will suffice for them for the rest of their life and they would feel satisfied and contented.

The study is significant from both the aspects, practically as well theoretically and will focus on both simultaneously. As regards its significance in theoretical sense, it is going to add more literature to the employee career success and career development matters by providing empirical evidence in relation to link between career development practices, career success and career commitment.

In this research, the variables used are promotional opportunity, rewards, job security, training as independent variables and called it career development practices. Career commitment and self-efficacy are also used as independent variables while career success as dependent variable. Career development approach has been defined as the way for individuals to become empowered and ensure individual responsibility for managing their own careers.

### **LITERATURE REVIEW**

In the existing literature, most of the studies focused on job-related factors such as job security, career views, fairness and work issues ( [22], [26], [27]) as predictors influencing employee career satisfaction. In the context to Pakistan, studies conducted on insurance sector but, specially none of these studies focused on career commitment and career success.

Insurance sector is one of the highly neglected sectors as compared to the other sectors of the Pakistan [28]. Insurance sector will not accomplish fast economic and social development unless the employees have required skills, attitude and goals to join it as career [29]. In Pakistan the insurance sector has not been able to meet the standards and goals because it is also challenged by a number of dares, one of which is the employees and lack of skills and poor salary. This has prohibited the growth of Pakistan insurance industry. Insurance companies retain employees. Employees that have high levels of job fulfilment are more committed to their careers , through training and development and job security [30]. The skills development, training and career development opportunities are interrelated factors [31]. On the other hand, [14] strongly recommended that study should be conducted on employees career success in insurance companies in Pakistan.

In attempt to explain this situation many researchers ( [32], [33], [34] among many others) confirms that the career commitment will affect the organizational performance. However, lower level of career commitment will affect the career success ( [35], [36]). There are few reasons such as,

- Low level promotional opportunities will effect career commitment.
- No reward system will also affect the career commitment.
- Job security also effect on the career success.
- No employee development like training also effects the career commitment and career success.

One of the latest study [31] recommended that insurance companies should design and implement career development programs such as training programs, promotion plans, rewards and job security for employees to be committed to their careers and get success into the insurance sector. On the other hand [37] stressed on the point that employee play key role in breaking or making of an organization. Both insurance and banking sector are considered as financial and service sectors but still insurance sector is the ignored by government, policies and religious views.

Few well known have been published on one of the objectives of this research is to examine the factor and their result of enhancing knowledge of career success. In controlling and enhancing the performance, debating on various success factors of career, career development practices are not only working but also developing as a key factor which is also providing the important inputs to making decisions on increasing salary, imparting training and giving promotions .

It is growing demand to understand what level of career success do the employees of insurance sector have or possess. There are many studies that basically focus on things like job satisfaction, development of career and so on but there is hardly any study that may focus on career success.

According to [38] are of the opinion that insurance industry of Pakistan is neglected if we compare it other regional upcoming economies but at the same time it definitely has vast potential in it to grow into a huge and big industry. Growth in real premium in 2010 was 11% in emerging economies, world average was 2.7 % while in Pakistan it had been 2.6% [12]. So the real aim and purpose of this study is to assess the impact of CDP on the success of career and the commitment with the career of the employees.

It has been found that negative thinking of service industry especially of insurance employment works as sabotage, subvert the career commitment in these sectors was the major findings of many studies of individual's career thinking and work attitude [30]. As regards Pakistan, the insurance industry has never been able to find dedicated and well educated professional because insurance sector and insurance related jobs are not considered a good career.

### **Success**

Success has been defined as a function of past accomplishments and self-development.

### **Career Success**

This term career success basically is the combination of two words, career that means course of action and success thereby means achieving the intended goals and ambitions. The career

success is distinguished as being composed of “inherent and external” factors that are based on the works which shows person’s career practices as optimistic outcome [39].

Career success, the definition of career success spins together the principal themes of job, work, time and hierarchical structure, reflecting an individual’s occupation, which connote to an individual’s career success in his or her life [15].

### **Concept of Career Commitment**

The term career commitment has been important due to its strong connection with work and individuals [40]. Career commitment has been defined as a participant’s inclination to sustain a relationship, further feeling psychologically connected to it and described by the personal career development, attachment and involvement to those goals. The attitude of individual towards his profession and career involves the development of personal goals and an identification and participation in defined goals, such that one is willing to employ effort in support of their career.

The career commitment is based on the career development of personal career goals that are set by the individual and his involvement in achieving those goals [41]. Career commitment is recognized as commitment to work that individuals have on a career surface.

### **Relationship between Career Commitment and Career Success**

The relationship between career commitment and career success has received significant attention in different studies. The results of research suggest that career success has a bearing on career commitment. Most of the research that has been conducted on career success examines the process of growing in one's career commitment e.g., career self-management [42]. Career success summarizes that need satisfaction at a number of levels suggesting that career development would be positively related to effective career commitment and it will lead to greater success. Those employees whose career success goals are difficult to achieve will automatically have lower career commitment. So it can easily be said that career success is positively associated with persistence career commitment. A relationship leads to the employee feeling greater compatibility with the organization leading to higher commitment to their career that ultimately brings career success. Individual's career commitment had always a closer relationship with career success.

### **Promotional Opportunities**

Therefore, promotion is defined and explained as any increase in hierarchical level in organization and job responsibilities or job scope in an individual’s career as a success indicator because it is the ultimate goal for which an individual strives for during his career [43]. Promotion most of the times means and indicates an upward movement in an organizational hierarchy and it is perceived as a sign of success in career of the individual. In simple words the number of promotions an individual receives can be viewed and regarded as a standard of his or her effectiveness.

### **Relationship between Promotional Opportunities and Career Commitment**

The levels of career commitment of an individual can be observed by the promotions that he or she receives as an employee or by the opportunities that are offered to him or her during the whole career. Career development opportunity, promotion equity, training and opportunity for promotion have independently been shown to affect employees' commitment to their careers and the success that he or she has attained.

### **Relationship between Promotional Opportunities and Career Success**

According to [44] two points of contention over career success systems: the subjects of efficiency and exploitation. As far as efficiency is concerned, some researchers point to certain aspects of career success systems such as promotion ladders, internal training, employment security, and other practices that lead to the reliance on an internal service system like insurance sector and overall competitive financial and service market to conclude that career success which was the aim of the employee [45].

Normally when insurance sector comes to mind, it is considered and defined as the one that is not offering a career hierarchy and probabilities for promotion [46]. External success elements in terms of number of promotions and other career development practices lead towards career success which strengthens employee view of achievement and success using measures promotions and different promotional opportunities that are offered to him in this system [27].

### **Rewards**

Rewards always work as instigator to work harder than before to reach the top of the pyramid of success. Scholarly literature on rewards and career identifies two separate but interrelated reasons that why work or organization should include reward systems for employees. First, scholars are of the opinion that rewards can strengthen outcomes by motivating individuals to pursue challenging tasks or goals that they otherwise would be less interested in or attempt less diligently if the reward system is not there. Second, many scholars treat certain work rewards as providing a valuable form of performance as feedback. Overall, many scholars consider some reward mechanisms to be vital components to efficient working because the reward works as a catalyst.

### **Relationship between Rewards and Career Commitment**

The individuals who experience career by working on job that are related to their career goals, and allowing them to learn and grow professionally will have good level of career commitment. And same is true for those who perceive that the organization is willing to reward them for their efforts, will also have higher levels of career commitment.

Another thing that has been assumed by the literature is the basic psychological needs of the individuals that are fulfilled and intrinsically motivate to pursue activities that satisfy their basic psychological needs. Individuals are said to be naturally motivated to take up a task or activity when they find the activity itself to be pleasurable, encouraging and committed.

### **Relationship between Rewards and Career Success**

Career success is a positive outcome because of its association with increased career commitment and rewards that are offered by the insurance sector, as well as higher career recognition. Thus, the expansion to the definition of career success is to the attainment of high-status and prestigious rewards in career lead towards career success that is always desired and dreamed by the employees. While awarding reward satisfies psychological needs of the employee, the presence of rewards influences learning complex concepts. The people who have reward incentives in their work they performed better than the people that did not have reward incentives in their work. This is also one of the factors that play role in career success.

Employees are always willing to take both kinds of rewards i.e. financial as well as nonfinancial rewards. Some employees are interested in financial rewards and other are interested in nonfinancial rewards by cashing on any opportunity that arises in the form of an important

tasks and projects and want to get commitment and success in their careers [47]. By being rewarded like this the employees feel that they are being appreciated and given worth by the employers and also feel that the organization is seriously involved in employee's career success and development. So the rewards contribute to improve the development level of success factor of workers and entices them for doing more.

### **Job Security**

Job security has been perceived by theorist as a state of mind in which employee sees his long term job stability in future times and peaceful feelings that one can go on without the fear of losing the job. As regard the job security, this is of extreme importance for the employees in intuitive factor that are satisfaction and intentions to stay with a company on permanent basis [48].

This is very much close to human nature that job security is an important factor for employee career satisfaction and intentions to stay with an organization and boost organizational stability and continuance of ones job as one knows it for longer period of time. As regard the result of having sense of job security, it works as best catalyst that increases performance that ultimately leads to success.

Job security is defined as "to include those features of the job situation which lead to assurance for continued employment, either within the same company or within the same type of work or profession" [49].

### **Relationship between Job Security and Career Commitment**

It is very much clear that the fear of losing job or having a sense of insecurity about job is positively correlated and connected with career commitment and career success in dynamic work environments of today's world. [50] says that stress is created when people experience threat or actually lose their valuable resources. The things that we call resources are those objects (car, house), conditions (job security), personal characteristics, money, knowledge, favors owed that are given importance and highly valued by the individual or that serve as means of obtaining that which is valued by the individual and losing them can create stress in them by any means' [51].

### **Relationship between Job Security and Career Success**

Different conceptual outlooks on the importance and nature of job security have been described by [52]. One of such views is Herzberg's of job security as an "extrinsic hygiene factor" in the organization considered along with other factors such as salary and working circumstances as working elements. This view considers job security from both objective and subjective perspective that work as perceptual level tied to personal career needs, career satisfactions, career commitment and career success [53].

The elements including job security would positively influence to sense of career success in the minds of the employees [54]. It is obvious that job security is directly connected to career success [55]. Employees need mental satisfaction to perform better and to show their performances and the feeling of job security is one of such element that provides this satisfaction [56].

The theorists like ([57], [58]) are of the opinion that prescribed job security assurances are important to minimize the employee uncertainties that their involvement in the organizations and careers will lead to their own layoffs. Employees are connected to their work, tenure of

career success depicts that when success is achieved, they become physically and mentally more agile and emotionally more charged to their work [59]. When employees are committed to their organizations, they act and think totally for the success of the organization because ultimately it is their own success [60].

### **Training**

Training is the most important ingredient of success [61]. It has been supported by many theoretical and empirical studies that human asset is the most critical organizational asset because it provides the core element of sustainable competitive advantages more than anything else that was not thought so in the past [62]. So when employee is considered to be asset to the organization, his training is at the temperament of new management practice in any organization.

Outcomes of training might be beneficial for the jobs of the employees and also for career and personal development perspectives and this will also be beneficial for the organizations [63]. The expectations of employees from organizational training can be focused on job, determined career or that ultimately works for his personal success and development as well [64]. Career training benefits will likely assist him in the development of skills for a future job and pleasure of career success ([65], [66]). Employees' positive feelings in relation to participation in training should be beneficial to the individuals, their careers, job market and also for the organization or any combination of these ([67], [68]).

### **Relationship between Training and Career Commitment**

The participation of employees in different training and development activities in order to learn new job skills, extend existing skills, and grow their careers has always been considered vital [69]. It means that they must actively pursue training and development opportunities to be successful in their career. Since, training activities like on job training, providing guidance, coaching and counseling can contribute organization to generate a group of competent, motivated and dedicated employees that are able to boost and sustain career competencies in the insurance sector [70]. Therefore, training should always be planned to help employees keep putting up positive contributions in the form of good performance by gaining knowledge, skills and abilities which make them committed to their careers and finally lead to career success.

### **Relationship between Training and Career Success**

Appropriate training and training strategies will ensure and guide that it would be most effective in the attainment of career success and satisfaction [17]. Beyond providing traditional training and development activities, organizations will have to dedicate fewer resources to uplifting the careers of less successful employees also [71].

It is pointed out and recognized that training and development is an important ingredient in ensuring their longer-term career prospects and association with the organization ([61], [72]). It has been indicated by [73] that employees' sense of success is subjective by the observation that their organization is putting an effort for them to offer effective training programs that always casts positive effects on the employees of the organization. Training as a practice in the non-financial service organization have its effect on employees' career success ([74], [75]). Training to their employees is likely performed better than those organizations that do not follow these patterns.

### **Self Efficacy**

Many studies have been documented that self-efficacy influences the features of the goals that are chosen. Goals may thus be viewed as both causes and effects of self-efficacy. Similarly, self-efficacy beliefs are strong foreteller of salary, status [39], and work involvement. Research on the combined effects of goal importance and self-efficacy beliefs are more difficult to find. The concept of self-efficacy is, "one of the most theoretically and practically useful concepts that has been formulated in modern psychology". Self-efficacy indicates to a person's belief in his/her ability to successfully complete a behavior or set of behaviors. The relationship between career decision-making self-efficacy and career commitment may be found higher among women than in men [76]. Individuals who have high self-efficacy for a given task would set higher personal goals to achieve and "conceptualize success scenarios that provide positive guides for performance" of the task than those who have lower self-efficacy.

### **Self-Efficacy Beliefs**

Self-efficacy beliefs are measured as how certain you are that you will achieve the goal that you set for yourself or those one that are regarded as long-term career goal. To make higher scores reflect higher beliefs, this item was reverse-coded. The beliefs about their capabilities are the key factors that play their role in the life events. The excessive engagement in the sense of efforts put in and consistency exerted upon it basically decides that one is capable of achieving a task successfully. Self-efficacy is considered as an important forerunner to career self-management because people are likely to use career self-managing behavior to a greater extent when they feel competent to do so. Although self-efficacy beliefs can be regarded as personality characteristics, they normally indicate a specific, task-and-context, state-like construct.

## **UNDERPINNING THEORIES OF THE STUDY**

### **Social Cognitive Theory**

The concept of social cognitive theory was given by [77] which based on the characteristics of reasoning, behavior, personal and environmental factors. Social cognitive theory strengthens employee to get control on his life and manage its future directions. This theory strongly recommends and support for the development of people and also supports the organization as well.

Employee's belief called self-efficacy lead individual towards success in career in any field particularly in insurance sector which is the most neglected sector [61].

### **Social Cognitive Career Theory (SCCT)**

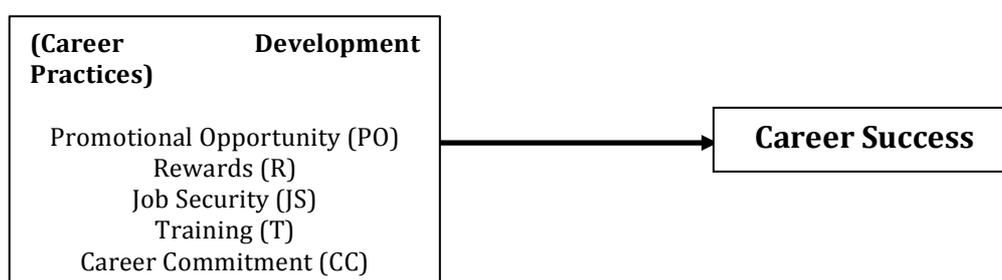
Social cognitive career theory represents a broad speculative structure for understanding career, career interest, career formation, career aspirations, career choice, career behaviours, career performance, career attainments and career commitment and career success of individuals working in any organization whether it is service or non-service organizations. This theory shows the relationship between the cognitive factors related to employee and career development. This theory shows the relations between person and its career factors. SCCT helps to develop interest in career, to make choices in the career, particularly in the neglected fields like insurance sector of Pakistan [78].

SCCT is used to explore the relationship between career development practices like promotion, job security and its impact on interest, commitment in career and success factors which are expected by the employees working in insurance sector of Pakistan. Skills and abilities that develop in employees by training enhance the belief of employee commitment to their career and increase the pleasure of success.

### THEORETICAL FRAMEWORK

From the literature review, the research framework and gaps identified in the previous studies in the line of social cognitive theory and social cognitive career theory is presented in Figure 1. This section outlines the relevant hypotheses concerning the relationship between career development practices such as (promotional opportunities, rewards, job security and training), career commitment and career success of employees working in insurance sector of Pakistan. Finally, the sections that follow are devoted to describe statistical techniques, measurement variables, research design, sampling procedure, questionnaire design and validation, data collection and data analysis procedures.

This research framework was designed to portray the variables integrated in this study trace their relationship to detect their influences on career success in insurance sector of Pakistan. This model shows the direct relationship between CDP (promotional opportunities, rewards, job security and training), career commitment and career success.



**Figure 3.1: Theoretical framework of employees Career Development Practices and Career Success**

Promotional opportunity and commitment have a positive and emotional relationship with employees, to work, committed to their career and stay in the organizations like insurance sector. In employee’s world, promotional opportunity is the real progress in the hierarchical frame to get promoted and feel successful in their career. This hierarchical structure creates the real career success by promotional opportunity in the insurance sector which is the developing and neglected service sector of Pakistan.

**Table 3.1: Summary of Measurement of the Variables Used in the Study**

VARIABLES	DEFINITIONS	SOURCES
Career Success	Career success is defined as the positive psychological and career related contributions or achievements of employees of insurance sector of Pakistan one as a result of their career experiences.	( [79], [80])
Career Commitment	The concept of career commitment defines that someone recognizes values and engage in same career of his or her profession. This refers to the current employees working in the insurance sector of Pakistan.	( [81], [32])
Promotional Opportunity	A promotional opportunity is defined as an arrangement structural position with a higher pay range and upper grade than is currently held by the employee of insurance sector.	( [82], [83])
Rewards	Rewards based on belief state on the salary scale and periodic or annual pay raises, benefits which include intrinsic and extrinsic elements of employees working in insurance sector.	( [84], [85])
Job Security	Job security as the perceived stability, continuance and security in the current job.	( [86], [87])
Training	Training creates an interface between employee and career commitment. employees working in the insurance sector of Pakistan need a planned action to bring about permanent changes in employee skills, attitudes, and behaviors”	( [88], [89])
Self Efficacy	Individuals' beliefs and a personal judgment to execute the course of actions successfully perform occupational tasks and get particular career success in insurance sector of Pakistan.	( [90], [91])

## Research Design

This study design is correlational in nature since the primary objective is to assess the degree of influence of above stated variables in the insurance service sector. Moreover, the present study is carried out cross-sectionally, where all study variables are measured at the same point of time.

## Unit of Analysis

The unit of analysis (to whom the data will be collected) of this study will be the individuals. The employees working in the insurance sector of Pakistan in Punjab, Sindh and Khyber Pakhtunkhwa (KPK), Pakistan will be selected through simple random sampling for data collection.

## Population and Sampling Procedure

The population for this study consists of all the employees in the insurance sector in Pakistan. According to the [12], there are nearly 9,000 employees in this sector. We propose to use simple random sampling for our study. For this purpose, the sampling frame will be consisted of all the employees of the insurance companies in Pakistan relevant companies. The employees working in the insurance sector of Punjab, Sindh, KPK Pakistan will be the target population for this study. While, Punjab, Sindh and KPK are selected as the population of this study. Pakistan has four provinces mentioned in the following details:

**Table 3.2: Details of Four provinces in Pakistan.**

Province	Percentage of Total Population in Pakistan	Capital City
Punjab	53.7	Lahore
KPK	12.9	Peshawar
Baluchistan	4.8	Quetta
Sindh	22.2	Karachi

**Sources: Ministry of economic affairs and statistics of Pakistan (2014).**

According to [12], the total number of insurance companies in Pakistan is 35 and out of them 29 is non-life insurance companies and 6 are life insurance companies.

## Data Collection Procedure

The data have been collected using self-administered questionnaires. The respondents have been selected by using stratified sampling as stated earlier. The questionnaires have been distributed among the randomly selected employees.

Six hundred and fifty (650) questionnaires were distributed across three provinces in Pakistan namely: Punjab, Sindh and Khyber Pakhtunkhwa (KPK). However, as mentioned in Table 4.1, a total of 386 questionnaires were finally retained for analysis from the total 650 that were collected back from the respondents which were working employees of insurance sector from three provinces of Pakistan. The returned and useable questionnaires are 374 from the final retained questionnaires. The retrieved questionnaires represents overall 59.38% response rate. The usable response rate is 57.54%. Out of 650 questionnaires, 350 were distributed in Punjab, 200 in Sindh and 100 in KPK. The retained questionnaires were 182, 143 and 61 from Punjab, Sindh and KPK provinces. From the three provinces, the usable questionnaires from Punjab were 179, 138 from Sindh and 57 from KPK. The response rate was 59.38%, therefore, efforts were made to increase the response rate by reminding respondents through phone calls, SMS and personal visits. Demographic characteristics of the data were obtained through

descriptive statistics in order to explain the composition of respondents who were the employees of insurance sector.

### Measurement Variables

For the present study, the variables to be measured are Career Success, Career Commitment, Promotional Opportunity, Rewards, Job Security, Training and Self-Efficacy. In the current study, a distinction is made between intrinsic and extrinsic career success. Intrinsic career success can be compared with subjective career success and is based on the person's own appreciation of his or her career actualization. Extrinsic career success relates to external appreciation (salary and occupational status).

### Career Development Practices

Career Development Practices is focused upon classifying the need and exploring the level of career commitment of employees and its relationship with the career success of an insurance sector. It is a step by step process of career development towards career success. To measure the career development practices and its impact on career, a total of 47 items were used, which were adopted from ([92], [93], [94], among many others. A self-administered questionnaire, based of 5-point Likert scale that ranged from "1" as "strongly agree" to "5" as "strongly disagree" was employed to measure all items. Its score was compute to determine the level of career development practices.

### DATA ANALYSIS

In this Section, correlation and regression analysis are performed to check the impact of career development practices on career success. Independent sample t-test is conducted to get the differernce between early and late response. Similalry, response of managers and SMEs are also compared for variable of the study.

**Table 4.1: Response rate of the Questionnaire**

Response	Punjab	Sindh	KPK	Overall
No. of distributed questionnaire	350	200	100	650
Returned questionnaires	182	143	61	386
Returned and usable questionnaires	179	138	57	374
Returned and excluded questionnaires	3	5	4	12
Questionnaires not returned	168	57	39	264
Response rate (%)	52.00	71.50	61.00	59.38
Usable response rate	51.14	69.00	57.00	57.54

### Reliability Test

The internal consistency of each construct is measures from Cronbach's alpha realibility test. The reliability test using SPSS 22, In the table 4.2: showed that reliability from 0.71 to 0.94 all the latent variables except job security. This is in line with the criterion that a Cronbach's alpha coefficient of 0.60 is considered an average reliability, while a coefficient of 0.70 or higher indicates that the instrument has a high reliability standard.

**Table 4.2 Reliability Test**

Constructs	No. of Items	Cronbach's Alpha
Career success	5	0.792
Career commitment	6	0.706
Promotional opportunity	6	0.835
Rewards	7	0.788
Job security	5	0.599
Training	10	0.832
Self-efficacy	8	0.849
Overall	47	0.936

### Sample Characteristics

With all variables used in research, respondents were also asked to indicate the number of aspects related to job description, individual characteristics, education and gender of the employees working in the insurance sector of Pakistan. The following are the results of the features of the respondents.

Firstly, respondents were asked to indicate their job designation or status in the insurance company in which they are working as employee. Job designation and job position make it confirm that respondents are permanent employees of the firm. Respondents were asked to mention their job designation by writing the name of their position in the questionnaires. This option indicates that in the insurance sector of Pakistan, most of the employees are working as managers and sales & marketing executive's positions. In which most of the employees are working on sales & marketing executive positions.

The descriptive analysis revealed that 31.3% employees are working as managers in different insurance companies and 68.7% employees are working as sales & marketing executive in insurance sector of Pakistan. This analysis also indicates that most of the employees are related to sales and marketing job in the insurance sector. It also shows that it is the backbone of this service sector.

This descriptive analysis of respondent's demography also shows the ratio of males and females working in the insurance companies. Respondents were also asked to mention their gender in the questionnaires. This option indicates the working ratio of males and females in insurance sector of Pakistan. This analysis revealed that 81.3% males and only 18.7% females are working in the insurance sector of Pakistan.

In the primary data collection respondents were asked about their qualification in the questionnaires. This descriptive analysis revealed the education level of employees having different ratios. Only 3.5% of employees have completed matric or below in education, 9.6% have completed intermediate. 32.6% employees are graduate and 51.1% have completed their master level. This analysis also shows that 3.2% employees in insurance sector have completed higher education which is above than master level.

**Table 4.3 : Summary of Respondents' Demography**

Items	Frequency	Percentage
<b>Job Designation</b>		
Manager	117	31.3
SME	257	68.7
<b>Gender</b>		
Males	304	81.3
Females	70	18.7
<b>Education</b>		
Matric or below	13	3.5
Intermediate	36	9.6
Graduate	122	32.6
Master or above	191	51.1
Others	12	3.2

### Non-response Bias Test

The non-response bias problem occurs in surveys if the answers of respondents differ in meaningful ways from those respondents who did not answer. Non-response error refers to the inability to get required information from the respondents. Non-response error may arise

due to the difficulty in contacting the respondents or refusal from respondent to take part in the survey, are possible reasons for not responding.

The real problem of non-response errors is gained from responses to the questions, and the information provided by respondents being different from those respondent who refused to respond the question(s). Therefore, for non-response bias, results will not permit one to say how the total sample responded. Consequently, non-response bias affects the generalization of the sample to the population under study. Therefore, in a research related to survey such as this one, it is important to assess this type of error before performing the main analysis.

Firstly, in order to deal with the problem of non-response bias in this study, the sample size was increased to 50%, follow-up through phone calls, SMS and personal visits, while some gifts and consultation were also offered as motivation. In addition, despite the high response rate in this study, the potential difference between respondents who responded first and those who responded late were compared using the variables under this study. Therefore, test of response bias was performed by classifying the respondents into two different groups, based on early and late respondents.

Two-sample independent sample t-tests were then performed for all variables, including the dependent, independent, mediating and moderating variables to discover if there is any bias among these groups. Levene's test for equality of variance was conducted to know whether the variances among the early and late group respondents differ or not. Additionally, based on Levine's test, the two-tailed equality of means t-test was conducted to get the exact p-value associated with the hypotheses, to take into account about a decision on whether or not there is a significant difference between the two groups.

**Table 4.4: Group Descriptive Statistics for Early and Late Response**

Variables	Response	N	Mean	SD	SE	Skewness	Kurtosis
Career Success (CS)	Early	203	3.86	0.7468	0.052	-0.693	0.992
	Late	171	3.90	0.6444	0.049		
Career Commitment (CC)	Early	203	3.57	0.7027	0.049	-0.175	-0.227
	Late	171	3.62	0.6686	0.051		
Promotion Opportunity (PO)	Early	203	3.71	0.7823	0.055	-0.677	0.495
	Late	171	3.67	0.7938	0.061		
Reward (R)	Early	203	3.60	0.6876	0.048	-0.209	-0.295
	Late	171	3.62	0.7378	0.056		
Job Security (JS)	Early	203	4.01	0.5217	0.037	-0.178	-0.368
	Late	171	3.98	0.5450	0.042		
Training (T)	Early	203	3.85	0.6090	0.043	-0.152	0.042
	Late	171	3.84	0.6020	0.046		
Self-Efficacy (SE)	Early	203	4.10	0.5563	0.039	-0.557	0.713
	Late	171	4.16	0.5621	0.043		

Table 4.4 reveals that the group mean and standard deviation for early response and late response are not very different. The results are based on scores of career success (CS), career commitment (CC), promotional opportunity (PO), Reward (R), job security (JS), training (T) and self-efficacy (SE). When we see the results reported in Table 4.4 and 4.5, it is found that

there is no significant difference between the early response and late response for all the measures, stated above.

With respect to CS, the mean and standard deviation of early respondents (M=3.86, SD=0.74) reported no significant difference than the late respondents (M=3.90, SD=0.49). For CC, the mean and standard deviation of early respondents (M=3.57, SD=0.70) reported no significant difference than the late respondents (M=3.63, SD=0.67). For score of PO, the mean and standard deviation of early respondent (M=3.71, SD=0.78) reported no significant difference than the late respondents (M=3.67, SD=0.79). Furthermore, with respect to R, the mean and standard deviation of early respondent (M=3.6, SD=0.68) reported to significant difference than the late respondents (M=3.62, SD=0.74). The mean and standard deviation of early respondents with respect to JS (M=4.01, SD=0.52) reported to significant difference than the late respondents (M=3.98, SD=0.55). For score of T, the mean and standard deviation of early respondents (M=3.85, SD=0.61) reported no significant difference than the late respondents (M=3.84, SD=0.60), similarly, with respect to SE the mean and standard deviation of early respondent (M=4.10, SD=0.15) reported no significant difference than the late respondents (M=4.16, SD=0.56).

**Table 4.5: Two Sample Test (Levene's Test for Equality of Variances and t-test for Equality of Means)**

		Levene's Test for Equality of Variances		Two-sample t-test					
		F	p-value	t	df	p-value	Mean difference	SE	95%CI
CS	Equal variances assumed	3.781	0.053	0.520	372	0.603	-.037	.073	[-0.18, 0.10]
	Equal variances not assumed			0.527	371.778	0.599	-.037	.072	[-0.17, 0.10]
CC	Equal variances assumed	0.008	0.928	0.762	372	0.447	-.054	.071	[-0.19, 0.08]
	Equal variances not assumed			0.765	366.495	0.445	-.054	.071	[-0.19, 0.08]
PO	Equal variances assumed	0.099	0.753	-0.479	372	0.632	.039	.082	[-0.12, 0.19]
	Equal variances not assumed			-0.478	359.460	0.633	.039	.082	[-0.12, 0.20]
R	Equal variances assumed	0.898	0.344	0.268	372	0.789	-.019	.073	[-0.16, 0.13]
	Equal variances not assumed			0.266	351.426	0.790	-.019	.074	[-0.16, 0.13]
JS	Equal variances assumed	0.390	0.533	-0.541	372	0.589	.029	.055	[-0.07, 0.14]
	Equal variances not assumed			-0.539	355.503	0.590	.029	.055	[-0.08, 0.14]
T	Equal variances assumed	0.001	0.971	-0.095	372	0.925	.005	.063	[-0.12, 0.13]
	Equal variances not assumed			-0.095	362.639	0.925	.005	.063	[-0.12, 0.13]
SE	Equal variances assumed	0.100	0.751	1.053	372	0.293	-.061	.058	[-0.18, 0.05]
	Equal variances not assumed			1.052	360.014	0.294	-.061	.058	[-0.19, 0.05]

However, Levene's test of equality of variances indicates that the variances are not equal across the respondents of early and late group, the two-tailed test of equal variances not assumed is found to be non-significant (t=1.87, p<0.05). Therefore, the alternate hypothesis is rejected. Taking into account the results from independent two samples t-test, it can be established that there is no significant differences between the groups of early and the late respondents, therefore, there is no issue of non-response bias.

### Common Method Bias Test

Since the data on the exogenous and endogenous variables were gathered at the same time using the same instrument/questionnaire, common methods bias could distort the data collected. Therefore, considering the potential problem caused by common method bias in behavioral studies, current study conducted a test to confirm that there is no variance in observed scores and correlations among variables are not inflated because of the methods effect. Common method bias refers to the variance attributable solely to the procedure of measurement as compared to the actual variables the measures represent.

There are many controversies on the degree of seriousness of common method bias on data. It is therefore an important consideration in this study. There are several procedures and statistical techniques to deal with common method variance. These procedure and statistical techniques include wording questions in reverse, clarity of questions/ items, confidentiality of the respondents and statistical Harman's one-factor test. The un-rotated factor analysis with forty-seven items of all the variables under this study revealed that there is no single factor that account for more than 50% of the variance. The results from factor analysis produced 12 distinct factors and only 27.075% of the total variance was reported by a single factor, and indicate that the absence of common method bias in this study, while these 12 factors account for 62.693% of the variance.

### **Initial Data Examination, Screening and Preparation**

Screening, editing and preparation of initial data are considered as essential steps before any further multivariate analysis. Therefore data screening should be conducted to identify any potential violation about the basic assumptions related to the application of multivariate techniques. In addition, examination of data enables the researcher to gain a deeper understanding of the data collected. Therefore, missing data, outliers, normality and existence multicollinearity are checked and treated accordingly.

### **Analysis of Missing Data**

Considering the negative effects of missing data in the analysis, the researcher called for protective action at the data collection point in an attempt to reduce the occurrence of missing observations. Upon receipt of the completed questionnaires, the researcher ensured that all of the questions asked were answered appropriately. Attention of the respondents was drawn if any question(s) was/were ignored and they were asked to kindly complete filling the questionnaire correctly. The missing values in data should be replaced by mean value when there are less than 5% missing observation per item/question. In this study, missing value analysis indicated that none of the indicators had 5% of missing values; it ranged from 0.7% to 1.8%. Hence, missing values were replaced through SPSS v23 using mean replacement.

### **Analysis of Outliers**

An outlier is a data point that is far from observing other observations. Outliers may be due to some variation in the measurement of observation and can also perhaps indicate an experimental error. Outliers can occur in any random distribution, however often they indicate either of measurement error or that the population suffers hard-tail distribution. Investigating outliers is an important step because skipping initial examination of outliers in dataset can distort statistical tests if outlier is problematic. In particular, it distorts statistics and may lead to finding that do not generalize to certain samples except one with the same type of outliers.

In this study, Mahalanobis D2 measure was utilized to identify and deal with multivariate outliers. Additionally, treating multivariate outliers will take care of univariate outliers, however, treating univariate outliers will not necessarily take care of multivariate outliers. Hence, Mahalanobis D2 was computed using linear regression analysis in SPSS, followed by the calculation of the Chi-square value. Given that 47 items were used, 36 represent the degree of freedom in the Chi-square table with  $p < 0.001$ , so the critical value is 90.45. Therefore, any case with a Mahalanobis D2 value equal 90.45 or above is a multivariate outlier and should be removed. Hence, all the cases with a value of 90.45 or above were removed from further analysis.

### **Normality Test**

The normal distribution of the data was evaluated, after examination of outliers, because the normal distribution is considered as a key assumption for conducting statistical analysis and performing linear regression model.

Normality refers to the shape of the distribution of data for an individual metric variable and its correspondence to the normal distribution of the benchmark for statistical methods. To check the normality, i.e., assessing possible departure from normality and the shape of the distributions, Statistical Skewness and Kurtosis were applied to the variables of this study. The deviation/ departure from normality of Skewness and Kurtosis often do not make a substantive difference in the analysis when the sample size is more than 200.

The value of Skewness should be less than 2 and similarly value of Kurtosis should be less than 7. Similarly, the absolute value of Skewness greater than 3 and Kurtosis value greater than 10 may indicate a problem; and values above 20 may indicate a more serious problem. Based on these recommendation, the absolute values of the Skewness and Kurtosis of all the items in this study (see Table 4.4) are within the acceptable range of  $< 2$  and  $< 7$ , respectively.

### **Multicollinearity**

Multicollinearity refers to the degree of relationship between two or more explanatory variables, whereas the independent variables demonstrate little correlation with other independent variables. The problem of multicollinearity occurs when the independent variables becomes highly correlated with each other. Therefore, when two or more regressors/ variables are highly correlated with each other, then, it means these regressors contain redundant or unnecessary information. Therefore, not all of the variable are needed in the same analysis as they will increase the error term and will make regression coefficient non-significant with wider confidence interval. Further, the standard error of regression coefficients increases when multicollinearity (strength of relationship) between variables becomes high enough; so the statistical significance of these regression coefficients becomes less reliable. The most widely used statistical test for detection of multicollinearity is examination of Tolerance and Variance Inflation Factor (VIF) with the thresholds of more than 0.1 and less than 10 respectively. In this study, multicollinearity was tested first by examining correlation matrix among regressors and secondly, by Tolerance and VIF level for the regressors.

The correlation matrix of the regressors was examined to find out if there is any indication of high degree of correlations among these variables. Multicollinearity considered to exists when correlation among explanatory variables is 0.9 or higher. A correlation value above 0.7 can be considered as threshold for indication of multicollinearity among regressors. The result showed that none of these regressors is highly correlated with any other regressor. Table 4.6 shows that the correlation values among regressors are all well below the threshold of 0.7 or higher. It is therefore, can be concluded that there is no problem of high correlation (multicollinearity) among the variables.

**Table 4.7: VIF and TOL values**

Variable	Tolerance	VIF
CC	0.561	1.783
PO	0.481	2.079
R	0.573	1.745
JS	0.651	1.536
T	0.416	2.405
SE	0.630	1.587

**Table 4.6: Correlations among the Exogenous Variables**

Variables	Experience in years	CS	CC	PO	R	JS	T	SE
Experience in years	1							
CS	0.060	1						
CC	0.074	0.400**	1					
PO	0.024	0.416**	0.531**	1				
R	0.213**	0.343**	0.539**	0.542**	1			
JS	0.101	0.368**	0.488**	0.447**	0.429**	1		
T	0-.013	0.409**	0.551**	0.678**	0.559**	0.507**	1	
SE	0.085	0.450**	0.453**	0.457**	0.449**	0.442**	0.555**	1

Secondly, multicollinearity was also tested through examination of the Tolerance and VIF values from the output of regression results produced by the SPSS collinearity diagnostics built-in procedure. As recommended, this is the most widely used, important and reliable test for indication of multicollinearity. From Table 4.7, the Tolerance values of regressors ranges between 0.481 and 0.651 substantially greater than 0.1 and VIF values ranges from 1.587 and 2.405 which is considerably less than 10. The values of Tolerance below 0.10 and VIF values above 10 indicate existence of high collinearity among regressors, therefore, results in Table 4.8 given below shows that multicollinearity does not exist in this study.

**Table 4.8: Independent Sample t-Tests**

Variables	Designation	N	M	SD	SE	T	df	Sig.
CS Career Success	Manager	117	19.71	3.472	.321	1.10	372	0.269
	SME	257	19.28	3.520	.220			
CC Career Commitment	Manager	117	21.95	3.954	.366	1.269	372	.205
	SME	257	21.37	4.191	.261			
PO Promotion Opportunity	Manager	117	22.82	4.833	.447	1.808	372	.071
	SME	257	21.87	4.648	.289			
R Reward	Manager	117	26.58	4.924	.455	3.574	372	.000
	SME	257	24.63	4.881	.304			
JS Job Security	Manager	117	20.21	2.608	.241	1.125	372	.261
	SME	257	19.87	2.682	.167			
T Training	Manager	117	39.01	5.541	.512	1.236	372	.217
	SME	257	38.18	6.262	.391			
SE Self-Efficacy	Manager	117	32.62	4.637	.429	-1.185	372	.237
	SME	257	33.21	4.392	.274			

In Table 4.5, the result of Levene’s test based on career success (CS), career commitment (CC), promotional opportunity (PO), Reward (R), job security (JS), training (T) and self-efficacy (SE) shows that the variance between the manger and sales & marketing executives (SME) based on their designations. In Table 4.8, the two-tailed t-test indicates that there is no significant difference among group of early respondents and late respondents based on this study variable.

With respect to career success (CS), the mean and standard deviation of manager level respondents reported no significant difference (M=19.71, SD=3.472) and sales & marketing

executives (SME) respondents reported ( $M=19.28$ ,  $SD=3.52$ ). In addition, the result indicates that there is no significant difference between manager and sales & marketing executives (SME) responses ( $t=1.10$ ,  $p < 0.269$ ). Therefore, the null hypothesis of equality of means is accepted. Similarly, the result for career commitment (CC) indicates that the mean and standard deviation of manager level respondents ( $M=21.95$ ,  $SD=3.954$ ) and sales & marketing executives (SME) respondents ( $M=21.37$ ,  $SD=4.191$ ) reported has no significant differences. In addition, the two-tailed independent sample t-test result indicates that there is no significant difference between manager and sales & marketing executives (SME) responses ( $t=1.26$ ,  $p<0.205$ ). Thus, null hypothesis of equality of means is accepted.

Further, results from independent two samples t-test based on to promotional opportunity (PO), the mean and standard deviation of manager level respondents reported no significant difference ( $M=22.82$ ,  $SD=4.832$ ) and sales & marketing executives (SME) respondents reported ( $M=21.87$ ,  $SD=4.64$ ). In addition, the result from two tailed t-test indicates that there is no significant difference among manager and sales & marketing executives (SME) responses ( $t=1.80$ ,  $p < .071$ ). Hence, the null hypothesis is accepted. The result with respect to reward (R) indicates that, the mean and standard deviation of manager level respondents reported statistical significant difference ( $M=26.58$ ,  $SD=4.924$ ) and sales & marketing executives (SME) respondents reported ( $M=24.63$ ,  $SD=4.88$ ). In addition, the result from two sample independent sample t-test indicates that there is statistically significant differences between manager and sales & marketing executives (SME) responses ( $t=3.57$ ,  $p < 0.000$ ). Hence, the null hypothesis of equality of means is rejected.

In the same way, based on job security (JS), the independent two samples t-test indicate that response to the mean and standard deviation of manager level respondents reported no significant difference ( $M=20.21$ ,  $SD=2.608$ ) and sales & marketing executives (SME) respondents reported ( $M=19.87$ ,  $SD=2.68$ ). In addition, the result indicates that there is no significant difference between manager and sales & marketing executives (SME) responses ( $t=1.12$ ,  $p < 0.261$ ). As a result, the null hypothesis is accepted. In addition, for training (T), the mean and standard deviation of manager level respondents reported no significant difference ( $M=39.01$ ,  $SD=5.54$ ) and sales & marketing executives (SME) respondents reported ( $M=38.18$ ,  $SD=6.262$ ). In addition, the result indicates that there is no statistical significant differences between manager and sales & marketing executives (SME) responses ( $t=1.23$ ,  $p < 0.217$ ). Consequently, the null hypothesis of equality of means is accepted.

Finally, based on self-efficacy (SE), the mean and standard deviation of manager level respondents reported no significant difference ( $M=32.62$ ,  $SD=4.637$ ) and sales & marketing executives (SME) respondents reported ( $M=33.21$ ,  $SD=4.392$ ). In addition, the result from two sample t-test indicates that there is no significant difference between manager and sales & marketing executives (SME) responses ( $t=-1.185$ ,  $p < 0.237$ ).

Table 4.9 shows that the explained variation due to regressors in response variable (career success) is about 28.5%. From the response of insurance employees, the impact of career commitment ( $\beta=0.107$ ), promotion opportunity ( $\beta=0.120$ ), job security ( $\beta=0.133$ ) and self-efficacy ( $\beta=0.195$ ) is positive and statistically significant. The reward, Training, Age and employees experience in years has non-significant impact on career success.

## CONCLUSION

We proposed an evolving process of career success and career commitment of working employees of insurance sector of Pakistan. Up till now, we have raised several important issues

to consider career development practices of working employees of insurance sector of Pakistan. It has been discussed the major factors and variables which are important and have a positive impact and relation on the employees' career development practices career commitment and career success. The results and outcomes indicate a matter that career is a major function for employees but we have tried to explore that career development practices like promotional opportunity, rewards, job security and training to build career commitment and career success of working employees of insurance sector.

There are two major distinction in it. First these career development practices have a positive impact on career success. Second is the self-efficacy function. It's the belief of employees about insurance sector. Its results are different because of the religious concepts and misunderstandings about the insurance sector.

It will be truly very helpful for the employees of insurance sector, first focus on their career by giving them career development opportunities to develop their career and career skills. Career development practices help them to be committed with their career in insurance sector and it will lead towards career success. On the second step help employees to build their belief and change their mind about the insurance sector to work in it as career development.

For real benefits and for potential employees and for the growth of insurance sector of Pakistan it is very important to implement career development practices, career commitment and career success of employees.

**Table 4.9: Impact of Career development practices, Self-efficacy and career commitment on career success**

Regressors	Unstandardized		Standardized	t	Sig.
	Coefficients				
	B	Std. Error	Beta		
(Constant)	4.470	1.527		2.927	0.004
Career Commitment	0.107	0.050	0.126	2.138	0.033**
Promotion Oppurtunity	0.120	0.048	0.161	2.519	0.012**
Reward	0.006	0.043	0.009	0.147	0.883
Job Security	0.133	0.073	0.101	1.834	0.067*
Training	0.021	0.040	0.037	0.527	0.599
Self Efficacy	0.195	0.044	0.248	4.436	0.000***
Age	-0.006	0.027	-0.016	-0.227	0.821
Experience in years	0.012	0.033	0.026	0.359	0.720

**R<sup>2</sup> = 0.534, Adj-R<sup>2</sup> = 0.285, F (8, 365) = 18.204**

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# Examining Effects of School and Teacher Inputs on Productive Efficiency of Ugandan Primary Schools: A Stochastic Frontier Analysis

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## Abstract

This study evaluates the extent to which school and teacher quality inputs affect technical efficiency of primary schools in Uganda. Using stochastic frontier analysis, the study found textbook-pupil ratio, classroom-pupil ratio and teacher-pupil ratio exhibit increasing returns to scale on literacy and numeracy scores, and school mean efficiency varied widely across the four districts. Moreover, per pupil family expense on education, parent education and teacher salary demonstrate significant positive effect on pupil academic achievement while high rate of teacher absenteeism is detrimental to pupil performance. The study concludes that provision of basic requirements is not sufficient for pupil achievement and school productivity, but rather improving institutional organization to mobilize centres of power and capacity to use available scarce resources for productive gains should be promoted.

**Keywords:** Primary Schools, Technical Efficiency, Uganda

## BACKGROUND

The importance of high quality education as an essential tool for accelerated economic growth and people's well-being is recognized in developing countries, especially since the Jomtein Declaration (on MDGs) in 1990 and Dakar Conference (on EFA goals) in 2000. In most of the sub-Saharan Africa countries, free public education has been provided at basic level for the past decade or so. These policy initiatives meant increased funding to education sector as a matter of priority amidst competing sectors of the economies over scarce resources. For instance in Uganda, free primary education policy was introduced in 1997 where government started paying tuition for pupils in public schools. Besides, contributions to Parent Teachers' Associations (PTAs) in public schools were stopped for every pupil of school going age. Government prioritization of primary education was also more explicitly stated in its Education Strategic Investment Plan (ESIP) (1997-2003) and the Education Sector Strategic Plan (ESSP) (2004-2015), that were developed on the premise that the social returns to education are higher for primary education than higher education. This in turn led to increased financing to primary education where the share of its budget to total education budget increased to over 50 percent for the past 13 years (MoFPED 2009). Specifically, education inputs such as additional teachers with in-service training, classrooms, text books, staff houses and toilet facilities increased.

These infrastructural developments led to increase in access indicators enormously. For instance, primary education gross enrolment increased from 16 percent in 1996 to 73 percent in 1997 before recording 113.1 percent with over 8 million in 2008, and with net enrolment ratio of about 90 percent for both sexes in 2008 (MoES 2008). It is argued that enhanced productivity and efficiency of the schooling system and school performance in particular would

be one way to improve provision of high quality education necessary for economic transformation (Gonand et al. 2007; Sutherland et al. 2007). However, the actual situation is evidently different as reported on some efficiency and quality indicators. For instance, by 2010, there were 58 pupils per teacher which is below the sub-Saharan African (SSA) average of 50 pupils per teacher; survival rate to primary five and primary seven completion rate were recorded at 62 percent and 54 percent, all still below the SSA average of 70 percent and 64.5 percent, respectively. Besides, there has been declining performance in most schools as indicated by the matriculation results over time. This largely indicates that most schools are characterized by management and administrative deficiencies or the inability to operate at the optimal scale of production.

Several studies have attempted to measure efficiency of schools based on school data from developed education systems such as OECD and/or EU (e.g. Kirjavainen 2012; Gonand et al. 2007; Sutherland et al. 2007) using both parametric and non-parametric techniques. Some studies (e.g. Chubb & Moe 1990) obtained linear relationships between inputs and pupil academic achievements while others (e.g. Hedges & Greenwald 1994) focused more on pedagogical processes. In Uganda, similar studies (e.g. Byamugisha 2010; Nanyonjo 2007) were under-taken mainly by using least-squares estimations, found that inputs do matter but specific inputs such as parent involvement in schooling and teacher characteristics played great deal in pupil learning achievements. However, this study focuses on productivity improvements (i.e. technical efficiency) as a measure of service potential of primary education institutions. The study also intends to establish how school managerial cognitions and decisions on resource allocation and use affect environmental response, and what could be the underlying school and teacher factors responsible for any school efficiencies or deficiencies.

The term “technical or productive efficiency” as used by various scholars (e.g. Banker et al. 1984; Chakraborty et al. 2001; Farrel 1957) mean institutions that can use limited resources available to achieve maximum outputs. A more efficient re-allocation of the existing scarce resources and the expectation of educational institutions to provide greater value for money represent the reality of the modern education systems whose outcomes are evaluated, aggregated and measured. In order for the government to realize value for money, the aspect of productivity needs to be studied and the underlying reasons for inefficiency be identified. To this end, the study is guided by the following research questions:

- What is the level of productive efficiency in Ugandan primary schools?
- To what extent do pupil, family, quality of school and teacher factors influence pupil academic achievement?

Establishing the efficient and less efficient schools, and identifying the underlying factors responsible for (in)efficiencies may provide useful information for mitigation and also make schools accountable. Using stochastic frontier analysis techniques on locally generated data, the study brings some contributions to the understanding of efficiency and/or more explicitly how to improve school performance given the school inputs and financial resource scarcity in a developing economy like Uganda. Therefore, the results of this study may fill this gap.

### **EMPIRICAL LITERATURE**

Several studies using education production theory have pointed out the factors responsible for inefficiencies in primary schools and the varying degrees of efficiency levels. A framework of stochastic production frontier and the determinants of productive inefficiency indicate instructional and non-instructional expenditures as correlates of student performance. A study

conducted in Texas State found that educational spending could be reduced by about 30 percent and achieve the same outcomes if its schools were operated efficiently (Grosskopf et al. 1997). This implies that failure to address the inefficiencies in the education system leads to wastage of resources. It had earlier been echoed that U.S. schools had large increases in resources with little if any improvement in outcomes. Besides, improving school system's efficiency is not straightforward effort, and that the failure to observe improved performance along with the increased resources demonstrates inefficiency (Hanushek 1996).

It is argued that the absence of improved school performance associated with increased resources is because of confounding factors that are not held constant (Hedges & Greenwald 1994), though the authors agree that schools and teachers matter. However, there is another view that such indicators as education and experience of the teachers are not reliable measures of quality in schools (Hanushek 1996). Rather the standardized test scores can be adopted as plausible measures of quality in schools because they have not attracted much criticism in literature. More to this understanding, Chubb and Moe (1990) in their work found student ability, school organization, and family factors as key determinants of students' achievements. They argue that school autonomy is a crucial element of effective school organization. They present evidence that schools where principals and teachers have more autonomy are more efficient. They found that correlation between academic achievement and school resources disappears when other variables presumably family factors are controlled. However, given these empirical facts, the relationship between school resources and academic achievement might still be hidden in management deficiency.

Methodologically, studies using data envelopment analysis (DEA) have evidently become more common than stochastic frontier (SFA) applications in the context of measuring the efficiency of schooling institutions. Most of these studies are using cross section data. Some studies compare the results of SFA and DEA (Sengupta & Sfeir 1986 & Mizala et al. 2002). Others concentrate on inefficiency differences and testing the relationship between test scores and spending on instruction (Deller & Rudnicki 1993) or teachers' merit pay (Cooper & Cohn 1997). Heshmati and Kumbhakar (1997) used a model introduced by Battese and Coelli (1995) which assumes that inefficiency has a truncated-normal distribution and is dependent on school environmental factors. However, the DEA neither allows statistical inference nor distinguishes inefficiency from statistical noise. As a consequence, inefficiency may be overstated implying both of these factors may cause problems and uncertainty.

On the other hand, in stochastic frontier analysis (SFA), the shortcomings cited under DEA are avoided and for this reason, it is a better alternative. In addition to inefficiency differences, information on the estimated parameters, i.e. the effects of quantitative inputs on outputs are also obtained. Barrow (1991) assessed the efficiency of local authorities using both cross-section and panel data with stochastic and deterministic methods. Johnes and Johnes (2009) analyzed the cost efficiency of British universities using SFA allowing for heterogeneity between universities with random parameters i.e. using true random effects model introduced by Greene (2005).

It can be deduced from the foregoing discussion that schools have different levels of inefficiencies that are attributed to various factors. Moreover, there are many school and teacher specific inputs that affect school performance. The results on school efficiencies and its determinants are mixed, and the conclusions about the effects of school resources and teacher quality depend upon the traditional estimate of education production functions. Recent

econometric estimates of models that account for technical efficiency show a positive marginal effect of resources on performance (Bates 1997; Deller & Rudnicki 1993; Ruggiero 1996). In this paper, we estimate a stochastic production frontier, which tests the hypothesis that, teacher and school resource inputs matter for productivity.

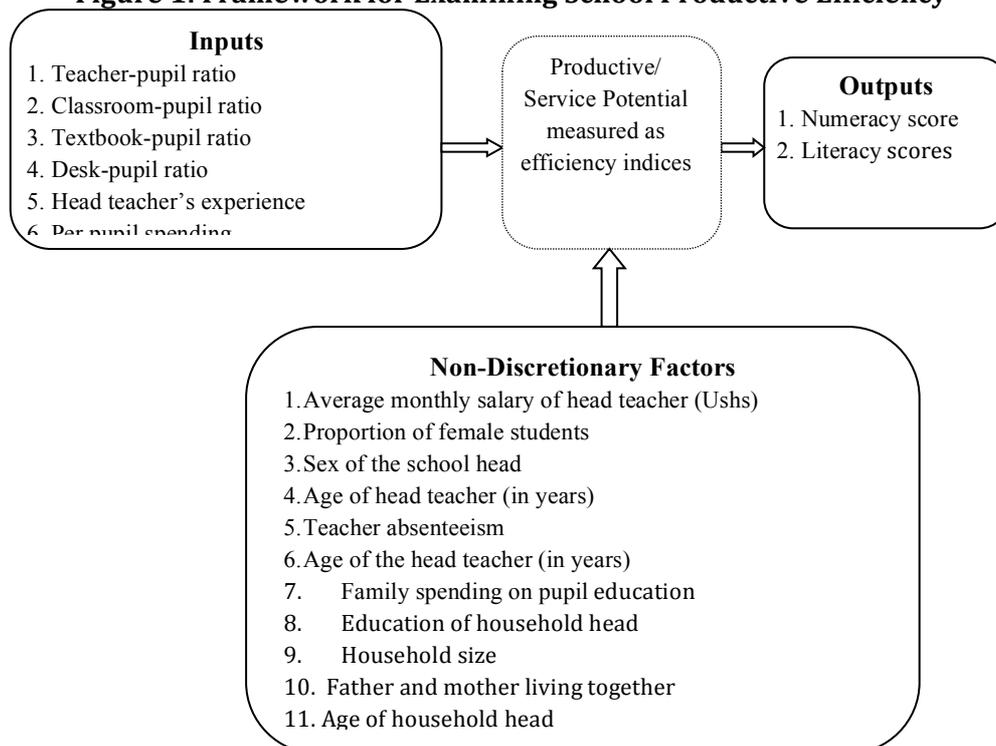
## METHODOLOGY

### Conceptual Framework

A conceptual framework (Figure 1) that explores productive efficiency considering a school as decision-making unit on discretionary inputs/outputs, and other factors external to the school's influence is developed and appropriate hypotheses formulated based on the works of Smith and Street (2006) and Mandl et al. (2008). A SFA model is employed that measure technical efficiency while distinguishing the statistical noise from inefficiency component. Besides, SFA has a priori assumptions about the functional form of the frontier regression. Most of recent 'efficiency' studies are rooted from the popular works (e.g. Debreu 1951; Farrell 1957) that provided basis and justification for measuring productive efficiency of service units. The service production process involves measuring the observable phenomenon such as inputs and outputs; specifying the relationship that exists between the phenomena; defining the efficient behavior; calculating the difference between each organization's observed data and the maximum achievable as defined by the specified relationship and judging how much of the difference is attributable to efficiency (Coelli et al. 1998).

The framework is also related or linked to the theory of public goods (Hammond 2002), where the efficient provision of public education is regarded as a two-stage production process. Stage one involves basic inputs (such as personnel, operating expenditures & infrastructure) used in the production of 'service or productive' potential, while stage two involves transformation of 'service' potential into desirable outputs (i.e. numeracy and literacy scores) depending on the demand and/or institutional environment (i.e. non-discretionary factors) where the service is being provided.

**Figure 1: Framework for Examining School Productive Efficiency**



**Source: Created by the author based on Smith and Street (2006), Mandl et al. (2008)**

In context, this investigation considers classrooms, teachers, desks and textbooks as public goods. Noteworthy that, though the distinction of two production phases allows evaluation of school productive efficiency where school management has full control of the inputs and outputs, there is a head teacher's factor (i.e. experience) which is somewhat an innate ability with a cumulative effect on not only students' achievement but also school performance, and it involves labor supply decisions.

### Models for Examining School Technical Efficiency

Kumbhakar and Lovell (2000) proposed a good basis for stochastic frontier models with distinct parameterizations of the inefficiency term that can fit production functions. This approach is also emphasized in other various empirical works (e.g. Battese 1992; Johnes & Johnes 2009; Mizala et al. 2002; Sengupta & Sfeir 1986) and with theoretical understanding from Greene (2005). Suppose the school as a producing entity exhibits a function  $y_i = f(X_i, \beta)$  In the world of imperfection, the frontier analysis assumes that each school produces less than it can, due to a degree of inefficiency, thus yielding new specification as  $y_i = f(X_i, \beta)TE_i$  where  $TE_i$  is the level of efficiency for school 'i' in interval 0 and 1 inclusive. If  $TE = 1$  implies that the school is producing at optimal scale with the technology embodied in the production function and if  $TE < 1$  implies the school is not making the most of the inputs  $X_i$  in the production process. In context, output is also assumed to be subject to random shocks, implying that  $y_i = f(X_i, \beta)TE_i \exp(v_i)$  and taking natural logarithms of both sides yields;

$$\ln(y_i) = \ln\{f(X_i, \beta)\} + \ln(TE_i) + v_i$$

If we consider various inputs, say  $k$ , that the school requires and then assuming that the production process is linear in natural logarithm, and defining  $u_i = -\ln(TE_i)$  yields the following equation;

$$\ln(y_i) = \beta_0 + \sum_{j=1}^k \beta_j \ln(X_{ji}) + v_i - u_i$$

where  $\ln(.)$  is the natural logarithm notation, subscripts  $i$  and  $j$  represent the inputs  $j$  used by school  $i$ . The coefficient  $\beta_0$  is the level of technology and  $\beta_j$ 's are the input elasticities. The outcomes ( $y_i$ ) are the test scores in reading and mathematics and the discretionary inputs are the textbook-pupil ratio, teacher-pupil ratio, classroom-pupil ratio, desk-pupil ratio, head teacher's teaching experience and per student spending, respectively. In the error term component,  $v_i$  represents the random variable with null mean and unknown variance, and  $u_i$  is the non-positive random representing the technical inefficiency for school  $i$ . However,  $u_i$  is assumed to be independently and identically distributed between observations, and is obtained by truncation at point zero of the normal distribution with mean  $\mu_i$ . Based on equation (2), the school technical efficiency (STE) of school 'i' can be computed as:

$$\mu_i = TE_i = \exp(-u_i)$$

The stochastic frontier estimation also specifies that the technical inefficiency component is heteroskedastic with the variance function depending on the linear combination of the non-

discretionary factors as defined in the conceptual framework. The advantage of stochastic frontier estimation technique is it gives easily interpretable results, in the same way as the standard OLS estimation approach. In effect, the frontier estimates have been contrasted with the OLS results to establish the robustness of frontier analysis against OLS. However, a drawback of the stochastic frontier analysis is the restrictive assumption about the functional form and its failure to consider multiple outputs (Ruggiero 1996). Nonetheless, the SFA approach is still regarded popular compared to other frontier methods for clear reasons highlighted above.

On the basis of reviewed literature and methodological framework, the following hypotheses are formulated and tested. First, it is hypothesized that school inputs exhibit increasing returns to scale, and that all schools are technically efficient, implying no additional outputs can be realized with increases in input mix. Second; school level hypotheses are that; average monthly salary of head teacher and high proportion of female students demonstrate significant positive influence on test scores; low teacher absenteeism, increase in teacher age and male headteacher are all associated with improved academic performance. In addition, pupil and family related hypotheses state that; increase in expenditure on pupil education, schooled parents, small family size and increase in age of household head all demonstrate positive effect on school academic achievement and viceversa. Moreover, male gender and decrease in pupil age have positive influence on achievement in literacy and numeracy scores.

### **Data**

The study uses standardized tests administered by Uganda National Examinations Board (UNEB). About 2,000 primary six (P6) pupils sat for the tests in literacy and numeracy in 2008 in the districts of Apac, Iganga, Hoima and Kiboga. These districts represent regional and national framework in terms of performance in the Primary Leaving Examinations (PLE) conducted annually for primary seven (P7) pupils. Twenty five schools were sampled per district within which about 20 pupils from P6 sat the National Assessment for Progression in Education (NAPE) assessment tests. Data on budgets, schools and teachers was obtained from the baseline survey questionnaires administered by the Uganda Bureau of Statistics (UBOS) enumerators. The descriptive results for the variables are presented in Table 1 and appendices I – II, respectively. It is evident that about three quarters of the schools are headed by male teachers and teacher absenteeism is a rampant phenomenon with about 84 percent of teachers absenting from school for atleast a day per month. There is about equal gender representation in schools implying all children are given learning opportunities as a measure of improving literacy rates for all, and achieve MDGs targets.

It is also observed that parents are in a supportive way of children's schooling by allocating some family budgets to learning, as a response to government concerns on UPE policy arrangement. Though may not be sufficient but about averagely Ushs 1200 is spent on a pupil per family per month. Some features from appendix II indicate that average school enrolments are large in Iganga and least in Kiboga district (i.e. about one half the national average). The schools have on average 9-11 teachers and this varies depending on school size. In addition, across the four districts, the numeracy score are higher than literacy scores, and Iganga district tails in both subjects with scores below the pooled average.

**Table 1: Descriptive statistics of the variables used in analysis**

Variable	N	Mean	Std. Dev.	Min	Max
Age of household head	1978	40.97	11.11	3.0	82.0
Father and Mother living together	1978	0.83	0.38	0.0	1.0
Household size	1978	6.37	3.44	0.0	33.0
Education of household head	1978	2.33	0.99	1.0	6.0
Pupil age (in years)	1978	13.57	1.19	10.0	20.0
Pupil gender (Male=1)	1978	0.50	0.50	0.0	1.0
Proportion of female students	1978	48.93	6.57	0.0	55.8
Age of head teacher (<=40)	1978	0.34	0.47	0.0	1.0
Age of head teacher (>40-50)	1978	0.39	0.49	0.0	1.0
Age of head teacher (>50-60)	1978	0.27	0.44	0.0	1.0
Teacher absenteeism (0 days)	1978	0.14	0.35	0.0	1.0
Teacher absenteeism (1-5 days)	1978	0.59	0.49	0.0	1.0
Teacher absenteeism (>5 days)	1978	0.27	0.44	0.0	1.0
Gender of head teacher (Male =1)	1978	0.76	0.43	0.0	1.0
Family per pupil expenditure on education	1978	1220.43	992.18	356.3	9795.5
Average monthly salary of head teacher	1978	329,660.1	92,645.9	0.0	519,800.0

Source: Created by the author (2012)

## RESULTS AND DISCUSSION

### Partial Elasticities and Returns to Scale

The partial elasticities of the school outputs (for numeracy and literacy subjects) are estimated and they permit the evaluation of the effect of changes in the amount of the quality inputs on the school outputs (Table 2).

**Table 2: Partial Elasticities and Technical Efficiency Indices**

Partial Elasticities	Literacy	Numeracy
Text book –pupil ratio	0.20***	0.08***
Desk-pupil ratio	-0.10***	0.01***
Teacher-pupil ratio	0.38***	0.55***
Class room-pupil ratio	0.15***	0.30***
Head teacher's experience	0.02***	-0.01***
Per student expenditure	0.07***	-0.08***
<b>Returns to Scale</b>	<b>0.11***</b>	<b>-0.10***</b>
<b>Level of technology</b>	2.56	3.90
<b>Technical Efficiency Indices</b>		
Iganga	0.37	0.44
Apac	0.46	0.58
Hoima	0.52	0.56
Kiboga	0.68	0.60
<b>All</b>	<b>0.46</b>	<b>0.53</b>

Source: Created by the author (2012)

Partial elasticities indicate the degree of responsiveness of the outputs for one percent change in the input requirements. The textbook-pupil ratio, classroom-pupil ratio and teacher-pupil ratio have positive elasticities on the two subjects while the rest have varying effect signs, respectively. Specifically, head teacher experience and per pupil family expense have positive elasticity on literacy and negative on numeracy, with returns to scale of 0.11 and -0.10 of school inputs on the former and latter, respectively. The negative scale implies that the increase of all the school factor inputs leads to less than the proportional increase in the school achievements in literacy and numeracy. The government's effort on improving school resource inputs such as textbooks, hiring teachers and constructing classrooms in primary schools may somewhat be linked to improved school outcomes. This result is contrary to previous research (e.g. Hanushek 1996) that indicated that school and teacher resources lead to little if any

improvement in school outcomes and that, it may not be clearly known on how to improve school systems' efficiency.

### **Estimating Technical Efficiency Indices**

The technical efficiency indices are estimated and grouped as per the district and subject, respectively. The indices vary from one district to another and in between subjects. Across the districts, the technical efficiency indices range from 0.37 to 0.68 with national averages of 0.46 and 0.53 for the two subjects (Table 2). It is worth noting that, 30 percent of the schools perform below optimal scale probably due to management deficiencies attributed to school administration. Evidently, Iganga and Kiboga districts record the lowest (0.37 & 0.44) and highest (0.68 & 0.60) productive efficiencies in literacy and numeracy, respectively. On the other hand, Iganga schools' service potential is below the national average, implying government's effort to revamp the education standards of the district could be wanting. The descriptive statistics also confirm this result, the district has low quality inputs probably justifying low outputs as compared to other districts. Besides, the average enrolments is high with low average scores compared to Hoima and Kiboga districts (Appendix II).

Examining the district specific indices, most schools in Apac district are moderately efficient (between 0.46 to 0.58) as compared to Kiboga district with most schools (about 68 percent) demonstrating substantial (0.68 to 0.60) productive potential. Within schools in each district, most schools in Iganga score low efficiency levels (less than 0.40), while most schools in Hoima and Kiboga record relatively high scores, and yet these schools receive equal funding from similar sources. These results are in consonance with previous research works (e.g. Bates 1997; Ruggiero 1996) that, providing school inputs may account for some positive marginal effect on school achievement. Besides, schools' better organization, students' intellectual capabilities and their family background are some of the key determinants of their academic achievement and school success. It is also argued that school autonomy plays great deal, as it is crucial element of effective school organization and good practices (e.g. Hanushek 1996).

### **Factors affecting Academic Achievements of Schools**

The previous section discusses the degree or level of efficiencies of the schools across the four districts. However, we cannot significantly make strong case of the efficiencies between schools unless; the underlying causes of school academic achievements are identified and examined. Table 3 presents the stochastic frontier and OLS estimations of determinants of numeracy and literacy scores. A further reflection on both kinds of results indicates the frontier model results are superior as indicated by Vignoles et al. (2000). For instance; the frontier models look more robust than OLS as indicated by the clear differences in explanatory power of the literacy and numeracy regression estimates; there is consistency in effects across the two subjects, and of more significance are the slopes for the frontier models that are somewhat more steeper than OLS estimates. These features suggest frontier estimates weigh more robustly than OLS and thus the preceding discussion is based mainly on the stochastic frontier results with little reference, if any made on the OLS estimates.

**Table 3: Results of the Determinants of School Academic Achievement**

Variable	Frontier Stochastic model		OLS model	
	Literacy	Numeracy	Literacy	Numeracy
	Coef.	Coef.	Coef.	Coef.
Family per pupil expenditure on education	0.05** [0.03]	0.63** [0.30]	0.10*** [0.03]	0.10** [0.05]
Education of household head	0.13** [0.06]	0.14*** [0.06]	0.01* [0.01]	0.07** [0.03]
Father and Mother living together	0.36** [1.51]	0.14 [0.15]	0.07 [0.07]	0.13 [1.01]
Household size	-0.23*** [0.08]	-0.72* [0.38]	-0.09 [0.06]	-0.03 [0.07]
Age of household head	0.89** [0.45]	0.67* [0.36]	0.01** [0.01]	0.02* [0.01]
Average monthly salary of head teacher	0.27*** [0.52]	0.84*** [0.33]	0.14* [0.07]	0.35* [0.18]
Age of the head teacher	0.80 [1.44]	0.68 [1.51]	0.05 [0.04]	0.11 [0.23]
Age squared of the head teacher	-0.56* [0.30]	-0.09 [0.27]	-0.02 [0.01]	-0.03 [0.01]
Gender of head teacher (Male =1)	0.22 [0.60]	0.64 [0.58]	0.01 [0.13]	0.03 [0.10]
Proportion of female students	0.01 [0.01]	0.92 [0.62]	0.03 [0.04]	0.03 [0.03]
Teacher absenteeism (0 days)				
Teacher absentiesm (1-5 days)	-0.25** [0.12]	-0.06* [0.03]	-0.40*** [0.16]	-0.08** [0.04]
Teacher absentiesm (>5 days)	-0.52*** [0.03]	-0.26** [0.13]	0.21* [0.11]	-0.03** [0.01]
Pupil age (in years)	-0.35 [0.23]	-0.27 [0.24]	-0.05* [0.02]	-0.05 [0.04]
Pupil gender (Male=1)	0.75** [0.31]	0.53 [0.42]	0.01 [0.11]	0.01 [0.10]
Constant	55.07*** [18.01]	7.23** [3.26]	2.67** [1.28]	5.01* [2.66]
Adjusted R-Squared			18.1%	19.9%
Wald Chi <sup>2</sup> / F-Statistic (P-value)	33.27 (0.002)	30.56 (0.006)	2.72 (0.064)	1.72 (0.098)
N	1978	1978	1978	1978

**Source: Created by the author (2012)**

Notes: Standard errors in the parenthesis, \*\*\* $p < 0.01$ , \*\* $p < 0.05$ , \* $p < 0.1$ ; The base category is "other" methods.

The results generally indicate that the effect of family per pupil education expenditure on the school productive potential is positive and significant (at 5%) across the two subjects, with high effect for numeracy model than for literacy. This implies other factors equal, increasing family expenditure on education by say, 1 percent raises performance by 5 percent and 63 percent in literacy and numeracy, respectively. It is also evident that the effect of household head education level on matriculation results is positively significant for the two subjects.

Several studies (e.g. Hanushek 1996; Chubb & Moe 1990) elsewhere have quite demonstrated and concluded that family socio-economic background plays great deal in pupil achievement and overall school productivity because of their cumulative effect on children cognitive

learning skills and innate abilities. This argument is further strengthened by the positive effect sizes of 'father and mother living together' and 'age of household head' variables on pupil achievement. Moreover, considering the pupil factors, there is no clear cut as most effects are insignificant. With exception of pupil gender effect on literacy scores, all other effects are insignificant though with correct effect signs. For instance, male gender demonstrates significant (5%) positive effect performance in literacy and positively insignificant on numeracy model, respectively.

The average monthly earning of the head teacher significantly (1%) improves school academic performance both in literacy and numeracy subjects, again with greater effect size on numeracy model. This implies other factors equal, increasing teachers' salary say by 1 percent raises achievement by 27 percent and 84 percent and viceversa. In this instance, the salary acts as motivational tool, and teachers are compelled to devote the required time to teaching and mentoring pupils. This may also imply, high salaries reflect the teacher quality. In other words, higher pay tends to be competitive and attracts better-qualified applicants and besides, the pay slows down the attrition of teachers with higher opportunity cost, presumably among dedicated teachers. Just like in South Carolina where they found that higher salaries were an incentive pay system to teachers and for better school results (Cooper & Cohn 1997). Age of the head teacher can usually be associated with teaching experience especially in primary education and thus improves school performance. The age factor exhibit diminishing marginal returns because there is maximum age beyond which the effect becomes negative. The older teachers tend to have a wealth of experience. Besides, the labor turnover among such category of teachers is relatively low as most of them probably tend to stay in one place as they wait for retirement. This practice gives them an opportunity to organize a school to produce better results.

The effect of teacher absenteeism on pupil achievement is shown to be negative and significant. Moreover, the effect sizes become larger as days of absenteeism also increase. For instance, effect of teacher absenteeism (> 5days) is about double (for literacy model) and four times (for numeracy model) than 1-5 days of absenteeism, respectively. Teacher absenteeism is partly an impediment to pupil academic progress and overall school productivity. It is rather straightforward to think that absenteeism implies no work done for the paid labor. This vice from work is a bad practice in every working aspect. In Uganda, absenteeism is rampant among teachers and this could largely reflect low efficiency in some or most schools.

### **CONCLUSION**

In conclusion, the better way to model efficiency of schools depends on the available information and the prevailing circumstances in that particular school. Otherwise, factors that influence school productivity and the indicators that measure technical efficiency are rather mixed. This study suggests that though money matters, it entirely depends on its efficient use and available resources to educate the pupils.

Better salary package may attract quality teachers who in turn improve school performance despite their higher costs. The study suggests that for efficient provision of education as public good, institutions should mobilize centers of power and capacity to use the available meager resources for productive gains. This can go along way with organizational culture and set-up of the institutions through supervision to mitigate absenteeism practices.

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**APPENDICES**  
**Appendix I**  
**Variable Definitions and Descriptions**

Variable category	Variable	Description
<b>School budget</b>	School expenditure per pupil per term	Measured in Uganda Shillings
<b>Quality of teacher inputs</b>	Experience of the head teacher	The number of the years the head teacher has served in the school being investigated
	Graduate head teacher	Yes =1; '0' otherwise
	Diploma head teacher	Yes =1; '0' otherwise
	Other qualifications of head teacher	Yes =1; '0' otherwise
	Age group of the graduate teacher (>=26-40 years)	Yes =1; '0' otherwise
	Age group of the graduate teacher (>40-50 years)	Yes =1; '0' otherwise
	Age group of the graduate teacher (>50 years)	Yes =1; '0' otherwise
	Absentism of the head teacher (0 days)	Yes =1; '0' otherwise
	Absentism of the head teacher (1-5 days)	Yes =1; '0' otherwise
	Absentism of the head teacher (>5 days)	Yes =1; '0' otherwise
Gender	Male=1; '0' otherwise	
<b>Quality of school inputs</b>	Text book-pupil ratio	Number of text books per pupil
	Pupil-teacher ratio	Number of pupils per teacher
	Pupil-desk ratio	Number of pupils per desk
	Pupil-class ratio	Number of pupils per class

**Source: Created by the author (2012)**

**Appendix II**  
**Summary of Selected School Quality Inputs and Outputs**

	Textbook-Pupil ratio	Pupil-desk ratio	Pupil-teacher ratio	Pupil-class ratio	Head teacher experience	Per pupil expense by school	pupil literacy score	Average numeracy score	school size	Salary (000's)	NO. Of teachers
<b>Apac</b>	3.0	15	74	135	2.8	894.9	16.6	25.3	789	328.8	11
<b>Hoima</b>	2.0	5	56	69	4.2	1478.2	24.3	28.8	508	332.6	10
<b>Iganga</b>	2.0	6	68	143	2.8	1611.7	13.9	18.5	611	356.5	10
<b>Kiboga</b>	3.0	4	37	49	3.2	2862.8	23.4	31.4	290	267.8	9
<b>All</b>	2.0	8	59	102	96	1513.6	19.3	25.7	552		96

**Source: Created by the author (2012)**

# The Role of Marketing Capabilities in Innovation Based Competitive Strategies: An Application on Production Businesses in Ankara

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## Abstract

The developments experienced in the business world have instigated the intensity and severity of current competition. The existence struggle of companies within this intensive and severe competitive environment is based on their performance development. This compels businesses to focus on their marketing capabilities along with their innovative and entrepreneurial endeavors. Thus, business can enhance sustainable competitive advantage with their sources and capabilities they have. Furthermore, in order to achieve this objective, businesses shall structure their marketing capabilities. With respect to this, this study is rested on an empirical study conducted in two main sectors in the province of Ankara determining marketing capacities in innovative competitive strategies. Regarding this, the results were evaluated with 165 questionnaires in 192 different companies. According to the findings, there are positive and significant correlations of intensive entrepreneurship on marketing capacities, marketing capacities on organizational innovativeness and sustainable competitive advantage as well as organizational innovativeness on competitive advantage.

**Key Words:** Marketing Capability, Organizational Innovation, Sustainable Competitive Advantage

## INTRODUCTION

At the last ten years, researchers have shown great interest in role of marketing in strategic management. Some of the researchers have observed that marketing function has lost its formal organization status within many international organizations and they also have mentioned that most important point is that there has been a loss in faith in marketing management as a strategical power (Piercy, 1998:222-236). As is mentioned in strategic dialog of Kerin as of (1992), functional role of marketing, marketing and important matters in strategic management are disregarded by marketing scientists. Kerin (1992) also thinks that distinctive capabilities should be discovered as a new subject of a research related with innovative and entrepreneur administration behaviors. Functional role of the administration in strategical management is interested in entrepreneurship and in innovation and expansion properties of the administration and briefly these are named as innovation (Kerin, 1992:332).

By the capability based theory of competition advantage, it is suggested that administrations having distinctive capabilities shall obtain competitive advantage. Despite of the fact that importance of researches has increased in literature, numbers of studies examining the role of

innovation based competitive advantage have been limited. Conceptualization of innovation, missing points and structure of sustainable competitive advantage has been reflected within previous researches (Weerawardene, 2003:16). In this study, entrepreneurship, marketing ability, organizational innovation relations have been tested and their impacts over sustainable competitive advantage have been examined and the outputs have been used in strategic marketing literature.

During the study process of this article; (1) sustainable competitive advantage theory has been examined by focusing on role of distinctive capabilities within innovation based competitive strategy, (2) test of conceptual structures has been aimed and conceptual frame explaining theoretical relations has been handled for this purpose, (3) methods which have been used to test composed hypothesis have been discussed and (4) 165 questionnaires performed within 192 manufacturing administrations active in two different sectors have been analyzed and results have been presented.

### **THEORETICAL FRAMEWORK: ROLE OF COMPETITIVE ADVANTAGE AND DISTINCTIVE CAPABILITIES**

The capability based theory suggests that an administration is able to obtain competitive advantage by the help of its distinctive capabilities and it is required for the administration to improve its current abilities in order to continuously keep its existence and in order to prevent its imitability and it is also required for the administration to invest again and again. Innovation based theory within the resource based competitive advantage view has been developed in the last few years and it is mentioned that administrations are stacks of resources and capabilities (Prahalad and Hamel, 1990:79-91; Mahoney, 1995:91-101; Barney, 1991:99-120; Peteraf, 1993:179-192). Focus of resource based competitive view is to allocate, define resources and capabilities of the administration and them to be implemented for a sustainable competitive advantage (Collis, 1994:143-152). However some of the researchers argue that a resource based strategy shall not be sufficient by itself in order to support competitive advantage. It is generally thought that the administrations which are able to respond the demands on time, rapidly and by flexible product innovations shall be more successful compared to the other ones in gaining within the global market. The important point is not only to determine what the administrations can do or how good they are able to perform this job but also strategical leadership (Teece et. al, 1997:509-533; Grant, 2010:120-149).

Determination of framework of capability based theory is different than other competitive strategy models and here, the fact of the administration having an entrepreneur structure and key roles played by decision makers in building of sustainable competitive advantage is important. Selznick has emphasized the importance of theoretical leadership in administrations at the study he has performed as of (1957) while defining distinctive capabilities. He has mentioned this as one the most significant factors having impact over the power or weakness of the administrations. At the analysis of special capability (power and weakness), environmental opportunities and threats have been evaluated together (Lado et al., 1992:77-91). Reed and DeFillippi have developed distinctive capabilities concept at (1990) during the study they have performed to analyze the relation in between sustainable competitive advantage and causal uncertainty (Reed and DeFillippi, 1990:88-102). Causal uncertainty is described as "basic uncertainty" related with the nature of causal links in between actions and results (Lippman and Rumelt, 1982:420). It is defined as potential of this administration to produce superior performance due to its resources and capability (Reed and DeFillippi, 1990:88-102).

Besides within the last decade conceptual fields of marketing function have been deeply discussed and role of managerial performance in marketing has been analyzed in literature mainly in two fields as marketability and role of marketing within strategy field. At the literature it is seen that marketing plays an important role in competitive advantage process. Innovation that is accepted as a central concept in search of a different advantage is the first role of marketing within competitive strategy. Customer monitors value based fundamental differentiation strategies, marketing research efforts of the administration and also monitors product improvement processes, marketing communication programs and selection of distribution processes at the target market. These processes require special capability of the administration which it owns to perform its services and to produce its products or to execute necessary activities via value chain (Morgan and Strong, 1998:1051-1073; Slater and Narver, 1995:63-74; Day, 1992:323-329; Varadajan, 1992:335-343; Kerin, 1992:331-334; Hutt et al., 1988:4-19; Day, 1994:37-51). At the strategic marketing literature, entrepreneur decision makers of the administration play significant roles in improvement of innovative products and services. Especially capability based sustainable competitive advantage theory shows that entrepreneur decision makers are significant factors during competitive advantage process. Administrations need to build and improve distinctive capabilities. Because at the end of this effort market opportunities are created and superior customer values are composed. In order the administrations to form the aforementioned opportunities and values, it is proved that entrepreneurship, innovative abilities, marketing capability and competitive advantage process are related with each other with strong bonds (Kerin, 1992:331-334; Knight, 2000:12-32).

### **Intensity of Entrepreneur**

At the literature it is shown that there is a positive relation in between “entrepreneurship” and growing focused efforts. An administration with entrepreneur structure is such that it chooses mostly innovation and initiates change and reacts rapidly and flexibly against changes. Strategic researches based on entrepreneur structured administration behavior model have gained popularity in recent years. Entrepreneurship has been conceptualized as an administration behavior and has shown itself as innovative, proactive and risk taking actions at strategic decisions of the administration. This means entrepreneurship is the idea of the administration to take risks, to create innovations and to create a new enterprise via active competitive behaviors. In this manner administrations aim to lead the market instead of following their competitors in obtaining present and future opportunities and in producing new products, services, technologies, process techniques and also aim to be in leader position at the market by growing, developing and creating innovations (Weerawardena, 2003:18; Naman and Slevin, 1993:137-153; Naktiyok, 2004:35; Zahra and Garvis, 2000:469-492; Pitt et al., 1997:344-350).

Innovative structure confronts us as new products, techniques or technological innovations of the administration, new ideas or an administration framework supporting innovative processes. Risk taking is effective for the administration to get into new formations by taking brave decisions. Being proactive requires to act as a leader instead of a follower in monitoring technologies and administrative techniques, formed innovations, products and services (Antoncic and Hisrich, 2003:16-18). At the behavior model of an entrepreneur administration, at the entrepreneur administration behavior model, it is required to analyze the market in the best possible manner by developing effective behaviors, by affording risks, by producing innovations for sustainable competitive advantage.

## Marketing Capability

Together with the integrated effect of ever increasing technological innovations in competition, importance of marketing capabilities has also increased. The reason is that focusing on only customer requirements, demands and pleasure is not sole requirement for success of the administration. Presenting of the unknown new product, process or services to the market and gaining the ones who are not previously the customers of the administration are required factors for success. All of these competition patterns emphasize the differences among administrations over the marketing capabilities axis (Papatya, 2007a:14). According to a study performed by Day as of (1994); marketing capability is defined as integrated processes allowing collective knowledge, skills and integrated processes which meet needs of the administration at the market for goods and services adding surplus values to be utilized by the administration (Day, 1994:37-52).

From this point of view, marketing capabilities are information based unique compositions which emerge as a result of coordination provided in between physical and non-physical resources of the administration. Besides, administrations should use their products, services and processes against their opponents in order to create a superior value and they should perceive the changes occurring in and out of the administration to create such a superior value and also they should react rapidly against such changes in order to act in a competitive manner (Papatya et al., 2007:425-434).

Unique marketing capabilities which the administration have are quite important regarding competitive advantage and these abilities have significant impacts over both financial performance and marketing performance (Fahy et al., 2000:63-81). Marketing capabilities are closely related with entrepreneurship and innovation levels of the administrations. Administrations which have an entrepreneur structure and which spend efforts for innovation have a more advanced marketing capabilities compared to their opponents.

Rizzoni has made a study as of (1991) and he has correlated in between entrepreneurship and organizational capabilities and innovation. Rizzoni (1991) mentions that innovation based strategy of the administration is a distinctive property compared to other administrations and it creates unique abilities against environmental variables. According to reference point of ability based theory, it is argued that whenever entrepreneur administrations build organizational innovation based competitive strategies they shall compose distinctive marketing capabilities (Rizzoni, 1991:31-42). Starting from this point, it is assumed that there is a relation in between entrepreneur intensity and marketing abilities and the obtained hypothesis is as follows:

**H1:** There is a positive relation in between entrepreneur intensity and marketing capability

## Organizational Innovation

Innovation and competitive advantage process is closely related with each other at administrations. Administrations gain competitive advantage via innovative actions. Administration search for new ways in order to sustain their activities in value chain and to create a superior customer value. This is only possible via innovation. If ever innovation can form any value creation activity within administration then it shall lead competitive advantage. Similarly all innovation types lead to sustainable competitive advantage. At the strategical marketing literature, innovation based competitive strategy plays a dual role in marketing capability. First one of these roles has an impact over innovation development phase of the

marketing capability. Second of these roles shows that marketing capability leads to the competitive advantage. At the evaluation of consumer requirements and competition, marketing capability plays a critical role in new product development phase and in sharing of ideas phase.

According to the previous researches, it is suggested that successful administrations should have adequate marketing resources and capability in order to develop a new product. New product development phase includes phases such as market research and concept test. Similarly, successful interface working effectively in between marketing and R&D departments is a pre-condition to develop product (Weerawardena, 2003:20; Song et al., 1996:545-553; Calantone et al., 1993:337-351; Atuahene-Gima, 1995:275-293). Based on these discussions, it is seen that marketing capabilities have significant impact over innovations formed by the administration. Accordingly, it is assumed that there is a relation in between marketing abilities and organizational innovation and the obtained hypothesis is as follows:

**H2:** There is a positive relation in between marketing capability and organizational innovation.

### **Sustainable Competitive Advantage**

At the study performed by Hunt and Morgan as of 1995, competitive advantage is defined as a superior customer value which is concluded by market domination and superior financial performance and/or a superior status in the market allowing success to be obtained by a relatively lower cost (Hunt and Morgan, 1995:5-6). At these studies, superior financial performance or “unearned income” are used as an indicator of competitive advantage. Similarly sustainable competitive advantage is only a competitive advantage sustains for a long period of time (Aharoni, 1993:31-49; Jacobson, 1988:415-430). Especially these opinions arguing usage of financial indicators have been criticized and the need of conceptualization of this structure including indicators supporting solid foundations for sustainable competitive advantage has emerged (Barney, 1991: 99-120; Day and Wensley, 1988:79-89). Responding to these critics, Day and Wensley (1988) has suggested to empower comprehensive market advantage indicators together with financial indicators.

Day and Wensley (1988) have also mentioned that one of the important keys in competition based measurement models is to evaluate distinctive capabilities during competitive advantage. At the functional structure suggested for ability based model, it should be determined the basis of competitive advantage which it has been established over and the followings should be analyzed; whether the administration has gained superior financial advantage and market advantage or not, whether the opponents have imitated the competitive strategy of the administration or not and what are the distinctive capabilities (Day and Wensley, 1988:79-89; Barney, 1991:99-120; Hall, 1993:607-618). So; competitive advantage basically emerges from innovation/development and change. Whenever administrations find a new foundation for competition or whenever they discover better tools for competition, they shall get the edge over their opponents (Papatya, 2007b:13). At the research related with innovation and administration performance, it is understood that innovation leads to a better performance (Lengnick-Hall, 1992:399-429). As a result, the following hypothesis has been obtained:

**H3:** There is a positive relation in between organizational innovation and sustainable competitive advantage.

It is thought that role of marketing capabilities within sustainable competitive advantage is to ease success of market innovations. Comprehensive researches show that they have a significant impact over new products produced during marketing activities. Insufficient market analysis, sales, distribution and promotion efforts have negative impacts over the success of the new product. Product performance is a significant indicator for success at marketing activities. For this reason, it is asserted that marketing capability leads to sustainable competitive advantage (Song and Parry, 1993:125-133; Calantone and Di Benedetto 1988; 201-215; Schmidt, 1995:23-33; Cooper and Kleinschmidt, 1987:169-184). It is quite important for the administrations to have unique marketing capabilities in creating new markets. Whenever administrations have such unique capabilities, they shall have a significant competitive advantage in producing new products/services, in creating new business forms and in developing new channels (Papatya et al., 2007:429). The composed hypothesis at this point is as follows:

**H4:** There is a positive relation in between marketing capability and sustainable competitive advantage.

## RESEARCH METHODOLOGY

### Data Collection

Universe of the study is 1.062 manufacturing administrations located in Ankara province. While sampling is made throughout manufacturing administrations, basically product innovation and then all kinds of innovation researches performed within the administration have been effective in decision making. Another matter has been to prevent heterogeneity of technological processes used by administrations which have impacts over research results of the industry (Dess et al., 1990:8-13). Two sub sectors namely Main Metal Production and Fabricated Metal Products sectors have been selected among administrations which are active in manufacturing industry. These two selected sub-sector groups are active in metal based production activities and technological processes used by them are similar to each other.

In this two sector, questionnaires have been sent to 192 administration managers by a customized top letter. Later, mail and telephone contacts have been provided by these 192 administrations in order to get more responds from them. In total, 165 questionnaires have been answered. This means that 85 % rate or return has been obtained. At the studies performed by participation of top management, 20 % rate of return is accepted as satisfactory (Menon et al., 1996:304). As a matter of fact, responding rate is at a quite high level in this study.

### Measurements

All of structures available at theoretical model have been measured by using multi scale. Used multi scales are explained in the following sections.

### Intensity of Entrepreneur

Intensity of entrepreneur scale measures search of the administration for strategical leadership, innovation, proactivity and risk. Higher scores obtained in this scale show that decision makers of the administration have a higher tolerance about value, innovation, proactivity and risk. Statements used in the scale have been prepared by utilizing study performed by Namen and Slevin as of (1993). Alpha of the scale used in the study which has been performed as of 1993 is 0.81. This scale is formed of three dimensions, namely; innovation, risk taking and being proactive.

### **Marketing Capability**

Marketing capability scale measures quality of customer services of the administration, effectiveness of advertisements, quality of sales power, power of distribution networks, power of marketing researches, speed of presenting new products and ability of differentiating products. Higher scores obtained in this scale show that the administration has adequate ability to use marketing tools and techniques. This scale used in this study is an adaptation of the scale used initially by Atuahene Gima at the study performed as of (1993). At the mentioned scale, 10 statements have been used and alpha of the scale has been 0.78. Alpha of the scale in this study is 0.80.

### **Organizational Innovation**

Organizational Innovation shows that administration is functional regarding type and level of innovation. There are innovation types including product, process, management and marketing innovations. Higher scores obtained in this scale show that the administration is capable of bringing radical innovations for product, process, management and marketing systems. Alpha of the scale used in this study is 0.85.

### **Sustainable Competitive Advantage**

Competitive advantage scale shows the power of administrations against their opponents from innovation and different capabilities point of view. At composite measurement which has been performed in this study, study performed by Day and Wensley as of (1988) has been utilized. Regarding values of Sustainable Competitive Advantage, it is seen that not only financial performance but also inimitability of the administration and availability of distinctive capabilities are the foundations of competitive advantage. Higher scores obtained in this scale show the distinctive capabilities of the administration which it has against its opponents in order to obtain superior financial / market advantages. Alpha of the scale used in this study is 0.83.

### **Analysis Technique**

At the study, measurement models of the same type from each one of theoretical structure have been forecasted by using LISREL 8. Structural Equation Modelling (SEM) is important in evaluation of reliability of measurement models of the same type and in verification of unidimensionality. In present days, SEM is important because it is possible to test direct and indirect effects in between observable and non-observable variables within a single model (Joreskog and Sorbom, 1996:21-26; Anderson and Gerbing, 1988:414-415; Meydan and Şeşen, 2011:5; Durukan and Hamşioğlu, 2015:11). At the study, confirmatory factor analysis has been applied over the variables. Confirmatory factor analysis has been applied because it is an analysis at which it is tested whether a pre-defined and limited structure is verified or not as a model and confirmatory factor analysis has also been preferred in order to evaluate the construct validity. Besides, at the inter culture scale adaptation studies used by researches, it is suggested to start the analysis directly by confirmatory factor analysis. Since factor pattern of the mentioned tool at the original culture has been analyzed many times by qualitative and quantitative studies and experimental proofs related with construct validity have been determined (Çokluk et al., 2012:275-283; Şimşek, 2007:4; Durukan and Hamşioğlu, 2015:11).

For these reasons, confirmatory factor analysis has been used in the study. Confirmatory factor analysis has been applied to every dimensions separately and variables spoiling the harmony have been eliminated from the study. At the following Table 1, statistical values about goodness, harmony and reliability of four structures are shown. Variables which have been obtained as a result of confirmatory factor analysis show that factor structure is in conformity.

Acceptability of harmony values of the model which has been formed in accordance with these values are in good level (Schermelleh-Engel et al., 2003:23-74; Netemeyer et al., 2003:151-157; Bentler, 1990:238-246; Durukan and Hamşioğlu, 2015:11).

**Table 1: Goodness, Harmony and Reliability Values of Structures**

Structures	$\chi^2$	S.D	$\chi^2$ /S:D	GFI	AGFI	RMSR	RMSEA	CFI	NNFI	NFI	Alpha
Intensity of Entrepreneur	92.34	36	2.57	0.94	0.91	0.045	0.073	0.96	0.95	0.95	0.81
Marketing Capability	85.12	42	2.02	0.90	0.90	0.043	0.067	0.95	0.96	0.96	0.80
Organizational Innovation	78.85	30	2.63	0.94	0.89	0.065	0.075	0.97	0.96	0.95	0.85
Sustainable Competitive Advantage	60.25	28	2.15	0.93	0.90	0.060	0.072	0.96	0.95	0.96	0.83

At the evaluation of reliability of scales, Cronbach alpha test which is one of the most widespread methods has been utilized (Ravichandran and Rai,1999: 119-155; Jansson, 2000: 1446-1476). At literature, whenever Cronbach alpha coefficient is bigger than 0,70, then the found value is accepted as satisfactory for internal reliability at social sciences (Baum and Wally, 2003: 1107-1129). At all of the used scale, alpha values are bigger than 0,70 and they are changing in between 0,80 and 0,85. These values show that reliabilities of the scales are at higher levels.

In order to determine whether the structures have disintegration validity, average variance explained (AVE) have been separately calculated for each structure and these estimations have been evaluated together with correlation analysis results. The fact that AVE of each factor being bigger than squares of correlation coefficients of each other factors shows that scales have disintegration validity (Compeau and Higgins, 1995: 189-211; Fornell and Lacker, 1981: 39-50). At the following Table 2, average values, standard deviations, AVE and correlation values in between structures are shown.

**Table 2: Average Values, Standard Deviation, AVE Values and Correlation Values in Between Structures**

Structures	M*	SS**	AVE***	1	2	3	4
1 Intensity of Entrepreneur	3.89	.767	0,75	1.000	0,65**	0,73**	0,66**
2 Marketing Capability	4,20	.811	0,72	0,65**	1.000	0,68**	0,61**
3 Organizational Innovation	4.05	.860	0,80	0,73**	0,68**	1.000	0,72**
4 Sustainable Competitive Advantage	4,38	.730	0,83	0,66**	0,61**	0,72**	1.000

(.)Average Value, (·) Standard deviation, (-) Average variance explained (AVE), (\*\*) Correlation values are meaningful at 1 % level.

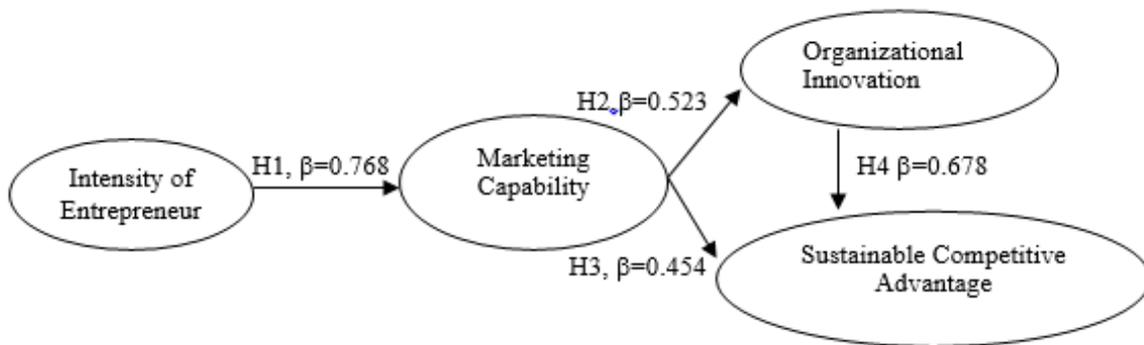
After confirmatory factor analysis and validity and reliability analysis, structural models and hypothesis have been started to be examined.

### CONCLUSIONS

Forecast values of the structural model have been determined and hypotheses have been tested after measurement model of each structure is specified separately. Chi-square statistical value and degree of freedom of the structural model, ( $\chi^2=210.454$ , S.D=95,  $\chi^2/S.D= 210.454/95= 2.21$ ), and on the other hand, goodness harmony values have given consistent results for the structural model. Briefly; [ goodness of fit index GFI=, 0.92, root mean square RMS residual RMSR=0.068, comparative fit index CFI=0.95, normed fit index NFI=0.96, adjustment goodness of fit index AGFI=0.92, nonnormed fit index NNFI=0.95, root mean square error of approximation RMSEA=0.074]. Marketing ability explains %25.5, organizational innovation explains %45.6 and Sustainable Competitive Advantage explains 28.8% of the structural model and so additional support is provided for the structural model. Standardized parameter estimations and t-values for the structural model are shown in the following Table 3. All of the parameter estimations have been found statistically meaningful. At the following Figure 1 hypotheses which have been formed under the conceptual framework and their relations are shown.

**Table 3: Parameter Estimations Standardized for Final Model**

Road Analysis	Parameter Estimation	t-value
H1-Intensity of Entrepreneur → Marketing Capabilities	.768	7.467
H2- Marketing Capability → Innovation Intensity	.523	2.334
H3- Organizational Innovation → Sustainable Competitive Advantage	.454	8.560
H4- Marketing Capability → Sustainable Competitive Advantage	.678	3.668



**Figure 1: Conceptual Model Based on Hypotheses Relations**

According to these obtained results, there is a powerful and positive relation in between intensity of entrepreneur and marketing capabilities according to H1 hypothesis ( $b=0.768$ ,  $t=7.467$ ), there is a partially powerful and a positive relation in between marketing capabilities and organizational innovation according to H2 hypothesis ( $b=0.523$ ,  $t=2.334$ ), there is a comparatively powerful and a positive relation in between marketing capabilities and sustainable competitive advantage according to H3 hypothesis ( $b=0.454$ ,  $t=8.560$ ) and finally, there is a powerful and positive relation in between organizational innovation and sustainable competitive advantage according to H4 hypothesis ( $b=0.678$ ,  $t=3.668$ ). As a result, composed H1, H2, H3 and H4 hypotheses have been accepted and research model that has been formed in theoretical framework has been fully verified.

### CONCLUSION AND RECOMMENDATIONS

Findings obtained from the study have provided significant support for conceptual framework. Main subject of this study is that marketing capability, innovation based competitive strategy

and distinctive capabilities are formed by entrepreneur decision makers of the administration. As in theoretical framework, competitive advantage hypothesis explains a significant portion of the variable. Marketing capabilities have a statistically meaningful and positive impact over organizational innovation and sustainable competitive advantage. Since marketing capabilities are determinative for innovative activities in administrations, they have impact over both technological and non-technological innovations. Besides, marketing capabilities also trigger the administration for it to obtain a continuous competitive advantage (Hutt et al., 1988:4-19; Day, 1992:323-329; Varadajan, 1992:335-343). Obtained findings show that intensity of entrepreneur is a significant determinative of the marketing capability and it also provides support for capability theory of sustainable competitive advantage. Administrations make efforts continuously to develop their marketing capabilities and to form distinctive capabilities in order to obtain competitive advantage. It is possible to mention that entrepreneur administrations are in an effort of organizational innovation.

The role of competitive strategy marketing function has been discussed in literature during recent years, however contributions of marketing capability which has a potential to contribute to mostly competitive strategy as a strategical ability over innovation based competitive strategy has been discussed in a conceptual manner. In this study, entrepreneurship, marketing capability, organizational innovation and sustainable competitive advantage have been tested in order to develop theoretical relations. At the findings; it has been seen that marketing capability plays a dual role and has an impact over both organizational innovation and sustainable competitive advantage. Besides, at the composed model it has been seen that decision makers play a key role in development of marketing capabilities. The study provides contribution to strategical marketing theory and for implementing people, results of this study play important role in development of competitive advantage. Limit of the study is that it has been performed at two selected manufacturing industry. It is foreseen that if ever sampling volume increase and different industries are selected then different results shall be obtained.

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## Social Desirability and Affect: Linking Domains of Content

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### Abstract

Emotions influence decision making as do more general personal and social values. Conflict between these factors may result in increased processing time in order to select a single response to self-report personality measures. Given the broad influence of social desirability on test responding, the current study assessed affective reactions to adjectives with known social desirability evaluations for the purpose of evaluating whether the affect experienced by an evaluator is related to the social desirability of the stimuli. Twenty-nine university undergraduates responded with either approach or avoidance to a series of adjectives used in personality assessment with the Myers-Briggs Type Indicator. Words with higher social desirability values received more positive affective evaluations and had faster response times, suggesting a link between affect and social desirability. Discussion of the findings relates to current theoretical models on social desirability and affect.

**Keywords:** affect; social desirability; decision-making; evaluation; Myers-Briggs Type Indicator

### SOCIAL DESIRABILITY AND AFFECT: LINKING DOMAINS OF CONTENT

Decision making on any particular matter is influenced both by the individual factors involved (e. g., personal preferences, past experiences) and by relevant societal values (e. g., general evaluation or social desirability). According to Slovic, Finucane, Peters and MacGregor [1], affect refers to the specific quality of goodness or badness of the emotion arising from experiencing a stimulus. This is not to say that affect is a quality that resides in the stimulus, but rather that people rapidly, and possibly automatically, evaluate their environments and experience a sense of the goodness or badness as an emotional response to specific stimuli. Cacioppo, Berntson and Gardner [2] argue that these affective judgements are performed by a specialized mental process distinct from that responsible for identifying the stimulus, and may serve an adaptive function as the basic motivation for approach/avoidance behaviors [3]. For the purposes of this study, affect is defined as "the set of operations necessary to decide if one's initial reaction to a stimulus is positive or negative."

Social desirability is commonly defined as "the set of operations necessary to assign a numerical social desirability value to an item" [4, p.1]. In the past, researchers have assessed this construct by asking people if a particular attribute is desired by a specific group of people (e. g, peers), by society in general, or by asking them if they would find the attribute desirable in others. This process is distinct from faking, or the attempt to present a false image [5]. A key difference between affect and social desirability judgments is that affect refers to how positively or negatively an observer reacts to a stimulus.

Two theoretical frameworks make distinct predictions about how a relationship between social desirability and affect might operate. Studies of adjectives from the English lexicon have replicated a single factor that is generally labelled as “evaluation” or “social desirability” [3, 6]. Another model emphasizes personal qualities of the person responding. Paulhus [7] conceptualizes socially desirable responding as a function of the internal processes of impression management and self-deception. Both processes imply increased response time in cases in which the item has highly salient social desirability [7, 8]. The relationship between affect and social desirability may be one in which the perceived social desirability of a stimulus causes a person to either experience positive affect in responding or to respond in the direction associated with the rated social desirability. Under this model, a curvilinear relationship is expected between the social desirability of items and reaction time, with the slowest reactions occurring at either end of the social desirability continuum.

Stenberg, Wiking and Dahl [9] showed that words which generate positive affect are evaluated more rapidly than words which generate negative affect. When the affective response is congruent with the evaluative properties of the item, response speeds should be faster than when the two are incongruent [10]. Cacioppo et al. [2] argue in favor of the idea that the normal resting baseline for the affective system is mildly positive rather than neutral. This is an important adaptive feature which motivates curiosity towards novel stimuli, which in turn leads to exploratory behaviors. Cacioppo et al. [2] also argue that most experimental conditions produce mild positive affect. This operates in tandem with a negativity bias. Stimuli or items that generate negative affect attract people’s attention and hold it because it may present a threat to them that must be monitored. While people tend to move towards positive affect, when they do experience negative affect they attend to it for longer. Thus, the positivity bias is not a result of faster processing for stimuli which generate positive affect, but rather a result of relatively longer, more cognitively intense processing of stimuli that generate negative affect. Both forms of socially desirable responding (self-deception and impression management [7]) increase the amount of processing required for items both high and low in social-desirability. It is therefore possible that the evaluative context for words may be coming from the study itself or a pervasive general tendency towards positive affect in the absence of negative affect.

While a link between affective responses to evaluative items is predictable, the nature of that link is less predictable across the range of socially desirable or evaluative content. The purpose of the current study is to evaluate whether there is a positive relationship between peoples’ judgments of how socially desirable a word is and the positive or negative feelings generated by the word. The neutral conditions under which social desirability and affect data were collected should result in a mild positive affect. This provides the evaluative context which influences subsequent judgments.

Words which are more socially desirable are expected to lead to more positive ratings of affect, so it would be expected that these variables would be correlated. It would also be expected that words which produce positive affect would be evaluated faster than words which produce negative affect, because people would attend to negative words for longer and expend more cognitive resources evaluating them.

## METHOD

### Participants

Twenty-nine first and second year psychology students (24 females) from James Cook University, Australia participated. The age of the participants ranged from 17 to 47 years with

a mean of 22.4 years ( $SD = 7.60$ ). Participants received credit towards their studies for participation. This sample size was based on calculating power for detecting a correlation of 0.5 with a probability of .80 and Type 1 error rate of .05.

### **Procedure**

After receiving instructions and providing informed consent, participants were seated at a computer. They were instructed that the computer would display a series of words, which they would evaluate in terms of the initial feelings they experienced in the presence of the word. If they evaluated the word positively, they should pull the joystick towards themselves, and if they evaluated the word negatively, they should push the joystick away from themselves. Participants were told to “try not to think about it too much, and just give your first, initial emotional reaction”. Participants were instructed to sit in such a way that their arm was at a right angle when the joystick was in the neutral position. This served to ensure all participants had to make a significant movement in order to respond, and to standardize that movement between participants. Response speed was repeatedly emphasized in the instructions (i.e., “Speed is a factor in this, so please respond as quickly as possible”) as was an individual affective response (i. e., “this is about your personal emotional response to the word”). The computer recorded responses and response speeds, after which the experimenter answered any questions the participants had, gave them a feedback sheet with relevant contact information, and thanked them for their participation.

### **Materials**

The equipment at each of the two test stations included a joystick, IBM compatible PC, Superlab software, and software to enable Superlab to receive input from the joystick. The joysticks were Logitech Wingman USB joysticks featuring Microsoft-compatible human interface device controllers designed for use with video games. The joysticks were connected to the PCs and Joystick 2 Mouse 3.20 software was used to convert all forward movements of the joystick into simulated keyboard input of the letter N, and all backwards movements of the joystick into simulated keyboard input of the letter P. All other buttons and movements on the joystick were set to be ignored in the software. Superlab 4.0 software was used to display stimulus words and record which of the two simulated keyboard letters was pressed (N or P) as well as the amount of time (in milliseconds) that passed between presentation of a stimulus and the participant making a response. The words displayed on the screen and evaluated by participants were those used in part 2 of the Myers-Briggs Type Indicator (MBTI), a non-clinical personality inventory. Part 2 consists of 45 pairs of words in which the test-taker under normal conditions selects one of the two words as more descriptive of them [11]. In this study the words were displayed individually, with presentation order randomized for each participant.

### **Measures**

Helmes, Harris, and Fraboni [12] provided ratings of the words' social desirability based upon the Wiggins [4] definition. These social desirability evaluations were used because they were obtained recently. Mean affect response type across participants was used as a measure of affect direction (positive or negative) and affect strength (frequency of positive responses across participants) for each stimulus word. The number of positive responses for each stimulus word was counted. Because response type is a binary variable, and all responses that are not positive must be negative, the decision to use positive responses was arbitrary. Mean affect response speed was used as an additional measure of affect strength.

## Results

Response speed ( $M = 856.5$  msec.,  $SD = 244.8$ ,  $N = 29$ ) was found to be acceptably normally distributed (Kurtosis =  $-.61$ ,  $SE = .85$ , Skewness =  $.50$ ,  $SE = .43$ ) and free from outliers. Visual examination of a bivariate plot of the relationship between social desirability and affect response speed did not suggest the type of curvilinear relationship that would be expected from items with highly salient social desirability producing slower responses. Data for affect response type (Kurtosis =  $2.13$ ,  $SE = .50$ , Skewness =  $1.48$ ,  $SE = .25$ ) and affect response speed (Kurtosis =  $.43$ ,  $SE = .53$ , Skewness =  $.82$ ,  $SE = .25$ ) were deemed to violate the normality assumption required for Pearson's correlation, so these variables were correlated using Spearman's rank order correlation. A correlation between social desirability judgments for stimuli words ( $M = 6.2$ ,  $SD = .6$ ,  $N = 90$ ) and response time ( $M = 856.5$ ,  $SD = 126.14$ ,  $N = 90$ ) was highly significant,  $r(88 \text{ df}) = .45$ ,  $p < .01$ . The correlation between positive responses ( $M = 22.4$ ,  $SD = 4.86$ ,  $N = 90$ ) and response time was also highly significant,  $r(88 \text{ df}) = -.68$ ,  $p < .01$ , as was the correlation between social desirability and positive responses,  $r(88 \text{ df}) = .59$ ,  $p < .01$ . Word length was correlated with response speed in order to determine if speed of responding was influenced by differences in the time required to process the words alone. The correlation between response time and number of letters in stimulus words ( $M = 7.4$ ,  $SD = 2.21$ ,  $N = 90$ ) was not significant,  $r(88 \text{ df}) = .18$ . Table 1 shows a complete list of the 90 words used alongside mean social-desirability ratings, reaction time in milliseconds, and the total number of positive evaluations made.

**Table 1. Descriptive statistics for social desirability, positive responses, and reaction times for adjectives from the Myers-Briggs Type Indicator**

Word	Mean SD Rating	Reaction Time (MS)	Positive Responses (number)	Word	Mean SD Rating	Mean Reaction Time (MS)	Positive Responses (number)
Scheduled	7.231	811.655	22	Hard	5.4	876.483	8
Unplanned	4.654	1081.621	6	Sensible	6.52	712.379	27
Gentle	6.731	674.379	26	Fascinating	6.84	768.276	27
Firm	5.692	970.276	17	Forgive	6.92	743.207	26
Facts	6.654	695.172	24	Tolerate	6.52	981.241	19
Ideas	6.538	798.379	29	Production	6.2	867.966	23
Thinking	6.346	744.862	24	Design	6.44	755.069	26
Feeling	6.5	699.069	26	Impulse	5.32	788.207	24
Hearty	6.192	717.862	24	Decision	7	867.448	20
Quiet	5.808	810.690	23	Who	6.64	876.724	22
Convincing	6.5	981.793	25	What	5.577	881.172	17
Touching	6.154	806.379	25	Speak	6.115	750.379	25
Statement	5.846	867.690	21	Write	6	814.517	23
Concept	6.192	948.655	24	Uncritical	5.769	1186.862	14
Analyze	6.115	893.655	21	Critical	5.56	904.483	11
Sympathize	6.538	821.931	25	Punctual	6.308	833.345	23
Systematic	6.077	904.586	21	Leisurely	5.692	747.000	26
Spontaneous	6.077	770.414	25	Concrete	6.269	1131.966	22
Justice	6.923	749.621	25	Abstract	5.692	1053.034	18
Mercy	5.923	863.517	22	Changing	5.538	929.655	24
Reserved	5.154	927.448	17	Permanent	5.885	815.103	21
Talkative	5.962	831.862	24	Wary	4.346	1145.241	11
Compassion	6.885	668.310	26	Trustful	7.115	711.483	27
Foresight	6.423	929.379	23	Build	6.346	876.448	17
Systematic	6.154	948.862	21	Invent	6.885	889.069	25
Casual	6.577	804.276	28	Orderly	6.308	880.552	21
Calm	6.385	622.103	27	Easygoing	6.885	862.586	25
Lively	6.577	746.724	27	Foundation	6.692	991.793	25
Benefits	6.577	765.276	25	Spire	5.769	1081.586	18
Blessings	6.385	742.966	27	Quick	5.962	944.000	23
Theory	5.692	965.069	21	Careful	6.885	751.448	25
Certainty	7	916.000	24	Theory	5.654	955.655	20
Determined	6.654	857.655	25	Experience	7.192	798.759	27
Devoted	6.577	877.966	26	Sociable	7.154	797.793	23
Literal	6.192	883.690	23	Detached	4.038	835.931	8
Figurative	6.038	1118.276	19	Sign	5.96	799.241	25
Firm-Minded	5.885	1213.655	18	Symbol	5.96	833.345	27
Warm-Hearted	7.077	738.793	27	Party	6.154	687.897	26
Imaginative	6.846	861.448	26	Theater	6.346	857.793	22
Matter-Of-Fact	5.692	1151.828	19	Accept	6.423	780.138	27
Peacemaker	6.962	814.034	28	Change	6.192	842.655	18
Judge	5.846	770.586	15	Agree	6.077	719.448	28
Make	5.96	920.000	25	Discuss	6.885	893.690	20
Create	6.68	693.414	28	Know n	7.115	735.241	23
Soft	6.2	673.345	24	Unknow n	5.308	1069.483	9

## DISCUSSION

In this study stimulus words that had higher social desirability values were associated with faster response times. This relationship between social desirability and affect suggests that

affective judgments are associated with social desirability judgments in that people tend to like things consistent with their internalized schemas of what is socially desirable. Our results are thus consistent with the density hypothesis that positive evaluative information is perceived faster than negative evaluations because there are more positive evaluations in memory [13].

The existence of a general evaluative context seems adequate to explain the findings of the current study. People are presumed to have a general resting baseline of affect which can be further increased or decreased by external pressures. This internal state of affect activation influences future evaluations of a variety of stimuli, including self-descriptive adjectives, and very likely, self-report descriptive statements.

Another factor in this study is that the stimulus words themselves had a positive bias. The lowest social desirability score for any of the words used here was 4, and the highest was 7.2 on a scale of 1 to 9. Affect responses were highly skewed towards the positive, and during debriefing many of the participants asked questions to the effect of “were they (the stimuli) all supposed to be positive?” Presumably this is because the items in the MBTI generate neutral to moderately positive affect because people are asked to judge which of them applies to themselves, and words which generate strong negative affect would be problematic for this purpose. Thus, social desirability and affect judgments may be correlated because the evaluative context for both conditions produced mildly positive affect, which further skewed evaluations for words selected to be positive. Positive words were evaluated faster because positive evaluation is congruent with the evaluative context, and because people tend to attend to negative words for longer. A study in which adjectives were selected to have a full range of desirability values from highly negative to highly positive would be preferable.

Another possible interpretation concerns weaknesses in the current study, which should be addressed in future studies. The validity of assessing affective response by asking people whether they feel a stimulus is good or bad may be questionable. Future research may address this flaw by assessing affect through the affective priming paradigm [14]. A study in which people are asked to make social desirability judgments in a situation with a similar negative evaluative context would help to evaluate the argument that affect and social desirability are related in that they are both strongly influenced by evaluative context.

The findings of the current study are important in that they support the idea that the affect generated by test items may be associated with responding in a socially desirable manner. If social desirability is further shown to be modified by evaluative context in the same ways as affect, this is relevant to work in the areas of stereotypes and social biases in addition to personality assessment.

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## Recruitment and Selection Practices adopted by SMEs in Microfinance Firms in the Accra Metropolitan Area of Ghana

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### Abstract

This study sought to investigate the Recruitment and Selection practices among small and medium businesses using the microfinance sector of the Ghanaian economy. A cross-sectional survey design was used for the study and data were obtained through questionnaire from 40 managers of small and medium size microfinance firms in the Accra Metropolitan Area of the Greater Accra Region of Ghana. Descriptive statistics with tables and frequencies were used for the analysis. The study found out that managers mainly recruit by word-of-mouth. They did not use sophisticated recruitment strategies, and selection was mainly done through practical tests and interviews among others. Their candidates normally come from the recommendation of friends and relations. In a nutshell, the microfinance institutions use recruitment and selection practices that are cost effective and less time consuming instead of the available sophisticated practices.

**Keywords:** Small and Medium Size Enterprises, Microfinance Institutions, Human Resource Management Practices, Recruitment and Selection

### INTRODUCTION

The basic proposition is that small firms frequently fail to tackle effectively impediments which threaten their current operation and frustrate attainment of higher levels of output and employment. In order to implement a successful business strategy to eliminate this challenge, organizations must ensure that they have the right people capable of delivering the strategy. Human resources are the most valuable assets of any organization. It plays a major part in the overall success of the organization and there is, therefore, the need to ensure the effective management of human resources in order to achieve organization objectives. The main objective of this study therefore is to examine the recruitment and selection practices adopted by these SMEs, by implication it addresses the question; what recruitment and selection practices are adopted by SMEs in the microfinance industry.

Human resource is the skills, talents, abilities, knowledge, energy, intelligence and the capabilities of the people to learn. (Banuako, 1991). It is the proper utilization of these assets for the achievement of the goals of the organization that is referred to as "management". Human resource plays a major part in the overall success of the organization. Mathis and Jackson (1994) pointed out that the management of people at work is one of the primary keys to organizational success. Every organization needs to plan, organize, direct and control the affairs of the organization in order to achieve its corporate goals. It is human beings who do all these things mentioned above. Therefore, if we do not have the right calibre of people to perform these functions, things would go wrong in the organization. Tracey (1994) defines Human Resources Management as the organization functions that focuses on the effective management, direction and utilization of people both the people who manage, produce, market and sell the products and services of an organization and those who support their original

activities. It deals with the human element in the organization – people as individuals and groups, their recruitment, selection, assignment, motivation, empowerment, compensation, utilization services, training, development, safety, promotion, termination and retirement.

The progress of every organization depends on the human resource practices adopted by the organization. Small and medium size enterprises (SMEs) cannot function well without proper human resource practices. The objective, therefore, is to maintain the relationship in such a way that at any given time, the firm has the right kind of people at the right place, rendering most economical and useful services, thereby contributing to the sustenance and growth of the enterprise as a whole. In fact, they are the centre of every organization. Extensive attention has been given to the role small businesses play to facilitate global economic development in recent years (Verheaul and Thunrik,2000). Globally, hundreds of thousands of men and women start new small businesses and these entrepreneurial activities make major contributions to worldwide economic growth. Many nations have perceived the role SMEs play as the engine of growth to the development of their countries and Ghana is no exception. Many governments in recent years have turned their attention to selectively targeted policies for growth. In Ghana, SMEs constitute the vast majority of firms and generate income and have a substantial share of both overall employment and output which directly affect poverty reduction.

There is no single, uniformly acceptable, definition of a small business (storey, 1994). The definition of 'small and 'medium' business varies per country and largely depends on the criteria for determining 'small' and what qualifies as a 'business'. Again, firms differ in their levels of capitalization, sales and employment. Hence, the most common criteria used to differentiate between a 'large' organization and a 'small' one is the size of its labour force, sales revenue, total value of assets and the value of owner's equity. In Ghana, generally this target group is defined as Micro enterprises: those employing up to 5 persons with fixed assets not exceeding the value of \$10,000; Small enterprises: those employing between 6 and 29 persons with fixed assets of \$100,000 and Medium enterprises: those employing between 30 and 99 persons with fixed assets of up to \$1 million. For the purpose of this research, the researcher used the number of employees of the enterprises as the criteria for the selected microfinance. For the purpose of this research businesses employing up to 50 employees were used for the study.

One of the growing service sectors of our economy is the financial sector which has the microfinance institutions embedded in its sector. Generally, microfinance encompasses the provision of financial services and the management of small amounts of money through a range of products and a system of intermediary functions that are targeted at low income clients. The term covers the provision of financial services as a whole to the poor. (Micro capital, 2009). Their services include loans, savings, insurance, transfer services and other financial products and services.

## LITERATURE

One of the most significant developments in the field of organization in recent times is the increasing importance given to human resources. It is important that issues relating to human resource management are given serious attention and well taken care of in every organization. The development of people, their competencies, and the process development of the total organization are the main concerns of human resource management (Mullins, 1999). It is, therefore, necessary to investigate the use of HRM practices by SMEs, to better understand its importance and possibly compensate for difficulties they may encounter in the formalization of

these practices. An effective human resources practice by SMEs has the potential to help boost their growth. It is common to associate SMEs with poverty in terms of resources, putting them at a disadvantage having regard to large enterprises. With SMEs, HRM is more modestly practiced and sometimes even without any professional expertise. The lack of expertise in HRM is the source of the low number of initiatives regarding the establishment of procedures called HR in smaller businesses. The latter prefer using law enforcement or simply imitating the practices set up in other organizations. These issues pose a constant challenge to SMEs.

Recruitment and Selection is the process of attracting individuals on a timely basis, in sufficient numbers and with appropriate qualifications (Walker, 2009). Recruitment and Selection form an essential part of small and large businesses alike, as without employees many businesses would have difficulty in maintaining their existence, nor would employees gain employment without their interlocking dependence and discourse of interrelatedness and existence. Vacancy normally occurs when someone leave the organization; when a specialist is required for a particular position; when the volume of work has increased; when something new is happening, for example the launching of a new product and also due to growth or expansion of the business. Thus recruitment is the process of identifying and attracting potential candidates from within and outside an organization and selection then begins when the right person of candidates are identified. It is argued that in order for the firm to build and sustain the competitive advantage, proper staffing is critical. Recruitment and Selection then is a major function of human resource management function as it encompasses all organizational practices and decisions.

Although considerable research has been devoted to recruitment and selection procedures in big organizations, little attention has been paid to SMEs. Small firms are frequently unable to afford HRM staff and therefore, their owners/managers have to perform such duties as recruitment and selection themselves. For small businesses, it is anticipated that the cost of recruitment becomes more prohibitive the smaller the business, and depends on the demands placed by the economic circumstances of the workplace environment. Shortcomings in definition and measurement in current and past research suggest the need for further validation of recruitment and selection practices in small firms, and a more careful definition of what recruitment and selection practices adopted by the microfinance firms is, especially relating to this study. Thus, this study, therefore, sought to address the gap by examining the recruitment and selection practices by SMEs in the Accra metropolis using microfinance firms.

## **METHODOLOGY**

The study, quantitative in nature utilized a cross-sectional survey research design of which purpose was to examine the recruitment and selection practices adopted by these microfinance firms. In a cross-sectional survey, the researcher selects a sample of respondents from a population and administers a standardized questionnaire to them. The study sought to examine human resource management practices within SMEs in the financial industry with a focus on the recruitment and selection practice adopted by these microfinance firms in the Accra Metropolis of Greater Accra Region. The choice of Accra metropolis was used because the research area is full of business activities; hence a lot of these microfinance institutions are located there. The Bank of Ghana who is the manager of the microfinance institutions in Ghana was contacted for the names of registered and licence microfinance institutions in the metropolis which was used as the sample frame. The target population for the study comprised all managers or owner-managers of the microfinance firms. This consisted of both owner-managers and managers. By definition, 'owner-managers' are the owners of the

financial institutions who manage it themselves and 'managers' are those who have been hired to manage the business for the owners.

The study adopted the probability sampling method of simple random sampling to draw respondents for the study. It is a sampling technique in which the probability of the selection of each respondent is known and the sample drawn may be regarded as representative of the population been studied (Ofori, & Dumpson, 2011). Again, the choice of simple random sampling is a fair way to select a sample and reasonable to generalize the results from the sample back to the population. Equal chance was given to all those registered and licence microfinance firms authorised by the Central Bank and registered with the NBSSI by using the simple random sampling method. Forty (40) respondents were selected to respond to the questionnaire. The questionnaire was designed for owner-managers and managers. It was made up of three (3) parts. The first part asked of firms details. In part two of questionnaire respondents were also asked personal background information, regarding age, sex, educational level and work experience. The remaining part of the questionnaire looked at the recruitment and selection practices addressed in the research. Respondents were asked work-related information regarding recruitment and selection, and to what extent are they practiced by the firms. In analyzing the collected data, tables, percentages and frequencies were used to analyze responses to each item on the questionnaire.

### **RESULTS AND DISCUSSION**

The study examined the recruitment and selection practices adopted by SMEs in the microfinance firms in Accra Metropolitan Area of the Greater Accra Region. The results of data collected from forty managers/owner of microfinance firms in the study area were analysed using SPSS.

Table 1 below shows the distribution of selected background characteristics of respondents. These variables include age, sex, education, duration of service, and acquisition of position. The age distribution of respondents indicates that 53.3 percent were aged 41 to 50 while fewer respondents (10%) were aged 31 to 40.

In terms of sex distribution of respondents, 66.7 percent were males while 33.3 percent were females. Also, about 53 percent had secondary education while about 7 percent had basic education. With regard to duration of service in management position, 40 percent spent 1 to 3 years in management positions while a few (3.3%) spent less than one year in management position.

**Table 1: Background Characteristics of Respondents**

Variable	Frequency	Percent
Age		
20-30	8	13.3
31-40	6	10.0
41-50	32	53.3
51+	14	23.4
Sex		
Male	40	66.7
Female	20	33.3
Education:		
Basic	4	6.7
Secondary	32	53.3
Tertiary	24	40.0
Duration of service		
< 1 year	2	3.3
1-3 years	24	40.0
4-6 years	20	33.3
7+ years	14	23.4
Acquisition of position		
Employed	16	26.7
Inherited	18	30.0
Founded	26	43.3

**Source: Fieldwork, 2015**

Further, it is indicated that 43.3% of the respondents were founders of their microfinance while 26.7 percent were employed into their current position.

In summary, 53.3 percent of the managers were aged 41 to 50; a majority were males while 66.7 percent also had secondary education.

Table 2 presents results in relation to the recruitment and selection process. Table 2 shows 96.2 percent of the managers did not recruit from professional associations while the remaining 4 percent did. Also, 92.6 percent did not recruit from private employment agencies while the remaining 7 percent did. The table shows that 96 percent did not recruit from educational institutions. Also, 93 percent did not recruit from professional organisations while the remaining 7 percent did. Again, 92.2 percent indicated they did not recruit from news paper advertisements. Besides, 96.3 percent of the respondents did not recruit from trade and professional journal advertisements while the remaining 4 percent did. In addition, 90.0 percent did not recruit from unions while 10 percent did. The table also shows 77.8 percent did not recruit from internal notice boards/memos. It was evident that a majority of 86 percent of the respondents recruited by word-of-mouth.

**Table 2: The Recruitment Practices Used by Respondents**

Statement	N= 40	
	Yes (%)	No (%)
Do you recruit from professional associations	3.7	96.3
Do you recruit from private employment agencies	7.4	92.6
Do you recruit from educational institutions	3.8	96.2
Do you recruit from professional organisations	7.4	92.6
Do you recruit from news paper advertisements	7.8	92.2
Do you recruit from trade and professional journal advertisement	3.7	96.3
Do you recruit from unions	10.0	90.0
Do you recruit from internal notice boards/memos	22.2	77.8
Do you recruit by word-of-mouth	85.7	14.3

Source: Fieldwork, 2015

Table 3 exhibits the results relating to the selection process. The table indicates that 64 percent of the managers selected their employees by assessment of application letters to new recruits. It was evident from Table 4 that 95 percent selected by assessment of qualifications/experience while only 5 percent was not doing that. Also, 63 percent of the respondents confirmed selecting their employees by investigating from previous employers while approximately 37.5 percent did not necessarily do that. From the table, it can be found that 62.5 percent selected their employees by practical tests. Furthermore, 96.0 percent selected their employees by conducting interviews. It is clear that 67 percent did not select their employees by referees' report during the selection process. Besides, 70.8 percent did not select their employees by written test while only 29 percent did so. In answering question on medical examination, 66.7 percent did not select their employees by medical examination results.

**Table 3: The Selection Practices used by Respondents**

Statement	N= 40	
	Yes (%)	No (%)
Do you select by assessment of application letters	64.0	36.0
Do you select by assessment of qualifications/ experience	95.2	4.8
Do you select by investigation from previous employers	62.5	37.5
Do you select by practical test	62.5	37.5
Do you select by interviews	96.0	4.0
Do you select by referees' report	33.3	66.7
Do you select by written test	29.2	70.8
Do you select by medical examination results	33.3	66.7

Source: Fieldwork, 2015

Respondents were further asked to indicate their recruitment and selection practices. The details have been provided in Table 4. As shown in Table 4, 60 percent of the managers had written job description for positions while 40 percent had not. Eighty percent (80.0%) of the

respondents reported that they did not require applicants to fill application forms when employed. Also, 76.7 percent of the managers required applicants to submit application letters for selection. In addition, 63.3 percent required their new staff to take medical examinations after selection has been done. Moreover, from the table, the results depict that 53.3 percent of the managers provided their new staff with appointment letters.

Table 4 also shows that 83.3 percent of the managers who provided appointment letters included duties and responsibilities in the letters. Only 75 percent included job titles in their appointment letters while the remaining 25 percent did not. Similarly, 75.0 percent included salaries and benefits in their appointment letters for new recruits. Further, 79.2 percent included SSNIT contributions in their appointment letters and are ready to pay to the government. The results also show that 54.2% and 79.2% of the respondents did not include leave entitlements and probationary periods in their appointment letters respectively.

In summary, 60 percent of the managers had written job descriptions for positions, required applicants to submit application letters, required new staff to take medical examinations and provided new staff with appointment letters, but did not require applicants to fill application forms. Also, the majority of the managers who provided appointment letters included duties and responsibilities, job titles, salaries and benefits, SSNIT contributions and probationary periods, but the majority did not include leave entitlements in the appointment letters.

**Table 4 General issues on recruitment and selection**

Statement	N= 40	
	Yes (%)	No. (%)
Do you have written job description for positions	60.0	40.0
Do you require applicants to fill application forms	20.0	80.0
Do you require applicants to submit application letters	76.7	23.3
Do you require new staff to take medical examinations	63.3	36.7
Do you provide new staff with appointment letters	53.3	46.7
Do you include duties and responsibilities in appointment letter	83.3	16.7
Do you include job titles in the appointment letter	75.0	25.0
Do you include salaries and benefits in the appointment letter	75.0	25.0
Do you include SSNIT contributions in the appointment letter	79.2	20.8
Do you include leave entitlements in the Appointment letter	45.8	54.2
Do you include probationary periods in the appointment letter	79.2	20.8

Source: Fieldwork, 2015

### CONCLUSION

With regard to recruitment and selection practices, generally the managers did not recruit from professional associations, private employment agencies, educational institutions, professional organisations, news paper advertisements, trade and professional journal advertisements, unions as well as internal notice boards/memos. These sources of recruitment are comparatively quite expensive and time consuming, and may be the major reason why a majority of the managers refrained from using them. However, a large majority of the managers recruited by word-of-mouth. According to Byars and Rue (2000), the main aim of the

recruitment and selection process is to obtain a number of quality employees at a minimum cost to satisfy the human resource needs of an organization. This could perhaps be the reason why a majority of the employers or owner-managers preferred to recruit by word-of-mouth which is one of the most cost effective ways of recruitment a manager could ever use.

Furthermore, a large majority of the owner-managers selected their employees by assessment of their application letters, assessment of qualifications/experience, investigation from previous employers, practical tests and interviews. However, a majority of the managers did not use referees' report, written test, and medical examination results. Actually, selection of new staff involves choosing the applicants who have the qualification to perform the job and in selecting these employees, small businesses normally attempt to obtain individuals whose capacities and skills complement those of the owner or manager.

Concerning recruitment and selection practices, the managers did not recruit from professional associations, private employment agencies, educational institutions, professional organisations, news paper advertisements, trade and professional journal advertisements, unions or internal notice boards/memos. They recruited by word-of-mouth. They also selected their employees by assessment of their application letters, assessment of qualifications/experience, investigation from previous employers, and conduct of practical tests and interviews. They did not select by referees' report, written test and by medical examination results.

The majority of managers had written job description for positions, required applicants to submit application letters, required new staff to take medical examinations, and provided new staff with appointment letters. However, they did not require applicants to fill application forms. Managers who provided appointment letters included duties and responsibilities, job titles, salaries and benefits, SSNIT contributions and probationary periods, but did not include leave entitlements in the appointment letters.

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# **The Influence of Learning Model Based Character Education to Student Characters and Learning Outcomes**

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## **Abstract**

This research objective is to know the influence of learning model based character education to students learning outcome in cognitive domain in general physics I subject and the characters that can be developed. This research used quasi experiment method, the population are all of the students in mathematics education science faculty in State University of Medan that attend the general physics I subject, with sample of two classes. One class is experimental class that treatment by learning model based characters, the other one is control class without learning model based characters. Through this model also developed the character of interpersonal and intrapersonal students. Interpersonal character involve the religious aspect, curiosity, responsibility, thoroughness, perseverance, honesty and confidence and intrapersonal characters involve aspects of cooperation and tolerance. The conclusion is that there is the influence of learning model based characters education to students learning outcomes in cognitive domain, where the cognitive learning outcomes of students that learned by the learning model based character education is higher than that learned without learning model based character education.

**Keyword:** Learning Model, Character, Learning Outcomes

## **PREFACE**

National education aims to develop skills and character development and civilization of the nation's dignity, develop the potential of students to be perfect man, a man of faith, devoted to God Almighty, noble, healthy, scholar, creative, independent, become citizens of a democratic and characterized. The era of globalization is a fact that cannot be denied. Revolutionary technology, transportation, information and communication makes the world more narrow as limitless. Knowledge and technology become the vanguard that should be prioritized in order to adapt to the era of globalization (Asmani, 2011). Physics subject in school expected to develop knowledge and concepts of physics and technology that can be applied in daily life so that can produce students who are able to compete in the development of science and technology (Astra, et.al. 2012). Beside of that learning physics is expected to produce students who have good character.

Physics is a part of Natural Science (Science). In essence, physics is as well as product and process. As a product of physics is a collection of knowledge consists of facts, concepts, principle, law and procedures. As the physical processes is a way to find out about the facts on the natural surrounding systematically. Physics can develop the ability to think analytically inductive and deductive in solving a problem that can develop the knowledge, skills and confidence. Physics has a strategic role and very important in the development of future technologies. Therefore, in promoting the development of science and technology, physics learning needs serious attention from primary education to universities (Rapi, 2016). Thus the study of physics is not enough to understand the concepts but must be able to experience the process of getting these concepts. Physics learning should be implemented by involving students directly in the learning through scientific methods

Most teachers implement conventional physics learning so that students become less passive participation, lack of initiative, and lack of creativity in thinking. Physics learning require teachers who not only provide the information in one direction but in different directions because it will affect the learning process (Mundilarto, 2013). Learning by interaction in one direction, only emphasizes the aspects of the product such as memorizing formulas or concepts cannot facilitate the students to interact in different directions where Bybee (2002) states that learning is the interaction of ideas and processes, new knowledge builds upon previous knowledge, meaningful learning when students are involved and interact with ideas and processes.

However, the learning process does not always have to use the same learning model. Researchers developed a general physics learning model based character education (PLMBC models) is designed in such a way to emphasize the importance of communication and meaningful learning. PLMBC models developed based on constructivist theory which says that meaningful learning occurs when students construct their own knowledge. Model PLMBC provides the opportunity for students learning activities through a problem resolution requires students to find solutions and measures used in the PLMBC are (1) communicate its goals and motivate students; (2) present information about the subject matter; (3) organize students in learning groups; (4) investigation; (5) presenting the results of the investigation; (6) evaluating the results of the investigation; (7) reward (Derlina, 2015)

The Ministry of National Education in the grand design of the character education has made policies to integrate character education into the curriculum from pre-school education elementary to college. Character education became a necessity because it not only makes students become intelligent but has character and manners that have meaning as citizens and communities. This is motivated the rise of people's behavior as well as students who are not showing good character.

### **RESEARCH METHODE**

Research conducted in Mathematics Education Science Faculty State University of Medan. The study population was all students of the first semester of 2016 who took the general physics course II. This research sample are two classes determined by cluster sampling. One class as an experimental class (chemistry education extension a class) learned with learning model based characters, one control class (chemistry education a class) learned without learning model based characters. The research design used in this research is the design of two-group pretest-posttest as shown in Table 1.

**Tabel 1. Research Design**

Class	Pretest	Treatment	Posttest
Experiment	T <sub>1</sub>	X	T <sub>2</sub>
Control	T <sub>1</sub>	Y	T <sub>2</sub>

**Information:**

T1 : Pretest cognitive learning outcomes

T2 : Posttest cognitive learning outcomes

X : Learning general physics II with learning model based characters

Y : Learning general physics II without learning model based characters

Data collection techniques in this study used the result test and observation sheet. Cognitive learning outcomes test and observation of character observed before and after learning. Observation sheet arranged to observe the character shown by the students to the religious, curiosity, responsibility, accuracy, diligence, honesty, confidence, cooperation and tolerance aspect. Data analysis in this research used descriptive analysis. Descriptive statistical analysis performed to present or discover the level of development of cognitive learning outcomes and student character. The results obtained consist of pretest and posttest data and then calculate with % N-Gain to gain score as following formula:

$$g = \frac{x}{S_{max}} \times 100\%$$

Information:

g = Average of gain

S<sub>post</sub> = Average of posttest character

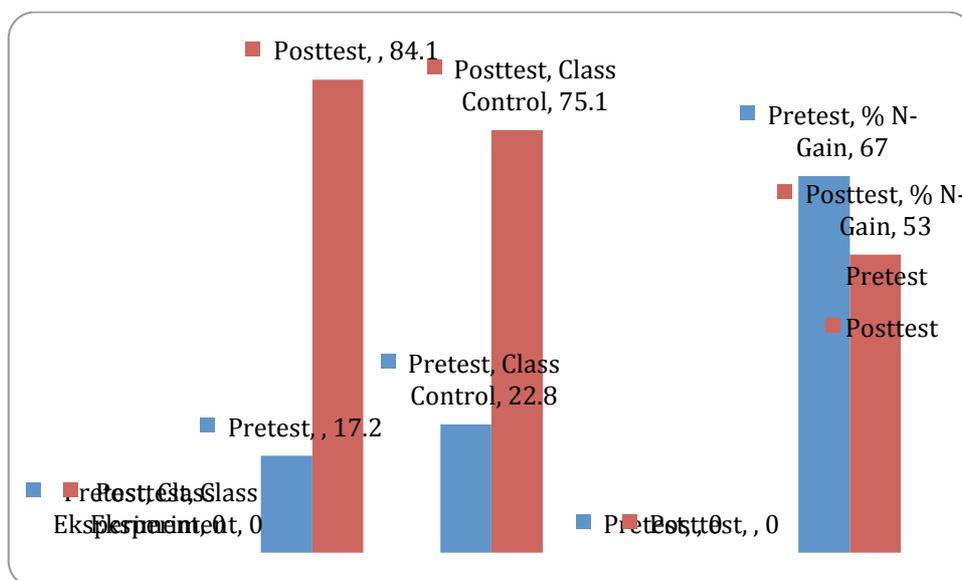
S<sub>pre</sub> = Average of pretest character

S<sub>max</sub> = Score max ideal

High and low % N-gain categorized as follows: (1) if the % N-gain > 70%, high category; (2) if 30% ≤ N-gain ≤ 70%, the moderate category; and (3) if the N-gain < 30%, the low category (Hake and Richard, 2002).

**RESULT AND DISCUSSION****Students Cognitive Learning Outcomes**

Description of research results to the cognitive learning outcomes of students in the learning model based character education and without learning model based character education on the pretest is presented in Figure 1. Description Value of pretest-posttest and % N-Gain of cognitive learning outcomes Control and Experiment class.

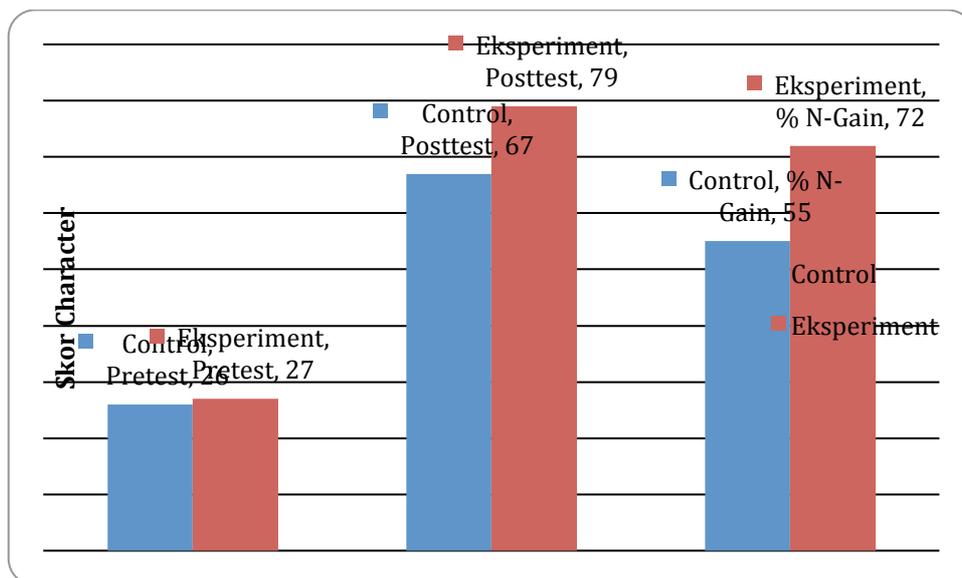


**Figure 1: Cognitive learning outcomes and % N-Gain Class of Experiment and Control**

In Figure 1 shows that the cognitive learning outcomes of students in control and experiment class before being given treatment are not much different and include the category of relatively low. After being given the treatment cognitive learning outcomes of students in the experimental class is better than the control class. Moreover % N-Gain experimental class is higher than the control class. So, it can be concluded that the increase in cognitive learning outcomes of student in experimental class that learned with learning model based character education is better than the control class that learned without learning model based character education

### Development of Student Characters

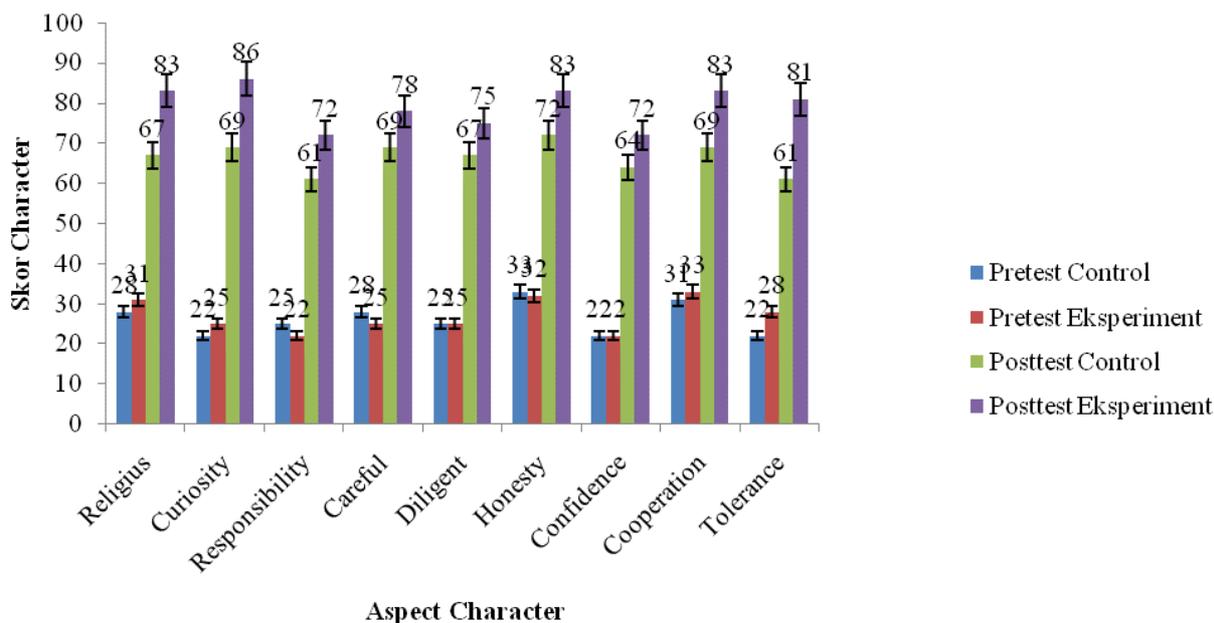
Before and after treatment for each class is presented in Figure 2, Aspect of characters that discussed in this research include interpersonal character (gratitude, curiosity, responsibility, accuracy, diligence, honesty, and confidence) also intrapersonal character (cooperation and tolerance). Aspects selection was based on the results of the analysis of the learning outcomes developed learning model. Results of statistical analysis of descriptive character of students in the pretest, posttest and increasing percentage of character (% N-Gain) experimental class and control class can be seen in Figure 2.



**Figure 2. Comparison of Average score of Pretest Posttest and % N-Gain of character in Experiment and Control Class**

Based on Figure 2 shows that the mean score pretest character of control class is lower 1 than experimental class, the experimental class characters mean score higher 10 than compared to the control class. Results of students character in pretest and posttest produces % N-Gain experimental class 17% higher than the control class

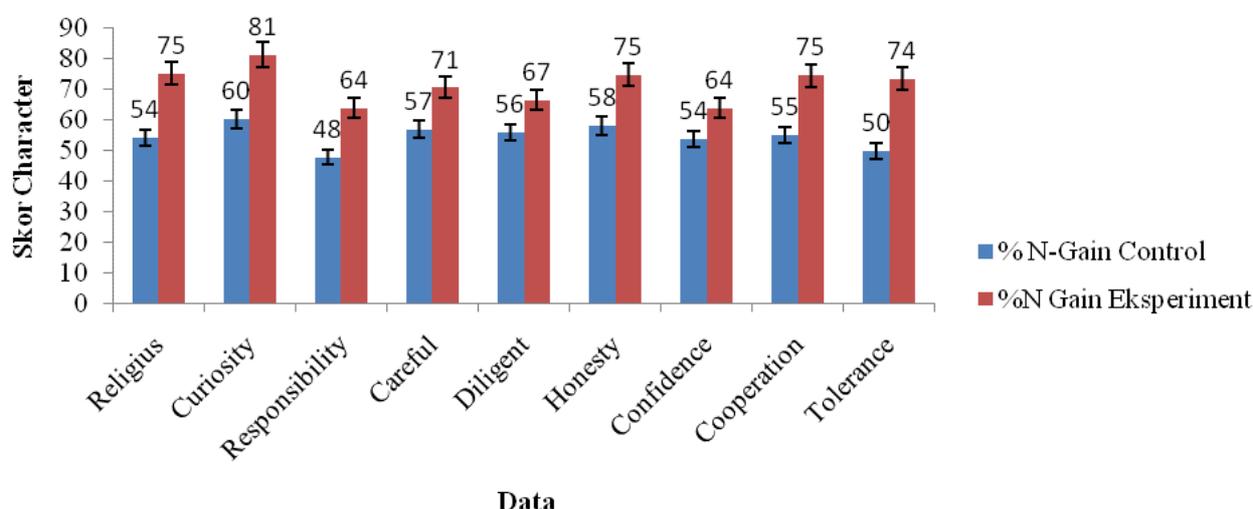
Comparison the scores of characters to some aspects of the character that was developed is shown in Figure 3. The highest percentage score pretest of character in experimental class contained on aspects of cooperation (33), the lowest in the aspect of confidence and responsibility (22). In the control class highest score of character on aspects of honesty by 33. The lowest score in the aspect of curiosity, confidence and tolerance at 22.



**Figure 3. Comparison of Average Score for Every Characters Aspect to Pretest Posttest Experiment and Control Class**

The highest character percentage of posttest in experimental class is in curiosity aspect (86), the lowest is in the confidence aspect and responsibility by 72. At control group posttest the highest score is in the honesty aspect by 72, the lowest is in the tolerance aspect and responsibility by 61. The percentage score of characters in every aspect of every character after learning was increased.

Pretest and posttest scores of characters in experimental class and control class produce N-Gain percentages shown in Figure 4. It is seen that the percentage of N- Gain of the experimental class is highest in the aspect of curiosity by 81 in the high category and the lowest for the aspects of responsibility and confidence by 64 with medium category. In the control class N- Gain percentage is highest in the aspect of curiosity by 60 with the medium category, lowest for the aspects of responsibility by 48 also in the medium category.



**Figure 4. Comparison of % N-Gain for Every Character Aspect between Experiment Class and Control Class**

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## Reflexives and Reciprocal relations in Ga

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### Abstract

In this paper, we examine the devices that the Ga language uses to express anaphoric relations, especially, such notions as one act on one self (reflexive). 'A acts on B' and 'B acts on A' (reciprocal) and other relationships involving nominal in a particular local domain that results in construing them as having the same referent. This paper, which draws heavily on Carnie (2013, 2002) Haegeman (2006), and Reuland (2001) show that (i) pronouns may function as anaphoric elements in certain syntactic contexts. (ii) reciprocal relations are expressed with verbs and the 'self/body' constructions which serve as the reciprocal marker and (iii) reflexives are marked with the use of verbs which indicate that action is being performed on the subject itself or a possessive pronoun plus he (self) construction.

**KEY WORDS:** Anaphora, Antecedent, Co-reference, Reciprocal, Reflexive

### INTRODUCTION

In generative grammar, Chomsky (1995), Hageman (1991, 2006), and Carnie (2002, 2013) identify three types of noun phrases (NPs). Carnie (2013: 147- 149) and (Carnie 2002:89-98) explained these NPs as (i) A referring expression which is "an NP that gets its meaning by referring to an entity in the world. (ii) anaphor, which is "an NP that obligatorily gets its meaning from another NP in the sentence," and (iii) a pronoun which is "an NP that may (but need not) get its meaning from another NP in the sentence". The paper focuses on anaphors and how they are realized in Ga. Anaphors are normally divided into two types: reflexives, which are expressed in English with reflexive pronouns such as herself, himself, etc. and reciprocals, which include expressions like each other and one another. Plain pronouns may also function as anaphoric elements in certain discourse contexts; therefore, they will be included in this study of anaphora.

The term "anaphora" is used to refer to the phenomenon in human languages whereby an NP gets its interpretation from another NP within a particular syntactic domain or the context. Anaphoric relation is generally used to refer to the relationship between nominal such that they are construed to be co-referential. The term "anaphor" is used to refer to any form that depends on a syntactic antecedent or some discourse relation for its reference. Carnie (2002:98, 2013:147-149) explains anaphor as "an NP that obligatorily gets its meaning from another NP in the sentence. Haegeman (2006:74) also defines anaphoric elements as "elements that can be used to replace strings of words. Reuland (2001:276) also asserts anaphor as co-argument that must be co-indexed, if there is one. From the definitions given, "while Carnie and Reuland restrict the application of anaphors and anaphoric relations to NPs, Haegeman allows for the application of the terms to other sentence elements such as verb phrase (VPs). This paper will focus mainly on reflexive and reciprocal relations on noun phrases (NPs) in Ga and the devices used to articulate these relations.

There have been few studies on reflexives and the process of reflexivization in the Akan language. Osam(2002:142; 2008) did a study on reflexives. He opines that “ body care actions” are used for reflexives and that whenever there is a competition between the two within the same sentence, it is the locality condition on anaphor interpretation that helps to distinguish a reflexive reading from one that is not a reflexive reading. Other studies on the subject includes Saah(2003, 2007); Haegeman (2006); Reuland (2001); Agbedor(2014) and Mazengia (2014) just to mention a few. My aim in this study is to examine the linguistic devices that the Ga language employs to express (i) how pronouns may function as anaphoric elements in certain syntactic contexts. (ii) reciprocal relations are expressed with verbs and the ‘self/body’ constructions which serve as the reciprocal marker and (iii) reflexives are marked with the use of verbs which indicate that action is being performed on the subject itself or a possessive pronoun plus the (self ) construction. The work is structured as follows: Section 1 presents the introduction, background information about the language in focus, it provides a note on the data and methodology of the study and the pronominal system of Ga. Section 2 discusses ordinary pronouns used as anaphors in Ga. In Section 3, we examine the issues involved in the interpretation of Reciprocal Co-reference. Section 4, we examine the strategies used for reflexive co-reference. The last section, section 5 looks into issues connected with the interpretation of anaphors

### **Language Information**

Ga is a Kwa language belonging to the Niger- Congo family. Williamson (1989) classifies it as belonging to the Nyo sub-group. It is the indigenous language of the capital of Ghana, Accra. It is spoken in the coastal towns of Osu, La, Teshie, Nungua, Tema, Kpone, as well as in a number of ‘small towns and villages as far as the borders of the Akyem and Akwapim regions. Ga has two contrastive tones: high and low. Conventionally, tones are hardly marked in the respective orthographies, a practice which is maintained in this study. With regard to the word order, it is no different from its other Kwa neighbors in being SVO.

The data for this paper is drawn from the Ga Methodist hymn book, Ga Bible, recorded utterances heard from the media and excerpts from conversations. The recorded conversation is interactive in nature, but not based on a particular topic or subject. The recordings are focused on these places: University of Education, Winneba students and programmes on Obonu FM. I chose this media because a lot of social and political discussions are aired on the radio and the issues discussed will compliment the data for the study. During the analysis, the recordings and the excerpts are transcribed orthographically. After that the utterances which involves the anaphor is selected. With the Bible and the hymns, the chapter and the verses containing anaphors will be used for the analysis. The source of the data is coded alongside with the expressions used. The binding theory principles of Haegmann (2006) and Carnie (2013) is adopted for the work.

### **The Pronominal System of Ga**

All the various ways used to express anaphoric relations in Ga involve the use of personal pronouns. As a result, it is of much important to take a look at the pronouns in the Ga language before we look at the study. The table below shows the pronominal system in Ga.

**Table 1: The Pronouns in Ga**

Person/Number	Subject Form	Object	Possessive	Gloss
1SG	mi	mi	mi	me
2SG	o/bo	bo/o	bo/o	you
3SG	E/le	le	e	s/he/ it
1PL	wɔ	wɔ	wɔ	we
2PL	nye	nye	nye	you
3PL	ame	ame	ame	they

From the above data, all pronouns in Ga have the same form from the subject, object and possessive cases. The possessive pronouns are the same as the accusative forms for all persons except the 3rd person singular / e / . "his /her/its. The subject form of the 2SG / bo / and 3SG / le / pronouns is used in emphatic utterances. For example :

- 1a. Bo o wolo ne  
 2SG SUBJ 2SG POS EMPH book this  
 (This is your book or This book is yours)
- b. Le e wolo ne  
 3SG SUBJ 3SG POS EMPH book this  
 (This is her book or This book is hers /his)

### Pronouns Used as Anaphors

Any pronoun may be anaphoric in the sense that it may refer to an entity already introduced in a context (1a) or in the same sentence (1b). Unlike the case of reciprocals or reflexives where the antecedent and the anaphor (ie reciprocal or reflexive) must occur in the same local domain (ie, the clause containing the anaphor and its antecedent) a pronoun and its antecedent need not be found in the same locality.

- (2a) Ataa Kwei ke e-na ke ame Shaayoo na oshra.  
 Ataa kwei and 3SG-POS wife and 3PL-POS in-law see accident.  
Ame fee ame pila shi e-na le je mli.  
 3PL all 3PL injuries but 3SG-POS wife DET ICV die

Ataa Kwei and his wife and their in-law had an accident.  
 All of them had injuries but his wife died.  
 (English translation, mine.)

- b. Adei wie ake e- baa-fa gbe  
 A. say-PST that 3SG-FUT ICV travel  
Adei said that she will travel

In these examples, the underlined and co-indexed elements are co-referential. In other words, the pronouns e 'his' (1a) and e 'her' in (2a and 2b) respectively, take their reference from the NPs that precede them and can be analyzed as anaphor. It is interesting to note that in (2a), the 3rd person plural possessive pronoun ame 'their' refers to the NP Ataa Kwei ke e-na "Ata Kwei and his wife" both the pronoun and the conjoined NP are in the same clause/sentence. The 3rd person plural subject pronoun ame "they" takes its reference from the NP Ataa Kwei ke e-na ke ame shaayoo "Ataa Kwei and his wife and their in-law". The antecedent NP and the anaphor however, are in different sentences. The pronouns agree in number and person with their antecedents.

**THE CONCEPT RECIPROCAL CO-REFERENCE**

Reciprocity expresses the notion that ‘X acts on Y and Y acts on X. This refers to a situation where there are two or more people who are doing the same thing to one another. Mazegia (2012:7) opines that “ reciprocals are conceptually similar to reflexives; in both cases, the agent is at same time a patient which in effect results in argument reduction from both semantic and syntactic viewpoint”. In Ga this is achieved by means of a possessive pronoun + he construction (this we shall call the reciprocal marker) the verb can be single or reduplicated. We shall see in our next section that the possessive pronoun + he structure is the same as what is employed in reflexive constructions. . Reciprocal marker involves a plural pronoun when its antecedent is plural.

Consider the examples in (3). In (3a, 3b and 3c) are extracts from texts in the bible. We have used brackets to enclose the clauses that contain the reciprocals and their antecedents for easy reference. This text is taken from both the Ga and the English bible.

- (3a) Kita        hee    mi-ᵏᵏᵐᵐ        haa    nye.    (ake nye-sumᵐᵐa  
 Command new 1SG -take HAB give 2PL    that 2PL love  
 nye-he)    taake    bᵐ ni    mi sumᵐᵐ        nye le  
 2PL Self    as        how    1SG HAB love    2PL DET  
 Nakai (nye hu nye-sumᵐᵐ- sumᵐᵐ- a    nye he)  
 That is 2PL also 2PI REDUP-love        2PL Self  
 (John 13:34, the Ga Holy Bible. English glosses NIV)

A new command I give you. Love one another. As I have loved you, so you must love one another. (John 13:34, NIV)

- b. .... Wᵐ- hi - ᵐ    e-    mli    ni    lε hu    e- hi- ᵐ    wᵐ-    mli  
 1PL stay+HAB 3SG POS inside CONJ 3SG also 3SG stayHAB 1PL POS inside

- c. Mɔ ni ye - ɔ mi he loo ni e nu - ɔ mi la lɛ  
 who eat HAB 1SG self flesh CONJ 3SG drink HAB 1SG blood DET  
e hi - ɔ mi mli ni mi hu mi hi - ɔ e mli  
 3SG stay HAB 1SG POS inside CONJ 1SG also 1SG stay HAB 3SG POS inside

(Anyone who eats my flesh and drinks my blood,  
 lives in me and I also live in him Jn 6 : 56)

- d. O kɛ O he e kɛ mi, mi kɛ  
 2SG 2SG Self 3SG give 1SG 1SG  
mi he kɛ bo  
 1SG Self give 2SG  
 (Thou gav'st Thyself for me, I give myself to Thee. M. H.B. 391)

- e. Akwele kɛ Oko Sumɔɔ amɛ he  
Akwele and Oko love-HAB 3PL-POS Self  
 (Akwele and Oko love each other)

- f. Nye jajea nye tɔmɔi nye tsɔa nye he ni  
 2PL confess 2PL faults 2PL show 2PL POS self CONJ  
nye sɔlea nye - ha-hai nye he ni nye he ata  
 2PL pray 1PL-give REDUP 2PL POS Self CONJ 2PL POS Self finish

(So then, confess your sins to one another and pray for one another, so that you will be healed)  
 (James 5:16, NIV)

The examples in (3a), (3b), (3c) and (3d) involve imperative constructions while those in (3e) and (3f) involve ordinary declarative. In each case, however, an NP that serves as the antecedent of the reciprocal element is syntactically expressed. In all the examples, the plural personal pronoun plus he 'self' structure is used, for example, nyehe "yourselves" amɛhe "themselves". wɔmli our heart' If we should consider the example in (3d) one could find that the sentence is ambiguous. Thus Akwele kɛ Oko sumɔɔ amɛhe could be interpreted as: "Akwele and Oko are in love" or Akwele loves Oko and Oko loves Akwele" what probably could change that perception a little may be the names used because Akwele and Oko are twin names in Ga.

Mazegia (2012: 7) opines that "reciprocal are conceptually similar to reflexives; in both cases, the agent is at the same time a patient which in effect results in argument reduction from both semantic and syntactic viewpoint" Instead of two distinct Agent-Patient relations which would result in four participants, the argument would be limited to only two, i.e. Agent- patient as well as the relation as illustrated in (3e) above.

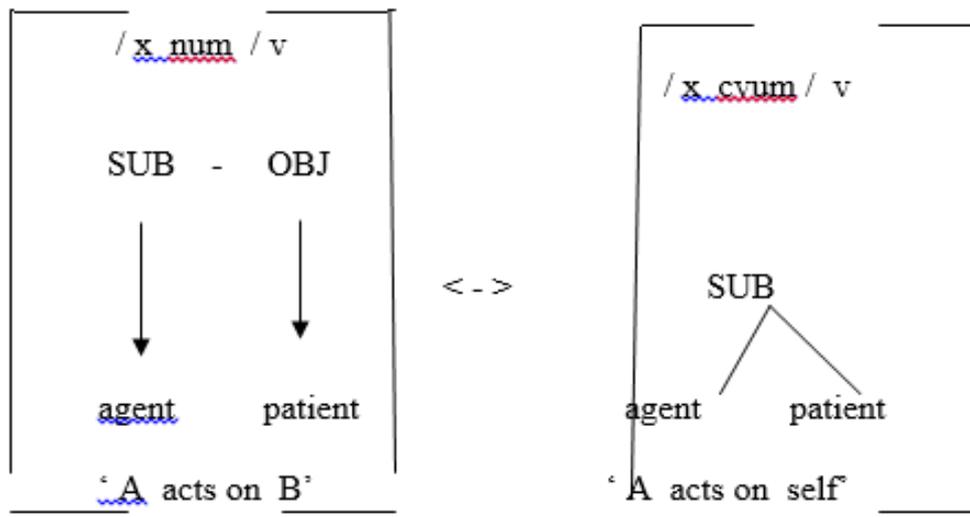
### The Concept Reflexive Co-reference

Reflexive refers to a process where, in a construction, the subject and the object relate or refer to the same entity Crystal (2008: 408). Haspelmath, & Sims (2012: 239) argues that the reflexive is a valence changing operation where the agent and the patient are co-referential, and can be seen as occupying a single syntactic function. This process involves the action of the verb affecting the same person who performs the action. Reflexives are used by languages to

express the notion of 'X' acts on X'. The languages of the world use several ways to express reflexive co-reference. Naden (n.d) as quoted by Saah (2006), states that the languages of the world exhibit several possibilities in the way they mark reflexives.

The reflexive item mostly used is he self or body. It is an abstract nominal. It has no function apart from the reflexive. The use of the reflexivity may be expressed by the use of special verbs. (i.e VP marking) and reflexive markers. In Akan for example, the reflexive is formed by a combination of the personal pronoun and the word for body (e.g. me ho 'myself', wo ho 'yourself' etc.) see Saah (2006). This is not different from the Ga expression of reflexive. The Ga reflexive is also formed by a combination of the personal pronoun and the word for body (e.g. mi he 'myself', wo he 'yourself', e he 'her/himself'). Haspelmath & Sims (2012) express the rule underlying this construction as put in Fig 1

Fig 1



They assert that in the reflexives, the meaning of the verb remains the same, but both the agent and the patient are co-referential with the same index as shown in the word - schema in Fig 1.

**Verbs that can be used transitively / intransitively**

From the verbs used in our examples, it appears that Ga language allows some form of VP marking of reflexives and this involves the choice of a particular type of verb. Saah (2006) classified those verbs as special kinds of verbs.

Only few verbs are used in this section. The verbs we use to refer to body activities include the following verbs; "jwɛɛ to think", tua to insert a medicine in the anus, sa " to douche' These are two place predicate that require a subject (which performs the role of an Agent) and an object (which performs the role of a Theme). However, most of these verbs can be used without an overt object. In Ga the verbs that indicate grooming of the body have to add he self and most often the object is covert. Let us consider the following examples with the verbs 'sa' to douche and tua which can be transitive or intransitive verbs.

4. a. E     iwɛn  
3SG    think PST  
He/She thought about himself
- b. E           iwɛn     e     he  
3SG            think PST 3SG- POS self  
He/She thought about himself
- c. E     iwɛn           Kofi he  
3SG    think PST     K. self  
He/She thought about Kofi
- d. E     iwɛn           e     yitso-ŋ  
3SG    think PST   3SG- POS head inside  
He/She thought deeply
5. a. Aku   baa   sa  
Aku   FUT   douche  
Aku will douche
- b. Aku   baa   sa     e     he  
Aku   FUT   douche 3SG- POS Self  
Aku will douche (herself)
- c. Aku   baa   sa     Dedei  
Aku   FUT   douche   Dedei  
Aku will douche Dedei
- \* d. Aku   baa   sa     e     dunaa  
Aku   FUT   douche 3SG- POS anus  
Aku will douche her anus

The examples in 4b&c, and 5b&c, show that the verbs used are transitive. However, the illustrations in 3a and 4a make the verbs intransitive and when used, the interpretation is always given that the subject (Agent) is understood to be acting upon himself or herself. (ie the subject NP is construed as both the Agent and the Theme). This makes the object of the verb covert.

It is always possible to use the possessive pronoun + he body/self-construction in reflexive body verb as in sentences (4b) and (5b). In such constructions, there is not much to choose between a reflexive reading and one in which the subject/agent is doing something to a part of his/her body. The part of the body that is affected by the action may be mentioned as described by the verb in sentences 4d, however, in 5d the part of the body affected by the verb may not be mentioned. In the Ga language, when the verbs *tua* or *sa* is mentioned, the part of the body where the medicine is to be applied is known.

### Reflexive Markers

Reflexives are morphologically marked with a possessive pronoun + the morpheme *he* which translates literally as ‘body’. This is very relevant in the Ga language because the reflexive is marked with a possessive pronoun + the morpheme *he* (ie self/body). This may be explained as a type of NP marking of reflexives. We may claim that, Ga is one of the languages that employ the use of possessed nominal for reflexives. Looking at the examples given the same form that means “body” is used to mark reflexives. Sung (2006:7) quoted in Saah (2006) confirms this by stating that abundant cross-linguistic evidence suggests that the derivation of reflexive markers from expressions of body parts is a common development of semantic change, either diachronically or synchronically: For instance, Haitian uses the noun ‘*tet*’ ‘head’... old French uses ‘*cors*’ ‘body’ with a possessive pronoun ...some of the African languages use the noun self or body as reflexive anaphors....”

This clearly shows that Ga is no exception in the use of constructions involving body parts which mark reflexives.

Let’s consider the examples below.

- 6) a. Amu fɔ                    tɛ    tswa                    e - he  
Amu throw PST            stone    hit            3SG POS-Self  
 ‘Amu hit himself with a stone’
- b. Amu fɔ                    tɛ    twsa    lɛ  
 Amu throw PST            stone hit            3SG  
 ‘Amu hit him/her with a stone’
- 7) a. Amu fɔ                    tɛ    tswa                    mi  
 Amu throw PST            stone hit            1SG
- b. Mi fɔ                    tɛ    tswa                    mi - he  
 1SG throw PST            stone hit            1SG POS-Self  
 ‘I hit myself with a stone’
- c. \*Mi fɔ                    tɛ    tswa                    mi  
 1SG throw PST            stone hit            1SG  
 ‘I hit me with a stone’
- d. \*Amu fɔ                    tɛ    tswa                    mi    he  
 A throw PST            stone hit            1SG POS-Self  
 ‘Amu hit my body with a stone’

The examples in (6) and (7) reveal the facts about Reflexivization in Ga. To start, the possessive pronoun + *he* gives a reflexive reading only when there is an antecedent NP within the sentence to which it may be co-indexed. Thus (6a) *e-he* ‘himself’ may be co-indexed with the antecedent NP, *Amu* (which happens to be the subject of the sentence), giving a reflexive reading. It cannot be interpreted as referring to some other person outside the sentence.

In (7b) *mi-he* ‘myself’ may be co-indexed with the antecedent pronoun, *mi* ‘I’ and no other entity outside the sentence. Both examples give the idea that the entities are interacting with themselves. The reflexive and its antecedent agree in person and number. The reflexives in

(6a) and (7b) are 3rd person and 1st person singular respectively and so are their antecedents. It just happens that wherever we have a reflexive, the possessive pronoun + he structure occurs in the same domain, (i.e in the same sentence) as the antecedent.

Secondly, pronoun forms without he (self) cannot occur where the conditions for Reflexivization are met. From the examples, where a reflexive pronoun is used, a simple personal pronoun or a full NP with the same purported reference is excluded.

Thus le "him/her in (6b) cannot refer back to the subject NP. Amu neither does the pronoun in (7c). Both of them refer to entities outside the sentence. Though, the pronoun mi 'I' in the sentence is syntactically ill-formed. This shows that when the conditions for Reflexivization are met, the rule must be applied if it is not applied, the result would be unacceptable because the sentence will be ungrammatical.

### EXPLANATION OF ANAPHORS

The generative syntax in Chomskyan tradition (Chomsky 1981) has a component of the grammar, the binding theory, which deals with the explanation of NPs. Anaphors, as we have seen are one of the three types of NP identified in generative grammar. We shall see whether the binding theory makes the right predictions about the explanations of anaphor in Ga.

#### Binding

To describe the relationship between an anaphor and its antecedent, we consider the notion of binding, which states that an anaphor must be bound. Culcover and Jackendoff (2005:217) asserts that "binding is a semantic relation, fixing one phrase's reference in terms of another'. The binding theory has received various formulation studies. We will adopt Carnie (2013), formulation of the binding theory:

#### Binding

A binds B if and only if

A c-commands B and A and B are co-indexed

#### Example

9. [IP [NP Amu] [VP baa – ju e – he]]  
 A. FUT bathe 3SG-POS Self  
 'Amu will bath himself'

The NP Amu C-commands the Pos+ he constructed, e -he 'himself' in (8) is co-indexed with it. e – he is therefore bound by the NP Amu. This means that e-he takes its interpretation from Amu, its antecedent.

There are situations where an anaphor-like element and a possible antecedent may occur in separate sentence. In such situations, the Binding Theory, as posited in (8) is not enough in solving the problem of interpretation. The anaphor and its antecedent must occur in a particular syntactic context for the proper explanation of the anaphor. To account for such situations, the locality condition of anaphor was postulated.

**Locality condition on the Binding of Anaphor**

There is a constraint on the occurrence of an anaphor and its antecedent can be from other. This is referred to as the Locality condition on the Binding of Anaphor and it is stated in Binding Principle A:

Binding Principle A

Anaphor must be bound in its binding domain (Carnie 2013: 155, ex 22)

Binding Domain

The clause containing the NP (anaphor, pronoun R-expression) (Carnie 2013: 154, ex 21)

Binding Principle A: as formulated above show that if an NP is to be interpreted as an anaphor, the NP and its antecedent must occur in the same clause (ie, its binding domain) for example in (9), the antecedent NP Amu and the reflexive e -he (herself) both occur in the same sentence (IP) where Amu c-commands and is co-indexed with e -he.

Given this explanation, we can now tackle the issue of how anaphors, especially, reciprocals and reflexives are interpreted in Ga. We shall look at situation where pronouns function as anaphors. It must be noted, however, that pronouns may, but need not, be bound. Carnie (2002:19) gives the following characterization of pronouns:

**PRONOUN**

An NP that may (but need not) get its meaning from another word in the sentence (Carnie 2002:91). To explain this, it means that pronouns can optionally get their meaning from another NP in the sentence, but they may also get their meaning from somewhere also.

13. Adei wie ake e baa -fa gbe ke  
Adei SavPST that 3SG FUT ICVtravel with  
Ataa Kwei tsone le  
Ataa K-POS car DET.  
 ‘Adei said that she will travel with ‘Ataa Kwei’s car’

The subject pronoun e ‘she’ is co-referential with the subject of the sentence, Adei. It cannot be construed with any other entity and can therefore be said to be an anaphor. Here, the notion of locality does not apply as the pronoun and its antecedent occur in separate clauses. This agrees to the definition of a pronoun in (13). Let us consider the case of reciprocal. There are examples of anaphors that must obey Binding Principle A.

14. Wɔ sɔle wɔ ha wɔ - he  
 1PL pray PST give PST 1PL-POS-Self  
 (We prayed for each other)

The reciprocal marker here wɔ+ he ‘each other’ or ‘one another’ is bound by the subject pronoun wɔ ‘we’. The two are in the same binding domain. Wɔ+ he is not referring to any other entity outside the sentence. Looking at the examples given, we can conclude that the binding theory specifically Principle A makes the right prediction about the interpretation of reciprocals in Ga.

When we consider reflexives, Saah (1989) asserts that there are certain complex structures in which the possessive pronoun + he structure can be construed as co-referential to the subject of both the matrix and the embedded clauses. This posits ambiguity in such situations especially between a reflexive reading as in himself/herself/itself (when one entity is acting upon himself/ herself) and another interpretation involving entity acting upon another person. In the second reading the possessive pronoun +he structure invariably refers to the body or part of the body as the referent that is, his/hers/it or 'near him/her/it.

### Examples

15. [Booba<sub>i</sub> [VP wie [CP akε [IP Dede<sub>i</sub> [VP baa-kwε e he i/j]]]]]  
IP\_Booba Say PST that Dede FUT-look 3SG-POS self

“Booba said that Dede will look at him (his physical body)

“Booba said that Dede will look after herself”.

- b. [IP Boobaj [VP wie [CP akε [Dede<sub>i</sub> [VP baa kwε le i/j]]]]]  
Booba say PST that Dede FUT-look 3SG  
 “Booba said that Dede will look at him

In example (15a) e-he can be coindexed with either Booba the subject of the matrix clause or Dede the subject of the embedded clause. A reflexive interpretation is ruled out in the first place, because it violates the locality condition on the interpretation of anaphors; e-he and Booba appear in different or separate clauses. We can paraphrase this as: “Booba said that Dede will look at him” can mean ‘his body’ and any connection with the reflexive are coincidental. In the second clause within the same sentence, Dede is co indexed with e-he. We have a reflexive reading here because both Dede and e-he occur in the same binding domain. (ie the same clause containing the subject NP Dede and e-he, thereby satisfying Binding Principle A, which regulates the interpretation of anaphors.

In the case of (15b), the pronoun le ‘him’ is coindexed with Booba, reflexivization is not possible because the two NPs do not occur in the same local domain and the pronoun le is not constructed with Booba.

Looking at the verb like wie ‘to say’ which select an NP/Pos+he complement, we can resort to Binding Principle A to separate a reflexive reading from a non-reflexive one let us consider the examples in (16) below:

16. a. Dede<sub>i</sub> mii-wie e - he<sub>i/j</sub>  
Dede PROG talk 3SG-POS Self  
 “Dede is talking about her/him or Dede is talking about herself

- b. Dede<sub>i</sub> mii-wie \*le<sub>i/j</sub>  
Dede PROG-talk 3SG

- c. [IP Boobaj na le [cp akε [IP Dede<sub>i</sub> mii-wie e-he i ]]]]  
 “Booba got to know that Dede is PROG talk 3SG- POS self ‘Him /  
 “Booba got to know that Dede is talking about herself”.

The sentence (16a) is ambiguous e-he can be interpreted as referring to Dede, in which case, have a reciprocal reading ‘Dede is talking about herself’. It can also be interpreted as referring to somebody outside the sentence. In such reading the notion of reciprocity is absent; e-he is there because it is a necessary feature of the complement option of the verb. (16b) shows that

a plain pronoun cannot occur as the complement of the verb “wie” to talk” (16c) shows that both Booba and Dedei can be coindexed with e-he. When Booba is coindexed with e-he, we do not get a reflexive reading because the two NPs do not occur in the same binding domain. The English translation reads: “Boobaj got to know that Dedeij is talking about himj. “But when Dedei is coindexed with e-he, we had a reflexive reading: “boobaj got to know that Dedeij is talking about herself. This is an instance where the complement option of the verb coincides with the conditions for Reflexivization. Thus in this instance e-he may be interpreted as reflexive, because, since the subject of Dedei, talking is herself, it satisfies the notion of ‘an entity interacting with him/herself’ it is interesting to note that on this reading both e-he and Dedei are in the same local domain thereby satisfying the requirements of Binding Principle A.

The examples given in (15) and (16) show that Binding Principle A makes the right predictions about the interpretation of reflexives in Ga.

### CONCLUSION

This paper has revealed how anaphoric relations are expressed in Ga. It has shown that pronouns can be anaphoric when they have an antecedent in the same sentence or in a particular context. Reciprocal relations, has also been demonstrated, they are expressed with verbs and plural possessive pronouns plus he ‘self’ construction as the reciprocal marker. It is realized that both single and reduplication of verbs is evident in reciprocal reading in the Ga language. This study is quite similar in a way when compared to the study in Akan.

Reflexives show covert and overt objects in their constructions and a possessive pronoun plus he “self” marker. The possessive pronoun agrees in number and person with the antecedent. It has been demonstrated also that binding principle A, which deals with the interpretation of anaphors, makes the right predictions about the interpretation of anaphoric elements in Ga.

The findings in this study can be replicated in some related languages or compared to other languages to examine the similarities or differences of these intricate processes. It can also stimulate further studies in syntax, morphology, and morphosyntax.

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# Development Implications of Ceded Lands by the Cameroon Development Corporation on Fako Division- South West Region of Cameroon from 1960 to 2010

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## Abstract

The availability of Surrendered lands has enormously facilitated the process of transformation and development of Fako Division in the South West Region of Cameroon from a predominantly underdeveloped rural and agricultural oriented society in the latter half of the 20th Century to a developed urban society. This is visible in terms of expansion in the quantity and quality of residential neighborhoods, health and educational establishments. The significant contribution of surrendered land to the urbanisation process of Fako has once again secured an important place for land in planning and development discourse of the division in particular and Cameroon in general. Using the traditional social science methodology, primary data was collected from the Cameroon Development Corporation (CDC). The data was analysed and presented using a map, table and pie charts. Findings suggest that the expansion and growth in neighborhoods accompanied by a transformation from congested, squalid neighborhoods of substandard housing is an outcome of the availability of new territory surrendered by the large scale plantation company (CDC) to the population for modern investment structures. The transformation in housing has improved health care standard. Such housing development zones have enhanced educational and health standards, through the creation of numerous hospital and schools which have had a combined positive developmental effects on the division. However, to ensure sustainability in surrendered lands, a holistic planning approach must be factored into the developmental strategies of Fake to enhance the efforts of the traditional authorities before, during and after the process of land cessation.

**KEY WORD:** Development Implications, Surrendered Lands, Land Use, Fako Division, CDC.

## INTRODUCTION

According to the African Unification Front (AUF, 1898) the Germans occupied Fako Division in 1894. Plantation agriculture began in 1896 when the two leading German Firms in Kamerun, Woerman and Jatzen Und Thormalen founded two plantation companies. Since land especially unoccupied indigenous lands under German rule belonged to nobody, it was certain that these plantation firms would acquire as much land as possible, leaving the indigenous population almost landless. This landless situation was further reinforced by the German government enactment of the "Kronland" Act in 1896 which especially implemented Native reserves policy that involved concentrating the Backwerians in "inaccessible disease infested and inhospitable Native Reserves" (Rayner, 1898). It also converted all lands not effectively occupied into what was termed "herrenloss land". The implementation of this policy therefore gave rise to the displacement of the indigenous people (Backweri Land Committee, 2000).

Following the 1949 petitions of the Backweri land Committee (BLC) the Germans alienated about 400 square miles of the most fertile land around the Mount Fako Region alone and stripped the Backwerians of over 200,000 acres of their most fertile land (Henry, 1983). Kale (1993) holds that this was so because there were no organised groups or leaders to defend the rights of the Backwerians. This situation continued until the First World War, which ended with the defeat of the Germans and their replacement in the Western part of Kamerun by the British. However, the African Front (2005) reports that despite the enlargement of the Native reserves, population increase and growth of awareness among the natives on how they had been robbed of their land, no serious attempt was made to return the appropriated land to the Backweri people.

At the end of World War II, British Cameroons became a United Nation Trust Territory. In an attempt to extend sympathy to the minority population-the Backward Article 8 of the Trusteeship Agreement on Cameroon were approved by the U.N General Assembly on 13th December 1946 and 1st November 1947. It stated as follows:

*“In framing laws relating to the transfer of land and natural resources, the administering authority shall take into consideration native laws and customs, and shall respect the rights and safeguard the interest, both present and future of the native population”.*

After the Second World War, the Nigerian Government passed the Ex-Enemy Lands Ordinance No. 38 of 1946, which empowered the governor to purchase land in Cameroon previously owned by German citizens and companies and which the British had sequestered during the war. A second Ordinance No. 39 of 1946 saw the creation of Cameroon Development Corporation (CDC) on certificates of occupancy for sixty years; during which these lands would be developed for the benefit of all people (BLC, 2000). By the deed of Surrender, the CDC surrendered to the Backweris all its rights, titles, and interest under the previous certificates of occupancy. By the same deed, the government of Southern Cameroon agreed to lease to the CDC all those lands for a period of ninety-nine years with effect from January 1, 1960. These rights were surrendered to the government of West Cameroon. At the end of the 99 years, both the government and the CDC lease will expire and so surrender the lands to the legitimate owners—the natives. It is therefore evident that the colonial period was not quite conducive for the indigenous people. By depriving them of their land implies that both in-migrants were deprived of their natural resource. The question then was “what will happen to in-migrants who are considered as users and not owners of the land in a situation where even the natives are landless”?

During the colonial period, settler colonialism was characterized by large scale land alienation for the establishment of plantations for the cultivation of cash crops such as rubber cocoa, palms, tea and banana. Fako division was identified as a favorable location for the cultivation of these tropical crops due to its attractive climate, vast unexploited land and fertile volcanic soils (Henry, 1983). The establishment of plantations required large expanses of land, consequently Cameroonians were confined to small parcels of land commonly called reserves in between plantations. However, the plantation establishments created a labour gap which necessitated and attracted labour from the interior and hinterlands of Cameroon into Fako division without consideration to the issue of space to accommodate them. Labour was employed either voluntarily or involuntarily from the North West, West and other regions of Cameroon. The

influx of large number of labourers to work in the plantations contributed enormously to population growth of the region and the need for more living space. The small patches of land (reserves) which the people had been confined to could not satisfy their entire land needs. Congestion and limited land for agriculture and other activities became common problems within the division. This necessitated the discourse over the leasing/surrendering of lands to the indigenous population coupled with the fact that European settlers alienated these lands without any compensation.

Following the granting of independence and the departure of the colonial masters, the management of these plantations was handed over to the government of Cameroon which in 1946 became the Cameroon Development Corporation (CDC). Plantation agriculture also developed in other parts of the world and this increased the production of agricultural export crops in the world market. In the face of intense competition, the value of plantation crops reduced and the activity became less productive and profitable to the state. Plantation agriculture could no longer fetch sufficient revenue for the state coupled with several management problems experienced by the corporation. Also the Structural Adjustment Programs (SAP) by the Breton Woods institution which advocated for privatization of state owned corporations and enterprises instigated the privatization of some plantations like the Cameroon tea estate (CTE).

The administration of land in Fako Division although largely national land which should fall under the jurisdiction of the various national Lands Consultative Board as stipulated by the 1947 Land Tenure Ordinance is still done through customary land tenure or local traditional practices which are common in most African countries. Customary laws, pertained to rules that existed side by side with statutory laws but derived its legitimacy from tradition and custom rather than a government act (Lampetti et al, 2000). Statutory land laws pertain to all parts of the formal legal system, from legislation issued by different levels of administration to regulations and directives issued by government agencies (Kanji et al, 2002). These lands are ceded upon request by the community and the prime motive for the allocation of the lands is for village expansion. Following the cultural norms of the Backwards, these lands are ceded to the indigenes and each family is entitled to a given proportion. The number of plots allocated to each family depends on the number of family members. The major land use which occupy surrendered lands include residential (schools, health, religious centers) and open spaces.

Though there is abundance of land there are acute localized land pressures being experienced by many regions of Cameroon such as Fake which is currently witnessing intense competition for land amongst three main groups: rural communities (mostly small holder farmers) that are continuing to experience population growth, relatively healthy urban-based dwellers who are investing in land at a rapid pace and the CDC attracted to the fertile and relatively cheap lands. Demand for land is intensifying along with rapidly increasing population and the need for food within and out of the division. Within the context, access to arable and productive land has been in decline due to pressures from the rapidly growing population and the presence of huge plantation establishments. This is further compounded by the worsening land degradation as a result of poor land management practices.

In Cameroon the South West Region and precisely Fako Division is one of the fastest growing divisions of the country socio economically. This may apparently be attributed to geological, social and economic potentials of the division. The establishment and growth of the CDC plantation, the creation of the University of Buea, and presence of other industries such as SONARA, the mineral water company (Supermont) have attracted mass influx of people from

within and out of Cameroon which has triggered rapid population growth at an annual rate estimated at about 5% (National Institute of Statistics, 2012). The rapid population growth increased pressure on environmental resources. Some very visible problems generated due to population growth include congestion in houses and homes especially in camps, shortage in food supply, limited agricultural land due to land scarcity and shortage in portable water. In the face of these difficulties caused by the burgeoning population, there is a constant need for more land which are heavily occupied by the plantations.

The combined effects of the influx of migration and population increase in Fako Division have created a complex man-resource relationship that manifests itself in the form of rapid urbanization, pressure on land and problems in land use. All these have far reaching effects on infrastructure, social and economic development of the area. Limited policy attention is given to this new phenomenon of surrendered lands, the factors affecting surrendered land use as well as their micro economic impact on the Development of Fako. Given the current socio-economic and geographic importance of surrendered lands in Fako, this study seeks to answer the following questions. Which areas have benefited from surrendered lands from 1960-2010 in Fako, how have the ceded lands been appropriated and what are the contributions of surrendered lands to the growth and development of the Division?

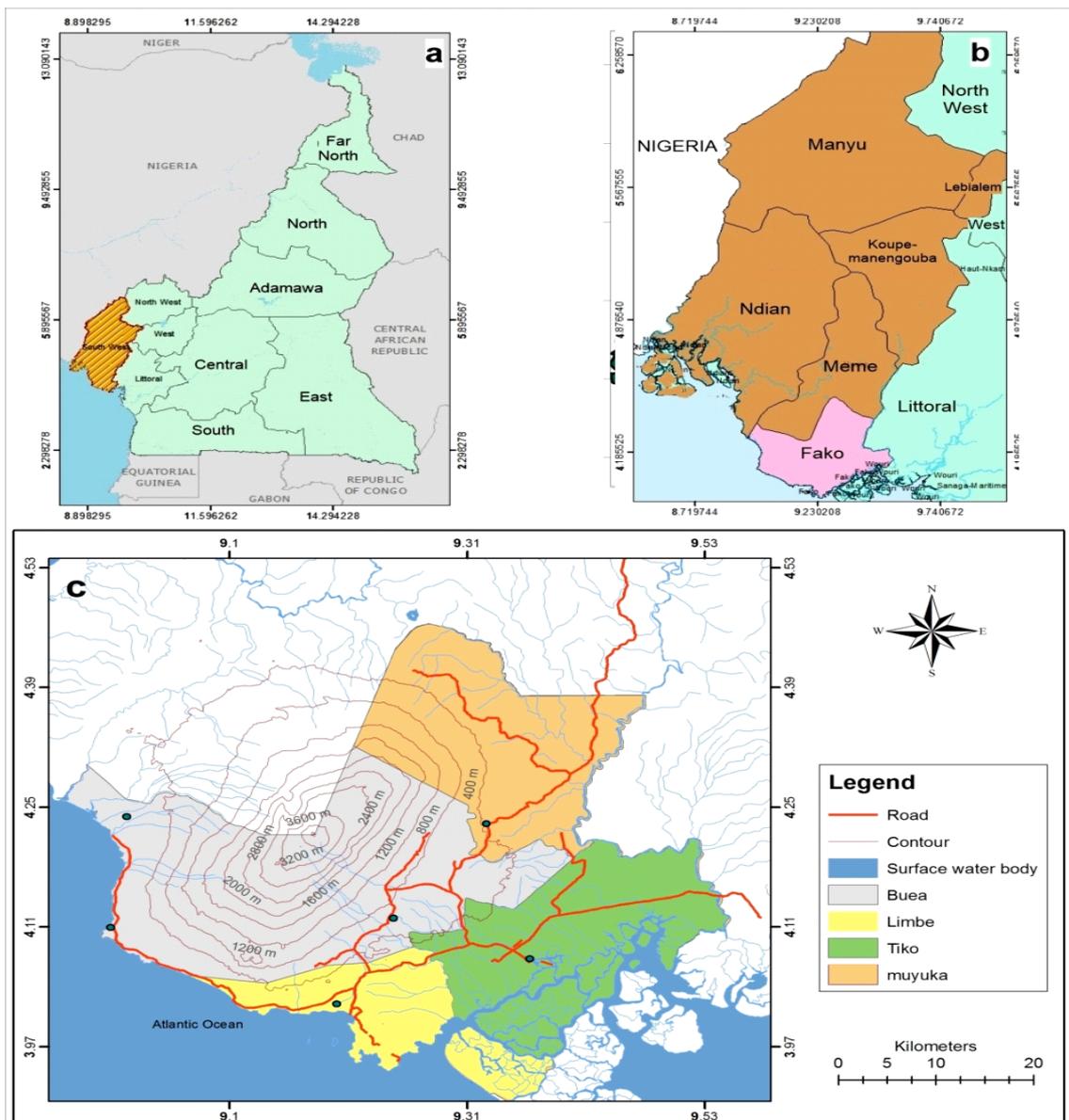
### **THEORETICAL UNDERPINNING**

This study is modeled on the Modernisation Theory advanced by Michael and Katsillis (2001) who describe and explain the processes of transformation from traditional or underdeveloped societies to developed societies. Development is the process of change towards the social economic and political systems of a society. Societies develop through a series of evolutionary stages. According to this theory, development is defined mainly in terms of meeting basic human needs taking into consideration the social and economic aspects of a society. In the social realm, developed societies are characterized by high levels of urbanization, housing, high literacy rate, portable water availability, health care and transport facilities. Kinship ties are weaker, birth rates and death rates are lower and life expectancy is relatively longer. In the economic realm there is industrialisation, increased division of labour, growth of infrastructure and commercial facilities.

Applied to this study, the concept of development takes into consideration both the social and the economic tenets of the society and various indicators of social development such as high literacy rates, health care, and access to housing and urbanization which have been frequently promoted as conditions for development. The focus however is on the social realm which in this case is considered to include health care of residents and literacy. Though limited to the social realm it is important to note that social components have a bearing on the economic realm, for instance the health of workers together with their literacy level influences the productivity of industries and factories because only healthy workers can work efficiently. The availability of ceded land for residential, educational, health care and the provision of public spaces has contributed significantly to the social development of Fako. The provision of land for the construction of schools implicitly has a direct impact on the level of sholarization and consequently on the literacy level of the society. Thus if residential, educational and health facilities are available and accessible to members of a society they could contribute positively to enhancing livelihoods and the development of the society.

### STUDY AREA AND METHODOLOGY

Fako Division is located in the South West Region of Cameroon (Figure 1) and is situated at the foot of mount Cameroon. It is one of the four divisions and the most thickly populated of the South West Region of Cameroon. It is located between latitude 40 and 40.5" North of the equator and between longitudes 9010" and 9013" East of the Greenwich Meridian. It is bounded to the north and east respectively by Meme and Wouri Divisions and the Atlantic Ocean to the south. It comprises five administrative sub divisions namely Limbe, Buea, Muyuka, Tiko and Idenau. Fako Division owes its origin to western colonization of Cameroon. The South West Region has a total population of 1,316,079 inhabitants accounting for 7.5% of the total population of Cameroon (BUCREP, 2010). The 4100m high Cameroon Mountain, the tallest peak in West Africa is found in this division.



**Figure 1: The Location of Fako Division, South West Region**

This study covers four of the five sub divisions of Fako which are Buea, Limbe, Tiko and Muyuka. During colonial rule, the Germans and later the British used Limbe and Tiko as port towns. Tiko and Bota wharfs were used for the easy evacuation of agricultural products and other valuable minerals to Europe. Buea was the administrative headquarters of German

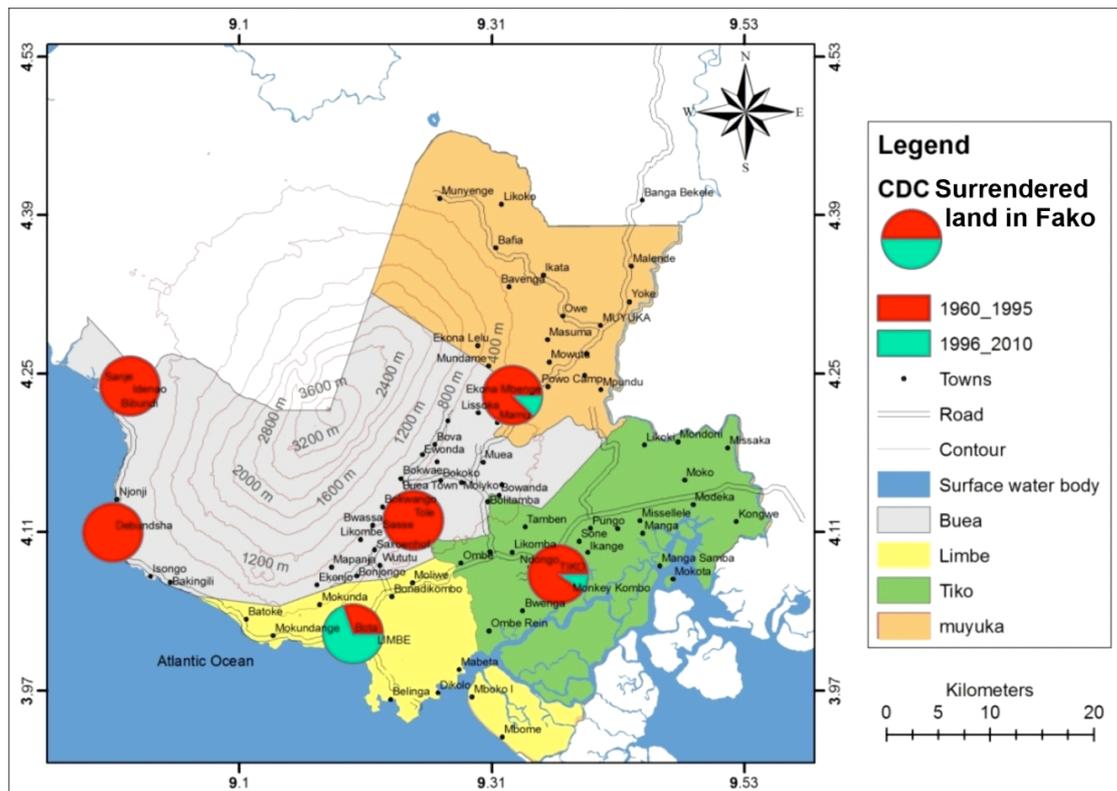
Kamerun from 1901 to 1919 and the capital of Southern Cameroons from 1949 until 1961. These attributes have all combined to render the area attractive to in-migrants.

This study categorically adopts a descriptive research design. The principal source of primary data is from the Cameroon Development Corporation (CDC) where the total quantity of land surrendered in Fako within the period of 1960-2010 was obtained. This data was further processed and analyzed using the Statistical Package for Social Science (SPSS) and the Excel software to produce pie charts showing the land uses for the different periods under study. Growth statistics of the division were also obtained from varied sources on socio economic indicators such as census data, the National Institute of Statistics and the World Bank. Location and land use maps of Fake Division were produced using GIS software packages such as google earth, global mapper 15 and ArcGis 10.2. Google earth was used to locate the study area where the GPS coordinates of its limits were obtained. These coordinates were later used to download raster and elevation data for Fako as well as satellite images from the Global Land Cover Facility (GLCF) website. The data were later exported to global mapper 15 where the visible features of interest were digitized and their shape files exported to ArcGis 10.2 where they were assembled together with the raster and elevation data to produce (Figure II). The pie charts representing the various parameters were plotted on the map using ArcGis and computed using Microsoft Excel 2013 from data provided by CDC from 1960-2010 which reveals the road network, names of towns and villages within Fako.

## FINDINGS

### **Lands Ceded in Fako Between 1960 and 2010**

Within a period of 50 years (1960-2010), a cumulative total of 3,594 hectares of land was surrendered by the CDC to the indigenes of Fako. Of this, 1,865 hectares was surrendered between 1960-1995 while 1,729 hectares was surrendered between 1996 and 2010. According to CDC Board report (2008) these ceded lands were primarily allocated for village expansion. Backweri villages within Fako had the right to apply as a village through their chiefs to the administration to be able to poses parcels of land.



Field work April 2016

**Figure 2. Distribution and time scales of ceded lands within Fako: 1960-2010**

Between the period 1960 to 2010 a total of 3,596.8 hectares of land was ceded to the four Sub Divisions of Fako. The quantity of land allocated to each sub division is presented in Table 1.

**Table 1: Distribution of ceded lands within Fako between 1960 to 2010**

Sub Division	Quantity of land Surrendered	Percentage
Buea	1,361.9	37.9%
Tiko	155.9	4.3%
Limbe	1,639.1	45.6%
Muyuka	439.9	12.2%
Total	3,596.8	100%

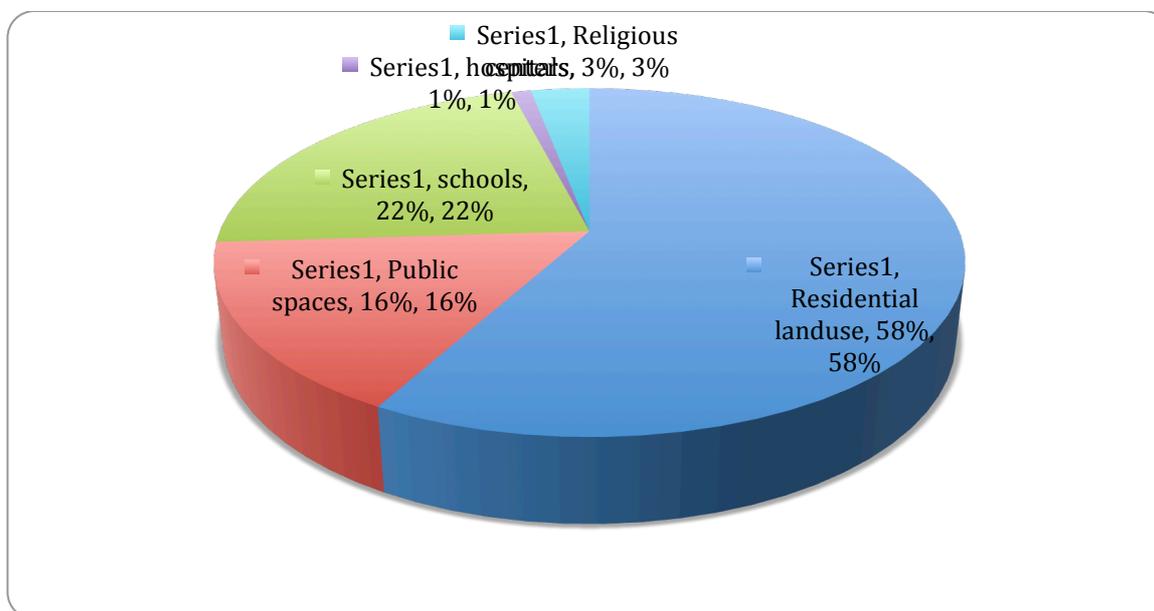
Source: Field work, April 2016

Majority of the land (45.6%) was assigned to Limbe due to the natural physical limitations imposed by the presence of the Atlantic Ocean and the Cameroon Mountain which limits the expansion of the subdivision. Also 37.9% of the land was accorded to Buea because the area gained the status of a University town which attracted the influx of students and workers creating the need for more housing and land for agricultural activities. One of the drivers of growth was the student population of the University of Buea which moved from 1,500 in 1993 to over 52,000 in 2010 (Endeley, 2014).

### Land Ceded between 1960 and 1995

A total of 1,866.7 hectares of land was surrendered to Fako from 1960 to 1995. Of the total 1,865 hectares, 810 hectares (43.4%) was allocated to Buea, 31 hectares (1.7%) to Tiko and

585 hectares (31.4%) to Limbe and 439 hectares (23.5%) to Muyuka. These lands were used mainly for residence, public spaces, schools, hospitals and religious centers. A closer look at the five principal land uses indicate that 58% was allocated for residence, 22% for schools, 16% for public spaces, 3% for religious centers and 1% for hospitals (Figure 3).

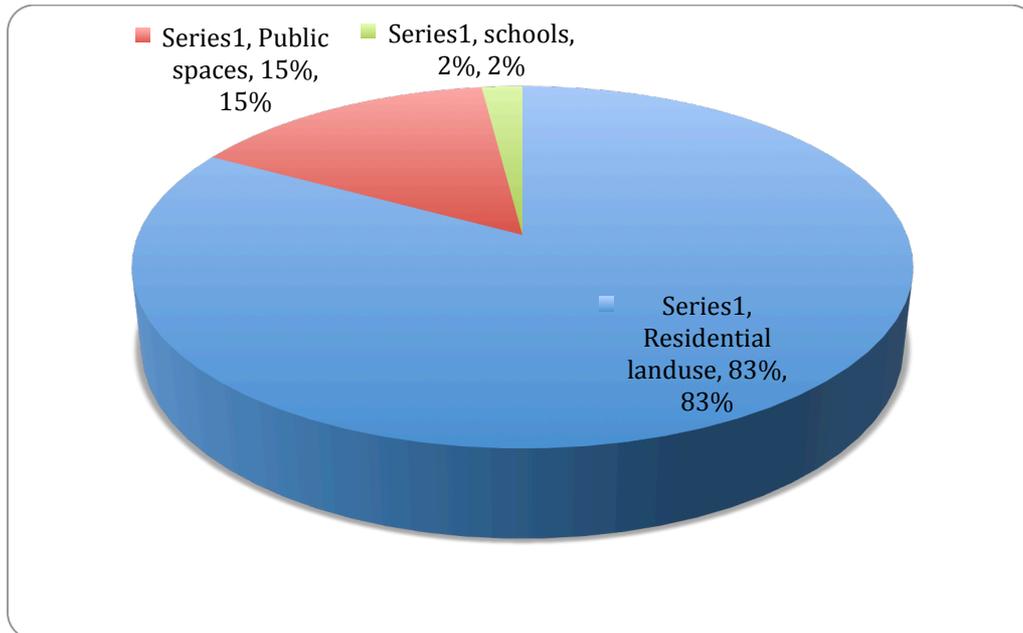


Source: Field work, April 2016  
**Figure 3: Land ceded between 1960 and 1995**

Majority (58%) of the land was used for residential purposes mainly to reduce congestion in most settlements and especially within camps which were rapidly deteriorating into slums due population pressure. Also there was need to accommodate the fast growing population within the division and to make available lands for the construction of standard housing. Some prominent residential neighborhoods which emerged within this period include 'CITE' SONARA, MAETURE Middle Farm, Isokolo and Wovia villages. Also educational establishments such as schools occupied 22% of the land. The University of Buea, Government School Bota and Government Bilingual High School for instance are currently located on surrendered lands.

#### **Land Ceded between 1996 and 2010.**

Between 1996 and 2010 a total of 1,730.9 hectares of land was surrendered to Fako division and these lands were allocated for residential expansion, public spaces and schools. Of the above total, 83% was meant for residence, 15% for public spaces and 2% for schools as shown in (Figure 4).



Source: Field work, April 2016  
Fig 4: Land ceded between 1996 and 2010

Residential land use emerged as the most highly solicited land use on surrendered lands within this period due to the fact that the presence of the University of Buea created in 1995 and other higher institutions of learning attracted large number of students and labour migrants into this area. Also the conducive and attractive climate coupled with the rich and fertile soils attracted migrants from other parts of Cameroon into this area. This influx together with natural increase further exacerbated the problem of congestion in housing especially in the already existing built up areas. This created the need for more housing space to accommodate the fast growing population. Some prominent neighborhoods which developed during this period included Dibanda, Wonya Mavio and Bossumbu layout. In a similar vein the public spaces such as the Omnisport stadium in Limbe and the Limbe motor park have also facilitated the growth and expansion of Fako Division.

### DISCUSSIONS

The availability of Surrendered lands acted as a springboard for residential expansion and rapid urbanization which has accelerated the development of Fako in different dimensions. A total of 2530 hectare amounting to about 70% of the total land surrendered was allocated for residential purposes. The emergence and growth of numerous residential neighbourhoods has facilitated the urbanization process and development of Fako. Lerner (1958) identified urbanization as a vital ingredient conducive to societal development. The urbanization of Fako has triggered the emergence and growth of numerous villages and neighborhoods providing alternative living space for the inhabitants and facilitating the process of decongestion of the squalid camps and several overcrowded neighborhoods. The establishment and growth of new neighborhoods has been accompanied by an evolution in housing from substandard to standard housing. This is equally asserted by Lenski (1999) who establishes a relationship between better or standard housing and development. The emergence of new quarters and neighborhoods has not only increased the provision of standard housing and consequently improve the living environment of most residents, it has reduced the vulnerability of the population to some diseases like typhoid malaria and even communicable diseases such as cholera and measles. In this vein Mikinson (1989) points out that urban areas with poor housing in most cases means underdevelopment due to disease proliferation especially

tropical communicable diseases with different intensities. However, urbanization as a veritable ingredient of development does not work in isolation to influence development especially in third world countries. There is an interplay with several other factors such as literacy level, health care, transport facilities, growth of infrastructure and commercial facilities, falling birth and death rates and the level of industrialisation.

The need for land and its associated value has been increasing because of population pressure, commercialization of agriculture, urban expansion and the increasing demand for public spaces and educational establishments. During the period 1960-2010 a total of 26 public and private educational institutions were established on surrendered land. For instance, of the 26 schools, 11 were primary schools, 10 secondary schools and 6 tertiary institutions such as the University of Buea. These educational establishments occupy approximately 24% of the total ceded lands covering a surface area of 440.5 hectares (C.D.C Report, 2010). Furthermore, public spaces also occupied a total 541 hectares (31%) while hospitals were allocated 22 hectares occupying just 1% of the land and religious centers (3%). The existence of social facilities such as schools, religious centers, hospitals and open spaces for relaxation has buttressed the development of Fako by improving on the literacy level of the population and locating educational facilities at proximity to the population. These educational establishments continue to attract huge numbers of in-migrants to serve as pupils, students and staff in these institutions. In the same vein the World Bank (1997) suggest that a literate society influences development positively since its citizens can take care of their health to ensure a long life expectancy, the society becomes more participatory in the decision making process, people are more receptive to change and more achievement oriented.

The concept of land leasing and large scale acquisition of land in Africa in the past and currently ignored the land needs, land use dynamics, technological development and modernization irrespective of cultural tradition. Today land grab by multinationals is yet another wave of deprivation of land from rural underprivileged especially in the developing world. Moyo (2003b) asserts that this new wave of land grab is a process of accumulation by dispossession with the intention of enforcing African dependence and limiting development. There is need to ensure sustainability in development before decisions related to large scale land attributions to plantation companies be taken by most third world governments. This is because whenever these lands are to be ceded back the decision on the quantity of land often does not depend on the needs of the original owners of the land. Yet land remains a major factor of production and a source of livelihood for a huge majority of Cameroonians and Africans contributing significantly to the growth and development of most societies. As a result, major developmental strategies in Fako should take into consideration the land needs and planning on land resources.

### **CONCLUSION**

It is clear that surrendered lands have made significant contributions to communities in Fako by assisting in the transformation from a dominantly rural underdeveloped to an urban developed society. The importance and contributions of surrendered lands to the social and economic development of Fako cannot be overemphasized as these lands have contributed to the rapid urbanization process, transformation and expansion in housing, education, health and public spaces. There is however the need to integrate planning on surrendered lands into mainstream development agenda of Fako. This approach will significantly improve on the social and economic situation of communities in Fako and maximize their development dividends.

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## **The Role Of Global Education In The 21 Century Slovak Schools**

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### **Abstract**

**Globalization affects all areas of life, the life of teachers including. The teaching profession is usually understood as a mission. The role of a teacher is to develop knowledge, abilities and skills of pupils and students and thus influence their values and opinions. Teachers present basic attributes of human lives' interconnections to their students. They teach them to take into account the interests and living conditions of all people – to think in a global way. The authors of the present paper try to explain how the globalization influences teachers in their process of education and knowledge transfer and answer the questions dealing with the principles effecting the global education of both students and their teachers. They also point out that the work of teachers is not only very demanding but also significantly influencing the quality of the knowledge level of every society.**

**Key words:** Globalization, teacher, global upbringing, lifelong education, 21 century.

### **INTRODUCTION**

Globalization represents one of current trends in 21st century. It is a term that we encounter almost daily – we constantly read, listen and watch in media how globalization influences the world economy, determines the autonomy of individual states and affects the change of structures in the world. It is dealt with by historians, political scientists, sociologists and economists. From the historical point of view, globalization as an inevitable and natural process represents mutual interconnection and dependence of individual parts of the world system. [1] The contemporary world is influenced by global processes similarly like scientific and technological revolution once influenced the world in the area of information-communication technologies and development of production and transport (this caused, inter alia, deterioration of the environment). On one hand, globalization is an inevitable process, which is the result of the evolution of the world situation; on the other hand this process brings certain negatives. “Globalization produces extreme wealth for a small minority and growing poverty for more and more people. Consequently, financial and economic globalization leads to the widespread exclusion of entire nations and groups of people. The threat of social decline, anonymity of power structures and the speed of decision-making induce resignation and fear”. [2] Globalization contributes to modernisation of the contemporary world and life. However, its process often runs in a non-transparent way and is therefore risky. Globalization extends to every area of our life – it extends also to teachers' lives and to the educational process where passing newly acquired knowledge to our pupils and students takes place.

### **GLOBALIZATION AS A TERM**

Even today there does not exist a unified definition of globalization. Exnerová defines globalization as an amount of various interrelated and mutually conditioned economical, technological, social, cultural and political aspects forming the essence of present contradictory processes. [3] In contrast, Antošová defines globalization as a process of increasing social interactions by which different locations are interconnected, i.e. events taking place in geographically remote areas affect events taking place at home. [4] Another possibility is to define the term globalization as a process of integrating a society to a higher geographical level.

### **GLOBALIZATION AND EDUCATION**

There exist several important international documents declaring the significance of global education. We can find among them the documents of the United Nations Organisation – Agenda 21 (1992), Millennium Declaration (2000), documents of the European Union – European Consensus on Development (2005) and also the documents of the Council of Europe – The Maastricht – Global Education Declaration (2002) and the North- South Centre of the Council of Europe – Global Education Guidelines (2008).

The definition of global education was created by the association North- South Centre (The European Centre for Global Interdependence and Solidarity) in 2002: "Global education is education that opens people's eyes and minds to the realities of the globalised world and awakens them to bring about a world of greater justice, equity and human rights for all. Global education is understood to encompass development education, human rights education, education for sustainability, education for peace and conflict prevention and intercultural education; being the global dimension of education for citizenship". According to Development Education Association global education is, on the other hand, defined as an approach to obtaining education leading to a deeper understanding of diversity and imbalance in the world. [5]

Global education allows people to understand the interconnection between their lives and the lives of other people in the world and increases people's awareness of global economic, social, political and environmental aspects which influence them. It develops abilities, attitudes and values which are related to mutual cooperation of all people and contribute to the change of attitudes towards people's own lives. Furthermore, it strives for achieving greater justice in the world as it is based on the principles of solidarity, equity, integration and cooperation.

Initially, in the field of education, only a minimum space was given to the issue of globalization and global processes in Slovakia. [1] Global education existed only as an integral part of the official development cooperation of the state. As the beginning of the global development education in Slovakia can be considered the week of global education which took place in Košice in 2003. The central theme of this week was: "Conflict and safety: the world we live in, the world we want". [6] It was necessary for knowledge of human needs, regularities resulting from them and ways which threaten human living conditions to be included in education. Also knowledge of possibilities of the society development sustainability solutions and associated abilities and habits of a man had to be taken into consideration. In addition to these requirements, tolerance between nations and responsibility not only for the present but also for the future had to be accepted.

Global education became a part of the Program Declaration of the Government of Slovak Republic for the period of years 2010-2014. Similarly, the National Strategy for Global Education for years 2012-2016 was accepted as an official program document on 18 January

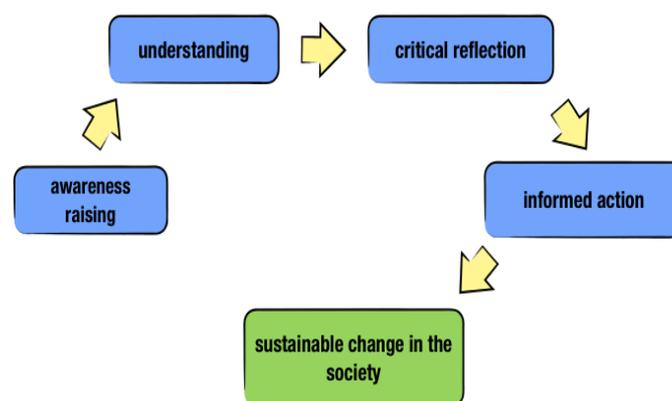
2012 by the Government of the Slovak republic. Its main aim is to ensure citizens of the Slovak republic an access to information on global issues and issues of developing countries and motivate them towards an active approach while solving them. The document defines global education as “education that points out a global context in teaching (and learning). Thanks to global education there is an increase in awareness about global topics which concern every individual; there is also development of his/her critical thinking and a deeper understanding of the topics which influence the whole world. The topics of global education provide enough space for an individual to change his/her attitudes and strengthen awareness of his/her own role in the world“. Global education motivates people to be responsible and educates them to acquire the values of an active “global citizen”.

One important part of global education is represented by global development education which is understood as an educational attitude towards deeper understanding of diversity and inequity in the world. This type of education encourages everyone with no age limits to examine current problems (e.g. poverty) and their connection with everyday life.

Suchožková states that the UNESCO's International Commission on Education for the 21 Century defined four basic pillars of education – learning to know, learning to do, learning to live together and learning to be. [7] Global education works with eight basic mutually overlapping concepts: global citizenship, global interdependence, social justice, resolving conflicts, cultural diversity, values and attitudes, human rights and permanently sustainable development.

It is a process (see Fig.1) which

- begins with raising awareness of certain problems,
- creates a deeper understanding of them,
- encourages people to reflect on their own role in solving the problems and thus changes their attitudes and behaviour,
- motivates and empowers people to become active in a responsible way [8]



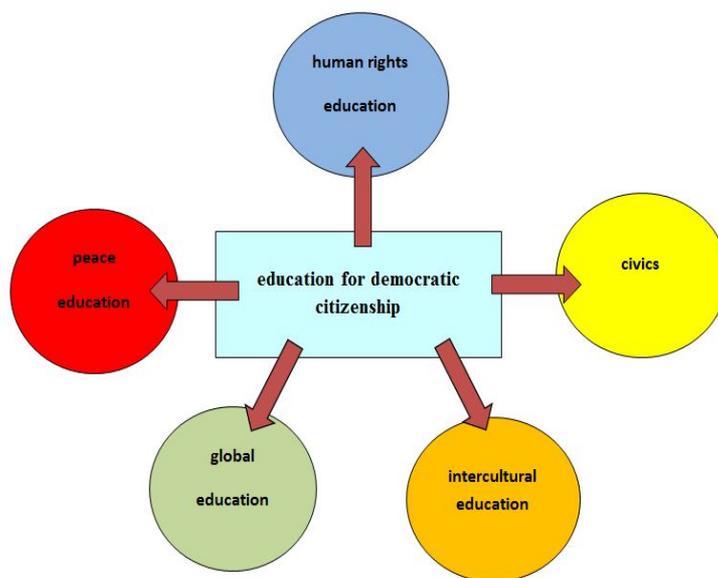
**Fig. 1 The process of global education**

In order to solve the problem of global education completely and successfully, corresponding basic, secondary and tertiary education is necessary. Since there is not a sufficient number of qualified teachers, present teachers need to have the possibility to complete their education in the field of global education, e.g. in the form of undertaking accredited innovative programmes of continual education. [9] Teachers should obtain adequate education – not in order to get degrees but to obtain knowledge which could be applied in practice. Nowadays it is important

for global education to be incorporated into the educational process in the form of global dimension – incorporated into the already existing curriculum of individual subjects (social studies, geography, ethics, environmental education, multicultural and media education).

In 2006, thanks to a financial support of the SlovakAiD programme, many non-governmental organizations (e.g. Civic associations Človek v ohrození, Živica, eRko, Nadácia Integra, Nadácia Pontis, and many others) got grants and projects within which topics of poverty, fair trade, children’ rights and others could be discussed at schools. At the same time, members of the stated organizations were training teachers, helping them to create methodical manuals, didactic materials, organise interactive expositions, etc.

In the past an educational process was understood only as a unilateral teacher- student influence. Nowadays, education of students is influenced by several factors. There is the aim to educate a personality with its own identity and value orientation, with respect to people and nature, cooperation, prosocial behaviour and national values. When fulfilling this aim, the teacher cannot be satisfied just with providing information about moral principles. He/she uses also adventure teaching which develops understanding and interiorization of moral norms. In the context of compulsory education, according to Lysý [10] there is a possibility to implement various programmes of civic education, educational programmes in the field of human rights or programmes in the field of intercultural, anti-racist, peace and global education and education for tolerance (see Fig.2)



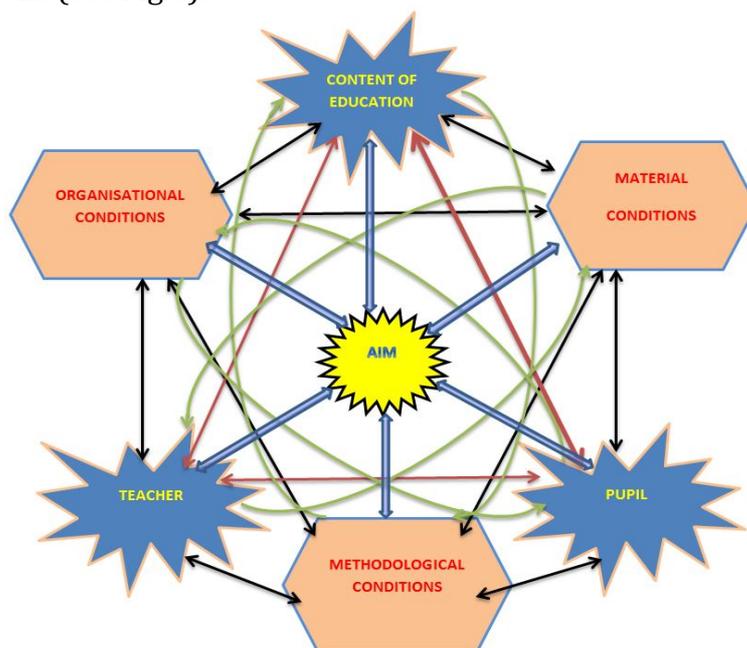
**Fig. 2 Education for democratic citizenship and its parts**

In Table 1 example activities of global education within individual compulsory subjects are stated.

**Table 1**

Subject	Global education – topics
History	political power, democracy and human rights, global economy, international business, and poverty
Geography	consumption and production, natural sources, sustainable development and environment
Art and culture	peace and conflict
English language	sustainable development and environment, migration, transport and travelling, man and nature, multicultural society, English speaking countries
Biology	sustainable development, political power, democracy and human rights, quality of environment

Development of technology enables a continuous flow of information and knowledge between countries. Communication is faster than ever before. For work and study reasons, migration of population is increasing and thus changing demographic features of many countries. As a result of this process, new intercultural identities and communities come into existence. Cultural diversity and multiculturalism along with the reality of working life exist even in our country and require employees coming into contact with foreigners to have not only sufficient language knowledge but intercultural competence as well. That is why we can generally describe education as a complex interactive process in which there is a constant interaction and influence of two main participants – a teacher and a student, an educator and an educated person. The process of education is also influenced by other factors and for this reason some simplifications are used for its modelling. One of the most realistic models of an educational process is the model of J. Hendrich [11] which represents a traditional didactic triangle – the content of education, teacher and student enriched by an aim, organisational, material and methodical conditions (see Fig.3).



**Fig. 3 Hendrich's model of an educational process**

### GLOBAL EDUCATION

Global education is very closely related to global upbringing which represents a living process directly influencing students. Global upbringing points out a respect for the rights of students' personalities and a responsible and active approach to other people and environment. [12] Both global education and upbringing use traditional aims, methods and forms of education and emphasize active involvement of a student in an educational process. They also bring into focus positive motivation and stimulating environment in which a student has a feeling of safety and certainty; cooperates with others and through direct experience takes over responsibility for their work and for their results as well. [13] Motivating the students is one of the teachers' responsibilities and, undoubtedly, it is a fairly challenging task. [14]

In an educational process a teacher is supposed to create situations which are as close as possible to the situations of spontaneous learning. These situations can be later used for inner motivation of students, activation of their knowledge and submission of problematic and polemical task assignments in which their importance and usefulness for life are emphasized.

### GLOBALIZATION AND TEACHER

Present-day students think at a higher level than their predecessors who were led to assessment, analysis, synthesis and application of knowledge acquired directly from their teacher. They use modern technologies, especially Internet. In Fig. 4 we can see "Google, yahoo" part of the student's brain where he/she stores knowledge obtained from the Internet. For students, Internet is often a place where they can find answers to almost all their questions, even those regarding their place in the modern globalized world

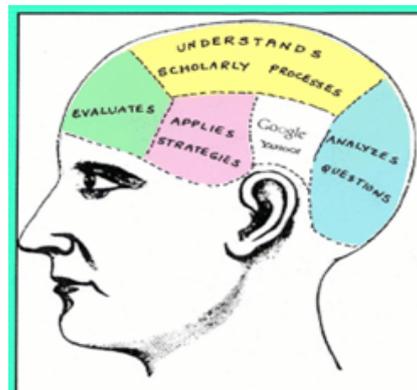


Fig. 4 The 21st Century Brain [15]

In this demanding search, in this process of distinguishing between important and correct knowledge and less important and insignificant one, a teacher should give them a helping hand. We have to realize that technology is not just an information carrier or a means that allows automatization of the educational process any more. Each teacher has to be aware of the complex influence of modern technologies on the educational process. Teachers should know why and when they can require from their students to memorize something that is easily found on the Internet. They should know the right boundary between focusing on facts and building competencies needed for the life in the 21st century. From the pedagogical point of view, we can speak about a higher level of Bloom's taxonomy.

The duty of a teacher is to develop knowledge, skills and abilities of students, and thus influence their values and attitudes. By his/her pedagogical activity a teacher helps students to

understand the existence of interconnections of human lives, he/she teaches them to be aware of the interests and living conditions of all people, to think globally, and act locally.

It is difficult to find one right description of 21 century teacher. According to O`Gangel [16] personality of a teacher represents the highest system of organisation of the human being's mental life which regulates his/her action and purposeful behaviour in integration with the environment. A teacher, who is a decisive factor in the educational process, represents a live model for their students. They imitate him/her and try to identify with him/her. [17] In the educational process, a mature and balanced personality of a teacher with high moral standing is irreplaceable. [9] A teacher is the main factor; without him/her no education is possible. A teacher, in fact, works with the most precious social value – with a student. Education and qualification levels of people in a certain society are deciding factors of its development. Social importance of teacher's work interferes in all areas of human life. Unfortunately, nowadays his/her social status and prestige are not on an expected level.

Modern society expects from a teacher to have:

- a high professional level – a teacher has to know precisely the content of the curriculum of subject he teaches,
- professional competencies – a teacher has to master the principles, methods and forms of the educational process, and
- human and moral qualities which are not common for other members of population.

A teacher has to be assertive, emphatic, communicative, capable of accepting others' opinions and capable of self-reflection. S/he should create favourable social and emotional climate and work atmosphere, enthuse students for a certain idea and be able to work with IT technology. Nowadays, a teacher has to use this technology not only in the educational process but also in communication with students. [18]

The teacher's work is often referred to as the mission. A teacher develops knowledge, skills and abilities of individuals, influences their attitudes and values and has a direct impact on cognition of each society. In no other profession there are such high demands on the personality, demeanor and behavior that should be so strongly bound to immediate job performance. The following reasons have to be mentioned:

- there is no universal approach to fulfill a professional role of the teacher,
- students often imitate their teachers,
- teachers realize their professional tasks by using their own knowledge, abilities, linguistic expressions and experience,
- educational work of teachers is difficult to control from the outside; society is dependent to achieve the necessary control implemented by the teachers themselves.

When we deal with the professional activities of an “expert” teacher, his/her moral qualities and ethical dimension have to be emphasized. Ethical status of the teaching profession is inextricably linked to the relevant factors and the qualities of the moral value nature such as freedom and responsibility, pedagogical justice, professional pedagogical tact and authority. The teacher's authority is determined by his/her own human dimension, spiritual and moral personality status, culture of behavior as well as self-identification with the teaching profession.

The effectiveness of the teacher's work is largely dependent on the quality of his/her teaching skills. Kyriacou [19] states that a teaching process can be effective only if the teacher's work fulfills the following conditions:

- it obtains and maintains student's attention to the teaching activity,
- it obtains and maintains student's motivation and effort to learn through learning activities,
- training activities must correspond with such type of student's learning which the teacher wants to have in the class.
- The teacher is supposed to know what the students need and what is helpful for them. The skills of the teacher are characterized by these features:
  - are focused on achieving a certain specific objective,
  - are typical for a specific context,
  - require a precise design and sensitive adaptation,
  - are obtained by training and practical activity.

According to Kyriacou [19] pedagogical skills can be defined as individual logically interconnected activities of a teacher which support the student's learning process. They are:

- knowledge,
- decision-making process, and
- action.

In general, basic pedagogical skills which contribute to successful teaching are described as:

- planning and preparation,
- implementation of the lesson,
- lesson management,
- classroom climate,
- discipline,
- evaluation of the student's achievement,
- reflection and evaluation of own work (self-reflection).

Application of pedagogical skills also depends on the teacher's personality. Teachers' attitudes to pedagogical work begin to form during their university studies and continue to develop especially during their teaching practice. Teachers' personalities are the results of their self-education – purposeful and systematic work on themselves. The results of these efforts are based on an inclusive approach comprising the following steps:

- self-reflection,
- self-evaluation,
- self-confidence,
- self-control,
- self-regulation,
- self-creation.

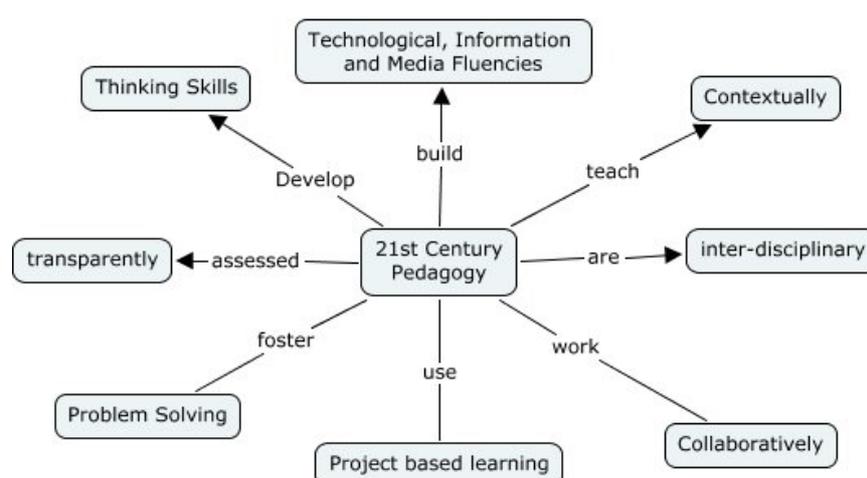
Self-reflection, which is an integral part of teachers' work, is very closely related to their competencies. The concept of competence means the power, its range, and ability to perform an activity. In relation to teachers' work, pedagogical-didactic, sociological and other competencies are defined. With changing circumstances and increasing demands on an effective educational process the teacher must apply information, learning, cognitive, interpersonal (social), communication and personal competencies. [13]

A global teacher, who is supposed to prepare a student for an active participation in a globalized world, is according to Pike, Selby [12] required to:

- prefer a worldwide context over a local point of view while solving problems,
- bring the diversity and potential of various cultures to students,
- focus on future,
- allow students to obtain knowledge, come to conclusions and changes of their attitudes by an individual work,
- instil in students the trust in human abilities and possibilities,
- focus on a complex and steady development of personality,
- use a wide database of methods, forms and means of education,
- understand learning as a lifelong process,
- respect the rights of others, and adequately shift the responsibility for decisions on a group or a class,
- bring inter-subject relationships and connections closer to students and
- connect the class life with the school life, academic society life and community life.

The result of the present life is the fact that increasing aggression of children, violence against classmates and bullying are experienced in schools. These problems require a new approach of solving from teachers. They should be able to act preventively against the negatives which are not compatible with social norms, focus on communication with students, knowledge and understanding relationships between them and seek the reasons causing this behaviour. An integral part of the teacher's work should be a regular cooperation with the educational advisor, school psychologist, respectively with a special or social educator. [18]

To accomplish a constant development of skills in the stated areas, lifelong education should be a natural thing for a teacher. A good and quality teacher constantly needs to improve his practical activity and deal with new requirements that make his job a difficult but creative and interesting profession. [19] Thanks to lifelong education teachers can become creative people able to mediate new knowledge to their students, teach them how to think critically but creatively, how to learn rationally and how to use newly acquired knowledge and information effectively (see also Fig.5)



**Fig. 5: The key features of 21 century pedagogy [20]**

## CONCLUSION

As we stated before, education is a commodity but also the highest spiritual value. It goes through paradigms which more or less react to a wider context – to the social and cultural atmosphere. We have to realize that education is provided in difficult, constantly developing and changing conditions. A very low amount of experts are dedicated to the issue of global (development) education nowadays in Slovakia. This fact is caused by a total absence of global education at universities (it is supported only by several projects of Methodological and Pedagogical Centres). Creating the education, whose result will be a global teacher, is extremely difficult. It requires from the teacher to be not only enthusiastic but also to accept internally global education philosophy, a high level of trust, open communication and mutual cooperation. These facts need to be taken into consideration during future teachers' preparation. It is necessary to focus on:

- verbal and non-verbal communication competence,
- strengthening of critical thinking,
- development of the ability of active listening,
- preference of cooperative way of learning/teaching and interaction,
- personal experience and active involvement of students in the teaching/learning process,
- a facilitating way of preparation – participants are led to individual acquisition of knowledge, solution of problems and drawing conclusions,
- acceptance of certain styles' diversity,
- common education of teachers of different target groups,
- using the method of shock – revealing, recognizing and overcoming certain barriers in opinions and attitudes. [12]

However, not only creating conditions for future teachers but also innovations of an already ongoing educational process are the keys to the development of the 21st century teaching and learning skills.

Global education, as a lifelong educational process, significantly contributes to understanding of similarities and differences between the lives of people in developing and developed countries. It leads to acceptance of responsibility for creating the present world. [6] Regular and ongoing evaluation of this process is very important. Within the evaluation of the National strategy for global education, an annual monitoring of the tasks fulfillment is carried out. A rolling evaluation of the National strategy for global education is planned in 2014 and its final evaluation in 2016.

Nowadays it is clear to all of us that the next generation will need predominantly creativity and ability of lifelong education. The dynamics, with which the changes are going on in the educational process, emphasizes also the need of personal development of the teacher profile. "Teachers should be humane to their students and never underestimate them". [21] They have to be consistent and principled managers, authorities but not dictators for students. They have to be very patient with an open attitude to everything and able to make all students (including the most disobedient ones) cooperate. Despite the fact that recently, along with the classical IT technologies also digital books are promoted, the role of a teacher remains important and irreplaceable.

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# **Students' Perceptions of the Administration and Management of Field Courses: The Case of Third Year Students at Moi University, 2015.**

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## **Abstract**

Field courses are important areas for bridging lectures to practical lessons in every discipline learnt in colleges and universities. This paper assesses the perceptions of students on the administration and management of the field courses; the case of third year students at Moi university (Bachelor of Arts, PSA 312). It evaluates the administration and management of field courses at Moi University, and attempts to find solutions in relation to challenges therein. The study adopts a descriptive design, mixture of systematic and representative sampling techniques in its methodology. Generally, the study uses both qualitative and quantitative methods to access data, ultimately, the analysis was based on content, themes and output of SPSS information. A sample of 68 students was randomly chosen to participate in the study in 2015. The study findings highlight the imperatives of the need for policy in the administration and management of the field courses and makes recommendations, which Moi University and other institutions of higher learning can use to improve field course administration and management.

**Key words:** Field Courses, Management, Administration, Student Perceptions

## **INTRODUCTION**

Social scientists consider learning outside the classroom important because society acts like a laboratory for practical experience. Learning in outside environment has makes field courses to be increasingly popular component of curriculum among the courses offered at universities globally. Both students and lecturers find in field courses an opportunity to relate theory and practice and hence appreciate their symbiotic relationships. In a research report on students studying biology, field courses have been described an opportunity to:

Travel, make new friends, and study organisms in a wide range of habitats. You'll learn modern field research techniques, undertake exciting and unique projects, and become skilled in data analysis. The close collaboration between staff and students will present a rare opportunity to immerse yourself in a specialist area of field study that may prepare you for your future career ([www.ls.manchester.ac.uk](http://www.ls.manchester.ac.uk))

Apart from exposing students to practical areas learnt in theory, field courses reinforce informal sessions that boost learning appreciation across student-student and student-lecturer divide. The principal goal of such courses is to train students to develop and recognize a multi-dimensional relationship in their fields of study and often build the sense of final application of

course. In some cases, these courses are organized as inter- university student exchange programmes culminating in joint seminar topical discussions (Source).

Mentioning of field courses ignite in the mind of students a notion of the phrase “field trip” which normally means long bus rides, packed lunches and museum tours. However, field trips can take a variety of forms that meet a variety of needs and can enhance deep, active learning. This, therefore, means they need to be prepared for by the university and college departments, coordinators/course dons, and students going beyond the ‘trip mentality’. Traditionally, there is a thinking that these study trips are only meant for students yet lecturers need them as much. Thus Claiborne Lily et al (2014) on a research on “Teaching outside Classroom” assert that:

Along with the engagement with concepts that is required by these experiences, the student bonding that occurs on field trips enhances the learning experience and creates a learning community as students continue onward in a discipline. Teaching in the field also gives instructors the opportunity to get to know their students in greater depth in terms of how the students see the world differently than the instructor. This insight into student world-views can help the instructor to better communicate the concepts of the course.

A Field course extends learning outside lecture halls and university and probably also inculcate community/public service sense of learning through engagements while on study tour. Due to the importance of field courses, many institutions have designed policies that guide implementation. Clairborne (2014) for instance, suggests that guidelines/policies for field courses should include:

- Setting up the field trip as a research project that includes data collection.
- Conducting a theoretical examination of the issue in class long before going into the field. Students should have a sense of what the field trip is going to be about before they go.
- At least two weeks before heading into the field, develop the rudiments of basic hypotheses. At this point the instructor should give details about the field site so that students know what to expect.
- In the field, focus on the things that you’ve agreed to focus on and let the other stuff be icing on the cake.
- If for a large class, prepare Team Leaders to manage smaller groups of the class.
- Prepare students for practicalities including appropriate attire, expectations for physical exertion, anticipated rest stops, supplies and materials they should bring
- Prepare for transportation, creating a sampling method suitable for students with minimal previous experience, weather, coordination with external personnel, effective use of team leaders (for management of group dynamics), student allergies and fears, and safety.

### **Problem Analysis**

Every year, students in Moi University raise complaints on field courses management. On the other hand, lecturers concerns have often surrounded on the inadequacy and delay of facilitation by university administration before field courses commenced. The issue, especially of facilitation of students during the field courses and logistical related issues make it imperative to carry out this study. The research therefore sought to meet the following objectives:

### **Objectives of the research**

- i. To evaluate the administration and management of field courses in University
- ii. To examine the Moi university policy on the management of field courses
- iii. To establish students' perception of the administration and management of field courses
- iv. To suggest possible solutions to existing challenges on field courses

These objectives were pursued through research questions such as:

### **Research Questions**

- i. How are field courses administered and managed in Moi University?
- ii. What is the policy of Moi University on the management of field courses?
- iii. What are student's perceptions' on the administration and management of field courses?
- iv. What possible solutions exist to ameliorate challenges on field courses?

The research questions guided the review of literature and primary data collection

## **RELATED LITERATURE**

In this section, the researchers by use of the four objectives purpose to find the central role played by administration and management of field courses in universities and colleges. The objectives are used as sub-themes and under each, relevant literature and observations are captured.

### **Administration and Management of Field Courses: An Evaluation**

Different scholars view field courses differently. Mogk, David W. ([http://www.minsocam.org/msa/Monographs/Mngrph\\_03/MG003\\_047-052.pdf](http://www.minsocam.org/msa/Monographs/Mngrph_03/MG003_047-052.pdf)) says; field trips (courses) are commonly the most memorable educational experiences for many students, and serve as excellent mechanisms in the recruitment and retention of students in geology programs. Field trips (courses) provide the opportunity for students to become motivated to learn, and participation on field trips results in measurable impacts on student values (sense of importance), interests, and attitudes (sense of enjoyment) about the subject matter. Field trips help us to experience the joy of working in a natural environment, the excitement of discovery, and the satisfaction engendered by mastery of content and increased appreciation for the methods of scientific investigation. According to Orien (1993), the most important role of field trips in the learning process is in "direct experience with concrete phenomena and materials".

The very nature of field trip (courses) exercises requires students to be active learners, rather than merely covering material in a passive mode in a traditional classroom. Furthermore, experiential activities facilitate the transition from lower-order learning strategies (e.g. memorization of information) to the higher cognitive learning strategies required to master and retain abstract concepts (e.g. MacKenzie and White, 1982; Orien, 1993). Kern and Carpenter (1986) have shown that lower-order learning is virtually identical for all students whether or not they have participated in field experiences. However, they found that field experiences enhanced students' ability to understand, analyze, synthesize, and use acquired information and concepts.

Perhaps the most important aspect of a successful field activity is a clear articulation of the activities, goals, and expected outcomes of the field trip. The instructional goals of a field trip may be: 1) to catalyze, enrich or culminate instructional units, 2) to introduce a new unit of instruction to create interest in the subject or topic, 3) to present a main body of an

instructional unit as a tool to enhance and motivate learning, or 4) to illustrate and reinforce facts, skills, and concepts as a follow-up for class work (paraphrased from Rudman, 1994). Whatever the motivation, field experiences should be integral to the overall course of study, rather than merely used as an enrichment or add-on activity (Orien and Hofstein, 1994).

Rudman (1994) makes the following suggests that, prior to a field trip, leaders should:

- i. Create goals and objectives which justify the purpose of the field trip.
- ii. Implement an introduction or orientation before the field trip departure (e.g., slide show, speaker, discussion on what to expect and how to behave).
- iii. Reduce the environmental novelty for yourself and the students. Make a pre-trip inspection yourself and learn how to use the (available) resources. If time, travel or expenses do not allow for this, phone calls or letters can be just as helpful.
- iv. Select a field trip site that provides hands-on, materials to manipulate. Trip leaders should stimulate interest through questioning, problem solving, exploration and investigation.
- v. Allow students time to experience the excitement of exploration and discovery. Certain behaviors should be expected, but the field trip does not have to be a regimental, single file line of silent students.
- vi. Administer post-field trip materials, projects, or activities to help students reinforce and transfer the learning experience beyond the field trip.

Orien (1993) presents a model for the development and implementation of effective field trips:

- i. The main instructional strategy of the field trip should be hands-on experience, concentrating on those activities that cannot be conducted in the classroom or laboratory.
- ii. A process-oriented approach should be used to achieve the objective of hands-on experience. This approach involves assignments that direct the students towards activities such as: observing, touching, identifying, measuring, and comparing. Follow-up activities of interpretation and drawing conclusions should be based on these basic processes.
- iii. Students should be prepared for the field trip. The more familiar they are with their assignment (cognitive preparation), with the area of the field trip (geographical preparation), and the kind of event in which they will participate (psychological preparation), the more productive the field trip will be for them.
- iv. The field trip should be used as integration with a particular unit because concrete activities in the field provide a basis for meaningful learning.

To assess the effectiveness of the field trip experience, Orien and Hofstein (1994) used the following evaluative mechanisms:

- i. Pre-field trip questionnaires were administered on students' background, attitudes towards field trips, attitudes towards geology and a pre-field trip achievement test was given.
- ii. During the field trip, direct observations were made of student performance, students were interviewed, and students' attitudes towards the field trip were collected via a questionnaire.
- iii. Post-field trip surveys and interviews were conducted to determine students' attitudes towards field trips and geology, and an achievement test was given.

It is necessary to have a basic understanding of students' prior knowledge, interests, attitudes, and pre- or misconceptions to help formulate the field trip activities. During the field trip it is also important to monitor student performance (what they can do and what they know) as well as interest and attitudes to ensure that the field trip is a positive and meaningful experience. Post-field trip activities are also important to help reinforce the lessons learned on the field trip, and to help students reflect on the relevance of the field experience to the rest of their coursework, and to their personal lives.

### **Policy on Field Courses**

Among some universities, field course policies exist. According to University of Missouri (2014), there exists a field trip guide. In their document, when considering a field trip, faculty/staff are advised to first review existing policies and follow those recommended procedures. Before the activity, they are required to have; documented itinerary and description of activities, review and plan for inherent risks associated with activities, review and plan for liabilities, and have emergency plan. The University community is involved in a very diverse range of activities in its Risk Assessment and Emergency Planning (RAEP). Again the Faculty, staff, and students must comply with University policies while on field trips just as they would on campus including those concerning alcohol and drug use, vehicle use, student misconduct, smoking, principles of academic freedom, policy on sexual harassment, and consensual relationships. It is not assumed that all students are in agreement to the field trip hence they must fill in Request to Travel form, must fill Student Sign – up list at appropriate points, fill an Assumption of Risk/ Permission form, and site sponsor contracts for risk responsibility by the university. And finally, the procedures involved in reporting of incidents are documented and known before hand.

Southern Illinois University Carbondale (2007) is the cumulative policy description of field courses for the university. It defines what field trips are and what they are not. It further, provides factors to consider while planning, documentation related to the trips, emergency plans, and it documents special requirements for participation. This institution in addition has a check list that must be adhered to prior to approval of trips. University of Florida's Harn Museum of Art ([www.harn.ufl.edu](http://www.harn.ufl.edu) 6/11/2016) have a field trip policy that differs with the previous two discussed above in the sense that it is a biannual based policy. Somehow we could term it a tour/ guest guide operative policy, but still the underlying issues in field trip policies are inherent which makes it a good reference. These makes it prudent to think that many other universities that are operating outside such policies should find it necessary to institute such relevant yardsticks to avoid arbitrary handling of a course of this nature. Most often in Kenyan set ups and Africa at large, we wait till either the concerned commission initiates or the relevant ministry takes lead.

### **Students' Perceptions on the Administration and Management of Field Courses**

In a research by Azhar and Zairi (2015) the perception of Diploma in Electronic Engineering (DKE) students who had attended a trip to Beserah earth satellite station, field trips get positive responses from students. They however noted that to conduct an effective field trip, the management should provide adequate funds and resources for coordination at all levels. As stated earlier, field courses in Moi University were generally considered as educational tours which were not assessed previously. Courses like BSc in Forestry, MSc in Environmental Studies and BA in geography used offered field courses that to support the theory taught in class. Departments and individual course instructors were responsible for the guidelines and delivery of the course. Despite the fact that there is no comprehensive policy on field courses, departments design their own guidelines on ad-hoc basis. During our field

research, students were asked to fill questionnaires on their perceptions on certain aspects of field courses

**Table showing Responses on Perception Question**

S/No	Response Item	Response Type (D) in Percentage	Response Type (NS) in Percentage	Response Type (A) in Percentage
1.	Course Usefulness	8%	2%	90%
2.	Prior Preparation	95%	3%	2%
3.	Being Involved by Dept.	95%	2%	3%
4.	Adequate Preparation	91%	2%	7%
5.	Payment versus Expectation	98%	-	2%
6.	Enjoyment of trip	5%	3%	92%

**Source: Authors, 2016.**

Even though students' perception may at times be over board with realities, the good practices after the onset of scientific inventions in the 20th Century calls for understanding the place of the client in organizational decision makings thus we cannot ignore all their perceptions. In this study, after subjecting the students' to the data collection tools, it became clear that the response type "D" attracted higher percentages in most of the questions unlike the response type "NS". On the other hand, the response type "A" had a few high positive percentage rates, an indication of interest in this course. In relation to the policy statements stated as in Southern Illinois University Carbondale (SIUC) and University of Missouri, some of the responses we received in this study as weak points seem to corroborate with the lack of guiding policies for field courses. It has been said by some that knowing a problem is half the solution to a problem. This is a truistic statement in several senses since without identifying a problem it can be hard to think of a viable attempt to solving it

### METHODOLOGY

The study is a qualitative research which adopted a descriptive Qualitative Action Research. Questionnaires were used to collect data, after which descriptive data analysis technique was used in data analysis. Students who undertook field course in 2015 were asked to fill a questionnaire to describe their positive and negative experiences, what they learnt, and what they recommend as a policy for the improvement of field courses. Thirty percent (30 %) sample of students were sampled to fill in questionnaire. The study used the Likert Scale to assess the perceptions of students on the administration of field courses. The students were therefore asked the following questions and were required to rank their answers as indicated. Having undertaken the course PSA 312, please answer the following questions as honestly as you can using the choices provided;

Perception Question on Administration and Management of Field Course You attended (Likert Scaled; Agree = A{3}, Not Sure =NS{2}, Disagree =D{1}). Tick appropriate answer.

Perception Statements (Below)	Disagree(D) 1	Not Sure (NS) 2	Agree(A) 3
The field course was a useful learning to me			
We had prior preparations for the field course			
Our department involved us in the preparations			
The preparation period was adequate			
The amount we paid was commensurate with Expectations			
It was a nice experience learning outside class			

II List some challenges you can associate with the field course you went through;  
 .....  
 .....

III Suggest some ways to likely improve the field course;  
 .....  
 .....

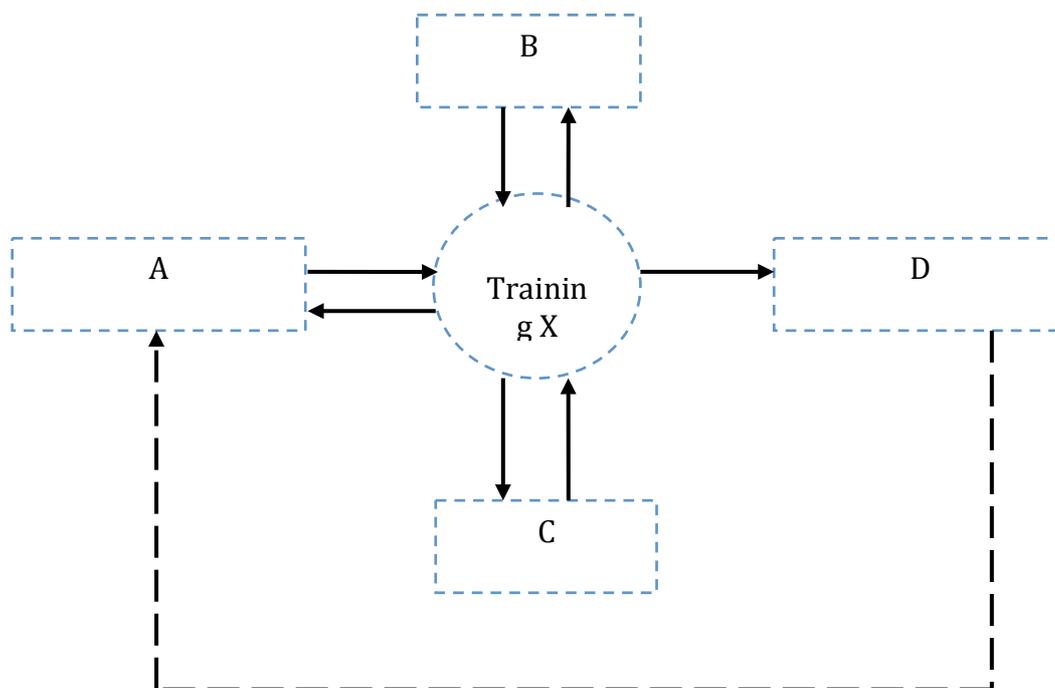
\*\*\*\*\*Thank you for participating\*\*\*\*\*

### THEORETICAL FRAMEWORK

The research draws its theoretical foundations from systematic approach to training. The concept of systematic training originates from the systems theory which considers training as a sub-system interacting with the other sub-systems upon which an organization depends for its progress and its survival. It is as a logical relationship between the sequential stages in the process of investigating training needs, designing, delivering and validating training (Buckley, 2009). Systematic approach to training is therefore a training that is done after careful planning and its implementation is done according to plan.

### CONCEPTUAL FRAMEWORK

On the basis of the theoretical framework above, we come up with a conceptual framework to capture the interacting variables. The inputs (operations, procedures, etc.) determine the outputs (successes in administration and management of field courses). At the heart of all these is training needs being met under diverse intervening variables (internal and external) such as respective faculties and staff, the Commission of University Education (CUE) policies on higher education, prevailing international policies, and stakeholders' demands.



Source: Chelang’a and Juma, 2016.

In the framework above; A – represents the input, B – is the internal variables, C – external variables, X- the processing (training), and D – output (deliverables). At the end of the whole interactive process, the output informs what future inputs may be needed for the progress of the system.

### RESULTS AND DISCUSSIONS

This study in its attempt to find students’ perception of the administration and management of field courses pegged its finding presentations on the basis of objectives as follows;

- Evaluation of field course administration and management in Moi University
- Examination of Moi university policy on field course management
- Establishing students’ perception field course administration and management
- Suggestions on possible solutions to field course challenges

Qualitative analysis of data involved summary of questionnaire data, classification of responses, and bringing out respondents’ voices through quotations. However, respondents were given pseudo names so as to maintain confidentiality. Data was generated from both male and female students as indicated in table 1.

**Table 1: Gender of student respondents**

	Frequency	Percentage
<b>Male</b>	51	75
<b>Female</b>	17	25
<b>Total</b>	68	100

Source: Field data, 2015 (Researchers)

A total of 68 students participated in the study. Seventy five (75) percent of the respondents were male, reflecting the male domination in the admission to the degree programmes and the university. It also reflects male domination in the Bachelors of Arts degree in the department of History, Political Science Public Administration. The respondents were asked questions related

to their experiences on the field course, their perceptions on the administration and management of the field course, and the challenges. They were also asked to provide suggestions on how the course should be managed.

## Evaluation of field course administration and management in Moi University

### **Importance of Field Courses**

In the past, field trips/ courses at Moi University have been organized, to serve generally as student excursions for both academic as well as pleasure. The university funded such trips to places within and outside the country with the hope that the trips would enhance the academic and social development of students. The field trip courses were not seriously evaluated as students did not earn credits for trips taken. Recent changes in the curriculum have made field trips to be re-focused as field courses which must be assessed and therefore contributed to the students' final grades. Field courses are therefore compulsory in all university degree programmes and the students pay fees for the course. Consequently, departments are expected to plan for the places to be visited during field courses and students are expected to write field course reports which are assessed. The objectives of field courses are to bring out a symbiotic relationship between theory and practice. With changed curriculum, the management of the field courses was expected to change to reflect the changed requirements.

### **Administration of Field Courses**

In evaluating Moi University field courses, there might be need to reconsider whether the students taking Public Administration for example should be combined with those taking Penology or History during a field course study in light of the administration and logistical challenges. An engagement in a field course should from the onset fill some academic gap(s) at minimum which we can term- pedagogical/fundamental issues which can be; enhancing active learning, promoting critical thinking, learning styles, building learning communities, and building skills. Some key factors that promote successful field courses include; academic rigor, use of mixed teaching methods, and facilitated reflection synthesizing experiences with academic content. According to Lori Gardinier and Dawn Colquitt-Anderson (2010):

There is no formula for the percentage of time that should be spent in formal class time, seeing cultural/historical sites and events, doing field work, or engaging in peer-to-peer cultural exchange. Regardless of the mix, students should arrive at the destination with grounding in both the academic and cultural context through a combination of pre-departure lectures, guided research, online discussions, readings, and cultural events relevant to the trip.

### **Learning Experiences**

Field courses can also be evaluated in terms of student learning experiences. Field data indicated that students appreciated field courses because of the exposure they got. They were also able to appreciate the challenges faced by various organizations visited

Students were able to appreciate the role of theory and practice in public administration. They particularly understood how theories reflected historical contexts of time and culture which developed. Such students include Donald<sup>1</sup> who appreciated the relevance of culture, social change, socialization, stratification, social structure...class, race, and gender in shaping individuals.

A female student, Grace<sup>2</sup> noted that she had the opportunity to relate theory learned in class to real life situation. This was made possible by group interactions with lectures and students and

the brainstorming sessions and discussions. According one student Donald<sup>3</sup>, the field course was not only educative but was also very relevant to the course in Public Administration. Clement<sup>4</sup> further reiterated that the field course enabled students were exposed to reality as opposed to theory. Donald<sup>5</sup> thought that the social element of the field course enabled peers, lecturers, resource persons and local community to interact. Abigael<sup>6</sup> concludes that the field course has triggered me to learn more on theories which are applicable in various situations in the field. I have also learnt other approaches for dealing with people's challenges in administrative issues. The field course has enabled me to appreciate my passion for political science and public administration as a discipline.

The field course provided an interactive session outside campus and students were able to intermingle with the coastal communities, fellow students from other campuses, and lecturers outside a formal setting. This made Adhiambo<sup>7</sup> to conclude that "the field course was quite interesting. It had a positive impact to both my academic and social life. I learnt new social skills and visited several new and interesting places. I appreciate and commend the department for this course"

Cherusang<sup>8</sup> noted that in all the public institutions visited during the field were bureaucratic. There were chains of command and procedures to be followed before they were allowed into the institutions. This caused delays in the field programmes. The students were able to learn the functions of parastatals visited. Diva<sup>9</sup> cited the social- cultural and economic activities of the coastal region e.g. mining industries, Christian and Muslim civilization, tourism, and education among others, as what were learned lessons. According to Cherusang<sup>10</sup>, the visit to Coast Development Authority enabled students to learn how local communities contribute to development through participation by identifying and prioritizing their most felt needs for first hand solution. Cherusang<sup>11</sup> thought that in the visit to the Provincial Headquarters students learned the relations between central government and provincial administration while in the Kenya Ferry services, the students appreciated the use of six ferries to transport approximately ten thousand passengers and three hundred vehicles daily from Mombasa Island to Likoni mainland. Cherusang<sup>12</sup> thought that the Diani and Kenyatta beaches were tourist attractions, for both local and international visitors, which contributed a substantial amount of money to the Kenya economy. Cherusang<sup>13</sup> thought that the coastal people were soft spoken, generous, and willing to live as one community. Other students appreciated the historical sites, the cosmopolitan nature, and the hospitality of the coastal community

The challenges facing institutions visited include lack of political good will from the government, instability, inappropriate technology, financial management, organizational capacity building, operational inefficiency, drug and substance abuse, and insecurity among others. According to Mary<sup>14</sup>, these are challenges which are common in all government institutions particularly in The Coast Development Authority, Kenya Ferry Services and the Coastal Provincial Administration which were visited. These challenges can be addressed by sensitization, public participation, depolitization of projects, timely financing, training, outsourcing, team building and bonding, monitoring and evaluation, and social responsibility among others

### **Examination of Moi university policy on field course**

Moi University does not seem to have a comprehensive policy on field courses. The Senate however, requires that field courses are evaluated and students earn credits. Field courses are therefore compulsory in for all degree programmes. Generally, students who are allowed to

proceed on field trip are those who have completed their fees as at the time of the trip. The university uses the fees paid to meet the expenses for the trip such as students' and lecturers allowances and fuel among others. without a written policy, the administration and management of field courses are made with varying requirements, standards and results. Consequently, this creates problems of implementation and evaluation and hence causes confusion to both students and the instructors.

Due to the lack of a common guideline on field courses, each department is responsible for designing and implementing their own rules and guidelines. According to Ousuru Maurice Cornel who took his field course for the Public Administration degree program in 2015, the objectives of the course were to:

- i. Change theory into pragmatic undertakings.
- ii. Make the student develop their skills.
- iii. Encourage the student to pursue their specialization passionately.
- iv. Enable the student to know more about organizations visited.
- v. Experience the pragmatic roles of the administrator at individual and group undertakings.

### **PERCEPTIONS ON ADMINISTRATION AND CHALLENGES**

#### **Logistics and Planning:**

Mokir15 thought that the field course faced logistical problems from the onset. He states It started from the complexities from the department right from the time the list of students was being prepared with some names missing from the list despite them having cleared all the fees required. Still on the same there were delays in clearance of funds for the trip forcing it being pushed forward from Sunday to Monday which affected the planned program with some appointments being cancelled at the last minute

Mokir16 further noted that students were not issued with programmes of activities. This made them unaware of places to visit each day and consequently made them to spend more money on transport from the places they resided as they would converge with others instead of being picked on the road if one resided along the way to the place visited. It also led to time loss, reporting late and not starting scheduled activities on time. Adam17 concurred that a lot of time was wasted by students during time of boarding the buses. Steve added that a lot of time was wasted waiting for the buses or for students to board the buses. Clement18 reported that students were not provided with a programme for the field course. Alex19 added that the students looked disorganized because they were not informed in advance where they were to visit. Jerry criticized the field course coordinators for poor planning. He says "it was baffling to see the technocrats concerned with disseminating good managerial skills put in disarray by the lack of the same skills. Logistics were poorly managed from the word go with the journey set to start by 4pm only to take place at 10.00 pm

#### **Transport and Accommodation**

Transport was insufficient as students were crowded in the buses. Some students arranged to travel with their friends, while others who were not part of the team "gate crushed". According to Diva20, the trip to Mombasa started late because there was a shortage of buses. Cherusang21 affirms this point when he stated that "the number of buses given to the department were few as the seats could not accommodate all the students. This led to overloading...and further led to reaching Mombasa in the late hours of the night" Adhiambo22 described it as "the number of buses offered during the trip was inadequate, unfair for students to stand in a bus from Eldoret to Mombasa and yet they have paid the requisite fees. In case of

an accident (God forbid) the insurance company will not cover passengers who were standing in the bus” The problem of transport was compounded by the difficulty of confirming names of the students on the field course before they were allowed to board the buses to Mombasa. A student Jerry43 described it as “a nightmare”

Mokir23 reported that some students stood in buses during the trip to Mombasa because there were more passengers than the buses could accommodate. Another student, Amina24 described the situation as a long and tiring journey due to the disorganization and poor planning. This led to delay in some vehicles causing stopover in some vehicles in order to wait for others. Thus the journey looked longer than expected”

A female student Grace25 described the accommodation as “chaotic...the organizers never prepared us on what to expect “It was indicated that accommodation was to be at a reasonable price but this was never the case”Amina26 on the other hand described accommodation as a challenge because most students were visiting the town of Mombasa for the first time and were left to look for lodges at night in a place they were not familiar with. Jerry27 thought that the lack of planning for accommodation for students was a great risk. He adds “the students were dropped off at Mtwapa and it was then each man and woman for himself or herself” Other students noted that accommodation in Mombasa was expensive because of tourism. This made majority of the students to suffer.

### **Allowances and Duration of the Course**

The University charges fees for field courses, out of which some amount is paid back to students, an amount of Ksh. 500 for accommodation and food, which was thought to be inadequate. Diva28, for example was forced to get extra money from parents. Mokir29 emphasized this point by stating that the amount offered to students “was not enough to cater for all expenses ranging from transport, meals and accommodation for those who did not have relatives to stay with” Jerry30 even describes succinctly that “it was pathetic to learn that so many students could not be paid allowances by the coordinators because of omissions of their names and yet they had paid the full fees as required by the university. Jerry31 further thought that the students should have been paid Ksh. 8,000 which they paid as field course fees. He32 states “it was just unbelievable that the students were given Ksh. 2,000 to cater for four days breakfast, lunch, supper, refreshments, accommodation, medical and miscellaneous expenses. How on earth can one live on Ksh. 500 a day in Mombasa while you are not a resident of Mombasa? This was my worst experience of all!” David33 recommended that the students’ allowance should be increased even if it means raising the fees a little bit.

The duration of the field course was short as part of the time was utilized on traveling. Grace34 for instance noted that:

the time for data collection was not enough as lecturers were always in a hurry to ensure that we visited all the proposed institutions. This was not possible due to the distance between the sites that were to be visited

A female student Grace35, described that lecturers were in a hurry to ensure that students moved from one institution to another as per appointments. This was difficult because the time to move from one institution to another was inadequate. According to Amina36, “time was the greatest challenge in the field course. Students were deprived time for visiting more places in the coastal region” Cherusang37 added that time was not sufficient and this led to the

cancellation of some of the places like Kenya Ports Authority. Furthermore, the time for the visit to the beaches was shortened.

### **Environment and Teamwork**

Students reported that Mombasa, which is a popular destination, had a hostile environment due to high temperatures as compared to Eldoret. Cold drinking water was sold and this increased the economic burden to the students. This gives the impression that students were not prepared and hence

Some students reported that they were unable to interact with the coastal mijikenda communities due to language barrier. This is curious because one would expect that there is a greater general understanding of Kiswahili language in the coastal region and the students should not have had a problem of interacting with the local communities. Alternatively, some of the students may have had the challenge of understanding the colloquial Kiswahili

Donald<sup>38</sup> reported that there was lack of teamwork during the course and this led to a "general misunderstanding of the goals and objectives, resulting in delays hence not executed in ways that maximizes their educational value to students" Adam<sup>39</sup> cited that some students got lost occasionally because they were not familiar with the city of Mombasa. He suggested that time should be allocated for students' orientation to the city of Mombasa.

### **Lack of learning**

According to Tom<sup>40</sup>, learning took place in several institutions except Bombolulu centre where students assembled for a short while, after which they dispersed. Tom<sup>41</sup> also noted that learning was ineffective in some organizations visited because either the speakers were not audible or the students made noise. Further, traveling long distances to different organization in a hot environment caused exhaustion and reduced concentration span which was not favourable for successful learning.

One student Alex<sup>42</sup> indicated during the visit to the Coast Development Authority, students were given lectures for a long time while standing and taking notes. This was tiresome and hence impaired learning.

### **Suggestions on the Improvements of Field Course Administration and Management**

#### **PLANNING**

Field courses should be well planned early enough and be executed meticulously. The planning should ensure adequate transport for the students taking the course and only the bonafide students should be allowed to travel. Early planning will also ensure that students pay the requisite fees early so that no student is left out due to non payment. One student, Jerry<sup>44</sup> recommended that the coordinators of the course should draw and publish a list of the names of students who were due for field course and have fulfilled the requirements. This ensures that the students are communicated in good time to allow for any anomalies to be corrected in time before the trips are taken. Donald<sup>45</sup> recommended that students should be actively involved in pre-visit preparations so as to help the students prepare themselves. He suggested a reconnaissance visit by students' representatives to be carried out "to enable them do a feasibility survey on behalf of their colleagues and come up with information about the accommodation and other important information that will facilitate field trip preparation" and that the field course should be carried out during the second semester of the third year so as to give students enough time to write the field course report. He further recommended that the

organizers of field courses should “draw clear guideline of time table on the places to visit to avoid students complaining because knowing where they are going and prepare in advance what they should do” Clement<sup>46</sup> added that it was not prudent to combine field course where all the students in the department traveled together. Transport threatened to ruin the field course. Further, Josma, <sup>60</sup> emphasized that students should be involved choosing places to be visited during field courses. According to Donald<sup>61</sup>, the field courses should include a visit to Parliament and the Senate which were relevant areas to students of political science. Mokir<sup>47</sup> recommends the improvement on logistics to avoid time wasting and delays on visiting organizations. He also emphasized on the need improved communication with students on all issues to do with field course such as fees and expectations. Planning would therefore would include identifying places for students’ accommodation. According to Adam<sup>62</sup>, the students should be accommodated in the Central Business District (CBD) for convenience. Tobias<sup>63</sup> suggests that the coordinators of field courses should arrange for cheap accommodation in the hostels in Mombasa satellite campuses

### **Time management and Timing of Field Course**

Efforts should be made to follow an agreed time schedule to avoid students wasting time in waiting for others for too long. Clement<sup>48</sup> reported that there were several changes on departure dates and time. This created anxiety and caused psychological effects on the students before the trip started. The students were not in agreement on the timing of the field course. While others preferred the field course to take place at the end of the second semester, before filed attachment course, others prefer the mid semester. Clement<sup>49</sup> thought that the timing of the field course to start at the end of a semester was wrong. This is because the students will lack continuity as they break for holiday after the field course. In addition, the students will not find time to write the field report in ideal environment. He suggested that students taking different degree programmes should not be mixed during field course as they increase the numbers to unmanageable size. Donald<sup>53</sup> suggests that worksheets should be provided to students to facilitate learning experience. An important aspect which field courses should factor is the availability of officers targeted in host organization. Clement <sup>50</sup> reported that in all the institutions visited, the students were not addressed by the Chief Executives, which he thought was a setback as students would have learnt more from them

### **Transport and Contingencies**

Mokir<sup>51</sup> suggests that transport should be convenient to all students. Excess passengers on the buses should be avoided. Jerry<sup>52</sup> also suggests that the buses assigned for field courses should be serviced in good time to avoid cases where buses arrive from other long trips and are assigned new trips before service is undertaken. In addition Lecturers who accompany students during field courses should be paid honoraria because trips are time consuming. Besides, students suggested that lecturers should be given a miscellaneous budget to cater for student emergencies including medical cases. The student reports suggest that some of them were not aware that the University provided a medical insurance for them while on field course.

### **Increase students’ allowances and number of days**

A student Josma<sup>54</sup> recommended a student daily allowance of Ksh. 1,500 per day during field course. Many added that if allowances are not increased, then the university should meet the cost of students’ accommodation and upkeep. Another student recommended that students should form Associations which will assist them financially during the field course sessions. Jerry<sup>55</sup> however suggested that the university should urgently revise the allowances given to

students to reflect the current prevailing economic situation in the country and increase the length of the course. In our opinion, field courses should be financed by the Higher Education Loans Board (HELB) so that all students are given equal financial support to cover the course. Currently, HELB finances only students doing twelve week field attachment course. The length of the field course should be increased to one week and should be offered once every academic year so that students can learn from different regions of the country. For instance, Linda56 wrote that: Field course should be done every semester from the first year and a curriculum be developed such that visits to relevant organizations are done in relations to the learned theories of the same semester. This will make the course comprehensive as there will be a total of eight field courses

However, one student Josma57 recommends two weeks for field course, once every semester, for it to be meaningful. Diva58 added that the places for field courses should include neighbouring countries like Uganda, Rwanda and Tanzania so that the students can learn different administrative systems. Another student Laibon59 thought that field courses outside Kenya would give students international exposure. He further thought that students should be taught on how to collect data and write a good report before they field course is carried out.

### **CHALLENGES**

- I. The major challenges of the field course are related to planning, transport, and accommodation Some students were not aware that they were covered by a life insurance while on field course. For instance, one student recommended that “insurance cover should be arranged to students while at the field because accidents can happen and needs compensation”
  - Sixteen students (23.5 %) - 12 male and 4 female had no idea on their field course learned experiences, challenges encountered in the field, and recommendations on how to improve the field course. This is part of the group of students who believe that field courses are for their leisure. No wonder, in a previous field course, some students cheated by copying reports from other students.
  - Students were not contented with their daily allowance of Ksh 500 and yet they paid Ksh 8,000 for the field course. The students were not aware that the Ksh 8,000 paid was allocated to them for their up keep and the university meets the lecturers per diem from a different budget
- II. Students related theories learnt in class and their experiences in the field
- III. Transport and accommodation were the students' greatest challenges in the course
- IV. Students preferred a longer period of at least seven days for the field course. One student for instance wrote “Students of political science should visit a County Assembly, National Assembly and Senate as mandatory during their field course visits
- V. Some students did not know the course code for field course. While some thought it was PSA 312, others thought it was PSA 412. This indicates that the preparation for the course was inadequate. Another possible explanation is that the students did the field course after third year hence changed the course code to reflect their fourth year status. It is noted that this study covered two cohorts of students were offered the field course together and hence the confusion. Despite these excuses, the university has only one course code for the field course
- VI. Up to eight students shared a single hotel room for accommodation. This enabled them share the cost of accommodation. This was reported by both male and female students

Students of BA in Political Science and Public Administration rated field course as an important part of their study. Alex64 for instance, describes that “the concept of field course is an excellent undertaking which need to be enhanced. It provides a student with the opportunity to experience the real world and prepare them for the tasks ahead” Majority of the students however reported challenges which were associated with inadequate planning and execution of the course and therefore recommended that students should be given sufficient lectures concerning the field course requirements including transport, accommodation, and places to be visited before departure.

### CONCLUSION AND RECOMMENDATIONS

Indeed this study finds that field courses are important for gap filling of lectures and practicalities. Perceptions vary about the administration and management of this course, and this is about expected ideals vis a vis the practice (facilitation, delays, inadequacies, and logistics). Not only do students need them, they are also good to lecturers as a break from the back-to-back semester programmes currently run by the university. The difference in the way these programmes are run by one school and department to another is a point to inquire on further about the inherent quality.

Moi University should formulate policies, which should guide Field courses in all programmes. This is important not only for quality delivery of the course but also for easy administration and management of the course. The systematic approach to training should be used to ensure that the design, delivery

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## APPENDICES

### Appendix 1: Pseudo names of selected students where quotations were made from their reports

<b>1</b>	Donald <sup>1</sup>	<b>14</b>	Cherusang <sup>14</sup>	<b>27</b>	Jerry <sup>27</sup>	<b>40</b>	Tom <sup>40</sup>	<b>54</b>	Josma <sup>54</sup>
<b>2</b>	Grace <sup>2</sup>	<b>15</b>	Mokir <sup>15</sup>	<b>28</b>	Diva <sup>28</sup>	<b>41</b>	Tom <sup>41</sup>	<b>55</b>	Jerry <sup>55</sup>
<b>3</b>	Donald <sup>3</sup>	<b>16</b>	Mokir <sup>16</sup>	<b>29</b>	Mokin <sup>29</sup>	<b>42</b>	Alex <sup>42</sup>	<b>56</b>	Linda <sup>56</sup>
<b>4</b>	Clement <sup>4</sup>	<b>17</b>	Adam <sup>17</sup>	<b>30</b>	Jerry <sup>30</sup>	<b>43</b>	Jerry <sup>43</sup>	<b>57</b>	Josma <sup>57</sup>
<b>5</b>	Donald <sup>5</sup>	<b>18</b>	Clement <sup>18</sup>	<b>31</b>	Jerry <sup>31</sup>	<b>44</b>	Jerry <sup>44</sup>	<b>58</b>	Diva <sup>58</sup>
<b>6</b>	Abigael <sup>6</sup>	<b>19</b>	Alex <sup>19</sup>	<b>32</b>	Jerry <sup>32</sup>	<b>45</b>	Donald	<b>59</b>	Laibon <sup>59</sup>
<b>7</b>	Adhiambo <sup>7</sup>	<b>20</b>	Diva <sup>20</sup>	<b>33</b>	David <sup>33</sup>	<b>46</b>	Clement <sup>46</sup>	<b>60</b>	Josma <sup>60</sup>
<b>8</b>	Cherusang <sup>8</sup>	<b>21</b>	Cherusang <sup>21</sup>	<b>34</b>	Grace <sup>34</sup>	<b>48</b>	Clement	<b>61</b>	Donald <sup>61</sup>
<b>9</b>	Cherusang <sup>9</sup>	<b>22</b>	Adhiambo <sup>22</sup>	<b>35</b>	Grace <sup>35</sup>	<b>49</b>	Clement <sup>49</sup>	<b>62</b>	Adan <sup>62</sup>
<b>10</b>	Cherusang <sup>10</sup>	<b>23</b>	Mokir <sup>23</sup>	<b>36</b>	Amina <sup>36</sup>	<b>50</b>	Clement <sup>50</sup>	<b>63</b>	Tobias <sup>63</sup>
<b>11</b>	Cherusang <sup>11</sup>	<b>24</b>	Amina <sup>24</sup>	<b>37</b>	Cherusang <sup>37</sup>	<b>51</b>	Mokir <sup>51</sup>	<b>64</b>	Alex <sup>64</sup>
<b>12</b>	Mary <sup>12</sup>	<b>25</b>	Grace <sup>25</sup>	<b>38</b>	Donald <sup>38</sup>	<b>52</b>	Jerry <sup>52</sup>		
<b>13</b>	Cherusang <sup>13</sup>	<b>26</b>	Amina <sup>26</sup>	<b>39</b>	Adan <sup>39</sup>	<b>53</b>	Donald <sup>53</sup>		

## The Appropriate Extreme Value Distribution for Extreme Returns: A Look at GEV& GL

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### Abstract

**We focus on the problem of modelling extreme events in the financial market. The choice of the distribution that adequately models the extreme behavior of the financial time series. Extreme Value Theory outlines the framework for determining the best fit distribution for the data. However, the generalized extreme value distribution and the generalized Pareto distribution are the traditional distributions that most analysts resort to using. However, recent works have shown that the generalized logistic distribution can also capture the effect of the extreme due to its fat tailed characteristic. In this paper, we determine if this is true and analyze the importance of the generalized logistic distribution in modelling extreme events in the financial market in order to accurately conduct risk measure analysis.**

**Keywords:** Extreme Value Distribution, Generalized Logistic Distribution, Sub Period Technique, Probability Weighted Moments

### INTRODUCTION

Many financial institutions are faced with high possibilities of risk. These risk arise due to various factors including market performance, portfolio size and failure of internal conducts. Whilst exposed to a variety of risks, the institutions still have an obligation to its clients and must reserve enough capital to sustain these obligations. As such, many regulatory agencies such as the BCBS, Federal Reserve Board and the Federal Deposit Insurance require institutions to have a minimum capital requirement in reserves. This minimum capital is required to act as a cushion when businesses are impacted by large losses and to reduce the chance of running into bankruptcy or default. Institutions therefore make it an important duty to calculate how much of this capital is required to buffer the institution against large losses. Many institutions use the risk measures Value-at-Risk and expected shortfall to quantify these exposures to financial risks and to estimate the necessary capital to protect them against these extreme losses. Since VaR is a quantile risk measure, it is believed to be a good measure for capturing tail extreme events. In the financial literature, it is usually assumed that the daily log returns of indexes follow a normal distribution. Two popular examples of this assumption is the Black-Scholes-Merton(1973) framework which assumes stock prices follow a Geometric Brownian motion in the option pricing model and Sharpe (1964) who assumes normality of the distribution for the stock returns in deriving the capital asset pricing model. However, after extensive research and analysis of this data type, it had been proven to be skewed data. Therefore under the normal assumption, VaR analysis tends to drastically underestimate the true extreme financial losses the institution may be exposed to if the index drastically falls. It is therefore of importance to identify the best distribution that fits the heavy left tail of the

financial time series. The determination of adequate model for extreme stock movement was an important problem that thus arose in the financial industry. It is under these circumstances of modelling extreme events in order to conduct risk measure analysis that the concept of Extreme Value Theory was developed.

Extreme Value Theory (EVT) allows one to assess the probabilities and distribution of events that are more extreme than others previously observed. The application of EVT is seen in disciplines that require careful monitoring of extreme events and the casualties they may cause. In finance, EVT focuses only on extreme returns rather than all returns, which is of importance to the institutions and regulators. There have been a variety of work done where EVT was applied to various aspects of the financial sector. This includes the works of McNeil and Frey (2000) whose focus was the estimation of tail risk measures of heteroscedastic financial time series and Gencay and Selcuk (2004) who analyzed the daily extreme returns of emerging markets.

In this paper we seek to characterize the distribution of extreme stock returns for the S&P500 from 1990 to 2015. The fatness of the tail of the limiting distribution can be used to calculate the probabilities of a market crash and thus can contribute to the early warning of market risk (Jansen and De Vries, 1991). We focus on the works of Gilli and Kellezi (2006) and Tolikas (2008) who both applied EVT in order to measure financial risks using different approaches. Gilli and Kellezi (2006) applied the two well known methods under EVT, Block Maxima Approach and the Peak Over Threshold, to the data which leads to different but closely related descriptions of the extremes. The methods model the extreme events by fitting the Generalized Extreme Value (GEV) distribution and the Generalized Pareto (GP) Distribution, whereafter risk measure analysis was conducted using both models. Gilli and Kellezi (2006) concluded that the GP is the better model as there is less wasting of data. However, Tolikas (2008) states that although the GP distribution does have its advantages over the GEV, it is subjected to more serial dependence. Tolikas (2008) therefore applied a non-overlapping sub period technique to the financial data to reduce dependency. He then fit the Generalized Logistic (GL) distribution and the GEV to the data and compared the results to determine which model better describes the extreme events. Calabrese, Marra & Osmetti (2013) applied GEV and BGEVA models to the sample of Italian SMEs from 2006 to 2011 and found each of the two model is better than the logistic regression. Tolikas (2008) introduced the option of probability weighted moments as a more efficient way to estimate parameters instead of the maximum likelihood approach, which was the method used in Gilli and Kellezi (2006). Each sub period is analyzed and the better fit distribution is assigned to each sub period, where after he concluded that the extremes are generally better characterized by the GL distribution.

The aim of this paper is to apply Extreme Value Theory to financial returns and determine the best distribution which fits the returns. We apply the data sub period technique of Tolikas(2008) on three global financial indices and fit the GL and GEV distributions to the data set. We then compare the results from using the sub period technique to Gilli and Kellezi (2006) who analyzed the fit of the GEV distribution to the entire time horizon. Based on our results, we analyze which methodology is more efficient and sufficient for choosing the adequate distribution that describes the financial market extremes. Finally, we perform VaR analysis given the optimal distribution to determine capital requirement.

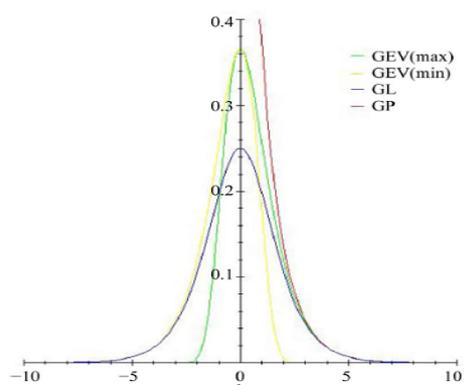
Section two details the technical content surrounding the different distributions, obtaining model parameters as well as goodness of fit testing. Section 3 provides a description of the data

sets used and results obtained. Section four covers a critical analysis of the results as well as advantages and drawbacks of both approaches. Finally, we end the report with our conclusion.

## METHODOLOGY

### Distributions

We make mention of two approaches that model and analyze the behavior of extreme events. These are the Peak over Threshold approach that utilizes the GPD distribution and the Block Maxima Approach which more popularly utilizes the GEV distribution and the more recent introduction of the Generalized Logistic distribution. In figure 1, we observe from the probability distribution density functions of the GPD, GEV and GL that the tails are similar in distribution. As such, the three distributions are asymptotically equivalent in their tails (Nidhin et al 2013). It is with this equivalence in the tails that we focus our attention on the three distributions to model extreme stock returns.



**Figure 1: Probability density functions of GEV(max), GEV(min), GP and GL distributions.**

The Peak over Threshold Approach models all values that exceed a fixed or high level threshold. This approach follows the Pickands-Balkema-de Haan (1975) theorem. The theorem indicates that the limiting distribution of excesses over a high enough threshold provides a theoretical foundation for us to use the GPD to develop estimators and quantiles. The GPD is argued to be more advantageous than the GEV and GL as it makes use of more data points from the tails. As such, there exists a greater number of available data for the model to fit. However, this approach has two drawbacks: choosing a suitable threshold and being subjected to serial dependence. The choice of a threshold is critical as if it is too high then there are less observations available for accurate estimation and if too low will lead to many central observations in the sample. Additionally, EVT is based on the assumption that the extremes are independent and identically distributed. As financial returns tend to cluster and have high serial dependence, the GP approach is more likely to violate the i.i.d assumption that underlies the EVT concept. Also take into consideration the modelling of extreme events using the sub period technique that is of focus in this paper. This modelling approach is not fit for assuming the GPD distribution. As such, we focus on the GEV and GL distributions.

The Block maxima approach utilizes the assumption that the log returns are independent and identically distributed. It is realized as a traditional method that groups the returns into non-overlapping blocks of equal length and models the maxima of each adjoining block with a suitable distribution. The choice of block size is very critical as there exists a bias-variance trade off between the block length and the number of blocks. This traditional approach follows the Fisher, Tippet (1928) and Gnedenko (1943) theorem. The theorem indicates that under EVT, the limiting distribution of the extremes collected over non-overlapping time periods of

equal length, after being normalized and centered, ought to be one of the three distributions that make up the GEV family (Weibull, Gumbel and Frechet distribution).

If shape parameter is 0, then it is the Gumbel distribution; if shape parameter is greater than 0, it is the Weibull distribution and if less than 0, it is Frechet distribution. We take particular note of the shape parameter which governs the shape of the distribution, where larger absolute values of shape parameter imply heavier tailed distributions. Gilli and Kellezi (2006) and Tolikas (2007) are two of the many works that have proven extreme financial returns generally follow the Frechet distribution, a distribution with a heavy left tail.

However in a number of recent EVT analysis, various authors such as Gettinby et al. (2004), Tolikas and Brown (2006) and Nidhin and Chandran (2013), have empirically shown that the extremes of financial returns can adequately be modelled by the generalized logistic distribution (GL) over the GEV distribution. Gettinby et al. (2001) studied the distribution of extreme stock market index on both tails and discovered that the GL distribution characterized the extremes better than the GEV and GP for daily, weekly and monthly financial returns as there is persisting evidence of autocorrelation and heteroskedasticity in the financial data. This is owing to the fact that the GL distribution has a fatter tail than the other afore-mentioned distributions. Nidhin and Chandran (2013) have also in their research proved the theoretical importance of GL distribution in extreme value modelling: a fatter-tailed distribution is better able to fit large extremities that lie in the tail, reducing underestimation error.

### **Model Selection**

The selection the distribution that best fits the financial returns is determined by using L-moment ratio diagrams. L-moments (Hosking 1990) are expectations of certain linear combinations of ordered statistics (L-statistics), used to summarize the shape of a probability distribution. They can be used to calculate mean, standard deviation, skewness and kurtosis.

A theoretical distribution has a set of population L-moments. Sample L-moments can be defined for a sample from the population, and can be used as estimators of the population L-moments. We identify the distributions that best fit empirical data by plotting the estimated skewness and kurtosis from the data set and choosing the distribution whose theoretical L-skewness and L-kurtosis curve is closest to the observed plotted points.

### **Parameter Estimation**

Estimating parameters for the models are subjected to sampling errors. Therefore, a method of estimating parameters that minimize these errors must be chosen. Parameter estimates for the limiting distributions are calculated using the probability weighted moments (PWM) technique outlined in Tolikas (2008) and Gettinby et al. (2004) instead of the conventional MLE as used in Gilli and Kellezi (2006) and other researchers. This technique was chosen as it generates more unbiased parameter estimates than popular MLE method for small sample sizes, which is the norm for EVT data sets. There also exists a linear relationship between PWM and the more robust L-moments as to why this technique was chosen. The PWM method estimates a distribution's parameters by equating the sample moments to those of the fitted distribution.

### **Goodness of Fit**

The Anderson-Darling test (Anderson and Darling 1954) is used to assess how effective the chosen distribution is to fit the extremes. The test is most often used in contexts where a family of distributions is being tested, in which case the parameters of that family need to be

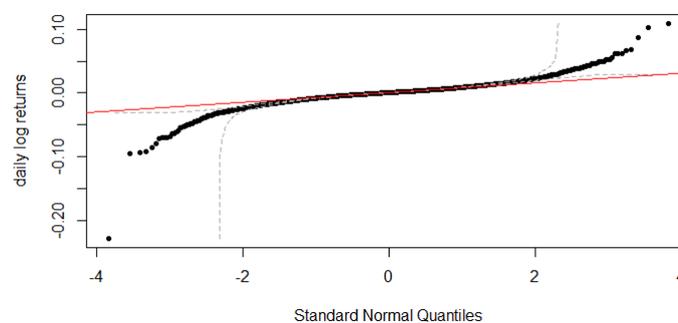
estimated. This goodness of fit test is believed to be the best option in this analysis for measuring the discrepancies in the tails between theoretical and empirical distributions based upon a small sample size (Choulakian and Stephens 2001). Arshad et al. (2003) describe the AD test as the most powerful statistical tools for detecting how great the sample moves away from normality. The test statistic includes a weight function that places greater emphasis on the tails of the distribution. As such, it is the best model test for heavy tailed distributions.

## APPLICATION AND RESULTS

### Description of Data

This paper focuses on the results of modelling extreme maxima daily returns over weekly intervals. That is, we focus on the maxima extreme returns which occur on the right tail of the empirical distribution observed in each week and determine the best fitting distribution for the weekly maxima data set. These maxima daily returns are collected over non-overlapping successive selection intervals of 5 days. Daily log returns of the S&P500 indexes were the underlying data used to assess the effectiveness of the chosen distributions to fit the extreme returns. The closing prices were downloaded for different time periods based on availability of the data. As a result, the historic time periods under analysis are 1986-2015 for the S&P500 index.

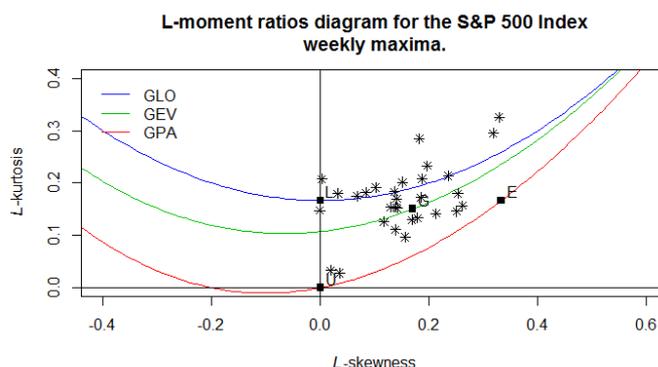
Figure 2 illustrates the QQ plot of daily log returns against the normal distribution for the S&P500. Notice in the diagram that the data does not follow the pattern of the normal distribution, which as previously mentioned is universally assumed. We observe the existence of deviation from the normal in both the left and right tails, justifying the use of the EVT distributions to model the right tail distributions of the three indexes.



The time span chosen also contains some key volatile moments in history which have negatively impacted the chosen financial markets, from which proper EVT modelling should capture if sufficient. These extreme historic moments include but are not limited to the 2008 financial crisis, the 2011 Japanese earthquake, the 1992 collapse of the exchange rate mechanism and the 2001 US terrorist attack. The weekly maxima extremes (right tail extremes) were collected for the S&P500 over the period 1990 to 2015. We apply the moving window techniques where the log financial returns are divided into yearly selection intervals each of size 51-52 extremes. As a result, we not only determine the distribution which best fits the entire sample period, but the distribution that fits each of the 30 sub respectively. This technique is argued to reduce the serial dependency of financial returns by capturing the non-stationary of the data.

## RESULTS

The first step in our analysis is to assume probability distributions that are likely to provide good descriptions of the financial series. As previously mentioned, the focus of analysis lies on the GEV and GL distributions. The values of skewness against kurtosis for the series of maxima over each selection interval were estimated and plotted on an L-moment ratio diagram. Figure 3 shows the relationship between sample estimates of skewness against kurtosis and that of the theoretical GEV and GL curve respectively. The diagrams reveal that the samples of the weekly maxima are generally dispersed and fall in the region between the theoretical GEV and GL distributions for the three indexes. Based on this observation, we run further statistical tests on the GEV and GL distributions.



**Figure 3: L-moment ratio points for S&P500 daily return weekly maxima, divided into 30 sub periods, over 1986 to 2015**

The second step is to determine which of the distributions (if any) better fit the extreme returns for each sub period and for the entire sample time horizon as well. The GEV and GL distributions were fitted to the weekly maxima returns for each of the different 30 sub periods for the S&P500 index. The parameters for both models were estimated using PWM technique, then the Anderson-Darling goodness of fit test is conducted for model efficiency for the three indexes. The tables for all three indexes illustrate the location, scale and shape parameter estimates for the distributions together with the critical p-values of the AD goodness of fit test.

We observe the results for the S&P500 index in tables 1 after fitting the GEV distribution and the GL distribution. The shape parameter takes a overall negative value for the entire 30 year period of -0.169, showing the 30-year weekly maxima returns is modelled by a Frechet distribution. However, notice that once the time horizon is reduced into yearly sub periods for the GEV, the shape parameter fluctuates between negative and positive values. This shows that different time periods have different skewness of distribution depending on what is going on in the market at that point in time. The Anderson-Darling p-value of 0.2653 (greater than 0.05) shows that the GEV distribution fits the weekly extreme maxima for the 30 years adequately compared to the GL distribution which had a p-value of 0.0001.

When the weekly maxima were divided into 30 sub periods, both the GEV and GL provided an adequate fit for 28 of the 30 sub periods. Both the GEV and GL distributions failed to adequately fit the maxima returns in sub period 26 which corresponds to the 2011 terrorist attack on the United States. Additionally, the GL did not provide an adequate fit for sub period 23 which corresponds to the 2008 financial crisis. Notice that it is in these sub periods that the shape parameter for both distributions takes its maximum values, implying a fat tailed distribution. In comparison to each other, the GL provided a better fit for 16 of the sub periods

while the GEV provided a better fit for 14. This implies that there is no single distribution that is consistently better for all time intervals for the maxima series. The scale parameter for the GEV ranges from 0.003 to 0.014 and 0.002 to 0.01 and for the GL, emphasizing that there was not much volatility in maxima returns. An average of 0.007 and 0.006 for the GEV and GL respectively of the yearly sub period scale parameters shows that the scale parameter estimates increase as the interval increases regardless of the sub-periods.

**Table 1: GEV and GL parameters Estimates for S&P500**

SUBPERIOD(S)	LOCATION		SCALE		SHAPE		AD P-VALUE		FIT
	GEV	GL	GEV	GL	GEV	GL	GEV	GL	
S=1	0.007	0.007	0.026	0.007	-0.169	-0.169	0.2653	0.0001	GEV
S=30									
1	0.008	0.01	0.006	0.003	0.287	0.001	0.9263	0.9682	GL
2	0.011	0.013	0.007	0.005	-0.218	-0.317	0.9372	0.9861	GL
3	0.008	0.01	0.007	0.004	-0.014	-0.179	0.9741	0.9281	GEV
4	0.007	0.009	0.005	0.003	0.109	-0.102	0.9946	0.9993	GL
5	0.008	0.01	0.006	0.004	0.049	-0.139	0.9983	0.9982	GEV
6	0.008	0.01	0.006	0.004	0.029	-0.151	0.9835	0.9985	GL
7	0.006	0.008	0.004	0.003	0.05	-0.138	0.9536	0.8676	GEV
8	0.005	0.006	0.004	0.002	0.139	-0.084	0.9391	0.9954	GL
9	0.005	0.006	0.003	0.002	-0.027	-0.187	0.9254	0.9852	GL
10	0.006	0.007	0.004	0.002	0.227	-0.032	0.7579	0.9293	GL
11	0.006	0.008	0.004	0.002	0.167	-0.067	0.9193	0.9813	GL
12	0.009	0.011	0.006	0.004	-0.041	-0.196	0.9456	0.9976	GL
13	0.009	0.012	0.007	0.005	-0.019	-0.182	0.7579	0.8112	GL
14	0.0111	0.0139	0.008	0.0046	0.222	-0.035	0.7186	0.4281	GEV
15	0.01	0.013	0.007	0.005	-0.066	-0.213	0.9104	0.8437	GEV
16	0.009	0.013	0.009	0.006	-0.024	-0.185	0.9928	0.9944	GL
17	0.01	0.014	0.009	0.007	-0.138	-0.262	0.9857	0.9418	GEV
18	0.011	0.013	0.007	0.004	0.022	-0.156	0.9661	0.8379	GEV
19	0.008	0.009	0.004	0.002	0.25	-0.019	0.8776	0.5837	GEV
20	0.006	0.007	0.004	0.002	0.064	-0.129	0.9832	0.9789	GEV
21	0.006	0.007	0.004	0.003	0.002	-0.169	0.9972	0.9771	GEV
22	0.006	0.008	0.004	0.003	-0.01	-0.235	0.9742	0.9935	GL
23	0.01	0.013	0.009	0.007	-0.234	-0.329	0.3833	0	GEV
24	0.017	0.022	0.014	0.01	-0.122	-0.251	0.9912	0.9343	GEV
25	0.01	0.0125	0.008	0.005	0.053	-0.136	0.9087	0.9713	GL
26	0.008	0.01	0.006	0.005	-0.125	-0.253	0.0012	0.0013	GL
27	0.008	0.0111	0.007	0.005	0.047	-0.14	0.9774	0.985	GL
28	0.006	0.008	0.005	0.003	0.27	-0.003	0.0011	0.9572	GL
29	0.006	0.007	0.003	0.002	0.045	-0.141	0.9771	0.9657	GEV
30	0.008	0.01	0.006	0.004	0.084	-0.117	0.5612	0.4618	GEV

**Table 2: VaR Estimates via GEV and GL at 99% confidence level**

SUBPERIOD(S)	GEV	GL	SUBPERIOD(S)	GEV	GL
s=1		0.046			0.048
S=30					
1	0.023	0.027	16	0.053	0.056
2	0.062	0.064	17	0.069	0.072
3	0.039	0.042	18	0.04	0.042
4	0.025	0.027	19	0.019	0.02
5	0.032	0.034	20	0.02	0.021
6	0.033	0.035	21	0.025	0.026
7	0.024	0.025	22	0.031	0.032
8	0.019	0.02	23	0.081	0.084
9	0.021	0.022	24	0.104	0.108
10	0.016	0.017	25	0.041	0.044
11	0.019	0.021	26	0.017	0.02
12	0.041	0.043	27	0.038	0.041
13	0.045	0.048	28	0.019	0.021
14	0.034	0.037	29	0.02	0.021
15	0.05	0.053	30	0.03	0.032

As expected, the VaR at the 99% confidence level reveals some of the smallest values in the sub periods that were very volatile and affected those in the long position. Take for example sub period 26 of the S&P500 index. The 2011 terrorist attack on the United States of America had a greater effect on individuals in a long position at that time than those in the short (maxima). Individuals therefore with a short position in stock were less exposed to risks.

Also, we notice that the observed VaR for the entire periods did not exceed the average sub period VaR for all three indexes. This reveals the true purpose of our research as we can conclude that the VaR estimates can be greatly underestimated depending on the length of the sub periods. The same conclusion holds when we compare the VaR results across the two different distributions. We generally observe that the distribution which provided the better fit gave a better VaR estimate than the other.

### Critical Analysis

Many applications of EVT in finance tend to focus on either the GEV or GP distributions. However, the GL distribution has a fatter tail than the aforementioned distributions. Therefore, it is expected to be a better fit for extreme value and better estimate tail measures such as VaR. The works of Tolikas (2008) and Tolikas and Gettinby (2009) argue that overall the GL distribution proves a better fit when multiple sub periods are used. Hussain (2015) concludes that the GEV distribution is the best distribution to fit the extremes that exist in the right tail of indexes. Gilli and Kellezi (2006) on the other hand identified the GP distribution as the better choice for modelling extreme events in financial markets over the GEV distribution. However, the results revealed that both the GEV and GP distributions are necessary for modelling the extreme maxima returns for the S&P500 index. The results revealed that the GL distribution adequately fit more sub periods than the GEV. Furthermore, the GEV provided a better overall fit. The sign of the shape parameter tends to change over each sub period, indicating no unique distribution can adequately describe the empirical data well. Lastly, the small p-values for the Anderson Darling test statistic observed after fitting the GL distribution suggest that the

distribution fits poorly. However, the fact that the p-value is greater than 0.05 in a number of instances for the S&P500 does not allow us to completely reject the GL distribution.

Additionally, upon dividing the entire time horizon into sub periods, it is observed that the size of the extreme maxima varies constantly over time. This is indicated by the substantial variability observed in the shape parameters over the different sub periods as mentioned above. We observe that those sub periods with extremely large losses had high volatility parameters and in turn resulted in higher shape parameter than those with smaller observable losses. This result would have a great effect on VaR estimates as those periods with higher shape parameters are expected to have greater VaR estimates. Therefore, industries who choose to use shorter period for measuring their exposure to financial risks would have a greater minimum capital requirement than those who choose to conduct analysis on extended time horizons. Clearly, we note that therefore there are both advantages and disadvantages to this methodology of obtaining the extreme maxima returns. An advantage of analyzing the extreme losses using the sub period technique is that the VaR estimates are more likely to respond to changes in the market faster than using one extended time horizon. However, a disadvantage is having a larger minimum capital requirement reserve than needed, leading to less available funds to the organization to conduct other business. We can therefore conclude that the choice of distribution and time period to model the behavior of extreme returns has important implications for investors who wish to assess the risk of a portfolio, and for financial regulators who employ VaR based on the distribution.

Financial returns exhibit heteroscedasticity and serial correlation. Tolikas (2008) argues that the sub period technique reduces the dependency that financial series may be subjected to by selecting maxima extremes from non overlapping blocks of equal length. This approach is similar to the block maxima approach but differs in the sense that the best fit distribution is determined for each predetermined sub period and not the entire time horizon. However, for shorter periods, we cannot guarantee the same level of confidence of reduced heteroscedasticity. McNeil and Frey (2004) suggest modelling heteroscedastic financial time series by fitting the tail of the conditional distribution of returns using an autoregressive volatility model, standardizing the returns by the estimated conditional volatility and finally conducting the EVT analysis. However, this method requires additional parameter estimation which leads to increased possibility of estimation error and model risk. Additionally, further research can be conducted to compare the EVT analysis with the GARCH-based approach in estimating the VaR. One can apply the conditional EVT and conditional correlation and copulas to investigate the dependency between the each of the three global indexes.

L-moment ratios were used to determine the candidate distributions that could possibly model the extreme financial returns. This method of identifying distributions has a number of advantages we make note of. The main advantage of the L-moments is that they are more robust to the presence of outliers than conventional moments by being linear combinations of the ordered data. This is because conventional moments include powers that give greater weight to outliers that can lead to bias and variance in the estimators. Another advantage of L-moments is that sample L-moments can take any value that the population moments can take while conventional moments have bounds. Finally, the asymptotic biases of the L-moments are negligible for most distributions. Efficient parameter estimation plays an important role for measuring the financial risks associated with extreme events. Institutions must select the best method for deriving estimates so that parameters are not greatly under/overestimated and yield inaccurate results. The probability weighted moment technique was chosen in order to

determine parameter estimates. Hill (1963) argues that the asymptotic properties of MLE are more open to doubt in the case of small samples where convergence of the likelihood function is not always guaranteed to be at the global maximum, MLE is a better fit for moderate and large samples. As we are working with sub periods of 50-53 observations each, probability weighted moments (PWM) was chosen to estimate parameters. PWM tends to have a lower root-mean square error for small sample sizes than MLE. PWM are fast and straightforward to compute and almost always yield feasible values for the estimated parameters (Hosking et al., 1985). However, one disadvantage of estimating PWMs depends on the choice of plotting positions. Thus careful choice of plotting positions is important.

### CONCLUSIONS AND COMMENTARY

This paper provides insight for risk assessment of extreme events in stock markets. Financial institutions are now more concerned with managing market risks due to the increase in market volatility of recent times. The results above show that the assumption that returns follow a normal distribution is not an adequate assumption to make as the distribution of financial returns tend to generally be skewed. This can lead to substantial underestimation of the extreme risks involved in the financial markets. The extreme value analysis on VaR estimates shows that without analyzing the extreme events that lie on the tail, the VaR is greatly underestimated. The choice of selecting the most appropriate distribution can therefore have serious implications on stock market risk management. Computational errors would mean either having to maintain high minimum capital reserve to remain solvent in the case of overestimation, or facing great losses in the case of underestimation.

We apply the Extreme Value Theory method to the log returns of S&P500 stock index in order to derive estimates for VaR. The analysis of the extremes revealed that major estimation error can occur if the best fit distribution to the extremes is not chosen. It was determined that in most instances the GEV provided a better overall fit for the distributions based on recent historical data. However, applying the same distribution to subsets of the entire time horizon indicated that different distributions adequately fit different time periods based on the market performance in that period. This leads to the conclusion that no one distribution can adequately model the extreme maxima. Finally, if the type of data set that financial institutions wish to perform tail analysis on is not i.i.d, EVT based analysis does not provide the best results when modelling the extreme events. We therefore advice that practitioners check for dependence in the data before applying EVT.

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## The effect of the economic crisis on the functioning of families with language-disordered children

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### Abstract

**Economic crises worldwide impact mental health. Job insecurity and consequent distress and uncertainty, affect the family and its functioning. The study's purpose is to compare the psychosocial outcomes for the families of children with specific developmental disorders (SDD) during two time periods: a) before the commencement of the economic crisis in Greece (N=22), b) during the economic crisis (N=25). Data consists of child's diagnosis, parents' age, educational level and professions, and the family's psychosocial diagnoses (ICD-10, 1991). Results show that Group B has significantly more problems related to the child's upbringing (p=0.0163): insufficient parental control and supervision, hostile behaviour towards the child, emotional neglect and difficulties in sustaining boundaries. In conclusion the emotional and practical difficulties elicited by the economic crisis appear to have a direct impact on families of SDD preschoolers. The findings highlight the need for focused interventions through community services to deal with this issue.**

**Key words:** specific developmental disorders; psychosocial outcomes; family; economic crisis

### INTRODUCTION

Greece is a country, which has undergone notable socio-economic vicissitudes in the last fifteen years. Specifically, in 2002 Greece had the highest rate of economic development among the EU countries, joined the Euro currency zone and was preparing for the 2004 Olympic Games, a series of positive events. On the contrary, in 2009 Greece experienced its worst financial crisis of the last decades and now has the largest recession among the EU countries, which has resulted in the intervention of the International Monetary Fund and the danger of imminent bankruptcy.

The present crisis has caused reductions in family income, high unemployment and generalized uncertainty concerning the future. The average family is forced to drastically restrict its expenses due to reduced salaries and pensions. Shops and businesses have shut

down and new heavy taxation has been introduced, leading to a lack of societal cohesion, which is significant for well-being and quality of life. Anger and frustration are prevailing sentiments, as citizens criticize governmental choices and as economic inequality becomes all the more blatant. In the health sector, the financial difficulties have led to a cut in spending in health care services, and particularly reduced prevention. Moreover, access to healthcare has become more difficult as the families' assets are reduced.

Many studies over the past few years have noted that the economic crisis has severe negative repercussions on mental health (Chatterjee, 2009, Friedman & Thomas, 2009, Paul & Moser, 2009) Studies conducted on adult populations have demonstrated that economic hardship, such as low income and unemployment, affects adults' mental health in general and increases the levels of death rates, depression, and suicide tendencies (Chang et al 2013, Lee et al 2010).

The correlation between economic deprivation and depression has repeatedly been found and financial debt appears to be a particularly important factor predisposing to depression (Butterworth, Rodgers, & Windsor, 2009). In Europe, a 1% increase in unemployment rates is associated with an increase of 0.8% in suicides and of 0.8% in homicides, while an increase of more than 3% of unemployment rates is associated with an increase of more than 4% in suicides and deaths from alcohol abuse (Stuckler et al 2009).

In Greece, in recent years many studies have reached similar conclusions, confirming that the economic crisis and its consequences on employment, income and cuts in health benefits has a negative impact on mental health (Bouras & Lykouras 2011, Giotakos et al 2011, Giotakos et al 2012, Economou & Mavreas, 2011, Economou et al 2012).

Giotakos et al (2011) note that the increase of unemployment rates and the reduction in the average income appears to be related with the increase in referrals at outpatient and emergency departments in the main psychiatric hospitals of the country.

The economic crisis also has an impact on family functioning. In particular when parents are unemployed, they experience ambivalent feelings in relation to their family which are manifested by irritability and interfamilial conflicts (Fatourou, 2010). In addition to indebted households with difficulties in coping with everyday life, families who are not so financially distressed are also emotionally affected. The self-image and self-confidence of contemporary humans is largely determined by labour and financial standing. Increasing wage cuts, unstable forms of contractual employment, poor working conditions, income uncertainty and job insecurity have a negative impact on people's emotional resilience (Bouras & Lykouras, 2011). It appears that the uncertainty and fear of unemployment contributes more than the job loss itself on the manifestation of depression (Ferrie et al. 1998, Meltzer et al. 2010).

In the case of families with children, this situation seems to affect the marital relationship, the mental state of the parents and family life, and these parameters appear to be directly related to the mental health of their children (Solantaus et al, 2004). The feeling of uncertainty and insecurity that pervades the adults could not leave the children and adolescents unaffected. The whole family is affected by the crisis and experiences feelings of hopelessness and helplessness (Anagnostopoulos & Soumaki, 2012).

A survey by the Greek University Mental Health Research Institute, which covers the years 2006 and 2011, shows an increase of interfamilial conflict and a diminished ability in both the

family and the school to manage even mild disruptive / aggressive behaviours of children (Chalkousi et al, 2012). The authors observe that the users of mental support services, who are experiencing uncertainty about the present and the future, have a clear need for understanding and guidance.

Child abuse and the family's socioeconomic profiles are correlated in several studies. The family's low economic status is associated with problematic parenting skills and child abuse. Numerous studies highlight the relationship between attachment difficulties and the family's economic problems. Melchior et al (2010) have reported child and adolescent psychological disorders in families whose financial difficulties persist and aggravate over time in a French community. Secure attachment is less easily implemented when attentive and responsive parenting is influenced negatively by stressful factors related to low income than when the families have a better socio-economic status. Parents may become more punitive, less available and less consistent due to psychological difficulties resulting from their financial problems (Gabarino, 1992, Belsky et al, 1991, Belsky 1993).

Since the beginning of the economic crisis, the number of difficulties of a psychosocial nature which are addressed at the Child and Adolescent Mental Health Unit in the Community Mental Health Centre Byron-Kessariani, has increased considerably. This paper attempts to shed light on the consequences of the economic crisis on the functioning of families of whom one or more members present specific developmental language and motor coordination disorders and who follow a treatment programme in our Service.

## METHODS

The participants of this study consist of families with children with specific developmental disorders, inhabitants of four Athenian boroughs, served by the Child and Adolescent Mental Health Unit of the Community Centre (a department of the Athens University Medical School). The majority of the inhabitants have a low to moderate SES. The Community Centre is part of the National Health System and its services are provided free of charge. One of the services of this centre is the Early Intervention Programme (EIP) for children with specific developmental language and motor coordination disorders. The programme consists of diagnostic and intervention services to preschool children and their families.

**Participants:** The first group (Group A) included 22 families who were attending the Early Intervention Programme (EIP) during the period 2005-2007 (before the economic crisis) and the second group of participants (Group B) consisted of 25 families attending the same intervention programme in 2011-2013 (during the crisis). They consisted of all of the participants in the EIP during those time periods. In all cases, the children had undergone an interdisciplinary diagnostic procedure and their families had been informed of the results. In Table 1, children's ages, psychosocial and psychiatric diagnoses (according to ICD-10) may be seen for each group. In case of comorbidity, children may have up to three psychiatric diagnoses, while there is no limitation to the number of psychosocial diagnoses. Only two families in Group A and one in Group B were immigrants.

**Materials:** Data examined from the patients' files were the psychiatric diagnosis, number of siblings and their psychopathology, parents' ages and their educational level and profession, the event of immigration and the family's psychosocial diagnoses according to the ICD-10 (1991). Table 2 presents the psychosocial diagnoses (according to ICD-10).

The research study was approved by the Hospital's Board of Research Ethics.

Statistical procedures: Data was analyzed with the SAS (2012) statistical package. Principal components analysis was conducted in order to reduce the number of factors. The criterion for remaining in a principal component was the eigenvalue and the ability to interpret it. This was followed by conducting logistic regression with Z60, Z62, Z63, Z81 and the total Z score as dependent variables, and the principal components which had arisen from the previous analysis including time period as independent variables.

## RESULTS

Table 3 shows the principal components analysis. In an attempt to reduce the number of ten factors, principal components analysis was conducted. Based on the eigenvalue criterion, four principal components (PC) were identified:

PC1: the socio-economic-professional status of the parents

PC2: parents' ages

PC3: number and psychopathology of siblings

PC4: immigration status of parents

These principal components were then analysed further.

Table 4 shows the results of the statistical analysis. In time period A (before the economic crisis) problems related to Z62 diagnoses were less likely to be found. These problems were related to the child's upbringing. Furthermore the total Z score was statistically significant. Psychosocial diagnoses were generally found to be increased during the crisis, and these were specifically related to the parents' difficulties related to child care and upbringing.

Consequently, the two groups did not present statistical differences regarding parents' ages, educational level and profession, and children's diagnoses.

Children's upbringing problems ( $p=0.0163$ ) were found to be statistically significant, with the families exhibiting insufficient parental control and supervision, hostile behaviour towards the child, emotional neglect and difficulties in sustaining boundaries during the crisis. The total scores for the psychosocial parameters demonstrated that these families revealed significantly more problems on the whole during the crisis.

None of the Principal Components was found to be specifically correlated with a Z factor. Factor Z60 could not be included in the analysis.

## DISCUSSION

This study refers to families with preschool children with specific developmental disorders, attending an early intervention programme in a public context (Lazaratou & Vlassopoulou 2006, Vlassopoulos et al 2010). The purpose of the study was to examine the psychological-social consequences of the economic crisis in these families compared to families who attended the same service before the crisis.

The families in both groups were living in the same urban area and their children were in the same diagnostic category of specific developmental disorders. Moreover, the ages of the parents, their educational level, their professions, ages of children, diagnoses, the number and presence of psychopathology in their siblings do not show statistically significant differences between the two groups in the two periods, before and during crisis. The number of immigrant families was also at the same level. Therefore both groups in both periods appear to be

uniform in terms of their characteristics. Moreover the children in both groups were treated in the early intervention programme under the same conditions.

It must be noted that families in both samples present difficulties regarding their professions, unemployment, housing, socioeconomic problems, dysfunctional marital relationships, familial history of psychiatric and behavioural disturbances and children's upbringing problems. Residents of the areas of responsibility of the Community Centre and especially those attending this programme are generally people with low economic resources, often coping with difficult living conditions. Consequently it must be noted that an increased rate of unemployment was not found between the two groups before and during the economic crisis. Nevertheless, the families of the second group (Group B) experience statistically significant more psychosocial problems (when present), as shown by the total Z scores (Table 4).

The deprived and unemployed population is directly and more heavily affected during an economic crisis, but anxiety and discomfort affects even the part of the population which does not have such experiences. In our sample, increased levels of unemployment were not found, which is an objective anxiogenic parameter, but the families seem to be experiencing employment uncertainty which is subjective, and which can lead to a greater psychological burden. Furthermore, the reduced personal income elicits both the inability to meet financial obligations (objective factor), and negative feelings of insufficient income (subjective factor).

Personality characteristics such as neurosis, low frustration tolerance, a need to control the situation, the general feeling of self-esteem and self-worth are related to an increased vulnerability to a psychosocial threat (Probst, 2005).

Some studies relate family risk factors and their negative influence on the quality of parenting and on parental control which have adverse consequences on children's development. Mental health services can help these parents get reinforced with parent training, and other assistance in order to adopt positive parenting practices to confront their difficulties (Westbrook & Harden 2010).

In our study, there is a statistically significant difference ( $p = 0.0163$ ) between the two groups, regarding problems associated with child rearing. Specifically, the second group (during the crisis) is facing more problems in this area. Inadequate parental supervision and control, hostility toward the child, emotional neglect of the child and failure to set boundaries are some of the recorded difficulties. Apparently, parents in this situation, where the external world is full of uncertainty and hostility, are unable to rally and present more sensitivity to the needs of children, but instead this situation appears to erode the family net, leaving the child unprotected and exposed and the parents reaching the limits of their endurance.

The economic crisis in Greece seems to have a significant impact on families, not only because they have problems in their daily living, unemployment, and lack of resources, but also because of the consequent uncertainty. For families who have a member or child with difficulties, the situation is even more critical, because apart from the difficulties presented to families at a practical level, the benefits they can offer to their child are significantly reduced. Public hospitals and frameworks have serious problems, funded programmes have stopped operating, and insurance fails to cover part of the costs for the private provision of services. Often families find themselves at a dead-end and cannot meet the needs of their children.

Nevertheless, in our study increased levels of depression, anxiety, substance abuse, suicides and antisocial behaviour were not recorded as in other studies in the Greek population (Bouras & Lykouras, 2011, Giotakos, Karabelas & Kafkas, 2011). In our sample, the insecurity and fear of job loss reflects on the family cohesion and on inappropriate parenting, but not on other psychosocial parameters.

### LIMITATIONS

It is noted that a limitation of the study is the fact that the same families had not been investigated before the crisis in order to identify whether potential dysfunctional behaviour existed prior to the crisis. Nevertheless the fact that these families have the same social and financial characteristics may alleviate this limitative factor.

### CONCLUSIONS

In this study, the emotional and practical difficulties elicited by the economic crisis have a direct impact on the families of small children with specific developmental disorders. These repercussions have an effect on the way the parents deal with issues within the home environment, particularly with a disruptive and dysfunctional impact on their children's upbringing.

In adverse social conditions, in a situation that extends beyond the borders of the family and affects a whole society, parents' capabilities and resilience are stretched and they are unable to protect themselves against the negative consequences of this situation, thereby exposing their children to the risk of developing long-term psychological disorders.

Mental health services are required to fine-tune their interventions to support families' needs, according to the new data presented by the economic crisis. In the Child and Adolescent Service of Community Mental Health Centre Byron-Kessariani, in addition to the Early Intervention Programme regarding the specific developmental disorders of their children, parents are also supported through individual and group sessions focused on the treatment of emotional issues arising from the present economic crisis in the country. It also appears that a systematic monitoring of these families is necessary to establish the long-term consequences and impacts of the crisis over time.

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**Table 1. Participant's age, diagnoses (F) and psychosocial diagnoses (Z) according to ICD-10 (1991) by Group**

GROUP A				GROUP B			
Child	Age	Diagnoses (F)	Psychosocial diagnoses (Z)	Child	Age	Diagnoses (F)	Psychosocial diagnoses (Z)
A1	2;5	F80, F80.1 F82	0	B1	2;3	F80.2 F82	Z63.5, Z62.0, Z59, Z63.0
A2	2;6	F80.2, F82	0	B2	2;4	F80.1 F82	0
A3	3;1	F80.2, F82	0	B3	3;0	F80.1	Z63.0

						F82	
A4	3;3	F80.2, F94.0	Z60.3	B4	3;5	F80.2 F82	Z81.1, Z63.0, Z72.5, Z62.4, Z62.3, Z62.8
A5	3;9	F80.2, F82	0	B5	3;5	F80.2 F82	0
A6	3;9	F80.2, F82	Z81.8	B6	3;6	F80.2 F82	Z62.8
A7	3;11	F80.2, F82	Z63.0, Z62.0	B7	3;7	F80.1 F82	Z62.6, Z81.1, Z81.8, Z62.3, Z63.0
A8	4;0	F80.2, F82	0	B8	3;9	F80.2 F82	Z63.5, Z81.8
A9	4;2	F80.1 F82	Z63.0	B9	3;11	F80.2 F82	Z62.6
A10	4;2	F80.2	Z63.5, Z62.0, Z91.1	B10	4;0	F80.2 F82	0
A11	4;3	F80.2, F82	0	B11	4;1	F80.2 F82	Z62.8, Z56
A12	4;5	F80.2, F82	Z62.0	B12	4;1	F80.2 F82	Z62.4, Z62.3, Z60.4
A13	4;7	F80.2, F82	Z59, Z63.5	B13	4;4	F80.2 F82	Z59
A14	4;8	F80.2, F82	0	B14	4;11	F80.2 F82	Z62.6, Z56, Z63.0
A15	5;0	F80.2, F82	Z81.8	B15	5;2	F80.2 F82	Z81.1, Z62.6, Z56, Z59
A16	5;0	F80.2, F82	Z63.0	B16	5;2	F80.2 F82	Z63.5, Z59, Z63.3, Z62.4
A17	5;2	F80.1, F80.2, F82, F41.1	0	B17	5;3	F80.2 F82	Z63.5, Z81.8, Z63.0
A18	5;2	F80.1 F82	Z63.5	B18	5;3	F80.2 F82	Z60.3, Z60.4, Z62.4, Z65.1, Z59, Z62.8
A19	5;3	F80.1, F82	0	B19	5;5	F80.1 F82	0
A20	5;4	F80.2 F82	Z63.0	B20	5;6	F80.2 F82	0
A21	5;8	F80.2 F82	0	B21	5;8	F80.2 F82	Z62.8
A22	5;9	F80.2	Z60.3	B22	5;8	F80.1	Z63.3
				B23	5;8	F80.1 F82	0
				B24	5;11	F80.2	Z63.5, Z81.1, Z81.8
				B25	5;11	F80.2, F82, F91.3	Z62.4, Z63.0, Z62.8

**Table 2: Psychosocial diagnoses according to ICD-10 (1992)**

<b>Z56 – Problems related to employment and unemployment</b>
<b>Z59 – Problems related to housing and economic circumstances</b>
<b>Z60 – Problems related to social environment</b>
Z60.0 Problems of adjustment to life-cycle transitions
Z60.1 Atypical parenting situation
Z60.2 Problems related to living alone
Z60.3 Acculturation difficulty
Z60.4 Social exclusion and rejection
Z60.5 Target of (perceived) adverse discrimination and persecution
Z60.8 Other problems related to social environment
<b>Z62 – Problems related to upbringing</b>

Z62.0 Inadequate parental supervision and control
Z62.1 Parental overprotection
Z62.2 Upbringing away from parents
Z62.3 Hostility towards and scapegoating of child
Z62.4 Emotional neglect of child
Z62.5 Other problems related to neglect in upbringing
Z62.6 Inappropriate (excessive) parental pressure
Z62.8 Other specified problems related to upbringing
<b>Z63 Other problems related to primary support group including family circumstances</b>
Z63.0 Problems in relationship with spouse or partner
Z63.1 Problems in relationship with in-laws
Z63.2 Inadequate family support
Z63.3 Absence of family member
Z63.4 Disappearance and death of family member
Z63.5 Disruption of family by separation and divorce
Z63.6 Dependent relative needing care at home
Z63.7 Other stressful life events affecting family and household
Z63.8 Other specified problems related to primary support group
<b>Z72 – Problems related to life style</b>
Z72.1 Tobacco use
Z72.2
Z72.3 Lack of physical exercise
Z72.4 Inappropriate diet and eating habits
Z72.5 High-risk sexual behaviour
Z72.6 Gambling and betting
Z72.8 Other problems related to life style
<b>Z81 Family history of mental and behavioural disorders</b>
Z81.0 Family history of intellectual disabilities
Z81.1 Family history of alcohol abuse and dependence
Z81.3 Family history of other psychoactive substance abuse and dependence
Z81.8 Family history of other mental and behavioural disorders

**Table 3: Principal Components (PC)**

Principle Variable	PC1	PC2	PC3	PC4
Number of siblings	15	23	77*	25
Father's age	-1	90*	-5	4
Mother's age	-6	84*	12	-16
Father's profession	77*	-14	-5	2
Father's education	85*	1	4	-33
Mother's profession	45*	1	-55*	24
Mother's education	87*	-1	3	3
Immigration	0	-12	16	88*
Sibling psychopathology	-6	-7	71*	5
SES	81*	11	-17	37

**\*factor with a value of over 0.4**

**Table 4. Estimate of relative probability (confidence interval 95%) of the variables Z62, Z63, Z81 and total Z scores in relation to the Principal Components (PC) and each time period**

PC	Variables			
	Z62	Z63	Z81	Z
1	0.904 (0.476-1.176)	0.644 (0.349-1.185)	1.462 0.591-3.615	0.844 (0.493-1.446)
2	1.250 (0.661-2.364)	0.956 (0.524-1.744)	1.660 (0.706-3.904)	0.879 (0.514-1.503)
3	1.569 (0.832-2.956)	0.850 (0.465-1.552)	0.874 (0.380-2.008)	1.160 (0.672-2.001)
4	1.285 (0.689-2.395)	0.940 (0.510-1.732)	0.475 (0.123-1.838)	1.548 (0.903-2.651)
Time Period= 1	0.095 <b>(0.020-0.460)*</b>	0.571 (0.163-2.000)	0.225 (0.036-1.405)	0.214 <b>(0.066-0.688)*</b>

**NB: Statistical significance as the value  $\geq 1$**

## **Current Condition of Private Security Industry in Mongolia**

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### **Abstract**

Since 1990, with its transition to the market economy relations and with its newly built economic sector based on private ownerships, the private security sector has been developed in keeping with international best practices and standards in terms of its legal basis, structure and organization and, equipment and technology. The main objective of this study was to analyse current condition of private security in Mongolia and findings show that, in general, the security service in Mongolia is being developed with the two types of security service including the proprietary service and the contract service. The findings of the research give quite a complex picture of the development of private security in terms of current condition of private security in Mongolia. Therefore, the findings can be used to influence certain roles within the private security sector, but also to aid the development of the new strategic document on the further expansion of the private security industry in Mongolia which state policy-makers will prepare.

**Keywords:** Private Security; Proprietary Security Service; Contract Security Service, Mongolia

### **INTRODUCTION**

Since 1990, with its transition to the market economy relations and with its newly built economic sector based on private ownerships, Mongolia increasingly faced the imperatives and challenges to create a quite new system to ensure private security protection for providing the security and safety guarantees for organizations, individual citizens, business people, their lives and health, personal immunities, property and to create a safe business environment. As such, the private security sector has been developed in keeping with international best practices and standards in terms of its legal basis, structure and organization and, equipment and technology [1].

As an example, the Law on Contracted Private Security Service of Mongolia was enacted in 2000 that has ever since been revised twice in 2001 and in 2005. With the gradual improvement of the legal environment thanks to the new regulations for the development of the private security sector, at the beginning of the 2010s there were registered a total of 345 private security companies that employed a total of 5366 security officers and guards [2]. As such, the private security became an active player on the overall security market of Mongolia. This study aims to analyze current conditions of private security in Mongolia.

### **PRIVATE SECURITY SERVICES IN MONGOLIA**

The private security system itself in Mongolia is constituted from the two categories, namely:

- The proprietary security service which is being created by the business owners within the organizational structure of their corporations and companies so as to ensure the security and safety of their own activities.
- The contract security companies which operate on the basis of the contractual agreements established with their clients to protect their private security and safety [3].

The first category of the private security system/concept or the above said the proprietary security service is meant a security entity mostly created by both the biggest state owned and private owned business corporations and companies, including those major corporations and companies with foreign investments within the organizational structure of the corporations and companies concerned so as to ensure the security and safety of their own operations and property.

At this moment, there are comparatively fewer companies or corporations that ensure their own private security and safety under this category of the private security concept called as the proprietary security service. The companies or corporations ensuring their security and safety under this concept are those that have a strong position on the market and a self-reliant financial standing recognized as being the national major business entities like the Mongolian civil aviation company “MIAT” – with its own security service/department, the Mongol-Russian joint society “Ulaanbaatar Railway – with its security paramilitary service/department, many fortune companies such as MCS Group, MAX Group, MAC Corporation and HUNNU Group – all having their own security departments [4].

While the security services of the Mongolian civil airlines “MIAT” and of the “Ulaanbaatar Railway” are the security services belonging to these state owned companies as a part of their organizational structures, the peculiar feature of the security services or units of MCS Group, MAX Group, MAC Corporation and HUNNU Group, is that they are operating as the daughter-companies of these groups concerned to ensure their security and safety [5]. All these proprietary security services are different from the contract security service since they are operating at a more advanced level in terms of their legal environment, security ensuring guidelines and duties, sphere of activities, organizational profile, budget and funding sources, equipment, technology, tools or weaponry.

## **THE PROPRIETARY SECURITY**

### **The Airport Security Service**

The security service of the Chinggis Khaan Airport of the Mongolian civil aviation company MIAT was set up in 1996. In the past or during the socialism, the airport security was ensured by the state security bodies or by the units of the internal troops under the General Militia Directorate. / Former name of National Police Agency [6].

The legal basis, the guidelines and the principles of operations and the profile of the airport security service of the Chinggis Khaan Airport were specified by in the National Programme for Ensuring the Security and Safety of Civil Aviation approved by the Mongolian Government Resolution No.175 of 2007.

While the airport security service and safety is issued the license for carrying out security operations by the General Department of Civil Aviation for a term of 3 years, in the case of the contract security units, their license for conducting security activities is issued by the police organization for a term of 1 [6].

The civil aviation security service or the airport security service is entrusted with the duties and obligations to issue the passes/cards authorizing to enter the prohibited or protected zones of the airport, to provide security searches and checks with regard to persons entering the prohibited zones, to passengers and their hand carried staffs and luggage, to mailed parcels, packages and the other luggage and staffs. In addition to it, the airport security service is required to train its own staff under the training program on civil aviation security and safety procedures and measures in accordance with established standards and to strictly follow the requirements that the security checks be conducted exclusively by those specially trained professional staff officers [6].

The security and safety of the protected zone and area must be ensured through the erection of fences, barriers and the installation of alarm alert system, of devices for proper lighting and of camera control system. The airport security staff officers should be recruited through the special selection procedures based on their application packages. The airport security officers in charge of security checking operations must undergo a special training course on civil aviation security requirements and procedures and give proper professional certificates [6].

What is the specific feature of the airport security service is that it develops its own training program in conformity with the training program on the civil aviation security and safety as approved by the chairman of the General Department of Civil Aviation and conducts such training activities independently.

For the purpose of implementing their duties, the staff officers of the airport security service must be provided, in accordance with the law on the contract private security, with trained dogs, fire arms and special security tools and specific feature uniforms proper for the specifics of their service duty.

### **The Mongol-Russian Joint Stock Society “Ulaanbaatar Railway – Its Railway Security Paramilitary Service**

As about the history of this service, the railway paramilitary security service was established in 1949 by the joint-resolution of the governments of the USSR and MPR. The railway security service carries out its activities under the guidance of the chairman of the Directorate of the Ulaanbaatar Railway. The chief of the railway security service is appointed and discharged by the chairman of the Directorate of the Ulaanbaatar Railway. The railway security service has its branches in central and local areas. The staff officers of the railway security service should be citizens of Mongolia who are recruited in conformity with the rules and procedures as approved by the chairman of the Directorate of the Ulaanbaatar Railway. What is characteristic for the railway security service is the fact that the officers of the railway security service swear an oath [7]. As of today, the Ulaanbaatar railway paramilitary security service employs some 450 to 500 staff officers.

The activities of the railway paramilitary security service are conducted within the framework of the “Statute of the Railway Paramilitary Security Service” approved by the Government Resolution of 2 January 1997 in conformity with “the Law on the Security of Railway Transportation of Mongolia” [8].

In accordance with this statute, the duties and responsibilities of the railway paramilitary security service are to protect the railway facilities, transported goods and luggage from random incursions, to secure fire safety and exercise control over it in the railway organization, to fight fires and to support the measures undertaken for maintaining order on

territories under the railway possession, at railway stations, railway terminals and other facilities. What is peculiar to the railway paramilitary security service as compared to the other security service entities is the fact that the railway paramilitary security service exercise control over the enforcement of fire safety laws and regulations by the central terminal station, by the railway stations and by the other facilities of the railway organization.

The officers of the railway security service are provided with the official uniforms and identification discs and badges to be decided by the railway authority and for use while on duty. The railway security service should use its own logo and letterhead as established by the rules concerned [7].

### THE CONTRACT SECURITY

Nowadays, the second category of the private security already plays a predominant role in the security service sector of Mongolia [9].

What is the peculiarity of the operations of the contract security companies is that those contract security firms and entities provide the security and safety services based on the individual contractual agreements concluded or signed with their clients and that they are self-financed by the profits they earn from the fees of their security and safety services provided to their clients and that they are also committed to compensate their clients for damages and losses inflicted by their faults or mistakes.

According to the statistics collected by the Department of Public Security of the National Police Agency, the number of registered and operational contract security units, as of February 2012, was as follows: -345 contract security units in Ulaanbaatar and 35 contract security units in local areas, making a total of 370; and as of 2013, -there were 345 contract security units in Ulaanbaatar and 35 contract security units in local areas; and as of 2014, - there were 327 contract security units in Ulaanbaatar and 35 contract security units in local areas making a total of 362 units; and as of 2015- there were 230 contract security in municipal areas and 35 contract security units in local areas as a total of 265 contract security units [10].

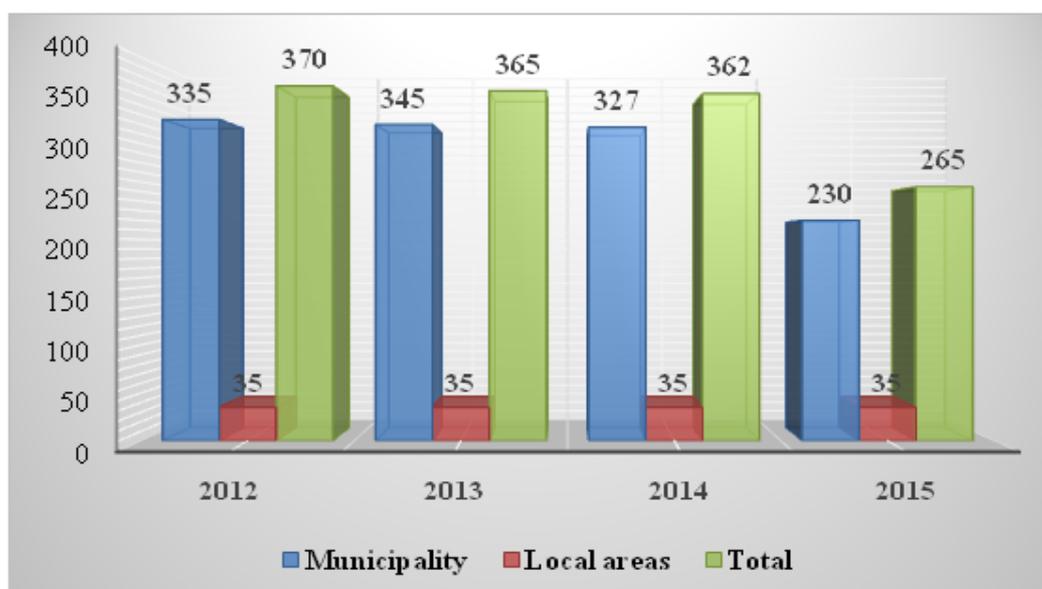


Fig. 1. Total of Contract Security Companies Registered with Police Organizations [10]

The above quoted statistics show a tendency of the decrease in the number of the contract security companies registered with the police organization. According to our findings, the reason of such a decrease is due to the current world economic crisis that affected the national economy of Mongolia causing the sudden fall of prices of exported minerals like coal, gold and copper. As such, the financial standing of the business entities organizations have become weakened to use the contract security service units resulting in a decrease in the number of the contract security service units or, for the same reason, some of the former contract security units became defaulted and bankrupted to be forced to cease their operations or to be integrated within the structure of the other contract service firms or units [9].

### **The Registration of Contract Security Company**

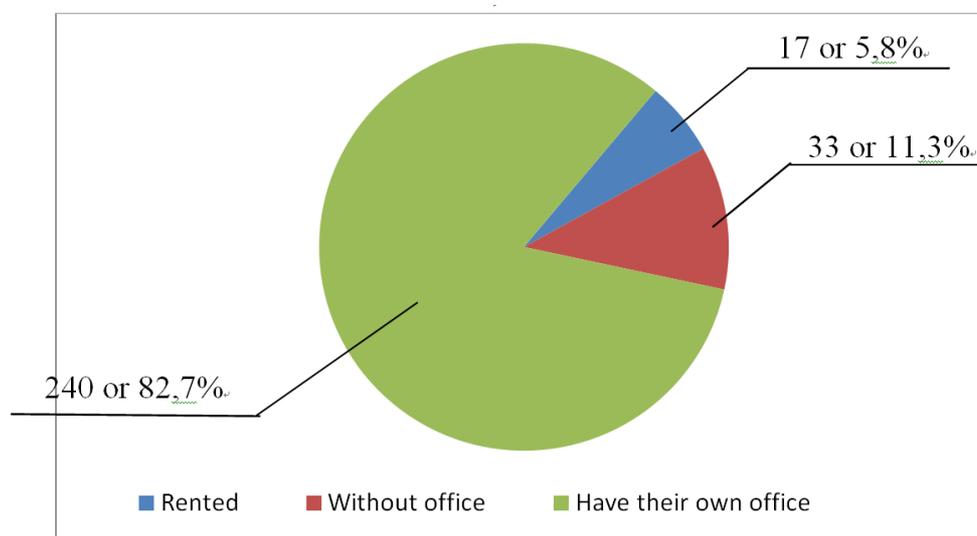
In conformity with the Article 7 of the Law on Contracted Private Security Service of Mongolia, the registration of the private security companies is conducted by the municipal and local police organizations.

Those legal entities wishing to carry out the contract security service activities should submit to the municipal and local police authorities the following documents: 1) The application wishing to carry out security service activities; 2) The original of the certificate of the given legal entity and the notarized copy thereof; 3) The recommendation letters issued by the correspondent bank and the tax authority acknowledging the financial capacity of the given legal entity to operate on the self-financing and self-supporting basis; 4) in the case of a legal entity with foreign investments, the original and extended agreement there on and the notarized copy thereof; 5) The documents regarding the staff personnel, the charter organizational structure of the given legal entity and the original license authorizing the given legal entity to use the radio frequency and to operate the radio transmission station and the notarized copy thereof; 6) The correct curriculum vitae of each of its staff officers, their health reports and the documentary evidence and certificates, proving that more than 5 staff officers were trained in a due course; 7) The police letters on the criminal records of each of its staff officers; 8) The list and specifications of each of special tools required for conducting security operations like the rifles with rubber and plastic bullets, rubber or electric shock truncheons, hand and finger cuffs, tear gas spray devices and the other protective devices, trained dogs; 9) The designs and pictures of the uniforms for security officers, the pictures of identification badges, the 3-profile photos showing the designs and shapes of uniforms; 10) The specifications for camera and alarm system devices to be used. The number of patrol cars and their state registration numbers etc... (Article 7.2).

In 2015, according to the statistics, the number of the private contract security entities conducting their activities in the capital city and in local areas and the number of their staff personnel were as follows: In the capital city: - 230 private contract security entities with a total of 4,040 staff officers; In the local areas: - 35 private contract security entities with a total of 828 staff officers; That means that, at the national level, a total of 265 private contract security entities with a total of 4,868 staff officers were conducting private security activities [10].

One of the prerequisites for ensuring the operations of the private security service entities on a sustainable basis is the provision of the proper office facilities for them. The current research shows that the provision of office facilities for the private contract security entities where they could be able to normally work should be an immediate task to be solved at the national level.

The findings as reported by the Capital City Professional Control Department based on its inspections of the private contract security entities in 2013 in terms of their office facilities are as follows: 17 entities or 5.6 percent out of the total 290 of the private contract security entities inspected had conducted their activities in the rented office; 240 entities or 82.7 percent of out of the total 290 of the private contract security entities inspected had their own office and 33 private security entities or 11.3 percent of out of the total 290 of the private contract security entities inspected did not have their own office.



**Fig. 2. The Status Business Office Availability of Private Security Companies, 2013 [10]**

In addition to it, most of the private security entities had the facilities only limited to office rooms not having any available spaces for conducting their training activities, for sporting or recreation events. If some spaces were available, they could not meet the requirements, as showed the reports concerned and the results of our research findings. All these office shortcomings are attributable to the extremely high office space rental prices or to the poor financial capacities of the private contract security entities.

### **The control over the private security companies by the police organizations and by the authorities**

The Article 21 of the Law on Contracted Private Security Service stipulates that “The police organization is authorized to exercise the control over the compliance of the activities of the security services with the laws and regulations and to require the security services to submit the documents and explanatory notes as needed for this purpose”. This indicates that the control duties of the police organizations are limited to the registration of the security service entities, to require from them the documents and reports regarding their operations – a case that is far from being satisfactory. As such, due to the lack of the professional control over the operations of the contract security service entities without any power and authority to inspect them or to instruct them or to make them accountable for the failure to duly fulfill their responsibilities, there is a general tendency leading to the increase in the number of contract security services entities carrying out their activities without the registered licenses or not to conduct their activities despite their licenses and registrations.

In addition to it, there is a lack of the competence or discrepancy in the control and inspection duties of the professional control department, because the state professional control

organization is exercising the control and inspection activities under “the Law on State Control and Inspection” and, as such, it exercises the professional control and inspections within the framework of its common duties and responsibilities to exercise control only over the enforcement of laws and legal regulations designed for ordinary businesses. Furthermore, the control and inspection duties of the professional control organizations and that of the police organizations are overlapping and being conducted without any professional guidance and control mechanism in many aspects that are required to control and inspect the activities of the private security service entities. It should be noted as well the fact that the laws and the regulations relating the contract private security service entities are conflicting with each other being without any strict inter-active legal force and relevance [11].

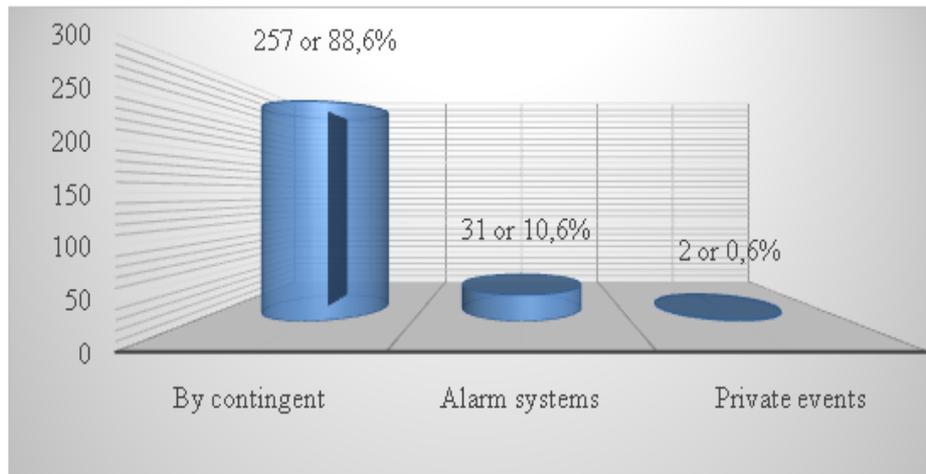
There is another gap in the legal regulations for the operations of the private security service entities, as according to the Law On Contracted Private Security Service the police organization is not authorized to make those contract security officers or entities that are found guilty or are convicted of crimes to become accountable for the infraction of laws and regulations and for the breach of their administrative responsibility, instead only the court is authorized thereto. But, until now, no cases of punishments relevant to the failure by private security service entities and by their officers to meet their administrative responsibility were solved by court decisions.

### **The types of activities carried out by the contract security service companies**

There are 3 types of activities that are conducted by the private contract security entities for the purpose of ensuring the security of the property and the facilities of their clients in conformity with the Section 3.1.1 of the Article 3 of the Law on Contracted Private Security Service”, as follows:

- Security service and safety implemented by security officers in their person (by contingent)
- Security service and safety ensured by the alarm system (Electronic security)
- Security service and safety ensured during the private events (Private event security).

According to a survey conducted in 2013, the proportion of the above 3 types of activities carried out by the private contract security entities as inspected and reported by the professional control organization was as follows: A total of 257 the private contract security entities or 88.6 percent of the total of the private contract security entities carried out their activities with the physical involvement of their staff officers in their person; 31 private contract security entities or 10.6 percent of the total of the private contract security entities ensured the security operations based on alarm system; only 2 private contract security entities or 0.6 percent of the total of the private contract security entities carried out their activities for ensuring the security and safety during the events (event security) like concerts and the other public events and mass gatherings etc.).



**Fig. 3. The Type of Contract Security Operations**

### **The facilities and installations placed under security protection**

Except those facilities, installations and organizations of extreme importance that are placed under the state special security protection, all the other facilities, installations and organizations are placed under the private contract security service entities under contracts in line with market forces. As such, these facilities, installations and organizations placed under the security protection implemented by the private contract security service entities are, for example, some state organizations, national private business entities and business entities with foreign investments, publicly owned property and assets, major auto parking stations, residential towns, privately owned lands, private premises and houses, the mining fields run by mining companies, industrial plants and factories, banks, financial institutions, public entertainment and service organizations and facilities like theaters, museums and stadium, private clinics and hospitals, trade centers (supermarkets) etc.. Under the effect of the development of the market relations, the number of entities and facilities placed under the state security protection is gradually decreasing from year to year to be placed under the protection of the private contract security service entities. That means that the number of facilities and entities falling under the protection of the private contract security service entities is expected to grow in a near future [12].

### **CONCLUSION**

The main objective of this study was to analyse current condition of private security in Mongolia and findings detailed in the study showed that, in general, the security service in Mongolia is being developed with the two types of security service including the proprietary service and the contract service.

Within the framework of the practical activities in matters of the registration of the private security service entities there is a need to build a nation widely unified data base for the registration of the private security service entities to be renewed and revised on a regular basis.

In addition to it, there is a need to put on the data base all the data and information on the types of the activities of the private security service entities, their organizational structure, staff personal, equipment and their technical facilities and the locations of the facilities placed under their security protection and on any other changes, including their discharged officers and any other required information, so as all these data and information be made available and accessible for the official use at the national level.

Despite the fact that the legal regulations governing the private security industry in Mongolia are in conformity with the established international standards and practices, still there is an imperative need to enhance the legal regulations of private security based on findings in this study.

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# Children's Perspectives on Involvement in Housework and Its Effect on Academic Performance in Early Childhood at City Primary School, Nairobi, Kenya

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## Abstract

Research in early childhood emphasizes the interplay between the home and the school in enhancing quality holistic experiences in children in the early years. However the rise in industrialization and technological advancements in modern day society have had tremendous effects on childhood experiences that have all along been significant to the development of children including the participation of children in housework. This was a descriptive study whose purpose was to find out whether or not school children in urban households are being involved in housework and how this relates to their academic performance. Qualitative methods of data collection and analysis were used and purposive sampling techniques were employed. Target population were 6-8 year old children, parents and teachers at Cit Primary school, Nairobi County, Kenya. Findings showed that most children in urban areas did not participate in housework, few who did had positive views but opportunities were limited. School work and house helps were a major competing force to children's participation in housework. Recommendation is that parents, teachers and policy makers should be enlightened on the role of housework in developing academic competence in children.

**KEY WORDS:** Academic competence, Child labour, Child work, housework, household chores

## INTRODUCTION

The early years of an individual are considered the basis of development of every aspect of the human being. The quality of learning experiences at this age at school and at home, have lifelong effects on the holistic development of an individual. This requires focusing on competency that takes into account the cognitive, social and physical abilities. Early childhood education meets these goals through approaches that are both family and school based. This, therefore, requires a combined effort by teachers and parents in child upbringing that builds on family values and school related functions that build on academic competence without compromising the child's holistic development.

Studies by Rosmann, (2008) and Bazley and Ennew, (2006), show that one way of enhancing children's holistic development is involving them in activities done at home as a means of family growth and survival such as housework. Work at home, constituting housework/household chores, are activities that children can naturally get involved in as they observe and role play their parents, older siblings, relatives and others. Cunningham and Stromquist (2005) indicate that this has been a traditional practice in many households throughout the world where children would take part in maintaining the home through performing housework. This traditional practice suggests that most cultures throughout the world recognized that learning begins at birth and involved children in housework as a stepping stone to the development of essential skills critical for holistic development. These traditional practices were affirmed by the Jomtien conference on Education for All (Jomtien

conference, Thailand, 1990) which asserted that learning begins at birth and early learning experiences are recognized as critical in early childhood

Children in traditional African families have been involved in supporting the family by participating in housework. However, modern life appears to have promoted ways of socializing children which are likely to focus on schooling to the neglect of skills that children used to develop at home through participating in house work. For example, families are employing house helps to free children to do homework at home. At school, Otieno (2004) further highlights that teachers insist on academic tasks at the expense of holistic development of children.

In as much as research (Rosmann, 2008) indicates that children who are likely to be successful are those that received early childhood programs that target the development of a holistic individual, it has not been established whether children in modern day society are taking part in housework and how this is affecting their academic performance at school. This is critical in ensuring holistic development of children in early childhood education. There are other studies that have been done on children and work but not particularly household chores. This study carried out an investigation to establish whether families in Nairobi involve children in housework and the reasons thereof, the contribution of this phenomenon on children's academic performance, and the opinions and perspectives of children and parents towards engaging children in housework.

### **THEORETICAL FRAMEWORK**

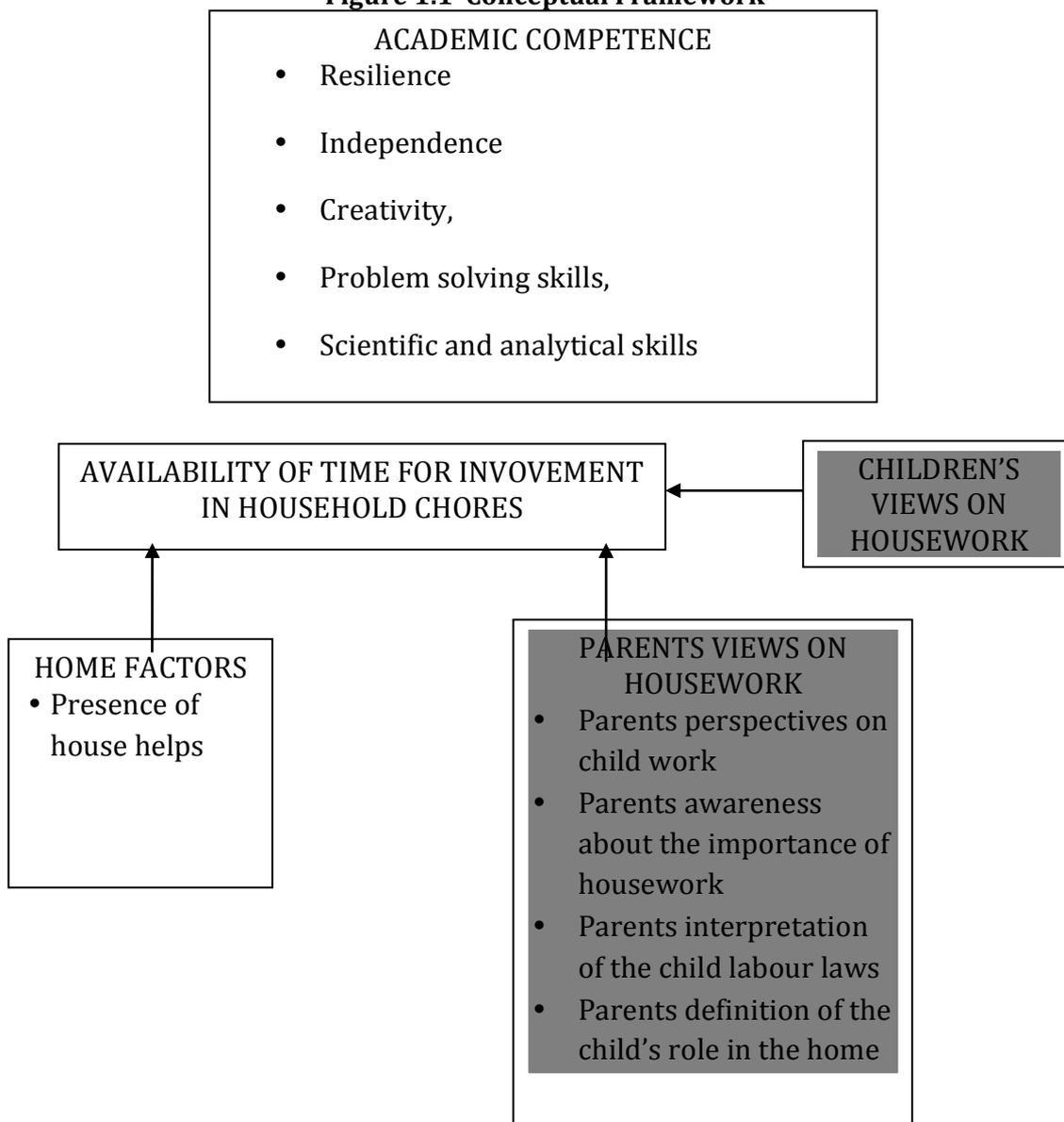
The theory of Erik Erikson on human psychosocial including personality development formed the framework of this study. This theory emphasizes the role of society in shaping the child's psychosocial development during the early stages of development. According to Erikson (1979), each individual undergoes eight stages of development each posing a conflict that should be resolved before proceeding to the next stage. These stages follow a sequence and are influenced by biological changes and environmental experiences in the individual child's context.

In early childhood, these stages are; basic trust versus mistrust (0- 1 year), autonomy versus shame and doubt (2-3 years), initiative versus guilt(4-5 years), and industry versus inferiority (6-11 years). The resolution of the conflicts in one stage enables the individual to have the capacity to resolve the next conflict in the preceding stage. If positive social conditions prevail during a particular stage of development, it leads to acquisition of a number of social and cognitive skills appropriate for that stage. Njagi (2009) further explains that, if the child does not receive the psychosocial needs of that particular stage such as encouragement and psychosocial support, it leads to lack of development of the relevant skills. The focus of this study are the six to eight year old children who are fall in the fourth stage of Erikson's psychosocial theory which is industry versus inferiority.

### **Conceptual Framework**

This model is a diagrammatic representation of the study variables. It shows the visual relationship between the study variables, the extent of children's involvement in housework, children's and parents views in housework and the non-study variables at home such as the presence of househelps and the availability of time for involvement in household chores. The resultant outcome is achievement of overall academic competence. This is shown in figure 1.1

**Figure 1.1 Conceptual Framework**



**KEY**

<b>Grey coloured areas</b>	Study variables
<b>White coloured areas</b>	Non-study variables

**Source; Author**

**MATERIALS AND METHODS**

**Research Design**

This was an exploratory descriptive survey which was concerned with narration of facts and characteristics concerning individuals and situations in the study. Qualitative methods of data collection and analysis were used. The researcher's choice to use a qualitative paradigm to conduct this study was encouraged by the views of Maxwell (2005) who explains that the aim of qualitative research is to understand the meaning of the situations, experiences and actions of participants in the study, and to give an in-depth analysis of the participants' perspectives of the subject under study. This approach was therefore the most appropriate way to investigate the problem at hand and answer research questions.

It used questionnaires and interviews to provide in-depth descriptions as given by children and parents about their attitudes and lifestyles concerning the involvement of children in housework and the impact of this to the development of academic competence in children. It employed an inductive, open ended strategy whereby the underlying motives and desires of the subjects were brought out, using in depth interviews for the purpose.

This qualitative research was interested not only in the physical events and behavior that were taking place, but also in how the participants made sense of these and how their understanding influenced behavior. These qualitative approach generated results and theories that are understandable and experientially credible, both to the subjects and to others. The researcher was also able to conduct formative evaluations that were intended to help improve existing practices and also in engaging in collaborative or action research with practitioners or the research participants.

### **Variables**

The independent variable was involvement of children in housework which included: varieties of chores done at home such as; washing dishes, dusting, sweeping, setting the table and so on, and the frequency of performance of each chore per week. The study challenged the emerging views that work in the family can be a waste of study time. The study used various mechanisms to establish whether work in a family was a positive or a negative thing.

The dependent variable was the quality of the engagement of the child at school in his/her academic work. The researcher was interested in whether children who appeared to indicate active participation in family household chores also indicated good records in academic performance as measured by their classroom tests in all the learning activities such as science, mathematics, language, physical exercises, social studies and creative activities and life skills. Participation in school did not just reflect academic performance but also how the teachers rated the child in general involvement with school activities. For example leadership skills, pro social activities and willingness to takes risks in learning.

### **Study site**

The study was carried out in City primary school in Nairobi County, Kenya. Nairobi is the capital and largest city in Kenya. Nairobi County was purposively selected because it is a highly populated urban area, consisting of a predominantly cosmopolitan population which was the main focus of this study. It is the most populous city in East Africa. According to the 2009 population census, 3,138,295 inhabitants live in Nairobi. The growth rate of Nairobi is currently 4.1% (Travel discover Kenya, 2011-2012). Most parents in this city were found to have acquired basic literacy skills and were enlightened on the existing labor laws. Majority of the parents were also in full time work (employed/self employed) and engage the services of house helps at home.

The challenges of modern life and the pursuit of respect for children rights were issues that required research in modern parenting. In African culture children perform household chores and the family considers this as a measure of competence and a way of socializing children to be productive members of society. Whether families living in Nairobi were still respecting this African beliefs and values was a critical issue of research and Nairobi location was suitable for this study.

## Target Population

The target population in this study was lower primary school; standard one to three children in City Primary school, Nairobi County, Kenya, teachers and parents. Children in this age group were relatively independent physically, mentally and socially thus were capable of taking part in some housework. They also fell into the theoretical framework that formed the basis of this study. The children and parents gave firsthand information on their practices, opinions and beliefs related to the involvement of children in housework while the teachers gave information on the children's academic competence.

The targeted population were the 150 six to eight year old children of both genders in the lower primary section, classes one to three, 1 parent/guardian of one or more children (100 parents/guardians) and 6 teachers, giving a total population of 256.

## Sampling techniques and sample size

### Sampling techniques

The researcher purposively sampled City Primary School because of the unique nature of the school in that it had children from a variety of socioeconomic background and cultural groups. With the assistance of the class teachers, the researcher selected children based on their academic abilities, socioeconomic characteristics (slum families representing the lower socioeconomic class, middle income earners such as employed civil servants and so on) and cultural backgrounds (represented by ethnicity of the children). Parents/guardians were selected.

### Sample size

Of the total population, 30.08% (77 respondents) were selected. Fifteen children from each class were purposely selected giving a total of forty five children. As a result, one of the parents/guardian of the selected children each, was also purposively selected based on those who were likely to be readily available and willing to participate, from different socio-economic classes, those that had and had not employed services of house helps in their homes and those whose homes were easily accessible to the researcher giving a total of thirty parents/guardians. Two teachers formed the sample.

**Table 1 : Total population of lower primary children, teachers and sample frame of the respondents**

RESPONDENTS	TOTAL POPULATION OF CHILDREN,PARENTS, TEACHERS, CLASS 1-3	SAMPLE		
		Male	Female	Total
Children (class 1-3)	150	23	22	45
Parents	100	15	15	30
Teachers	6	-	2	2
<b>TOTAL</b>	<b>256</b>	<b>38</b>	<b>39</b>	<b>77</b>

Source ;Author

### Construction of research instruments

The primary data collection instruments included; oral interview schedules and questionnaires. In addition data was taken through naturalistic observation, and document analysis and descriptive field notes in a journal to capture any other information that was relevant to the study but which was not included in the research instruments. The instruments (oral interview schedules and questionnaires) were administered to collect information on

involvement in housework, perspectives of parents and children towards involving children in housework and the performance of children in the various activity areas.

### **Data analysis**

Qualitative data analysis procedures were used to analyze the data obtained. This involved uncovering and discovering themes that ran through the thick narratives in the raw data and interpreting the implication of those themes for research questions. As explained by Mugenda and Mugenda (2003), it involved generation of themes, categories and patterns through the process of coding, annotating and searching for interconnections.

The researcher began by reading the interview scripts, observational notes and documents that were to be analyzed. During the reading, the researcher wrote notes and memos on what she read and heard and developed tentative ideas about likely relationships and categories in the information. After this the researcher organized this raw data from the field notes and narratives into various codes by identifying the various categories in the data which were distinct from each other and then established the relationships among these categories. This coding process fractured the data and rearranged them into categories that facilitated comparison between ideas in the same category and eventually helped in the organization of data into broader themes and theoretical concepts.

Once the themes, categories and patterns were identified, the researcher used descriptive statistical methods and measurement scales to present the information. It involved measures of central tendency such as the mode, mean and median which were calculated and presented in form of frequency distribution tables, bar charts, curves and line graphs.

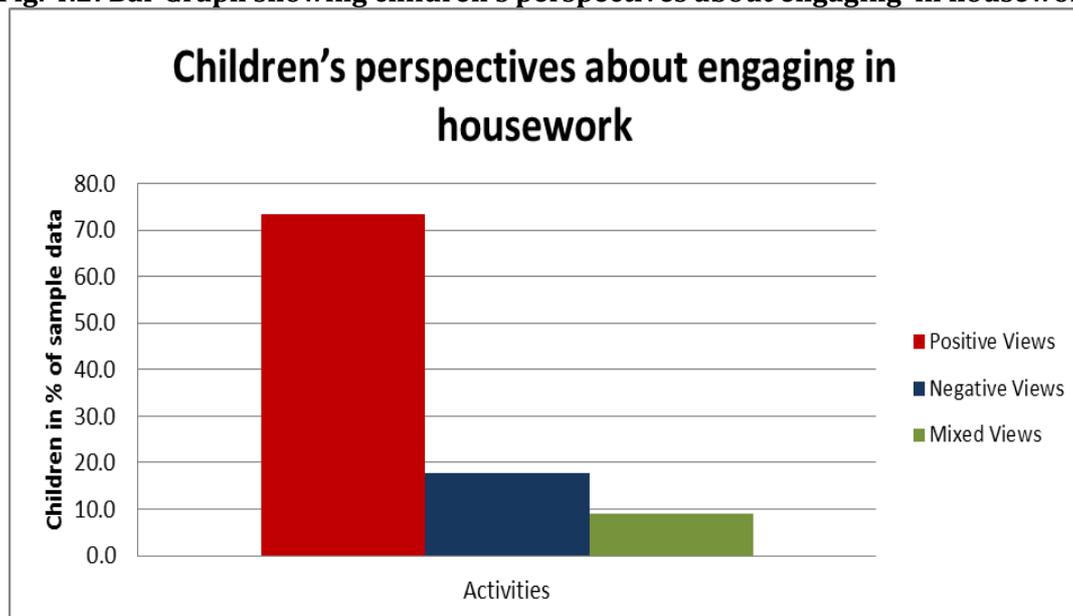
### **Limitations of the study**

Home observations were part of the methods of data collection. This was a limitation because the sample collected from the parents was not randomly selected as this relied on the willingness of the parents to allow the research to be conducted in their homes. This had an influence on the validity of the results as the sample collected was not representative enough. In order to overcome this, the researcher was very selective and selected parents from different backgrounds in order to enhance the representativeness of the sample selected.

## **RESULTS, INTERPRETATIONS AND DISCUSSIONS**

### **Children's perspectives on engagement in household chores**

Children's views and ideas about engaging in housework were explored using questionnaires and through face to face interviews. Children had varied perspectives concerning being involved in household chores. Figure 4.2 shows the proportions of various perspectives.

**Fig. 4.2: Bar Graph showing children's perspectives about engaging in housework**

The findings demonstrated in figure 4.2 shows that, most children (73.3%), had positive perspectives towards house chores. A small proportion of them had negative perspectives (17.8%) while another smaller group had mixed feelings (8.9%).

#### **Reasons for children's views and perspectives on housework**

From the previous findings, a very small proportion of children performed housework; most were engaged in doing homework. Surprisingly, from these findings, the few who got opportunities to perform household chores enjoyed doing it. A good proportion of them gave positive views towards housework.

#### ***Reasons for positive perspectives***

Positive perspectives were expressed in a variety of ways including descriptions of work as good, fine and enjoyable. A close look at the children's responses showed that children with positive perspectives towards work gave three categories of reasons;

- a. Health related reasons
- b. Enjoyment related reasons
- c. General reasons

#### **a. Health related reasons**

Reasons in this category related to the contribution of work towards their physical health and wellbeing. This included statements such as;

"It makes me strong and healthy."

"It is like exercising and helping someone like cleaning the house, wash the dishes and helping."

#### **b. Enjoyment related reasons**

These reasons related to children's experience of fun and enjoyment in doing the tasks. This included statements such as;

"I feel happy and nice when working."

'I enjoy working.'

c. General reasons

These are reasons that were positive but did not specifically relate to a given experience or benefit. They found working to be just okay, they had no problem engaging in it. They were proud to contribute to their own livelihood and that of their families. This was reflected in statements such as;

“it is fine to do housework.”

‘ it is okay to help in work at home.’

***Reasons for negative perspectives***

A few children (8.9%), had negative perspectives about housework. These reasons related to:

- a. Interference with schoolwork
- b. Lack of interest
- c. Boredom

a. Interference with schoolwork

These reasons were in relation to their school work. They found it a distraction that hinders them from concentrating in their homework. This included statements such as;

‘Housework is not good because it can negatively affect my education.’

‘I will be unable to do homework.’

b. Lack of interest/ Dislike

Some children were simply not interested in housework and said;

‘I do not think I love the idea.’

‘ I dislike housework, It is not fun.’

c. Boredom

These reasons related to how the work experience made them feel. Some felt that housework was a boring activity and said;

“I get bored because there are usually other more fun activities that I can do like playing with my friends and watching television.”

‘ It is boring to do housework.’

***Reasons for mixed feelings***

A small number of the children (8.5%), were not completely sure of their feelings towards housework. Their perspectives depended on their moods and the activities they had to do.

They gave responses such as:

*“Sometimes I feel good sometimes I feel bad when doing housework”.*

*‘When I am idle I feel good, but when doing homework I feel bad and distracted.’*

## **DISCUSSION**

The children in this study see the value of being involved in work at home and desire to be involved in it. Yet, their level of involvement was rather low. This suggests that children's perspectives do not get reflected in their work involvement. The children are not getting enough opportunities to engage in housework. From previous findings, this is mainly because, there was a lot of homework from school that took most of their time. School work is therefore a major competing force against time for housework.

In addition, these findings are an indication that children did not really have a say in matters that concern them. They did not have a say in choosing to do the activities that are of interest to them and make them happy such as housework. Children are viewed as passive about their interests, likes and situations. Studies carried out by Boyden and Ennew (1997), show that most of the current research concerning children have been carried out through the perspectives and understanding of adults who speak on behalf of children and in most cases the voices of children are not heard.

Article 12(1) of the UNCRC asserts, state parties shall assure that; 'the child is capable of forming his or her own views, has the right to express those views freely in all matters affecting the child and the views of the child to be given due weight in accordance with the age and maturity of the child' (UNCRC,2006). This means moving away from perceptions of children as passive victims, and rather recognizing them as active participants, capable of analyzing and responding to their situations and problems, and as citizens with both rights and obligations in society.

### **CONCLUSION**

The findings of this study show that the few times that children engaged in housework, were shown to be mostly for their own personal wellbeing and not to the wellbeing of the whole family.

However, the few children who got opportunities to work, enjoyed it, they felt good when taking part in the maintenance of the home and were willing to take part in it. They appreciated the contribution of housework to their academic competence. It contributed to the skills and concepts learnt at school, and had a tremendous impact on their school work. However, they lacked enough opportunities to engage in it. Teachers were aware of the importance of housework but mainly on its contribution to values enhancement. They were not aware of its benefits on academic skills and concepts.

The curriculum was exam oriented where emphasis was on passing examinations and not on the holistic development of children, it did not offer opportunities for housework because of the heavy workload, emphasis on performance in examinations and the long hours that children spend at school. There was no interplay between the home and the school in learning. Thus, children were missing out on basic learning opportunities at home such as housework which is fundamental to their academic competence and indeed their overall holistic development.

Parents did not give children enough opportunities to engage in housework. To parents, homework and play took more priority than housework and viewed housework as a distraction to school work. Thus, children lacked opportunities to develop initiative and self driven actions. There was ignorance among both parents and teachers on the contribution of housework on development of academic skills and concepts and to knowledge as a whole

### **RECOMMENDATIONS**

The researcher recommends the government, relevant ministries and stakeholders to set up policies on the following areas;

- i. Research concerning child development should incorporate children's ideas and views. Their voices should be heard on matters that concern them such as their interest in engaging in family housework activities.

- ii. Partnership between teachers and parents / home and the school should be enhanced so that the home and the school can work together to promote the involvement of children in household chores.
- iii. Awareness campaigns through both electronic, print media and parents meetings at school should be carried out intensively to enlighten parents and other caregivers on the importance of housework on child's success in school related tasks.

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## **An Innovative Tool To Track The Difficulties Of Adolescents Aged Between 11 And 16 Years Old: R.E.U.S.S.I.T.E.**

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### **Resumé**

L'aide des professionnels académiques à la construction du projet professionnel des pré-adolescents et adolescents est souvent insuffisante à une prise de décision correspondant à leurs intérêts et compétences, ne disposant que de données partielles (tests ou comportements scolaires). Destiné à ces professionnels, REUSSITE, outil synthétique de repérage des difficultés inclut l'ensemble des dimensions de la construction du projet : psychomotrices ; cognitives et intellectuelles ; psychoaffectives et psychosociales.

Sont successivement abordés : situation des adolescents et ressources académiques; présentation abrégée de REUSSITE et de ses fondements conceptuels ; modalités de validation de l'outil; une interprétation fondée sur la stratégie développée par les élèves.

Mots-clef : Adolescents difficultés de construction du projet; batterie composite; parents et professionnels académiques; approche holistique, psychologie consultative.

### **Abstract**

**Helping academic professionals in the construction of pre-teens and teens professional project is often insufficient to lead to decision making that suit their interests and skills due to availability of only partial data i.e. test or academic behaviors. For these professionals, REUSSITE, is a synthetic tool for detecting problems including all dimensions of the project construction: psychomotor; cognitive, intellectual; psycho-affective and psycho-social.**

**Will be successively discussing in turn: situation of adolescents and academic resources; abbreviated presentation of REUSSITE and its conceptual foundations; means of validation of the tool and an interpretation based on the strategy developed by the students.**

**Keywords:** Adolescents; difficulties in project; composite test; R.E.U.S.S.I.T.E. parents and academic professionals; holistic approach, counseling psychology

## INTRODUCTION

REUSSITE (Réussite Elèves : Unité du Socle de Savoirs Intégrés Transférables Efficients, Academic success: department of Integrated Transferable and Efficient knowledge base) aims at responding to the lack of a sufficiently synthetic and representative tool involving the different teenagers' professional projects construction components that could help the school professionals such as head of school, head teachers and career guidance officers. All this, using a short duration test with simple application on a collective or individual basis, that pinpoints and deals with the identified difficulties.

Existing tests generally handle the cognitive aspect of this phenomenon. Thus, the components that could help to guide the youngsters' choice and project construction would not take into account psychomotricity dimension or psycho-social/psycho-affective dimension as a whole. As such, the adolescents' projects are deprived from the start of certain elements that could be used as guidelines or that could help to put together projects that would genuinely match with the teenagers' actual aspirations and competencies.

REUSSITE has taken into account these significant components of adolescents' development process (psychomotricity, cognitive/intellectual and psycho-social/psycho-affective aspects), as such suggests a holistic approach which prerequisite has been confirmed (Catheline, 2007) and thereby responds to the definition of the term project that has been used in this research work.

Project comes from the latin word *projicere*, meaning to throw far ahead of oneself. It requires a mental operation prior to reality and implies the quest of a singular solution that does not pre-exist, following numerous possibilities full of uncertainties (Boutinet, 1991).

During adolescence, projecting can be defined as an act of commitment from the subject as a whole. It is the guiding thread that runs from one end to another of life, putting together and involving dependence between past, present and future, cognitive, affective and social and concerns reality and imaginary dimensions (Riard, 2006 ; Stavrou, 2010, 2014; Drigas, Kouremenos, Vrettaros, Karvounis and Stavrou, 2009).

In the approach that has been kept, it is implied that a project has two principal aspects that refer to the production and the reproduction functions that complement sets of values.

And, when applied to early adolescence, REUSSITE suits the prevention perspective.

Building on observations based on the resolution of minor sensorimotor, intellectual and cognitive problems involved in simple and complex concrete operations as envisioned by Piaget (1974), the "RÉUSSITE" tool seeks to address items with regard to significant elements of the adolescent process. It also seeks to identify operational shortcomings among the young people studied which could eventually hamper with varying severity, the evolution of their socialisation included in their professional project as well as from a psychosocial and psycho-affective angle. Once identified, these (potential) difficulties can be the focus of intervention carried out by professionals, thereby giving back meaning to these students' schooling. This tool also implies an alternative approach to students by teachers - more attentive to their difficulties, comprehensive in nature, requiring sound training based on these principles.

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implies an alternative approach to students by teachers - more attentive to their difficulties, comprehensive in nature, requiring sound training based on these principles.

The chosen approach mainly completes the works of Crites (1962) and Supper (1988). These authors have relied on subject-specific competencies, reasoning, interests, motivation or attitudes.

We will successively address adolescents and the challenges they face in constructing their project as well as the educational institution's approach (1); the RÉUSSITE tool with regard to its content, development and implementation (2); its validation (3); and finally its impact on adolescents' projects (4).

## **ADOLESCENTS AND DIFFICULTIES IN PROJECT CONSTRUCTION: A SITUATION ANALYSIS Approaches**

Our aim is to find out how adolescents' thinking process takes place. Clear intellectual thinking is different from intuitive thinking and, according to Bachelard (2005), is not a process of reflective thinking. The interest sought is that of explained, justified and articulated responses within a certain rationality level, a point of view explained by Merleau-Ponty (1964).

Various national and international studies have shown that an increasing number of adolescents encounter difficulties when it comes to adhering to their project, and even more so when they prepare themselves by setting up learning or attempt to develop skills adapted to their desires. As Catheline (2007, p.1) points out, "these difficulties are not new but are (...) becoming a real social phenomenon". Their "explanation" has changed. The same author argues that "how academic failure (morals - the child's laziness - medical - intellectual or instrumental deficiency - psychological - desire or refusal to learn - and - social) is interpreted is a question of congruence between the family's cultural values and those expected by the school".

For some of these young people, these difficulties also concern access to a level of logic and problem resolution which involves conceptual and abstract intelligence. From a developmental and pedagogical point of view, many studies have argued that the principle cause of these difficulties resides in the imperfect and unbalanced access to spatial and temporal references (static references, dynamic references), characteristic of the simple and complex concrete level of intelligence. Indeed, it often involves the more or less systematic absence or error of transfer as well as the generalisation capacity of the above-mentioned positions. Also worth noting is that when faced with difficulty, the students, their families and their teachers tend to reinforce the students' already recognised capacities which constitute their strengths rather than work on their weaker capacities (for example another discipline), thereby leading to an imbalance. In each and every case, this leads to the progressive exclusion of capacities that the students do not make use of to construct their project, which, improved and restored, could ensure a project much more in tune with the subject. However, it is possible that problems are not dealt with because they remain unidentified. As Bullinger (1990) has shown in the sensory and locomotor field, and Dolle and Bellano (1989) in cognitive remediation, the spatio-temporal dimension organises the problems identified. Moreover, it is worth noting that the young people identified as being in difficulty sometimes encounter even greater difficulty in discriminating the different roles and status of their entourage, as well as the relationships they maintain within their school and/or privately, both with themselves and with others (adults and peers). Finally, a point that has often been neglected is that these difficulties as well as the directions taken within the project can also relate to the process of adolescence itself, to

the history of the subject as the studies carried out by Male (1962); Coleman (1972); Castellan and Riard (2005); Guillard (2007); Catheline (2007); Marcelli & Braconnier (2008); Cloutier & Drapeau (2008), Golse (2008), Sarris, Stavrou & Stavrou (2008); Zeza & Stavrou (2015a, 2015b) have shown.

### **The consequences of these difficulties**

When they cannot be overcome, these difficulties can significantly increase drop out risks (Py, 2007) school disaffection (Walgrave, 1992), or early school leaving of adolescents who then lack any qualification. This can lead them to deviance, to higher risks of marginalisation, to the reinforcement or the development of a sense of abandonment, or to social marginalisation. The social measures implemented to address these shortcomings (training geared towards this population; support measures such as local missions...) all generate considerable (additional) social costs which are undoubtedly difficult to measure but which are nonetheless present. These difficulties can also go unobserved, without reducing possible professional choices as they insidiously lead the young people towards undesired directions.

### **Professionals of the academic world in the face of their students' difficulties**

The assistance provided by academic professionals: principals, career guidance counsellors, principal education advisors and head teachers, is restricted as it is limited by the elements available to them - academic results, the student's behaviour, interviews with the families - which enable them to evaluate the competences, interests and cultural influences that these adolescents are subject to (e.g. representations of work, time). Nevertheless, they do not generally have the data placing the latter in a personalised context based on all the variables involved in their project. Access to this information would enable them to carry out a more in-depth analysis, thereby acquiring a more detailed understanding of the adolescents' situation. This would then result in decision-making which makes sense for the student as it would correspond to their interests and competencies, recognised by others and by himself, thereby reinforcing their self-esteem and their motivations.

### **A comprehensive approach to students to address their challenges**

An analysis of this situation highlights the need for a more comprehensive approach to the adolescents as a whole in order to allow them to access a project (in terms of a profession) as close as possible to their desires and competencies, supported by knowledge about their abilities in domains such as psychomotor or cognitive, intellectual or psycho-emotional and psychosocial. This necessity is part of the broader view of clinicians and researchers who are the main authors of this research. Nevertheless, this approach must be accompanied by a conception of the project that is based on the same principle: comprehensiveness. The project can then be defined "as an act of commitment (of the subject), as a guiding thread, running from one end of life to the other, connecting and making the past, present and future interdependent; the cognitive, affective and social, and involving concrete and imaginary dimensions interactive as well" (Riard, 2006 ; Riard & Wallet, 2007).

Based on the potential dysfunctions identified as close as possible to the moment they emerge, the tool proposed seeks to reduce the first difficulties experienced by students (if necessary, by involving a professional such as an occupation therapist depending on the results obtained) enabling them to master their personal project.

For professionals, this battery also helps in decision-making through its complementarity with existing tools (interviews and/or tests carried out by career guidance counsellors). Due to its

implications that are explicitly psycho-pedagogical, it also appears as an element that supports the communication of personnel amongst themselves and with their partners in the larger education community (parents, support groups by counselling psychologist and regional authorities). Finally, an application component is expected in the form of a training program for the user within a perspective of professional didactics.

We need to specify that this tool was not designed to be used as a test: it simply seeks to gain a strategic understanding of what adolescents do.

### **A PRESENTATION OF THE REUSSITE TOOL**

This tool was established based on some principles set out in specifications drawn up jointly by researchers and youth-serving professionals, established beforehand. These relate to its form, content, the circumstances in which it is given and its duration, and the procedures of correcting and analysing results.

#### **Characteristics**

In its finalised form, this tool covers all the dimensions that involve adolescents in their schooling and the construction of their project (psychomotor; intellectual and cognitive; affective and psychosocial level). It is synthetic as it works by selecting a representative sample of these dimensions. This representativeness is established based on literature and on experts' opinion.

It is a paper-and-pencil test; rapidly administered - 40 to 45- minutes; individual or collective; easily computed (in terms of counting) and does not require interpretation.

#### **The construction process**

Five successive waves - groups - of subjects (total number N=2395) were needed to carry out the necessary adjustments; choice of items of the tool and the formulation of guidelines were adapted to the various populations. The process is based on a triptych made up of dimensions, each corresponding to a "book": The sensory, motor and psychomotor dimension (Book 1); the genesis of intellectual processes and cognitive capacities dimension (Book 2); the psychosocial and the psycho-emotional dimensions of adolescence (Book 3). These books were then merged to form a single "operational" document. The subjects involved were students from the sixth to the tenth grade (from 11 to 15/16 years old). The different difficulty levels were evaluated by comparing the results of each subject to those of adolescents of their age.

The three books have to be accomplished within 40-45 minutes adding to a ten minutes confidence building, instructions and explanations as to how to complete the protocols.

More specifically in book three whereby three trial versions have indispensable prior to the final version (first version : 172 items; second version: 79 items; third version: 59 items and the last version: 57 items, taking into account six retained dimensions).

#### **The three dimensions of the REUSSITE tool**

The tool was constructed based on existing tests for the first two books (Book 1 -psychomotor dimension-; and Book 2: - cognitive and intellectual dimension- composed of 17 sub-tests among them in the operational version (and seven sub-tests in the confirmatory version). Book 3 is composed of 57 items (regrouped in six dimensions) involve the psychosocial and the psycho-emotional dimensions and form an entirely original part designed based on the analysis of the separation-individuation process (Mahler, 1982 and Blos, 1967).

### ***The psychomotor dimension***

In the final version of the test, the following dimensions were retained: equilibrium, rapidity, organisation of space and the spatio-temporal structure.

The major problem encountered when constructing this part of the test was the search for a match between a movement (which could not be carried out during administration as it was a paper-and-pencil test) and the response given by the subject - a self-evaluation -, indicating representation adequacy. A significant task seeking to establish the correspondence between the estimates given by the subjects based on their responses and the effective achievement of the movement was carried out.

### ***Cognitive and intellectual dimension***

This part of the test sought to evaluate the consistency and the unity of the potentialities as well as the intellectual efficiency of the students that led them to identify a project and personalised objectives to achieve. The aim was to design an intellectual and cognitive approach with regard to understanding the correlative strategic capacities of future emotional, relational and professional conditions of the adolescents under study.

All the tests in this dimension which comprised 12 sub-tests were inspired by existing psychological test calibration, identified in Zazzo and colleagues' works, and in particular, within two manuals dedicated to the psychological assessment of the child (Zazzo and Stambak, 1958; Zazzo et al., 1972). These are designed to detect the potentialities of verbal intelligence, expression, vocabulary, etc. on the one hand, and on the other, operational and performance intelligence with regard to concrete as well as abstract references relative to space and time. It also involved tests of codification systems, of oriented spatial assembly and of immediate memory exercises which relate more to practical intelligence. These were chosen based on the objectives set for the tests with regard to intellectual comprehension. The observations carried out sought to situate the uneven difficulties that subjects encounter, on one hand in specific domains of their intellectual and cognitive knowledge in comprehension - therefore to take an interest in their strategies and their work rhythms - and on the other hand to situate the domains of intellectual disinterest concerning specific sectors of knowledge, and to understand the root causes.

### ***The psychosocial and psycho-emotional dimension***

The theoretical reference point of the conceptual framework of these dimensions is the second phase of the separation/individuation process (Malher, 1982; Blos, 1967; Stavrou, 2002). It is based on three psychic phases which are lifelong and which accompany adolescence: these are the identifying phase, the ideal phase and the rebalancing of the "narcissistico-objectal" balance (Riard, 2006 ; Riard and Wallet, 2007 ; Stavrou, 2010, 2014).

### ***Characteristics***

Generally, the tests proposed are in most cases derived from the separation-individuation process mentioned above; they are thus based on objectal relationships. Without claiming to provide a comprehensive catalogue of existing tests, we have identified that in this domain, tests that have a therapeutic purpose or seek to identify the psychological dynamics of a subject (psychopathological and personality disorders and the associated behavioural trends) are among the main existing tests. Examples are the Butcher's MMPI-A, (Minnesota Multiphasic Personality Inventory -Adolescent) (Butcher et al., 1992); the Spielberger's STAI (The State-Trait Anxiety Inventory) (Spielberger, Gorsuch, Lushene, Vagg, & Jacobs, 1983); the

Coopersmith's CSEI (Coopersmith Self-Esteem Inventories) (Coopersmith, 2002); or the Touma and Virole's TSEA (Test de socialisation pour enfants et adolescents) (Touma and Virole, 2004) which test the complexities of adolescents relationships.

Among them, particular mention must be made of SITA (Separation individuation test of adolescence). This test specifically targets the operationalization of the separation/individuation process, considering its very foundations initially developed by Levine, Green and Millon (1986), it was later taken up in an abridged French version by Saintonge and Lachance 1995).

### ***Objectal relationships as points of reference***

The new distance that adolescents must create with their objects and their entourage is taken as the point of reference when reorganising adolescents' relationships through counselling psychology: with regard to parent figures, peers, social objects, their bodies, the ideals that project them into the future. Literature review as well as the work carried out jointly with the experts led us to focus on what can be summarised by the following six questions: Dimensions who refer to the following six scales: 1- separation from the parents (and from the childhood world) and movement toward non parental adults figures; 2- the new relationships to build with peers and partners; 3- the reaction when faced with obstacles and social constraints; 4- place of the body; 5- the project itself; 6- depression. This resulted in a test comprising 57 items. Subjects were asked to respond after being given an example.

Each item proposed four possible responses. They were interpreted based on a subject's degree of commitment to the future. This was reflected for instance by the presence of a psychic movement attesting withdrawal that could be identified because it was based on an "adequate" distance with parent figures (Scale 1). In such a case, these adolescents "had to accept" to maintain relationships with their peers that were ultimately more intimate (Scale 2) and they had to be able to cope with obstacles and social limits without narcissistic omnipotence (Scale 3). They also had to be capable of projecting themselves into the future (Scale 4), and the body had to be the object of new relationships (Scale 5). Admittedly, they could have had depressive symptoms but should have been able to overcome them or to contemplate overcoming them (Scale 6).

As mention in section 2-2, we took in consideration the duration requirements, thus restricting the number of items per subscale.

The responses were interpreted by taking into account the general orientation of the individual's development in the specified direction, based on a study carried out jointly with the experts. We therefore sought to identify why the response given by the adolescents were likely to nurture or impede their project. The four possible responses proposed in the questionnaire each resulted in a score corresponding to the project's degree of favourability of achievement (at least potentially). This could also be understood as a response in the opposite direction from the moment the difficulty was encountered when constructing the project (or "weak" or "ordinary" difficulties). Under these circumstances, we can thus assume that the ongoing psychic activity makes it possible for adolescents to position themselves favourably in relation to their project, even though this project might not be clear. On the contrary, adolescents who responded inversely suggest that they are, or will be in difficulty in the short- or long-term.

### **Professional users**

For ethical reasons, it can only be administered by trained personnel, (thus) requiring strict conditions, and excluding all discrimination. The results obtained can only function as a warning; they must be confirmed by a complementary version termed “confirmatory”, (already established) administered within the school, which must also ultimately be followed by directing towards a professional in the area concerned who will evaluate this difficulty using their own tools. Consequently, the battery-type REUSSITE tool is simply a possible first phase of a process.

### **VALIDATING THE REUSSITE TOOL**

Once the tests validated (comprehension, instructions, adequacy) within a population of ordinary students, we sought the criteria enabling to identify students in difficulty (at least potentially). To achieve this, we sought the standard profiles of ordinary subjects, then the profiles of students identified by the academic institution as experiencing difficulty. These were the SEGPA students. The validity of the tests undertaken by ordinary students who are targeted by this tool was then sought by comparing their results to those of the SEGPA students.

### **Two major phases**

Details on scales used and statistical analysis.

Books one and two scale : skill level, and book three : a likert type scale allows to grasp the degree of agreement. The Principal Component Factor Analysis was used to describe the data from an individual and numerical data spreadsheet and gave an idea of the individual items' structure and any similarities in behaviour between subjects' group, while, the correlation is in turn designed to determine the degree of relationship between two numerical variables X and Y.

### **Scoring**

#### ***Scoring Book 1 and 2***

For this part of the test, the analytical framework distinguished among five qualitative levels derived from the deviation of the response with regard to the mean of the responses of the subjects belonging to the same class, ranging from: very good – rated 5-, for perfect or almost perfect success during the sub-test; good – rated 4- when 2/3 of the responses were accurate; average - rated 3- when the responses lay on both sides of the median score; poor - rated 2- when the accurate responses represented approximately a third of the responses, and finally very poor - rated 1- for a result that was largely inferior to a third of possible accurate responses or when no response was accurate. A note was then compiled for each book.

#### ***Scoring Book 3***

Here, the analytical framework distinguished four response levels depending on the subjects' level of agreement; this did not depend directly on subjects' level of agreement with the proposal formulated, but rather on whether the response (from “strongly disagree” to “strongly agree”) was in line with future commitment or suggested that the subjects would commit themselves. To this end, a specific scoring grid was constructed and validated by the experts and applied using a slide. Thus it was decided that a score of 3 or 4 implied that a response pointed in the same direction as the construction of one's project and that a score of 1 or 2 reflected responses that did not point to this direction. An overall score which is the total of the scores of the 57 items was then calculated. The higher the score, the less the subjects

experienced difficulty in their project with regard to the psychosocial and psycho-emotional dimension.

An overall score and a score corresponding to each dimension – or sub-scale – resulted; this made it possible to position the subject's response.

### ***Validating the three books through comparison with S.E.G.P.A. students across all classes***

Students from ordinary classes and those from SEGPA classes were compared sub-test by sub-test and then book by book. From all the statistical comparisons carried out, it appears that regardless of the test, the differences are always favourable to students from ordinary classes. In particular, they relate to Book 2 (cognitive and intellectual dimension) then to the psychomotor dimension (Book 1) and finally to the psychosocial and psycho-emotional dimensions (Book 3).

### **Further development of the results of ordinary students**

Once it was established that significant differences exist between students depending on the type of class enrolled in (ordinary students and students from SEGPA classes), thereby confirming the validity of the test, we sought differences depending on variables selected from a population of "ordinary" students targeted by the REUSSITE tool in order to refine the modalities. The following points clearly emerged:

- Regardless of the book considered, no significant difference exists between grade 9 students and those in grade 8, and among the same subjects within the same class, between girls and boys, or between those from rural or urban backgrounds.
- Regardless of the book considered, it was also confirmed that differences between students in grade 6 and 7 were highly insignificant. They were nonexistent within the same class between girls and boys, or between those from rural or urban backgrounds.

## **INTERPRETATION**

### **Strategy**

The comparative observations conducted during the tests first concerned the strategic point of view, undoubtedly under the influence of academic requirements, as well as those arising from the social structures analysed by Merton (1998). Among many subjects and in particular those experiencing failure or difficulty in the exercises given, there was confusion between rapidity and the level of performance. Execution speed was thus disconnected from the necessary personal mastery which must condition the reactivity of subjects in order to make them effective in resolving intellectual and cognitive problems of everyday life. As a result, the apprehension, selection and structuring of the perceptive organisation of the phenomena were considered in the Book 2; In reality, from a strategic perspective, or in the absence of strategic reasoning, under-performing students or those experiencing difficulties simply attempted to memorise knowledge that was non-integrated, un-internalised, non-transferable, and that could not be generalised according to the modalities defined by Piaget (1974) but analysed by Gardner (1983) in the theory of multiple intelligence.

### **Sudden improvement and maturation due to age**

In the various intelligence forms encountered, intuitive responses become rarer, a strategic point of view described by children and adolescents when they have good basics and concrete benchmarks related to space and time organisation.

In particular, the observations also made it possible to detect among all the students considered, a sharp improvement in the overall results between subjects aged at least 12 up to 14 years old. We thus posited that among many adolescents, this improvement could be due to a normal access to conceptual thinking, premise of the advance towards abstract and hypothetical-deductive reasoning at the formal operational stage; this was confirmed through individual observations. The item by item analysis of book 2 among subjects aged between 11 and 14/15 years old enabled us to confirm a personal transformation of the basic points of reference for many subjects with regard to spatial and temporal data, as well as data concerning how proportionality, dexter and sinister movements, progressive and regressive, alternative and rotating, and accelerated and decelerated relationships are grasped. The essential prerequisite for such success that was observed in individuals through a retest was that for the vast majority of cases, the basic Euclidian benchmarks had been acquired which therefore made it possible for the “sudden learning phenomenon” by “insight” observed by Köhler, (1927). Subjects conscious of the impact of forms learn thereby modifying their work strategy. Individual observation during the copying of a complex figure made it possible to distinguish: between good forms (gestalt) and syncretic approach.

### **Spatial and temporal benchmarks and intellectual efficiency**

Spatial and temporal benchmarks as well as tempo and rhythm benchmarks substantially implicated in the failures observed are also sensitive upstream with regard to understanding the movement (Book 1) and are echoed in turn in the exercises involving coding, counting cubes and especially, in numerical series requiring reproductions in an oriented manner as well as in the geometric reproductions of spatial symmetry. From a Piagetian perspective, two versions of exercises were determined depending on the observations carried out on both sides of the crucial ages observed (at least 12 to 14). They sought to discriminate between the subjects who on one hand are confronted with difficulties in basic references, lateralisation, orientation, conservation of length and on the other hand, with difficulties involving complex concrete intelligence.

This identification presides and is necessary in conceptual representation before the development of abstract reasoning. The overall analysis of raw data as well as the strategies employed by subjects made it possible to detect the most common difficulties encountered, difficulties linked to spatial and temporal references with regard to self but above all, projected in an operational manner in the exercises proposed. This analysis also made it possible to reveal, through the individual rating of successes and failures, specific difficulties which explain the imperfections of understanding; most often, systematic or random personal strategic understanding biases. At all levels from grade 6 to grade 10, three domains were globally poor: the domain of numerical series, that of the type of memory but also and especially, that of geometric references. The overall scores obtained by SEGPA students in the 6th and 7th grade were significantly different and inferior to those in the 6th and 7th grade of the ordinary section. Similar results were found among students in the 9th grade. On the contrary, the gap between their results significantly narrowed at grade 8, an age which corresponds to the initial observation of a “sudden learning phenomenon” (Köhler, 1927, Stavrou and Makratzi, 2004) with regard to spatial references. However, it is likely verified through a clinical study, that this learning is not sufficiently substantiated by concrete exercises then conceptualised to make it operational. Nevertheless, the difference becomes less significant between grade 9 SEGPA students and those in ordinary classes.

### **Reaction and oscillatory process of adolescence, sense of lack and/or abandonment**

These results cannot be dissociated from the adolescence process itself. In the 6th and 7th grade, adolescence begins, admittedly less powerful than it will be in the following levels, but it undoubtedly affects future student orientation; the academic institution already asking students to make their first choices. What are the impacts of these bodily and parental constraints, and on a larger scale, social constraints and notably those of the academic institution? How do cognitive, intellectual and motor capacities influence as well the construction of the project (in agreement with the holistic conception of the individual and that of the project, setting the principles of totality and interdependence)? It is likely that as instances from the imaginary work “as a block”, the work geared to peers can only function as essentially narcissistic which gives the missing security or at least reduces the anxiety generated by maintaining him in a relationship with an orientation such as “infantile dependence”.

The oscillatory type of movement which forms the basis of the adolescents’ construction project at the imaginary level (based on identifiable, ideal and “narcissistico-objectal” instances, (Riard, 2006), translated differently by Chabert (1986) (the alternating of *progrédients* and *régrédients*), is probably a small amplitude movement, occasionally rather close to a certain risk of immobilism within a psychic zone of minor differentiation, resulting in increased anxiety due to incongruity with the adolescents’ situation. This can only reinforce the discovery of irreversibility and the unidirectionality of how time elapses (Montangero, 1983), where the adolescents have little influence. This is undoubtedly why adolescents have responses that can sometimes be violent as they react to a situation in which they no longer have control.

### **CONCLUSION**

From a psychological point of view, the difficulties and failures encountered implicitly relate to individuation-separation problems, and also frequently relate to relational issues in terms of relational omnipotence and/or adolescents’ sense of abandonment within society, which influences the capacity to be alone as defined by Winnicott (1958). The adult world and the existing education do not sufficiently support the development of children in their sensory and motor evolution, in “knowing and communicating” as described by Bruner (1991). Man intervenes less and less in the presentation of knowledge objects; this refers to learning that is partial or biased, virtual, fantasised often using artificial “demonstration” techniques of the world, rather than the orientation of perspectives, observation, imitation. The children often learn alone but do not really learn to be alone after imitating and sharing while accompanied in their elementary actions and operations on the world; actions that must enable him to access the reflection in the mirror of self and the other as described by Mead (1963). Owing to the influence of the social requirements of rapidity, urgency and efficiency, he is likely to react less through trial-and-error or progressive adjustments depending on their potentialities and their personal physical characteristics; he thus proceeds intuitively or through trial-and-error without taking the time to reflect which is quite important as Feuerstein and Spire (2006) have shown. Frequently, due to insufficient detachment with regard to prescribed tasks, these tasks are represented in a partial or erroneous manner; all logical demonstration becomes impossible and the subjects resort to all-powerful magical thinking, or to abandonment, flight, a sense of powerlessness, or even to depression.

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## Program of Intervention Referred To the Social-Emotional Development of Deaf-Blind Students

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### Abstract

The purpose of the study is to develop an interventional educational plan for a deaf-blind student with screened difficulties in socio-emotional development. This is part of a more extensive research in developing the screening inventory for the deaf-blind students' cognitive and communicative profile. The study uses a qualitative research methodology and adopts an interpretative position. The aim of the inquiry was descriptive. We followed the case study methodology. The application of the interventional program aimed to help the deaf-blind student in discerning and naming the emotions through tactile emotional cards, tactile stories and role playing. The student was offered multisensory and concrete experiences in order to promote socio-emotional development. Through the intervention the student managed to name, recognize and organize her emotions, recognize the feelings of others and started to participate and be engaged in social relationships not only with her educators, but also with other children.

**Keywords:** social-emotional development, deafblind student, case study

### INTRODUCTION

The child's level of cognitive functioning and its ability to establish and elaborate on meaningful emotional development depends, up to a large extent, on its ability to receive and integrate inputs from the world around it. The ability to integrate sensory inputs influences the communication, concept development and social development [1, 2, 3]. Therefore, cognition, communication and socioemotional development are seriously affected by the combined loss of vision and hearing, since the deafblind student may not perceive concurrent physical and emotional stimuli [4].

### **The deaf-blind population: Social and Emotional Development of deafblind children**

The child's emotional bond with the persons around him, accomplished through the eye contact, smile, facial expressions, vocalizations and touching, fosters the emotional development. The establishment of human bonds is driven usually through vision and leads in attachment, a fundamental stage on which emotional and social development, cognitive and communicative skills and self-concept are relied. [4, 5, 6, 7]

Deafblind children may not learn spontaneously from their environment or influence and control it directly. Therefore, usually, they learn many things and gain experiences through physical contact and structured motor activities. Even emotional bonding with parents relies on physical contact and often is impeded by sensory deprivation and tactile defensiveness. The deaf blind child is not exposed in visual information gained from the body language and the facial expressions. [9,10,11,12] Additionally, the child does not perceive and experience the auditory stimulation from the parents' voice intonation. Moreover the self-awareness, self-concept development and body awareness, often, may only be perceived during structured

locomotion activities and through tactile stimulation and exploration. The deafblind child cannot rely upon his visual and auditory exploration to learn social skills through imitation and trial and error. The child needs a reactive and communicative environment of trusted relationships in order to build up emotional bonds, which provide emotional security, before the introduction of any educational sequence [13,14,15].

### **METHODOLOGY**

The presented study is part of a more extensive research in developing the screening inventory for the deaf-blind students' cognitive and communicative profile. The study uses a qualitative research methodology and adopts an interpretative position. The aim of the inquiry was descriptive. The case study methodology was followed and data were collected using the method of direct observation.

The uniqueness of each deaf-blind child and the heterogeneity among the deaf-blind population has led us to the application of the methodological approach of case study and observation method.

The screening inventory and the interventional program are implemented through specially designed educational material (multisensory activities which focus on the use of the remaining senses of touch, smell and sensory cues from temperature, air blow and vibration), assistive technology and augmentative and alternative expressive and receptive communication systems (tactile sign language, pictograms, objects of reference, tactile symbols).

The research design employed in this research is a case study starting by screening the student's communicative and cognitive profile. The recorded difficulties framed the planning and implementation of the educational plan of intervention. The application of the interventional program focused on promoting the deaf-blind student's social and emotional development through multisensory and concrete experiences [16, 17].

### **The Program of Intervention**

The case study reported here was conducted at a school for deaf-blind students and was incorporated in the educational program for school-age students who are deafblind. The student is diagnosed with brain damage, congenital blindness and deafness due to viral infection, and therefore was eligible to follow a special educational program for deaf-blind students. The student communicates in others people's hands through tactile sign language. She also uses objects of reference, pictograms, tactile symbols, tactile cues and Braille, as means of receptive and expressive communication. The sense of touch is her main link to the world and the people around her. She has established an emotional bond with her educator. [16,17,18,19]

In this presentation we focus on the student's screened difficulty in emotional development. The program of intervention was designed according to the screened difficulties of the student. More specifically, the student could not express and name her emotions and has difficulties in social interactions with peers. Through this program of intervention the student was expected to recognize and name the emotions of herself and others and participate in shared social activities with educators and peers.

The educator chose activities that encouraged the student to recognize and name her emotional condition. Student's interest was stimulated and triggered using multisensory

material and experiential experiences, while communication was conducted through tactile sign language and tactile, touch cues. The activities were structured experientially, designed in sequences of movements and focusing on daily activities in which the student was actively participating and interested in (role playing, cooking). At the beginning the educator constructed tactile emotional cards and has chosen differentiated emotional situations from the student's daily routine in order to present the arisen emotions. [1, 20] Gradually, the educator "collected" emotional moments (happiness, sadness, anger) and directed appropriately the student by using the tactile emotional cards in order to recognize, perceive and name the emotional situations. Additionally, the student was taught to "read" through her hand the facial expressions of the educator and translate all the behavioral elements that reveal the educator's emotional status, such as the facial expressions, the body proximity, the body position, the intonation and the breath rhythm and the air exposed while talking, the hands tension while signing, since the student communicated through alternative communicative systems (tactile sign language, tactile symbols, tactile and touch cues). The educator created tactile emotional stories based on the student's experiences, in order the student to recall the emotional situations. The student enjoyed reading the tactile emotional stories and got involved in role playing games. She followed the story scenario and expressed the perceived emotions. Gradually, the educator introduced new, unknown emotional stories in role playing and the student managed to perceive the emotional situation and adjust her emotional expression. The process that may at first be described as a sequence of sensory activities has been gradually developed to trigger internal representations. The student became aware of her emotions and gradually she started to recognize and name the feelings of the adults or peers around her, while got involved in structured social play with them.

### CONCLUSION

The educational program with deaf blind students starts with the senses, moves to perception and ends up in cognition. Deaf blind students should be introduced to concepts basing them on their emotional experiences and sensory exploration. [11]. The deaf blind student needs to perceive and evaluate the sources of information, develop and enlarge their conceptual background in order to correlate new experiences to previous ones by understanding, reasoning and interpreting the sensory inputs. Thus, an active and communicative environment, which offers the child opportunities for interaction, is needed. As a result, early social emotional development is promoted and is grounded on concrete experiences. [1]. An educational program fostering the social and emotional development should focus on the development of self-perception and body image, on the recognition of the feelings of self and others and the appropriate behavior in social interactions. [4].

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## **Differentiation in the Quality of the Financial Audit Service in Mexico**

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### **Abstract**

**The objective of this paper of investigation tries to demonstrate empirically the reason that the existence of a high concentration in the market for financial auditing services in Mexico can be explained by the hypothesis of differentiation in the quality of service, concluding that the election of an auditor with reputation may be a determining factor of decision for certain companies that demand financial audit services with a quality that is higher than the legally required by auditing standards, a high quality of the service which provides accuracy, certainty and credibility on its financial statements and that is perceptible by third party interested users.**

**KEYWORDS:** Differentiation of the audit quality service, auditor with reputation, the concentration of financial audit market in Mexico.

### **INTRODUCTION**

The analysis of the structure of the audited financial market in the world and the empirical evidence demonstrate the existence of a high concentration of professional auditing services for largest international firms, better known as The Big 4, which has generated great interest in accounting doctrine to explain the reasons for the concentration of this market (Zeff and Fossum, 1967; Bavishi and Wyman, 1983; Craswell and Taylor, 1991; Walker and Johnson, 1996; Garcia-Benau et al, 1998 ; Wolk et al., 2001; Beattie et al., 2003; American Assembly Report, 2005; Abidin, et al, 2006, 2007; Ballas and Fafaliou, 2008).

This economic concentration has certainly produced harmful effects in the professional practices of the world, which today are evident and that affect the very essence of the auditing profession. The authors Nieves Carrera et al., (2005; p. 425) commented that, after the exit from the market of the firm Arthur Andersen for its involvement in the financial scandal of Enron, the market for audit services in the world has convulsed again by the effects of mergers that occurred between the major international audit firms, which without doubt will produce a greater economic concentration in the market of the financial audit than that, which already existed and also exacerbate the competition with the other audit firms (Beattie et al., 2003; Asthana et al., 2004; Feldman, 2006; Oxley, 2007; Ballas and Fafaliou, 2008; Kohlbeck et al., 2008; Abidin et al., 2010).

Now, from the analytical point of view it is interesting to put under study the reasons for which this concentrated structure occurs in the market of audit, i.e. the factors that may explain why large international firms, seem to have some competitive advantage over the rest of the active audit firms.

One of the reasons that have been stated in the international literature, in regard to the provision of the service of audit, is that these market leader firms enjoy differences in quality and reputation, i.e. they offer audit services with a higher level of quality than the minimum quality legally required by auditing standards, thereby providing credibility to the financial statements of enterprises audited, same that is detectable by third parties (Who Audit America, 2003; Lawrence et al., 2011; Velte and Stiglhaber, 2012; Gao et al. 2013; Eshleman and Guo, 2014).

If the audit market allows for differences in the service, then the audit firms with higher quality and reputation will get a higher market share, that is, in those markets where there are significant differences in quality and reputation among the various participating firms, they will tend to be concentrated (Barton, 2005).

In Mexico, the arrival of the large international audit firms, better known as the Big 4, is recorded over the first five decades of the last century, so that like in other countries in the world, the Mexican audit market has also been resenting the high concentration as a result of the successive mergers between these large international audit firms. For all these reasons, the implementation of this research work is designed to provide empirical evidence that the reason for the concentrated structure of the audit market in Mexico can come to be explained by the hypothesis of the differentiation of the audit service. The data that we use is published in the web page of the Mexican Stock Exchange (BMV) and it corresponds to the period from 2000 to 2005.

This article is structured in the following way. After this brief introduction, the second paragraph stresses the review of the previous literature which gives substance to the study. The following section describes the sample and methodology used. The fourth paragraph shows the results of the empirical analysis and finally, the fifth section presents the main conclusions of this work investigation.

### **REVIEW OF THE LITERATURE**

The accounting literature has been holding an argument conceptually consistent and with the passage of time it has been empirically proven, in the sense that the concentrated structure of the audit market can come to be explained by the hypothesis of the differentiation of service, i.e. the audit service allows differentiation, therefore, the audit is not a homogeneous service (Dopuch and Simunic, 1982; Beattie and Fearnley, 1994; Craswell et al., 1995; Garcia-Benau et al., 1998, Carlin et al., 2008; Lawrence et al., 2011).

To deepen on this issue, attention should be given to determining the attributes of the audit service that enable its heterogeneity. In this sense, given that the audit service is attempting to give credibility to the accounting information, the heterogeneity of the service involves the assumption that the level of credibility given to the various providers of the service may not be similar (Carlin et al., 2008; Hamilton and Stokes, 2008).

One of the reasons that have been stated in the international literature, in regard to the provision of the service of audit, is that these market leader firms enjoy differences in quality and reputation, i.e. they offer audit services with a higher level of quality than the minimum quality legally required by accounting standards, thereby providing credibility to the financial statements of enterprises audited, same that is detectable by third parties (Simunic and Stein, 1987; Garcia Benau et al., 1999; Lawrence et al., 2011).

In this regard, the accounting literature highlights that it has to be kept in mind that given the important contribution that the financial audit makes to society, the self-regulation must be exacting to ensure quality, so that one can speak of a legally required quality that must be fulfilled by all suppliers on the market.

This implies that there is a differentiation of the quality above the minimum, which has led researchers in accounting to consider another important issue, which is that since the quality is costly to achieve, the auditors should specialize in providing a differential level of quality in the market.

The contestation to this question only seems only to be able to find an answer on the demand side, i.e. the own demand for different qualities of the audit service explains the differentiated offer of it. In this regard, Simunic and Stein (1987) argue that the auditors choose to specialize in granting levels of credibility above the legal minimum when there is a perceived need not covered in the market.

Therefore, if the audit market allows the existence of differences in the service, then the firms with higher quality will get a higher market share and, consequently, those markets in which there are significant differences of qualities among the participating companies, will tend to be concentrated.

However, the quality of the work of the auditor is not observable externally, and for this reason the accounting researchers have resorted to the use of surrogates. Since the seminal work of DeAngelo (1981), a widespread assumption in research on the financial audit, is that the quality of the auditor is an attribute that can be defined in terms of reputation, i.e. that the prestige of a particular auditor indicates your level of professional quality (Moizer, 1997; Krishnamurthy et al., 2002; Gao et al., 2013).

In this regard, the service differentiation based on reputation, considers that incentives exist for audit firms to specialize in offering a specific level of credibility when they issue an opinion, incurring substantial fixed costs in the creation of an image or brand name serving as an objective indicator perceptible by third parties (Beattie, 1989; Craswell et al., 1995; Tomczyk, 1996; Fargher et al., 2001). In a market such as that of the financial auditing services, where there is a strong informational asymmetry between buyers and sellers and therefore an additional difficulty to assess the quality of the service offered, the brand name is an essential attribute on which to base the differentiation of the auditor (DeAngelo, 1981; Dopuch and Simunic, 1982; Palmrose, 1986; Simunic and Stein, 1987; Craswell et al., 1995; Financial Reporting Council, 2006).

Thus, if we look at the definition of reputation by accounting researchers DeFond et al., (2002), as the skill that consists in obtaining new customers at the same time that existing ones are retained, it is then that the audit firms with greater participation in the market of financial audit will be the most reputable, and therefore, will also be associated with a higher level of quality as auditors (Francis, 2004). It is for this reason that the audit firms of larger size, i.e., the large international firms, better known as the Big 4, are considered in the accounting literature as the highest quality and reputation. Because hiring a quality auditor according to the literature can provide significant benefits, it is therefore not surprising that the managers of the companies consider the reputation as a key factor in the choice of auditor (Beattie, 1989; O'Keefe et al., 1994; Abbot and Susan, 2000; Sarbanes-Oxley Act, 2002; GAO, 2003; Barton, 2005; Monterrey and Sanchez, 2008).

### SAMPLE AND METHODOLOGY

To demonstrate in an empirical manner the reason that the concentrated structure of the market for Mexican financial audit can be explained by the hypothesis of the differentiation of the audit service, we have used a sample composed of 639 audit reports of companies listed on the capital market of the Mexican Stock Exchange and their statements have been subjected to the external audit. The study we have carried out corresponds to the period from 2001 to 2005. The financial information that integrates the sample analyzed has been obtained directly from the database that is published in the web page of the capital market of the Mexican Stock Exchange (<http://www.bmv.com.mx>). Table 1, shows the number of audited companies in each of the five years, as well as the number of audit firms participating in this period of study. The number of companies audited in each of years ranges between 120 and 130, while the number of external auditors to undertake the audit of such companies is situated between 17 and 21.

**Table 1. Description of the sample**

Concepts	2001	2002	2003	2004	2005
Number of companies audited by an external auditor	122	125	128	132	132
Number of audit firms that have offered the service of external audit	17	17	18	21	21

The methodology used to analyze if the market concentration of Mexican audit can be explained by the service differentiation based on the quality and reputation perceptible by third parties, parts from the need to study first the market concentration of Mexican audit, to then analyze the audit firm contracted by the audited companies on the basis of the Auditor chosen and its degree of specialization, recognizing the group of audit firms composed of the major international audit firms, better known as The Big 4, as a reputable auditor and highly specialized. Therefore, to know the market concentration of Mexican audit, we have used various indicators in order to be able to determine the position they occupy among the audit firms active in this market. It should be noted that, as in other countries, in Mexico there is no public information available on fees for audit services invoiced to companies. For this reason we have used as subrogate of size, the annual turnover of the audited companies of the sample analyzed in our empirical study (Moizer and Turley, 1987).

The method that we have followed to know the distribution of the activity of the market has been the calculation of Indices of Concentration of order n and the Herfindahl Hirschman Index, validated by the industrial economics (Bueno and Morcillo, 1993). The analytical representation of the levels of concentration of order n, is the next:

$$C_n = \sum_{i=1}^n \frac{F_n}{F}$$

where:

$C_n$  = Market share of the n largest audit firms

n = Number of largest audit firms analyzed (1, 2, 4, etc.)

$F_n$  = Fees for audit services or subrogated

(Turnover of the audited companies in the market)

F = Turnover / Number of total audited companies in the market

The levels of concentration of order n to the level for example,  $C_1$  and  $C_4$  express the proportion of the market of audit that can be attributed to one or four audit firms (the largest). We understand that knowing  $C_4$ , will be of great significance to refine the market power held

by the four audit firms with higher market share and, which usually, usually coincide with The Big 4. However, the use of these indices of concentration of order n, carries with it a series of drawbacks, as for example, does not take into consideration the full distribution of the size of the market, since it does not reflect the input and output processes in the industry, or changes in the relative positions of the n largest companies. For this reason, we have been using in addition other indices, among which it the Herfindahl Hirschman Index prevails and whose determination is as follows:

$$HH = \sum_{i=1}^n Z_i^2$$

where:

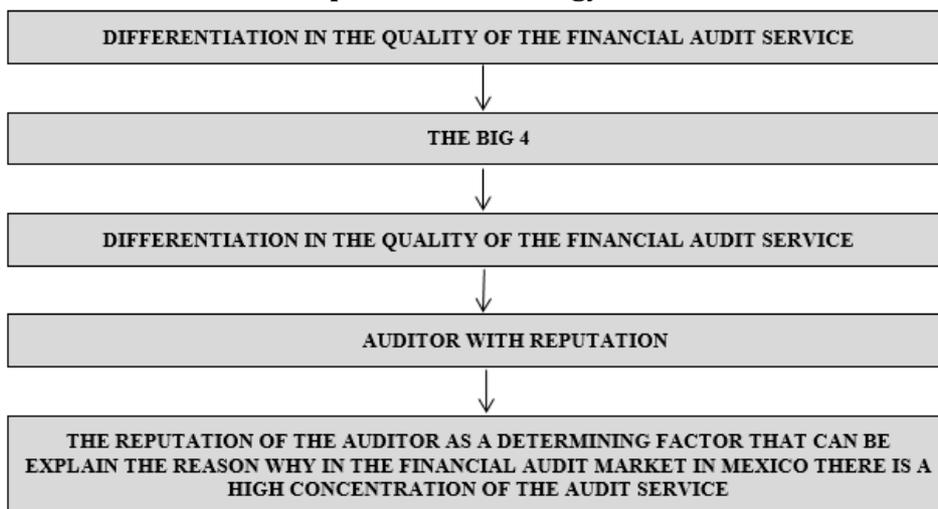
HH = Herfindahl Hirschman Index

Z<sub>i</sub> = market share absorbed by the companies in the sample

n = number of audit firms active in the market

The Herfindahl Hirschman Index is a weighted sum of the market shares, where the weight given to each firm is determined by its own quota reached. This means that small firms have less influence on the result of the calculation of the index that the influence on the part of larger audit firms, so that the Herfindahl Hirschman Index can be understood as a measure of the dispersion of the market share between the various companies that operate in the same (Eichenseher and Danos, 1981). This Herfindahl Hirschman Index can reach values ranging between 0 and 1. The value 0 means that the concentration in the market is almost zero, that is, almost minimal. Therefore, the market is divided more or less equally between all the active audit firms given that they provide the audit service. The value of 1 means the market is fully controlled by a single audit firm. If for example, the Herfindahl Hirschman Index is equal to 0.25, the degree of market concentration is equivalent to the presence of four audit firms of equal size. As can be seen the Herfindahl Hirschman Index is susceptible to the number of companies active in the market, giving a more appropriate idea of the level of actual concentration (Minyard and Tabor, 1991; Nieves Carrera et al., 2005). The application of the methodology described so far will serve us to know the level of market concentration of Mexican audit. From that moment on we will try to explain that one of the reasons for the concentration of Mexican audit market can be explained by the hypothesis of the differentiation of the audit service based on the quality and reputation, that is, that the election of an reputable auditor reputed, i.e. an audit firm of the large international firms, better known as The Big 4, is a determining factor for certain companies that demand audit services of superior quality to the minimum quality legally required, to give credibility to its financial statements and that is perceptible by third parties (Danos and Eichenseher, 1986; Francis and Wilson, 1988).

**Graphic 1. Methodology used**



As can be seen in Graphic 1., the analysis of the differentiation of the service will focus in knowing if the concentration of the audit market is due to the fact that the audited companies of the sample chose preferably the major international audit firms, better known as The Big 4 who according to the international literature are considered to be the most reputable and highly specialized to provide businesses with the services of audit with a quality above the legally enforceable. To check if the hypothesis of the service differentiation based on the quality and reputation, we shall proceed to divide the sample of the auditors participating in the Mexican audit market in two groups: The group of the large international audit firms better known as The Big 4 and the group from the rest of the audit firms.

**EMPIRICAL RESULTS**

**The concentration of the financial audit market in Mexico**

To carry out this research audit firms in the sample have been classified into two segments: the first group is formed by The Big 4 and a second group formed by the rest of the financial audit firms participating in the Mexican audit market. The Table 2 shows the results of the calculation of indices of concentration. Since there is no public information of the fees for audit, we have used the subrogate volume of sales of the audited company as an indirect measure of the concentration of the Mexican audit market.

**Tabla 2. Concentration Indices by sales turnover of the companies audited**

Concentration Index	2001	2002	2003	2004	2005
C1	0.26	0.31	0.31	0.32	0.33
C2	0.52	0.61	0.62	0.59	0.58
<b>C4</b>	<b>0.86</b>	<b>0.96</b>	<b>0.96</b>	<b>0.94</b>	<b>0.95</b>
C5	0.96	-	-	-	-

As shown in the Table 2, for the years 2002 to 2005 Mexican audit market is highly concentrated and dominated by four large firms whose market power is at very similar values (see, C4). Such firms are, KPMG, Deloitte, Price Waterhouse Coopers and Ernst & Young, that is, they are the largest international audit firms better known as The Big 4. The change occurred between 2001 and 2002 is due to the effect of the Enron scandal resulted in the firm Arthur Andersen, which disappeared after being involved in it. The following Table 3 shows a detail of the audit firms that have more market power in Mexico.

**Table 3. Market share of The Big 4 according to the analyzed sample**

Large Audit Firms	2001	2002	2003	2004	2005
Ernst & Young	0.26 (1)	0.31 (1)	0.31 (1)	0.32 (1)	0.33 (1)
Price Waterhouse Coopers	0.26 (1)	0.31 (1)	0.31 (1)	0.28 (2)	0.24 (3)
Deloitte Touche Tohmatsu	0.13 (4)	0.27 (3)	0.27 (3)	0.23 (3)	0.25 (2)
KPMG	0.07 (5)	0.07 (4)	0.07 (4)	0.12 (4)	0.13 (4)
Arthur Andersen	0.23 (3)	-	-	-	-

The number in parentheses expresses the position of each company in an annual ranking of one to four year except 2001 where Arthur Andersen still part of the large international audit firms.

According to the data in the Table 3 shows that Ernst & Young for our test sample has the market leadership of Mexican audit but for the years 2001 to 2003 shares leadership with Price Waterhouse Coopers with equal market share of the annual ranking, having these two companies nearly 60% market share. However, this position for Price Waterhouse Coopers not maintained throughout the period since in 2004 and 2005 seems to have lost some competitiveness. In 2005, Deloitte and Price Waterhouse Coopers are both with a very similar market share. Moreover, KPMG despite occupying last place in the group of The Big 4 achieves a steady improvement in its market share. From the results obtained so far, we can infer that the audit market in Mexico is highly concentrated and dominated by The Big 4 considered them by the international literature as audit firms most reputable and distinguished quality in audit markets in the world, situation that also allows us to infer that indeed the companies audited sample preferably decide to hire The Big 4 for the reason that these large accounting firms offer their customers a higher reputation and quality audit services above the legally required, determining key factors that provide their financial statements more credibility with third parties. The following Table 4 shows the dispersion market.

**Table 4. Herfindahl Hirschman Index by turnover of the audited companies**

Herfindahl Hirschman Index	2001	2002	2003	2004	2005
Turnover of sales audited companies	0.21	0.27	0.27	0.25	0.25

Table 4 shows the results from the calculation of the Herfindahl Hirschman Index by using the turnover of sales audited companies as an indirect surrogate are presented. As can be seen, the level of market concentration Mexican audit increased from 21% to 27% for the years 2002 and 2003 compared to 2001 and then descend this level of concentration up to 25% for the years 2004 and 2005, a situation that allows us to infer the importance of the level of competition in the Mexican market audit but especially among The Big 4. With the desire to further deepen our empirical study on the hypothesis service differentiation financial audit, below is an analysis of the specialization of large international audit firms, better known as The Big 4 by economic sector the size of the audited companies in the sample. In this regard, the literature indicates that some of the explanatory factors of market concentration that most interest aroused among accounting researchers have been the specialization of The Big 4 by the activity of the audited business sector and specialization by size of the audited companies as it arises by accounting researchers the possibility that there is an accounting technology specific sector of activity, because in some cases the application and selection of accounting policies have unique character for particular sector of activity (Eichenseher and Danos, 1981; Danos and Eichenseher, 1982; Schockely and Menon, 1983; DeFond et al., 2000; Balsam et al., 2003).

### The specialization of the Big 4 by sector of the audited company

As to the demand for specialization of audit firms based on the activity of the audited business sector, literature highlights that large international firms better auditing known as The Big 4 in order to meet this demand, will perform certain behaviors such as investment in expertise, ie, acquiring a skill and experience above average experience required in the audit market, such as recruiting and training staff, opening offices, software development and tools sophisticated decision, among others, which allows them to these specialized at lower cost than could offer other firms competing audit auditing firms enjoy economies of scope to provide audit services in specific market segments, ie services. Accounting researchers have concluded that the audit market can be segmented and allow therefore specialization depending on the nature of the audited company, one of the fundamental aspects of the behavior of large audit firms with respect to the activity that belongs to the audited company (Simunic and Stein, 1987; Turpen, 1990; Craswell et al., 1995). To analyze the possible existence in the market of Mexican audit of a specialization of The Big 4 in response to the economic activity of the audited company sector, we have segmented the total sample of our study but now based on the classification of the seven sectors of the capital market of the Mexican Stock Exchange has made in this regard. Then we collect in Table 5 involving two groups of audit firms: on the one hand are The Big 4 and on the other hand the rest of auditing firms active in the Mexican market audit (Hogan and Jeter, 1999).

**Table 5. Participation by sector audit firms active in the Mexican market audit**

Sectors from activity according classification of the capital market of Mexican stock exchange	2001		2002		2003		2004		2005	
	Percentage of companies audited by		Percentage of companies audited by		Percentage of companies audited by		Percentage of companies audited by		Percentage of companies audited by	
	The Big 5	Other Audit Firms	The Big 4	Other Audit Firms						
Extractive industry	100	0	100	0	100	0	100	0	100	0
Transformation	95	5	95	5	95	0	96	4	97	3
Construction	99	1	100	0	98	2	99	1	99	1
Communications and Transport	99	1	99	1	99	1	95	5	96	4
Commerce	85	15	87	13	87	13	82	18	82	18
Services	99	1	99	1	97	3	98	2	97	3
Various	99	1	100	0	100	0	100	0	100	0

From the results in Table 5 we see that there is a majority share of The Big 4 in each of the sectors from the rest of the audit firms. This allows us to assume the possibility that to successfully participate in the audit market requires that the audit firms have a high degree of specialization in certain sectors and in this regard The Big 4 are those that apparently have greater capacity to specialize their knowledge (Tonge and Wootton, 1991; Moizer, 1992; Abidin et al, 2010, Velte and Stiglhaber, 2012). This leads us to study the specialization effect based on the number of active auditing firms in a particular sector and the dispersion of market shares between themselves, using the Herfindahl Hirschman Index (HHI) that allow us to measure the level market concentration Mexican audit based on the number of audit firms participating in a specific sector as the difference in their market shares (Palmrose, 1986; Moizer, 1992; Schaen and Maijoor, 1997; Garcia Benau et al., 1998; DeFond et al., 2000; Balsam et al., 2003).

**Table 6. Level of concentration by sector of activity**

Sectors of activity	2001		2002		2003		2004		2005	
	Number Audit Firms	HHI	Number Audit Firms	HHI	Number Audit Firms	HHI	Number Audit Firms	HHI	Number Audit Firms	HHI
Extractive industry	2	0.60	3	0.52	2	0.54	2	0.63	2	0.61
Transformation	12	0.28	12	0.43	11	0.43	12	0.44	12	0.43
Construction	5	0.51	4	0.49	5	0.45	5	0.42	5	0.52
Communications and Transport	3	0.59	3	0.62	3	0.65	6	0.67	6	0.70
Commerce	10	0.22	8	0.25	9	0.25	10	0.26	10	0.26
Services	8	0.32	9	0.32	10	0.39	10	0.30	9	0.37
Various	5	0.43	5	0.40	5	0.40	5	0.41	5	0.43
<b>TOTAL</b>	<b>17</b>	<b>0.21</b>	<b>17</b>	<b>0.27</b>	<b>18</b>	<b>0.27</b>	<b>21</b>	<b>0.25</b>	<b>21</b>	<b>0.25</b>

From the results shown in Table 6, one can see different behaviors of the audit firms based on their level of concentration. We note that the sector Extractive Industry requires a more highly specialized than other sectors of economic activity for being dominated its market for only two audit firms and also have a higher Herfindahl Hirschman Index that which corresponds of the total market (Moizer and Turley, 1987). Also we observe the communications-Transport, Miscellaneous, and Construction as specialized for having a high Herfindahl Hirschman Index and found these controlled by an average of four audit firms sectors. Then we try to consider that The Big 4 seek to be successful in the Mexican market audit by implementing certain behaviors aimed towards specialization, considering this course, that this kind of behavior occur when there are significant differences between the market shares of the auditing firms participating in each of the economic sectors considered specialized (Simon, 1985; Danos and Eichenseher, 1986; Tonge and Wootton, 1991; Hogan y Jeter, 1999; Yardley et al., 1992; Abidin et al., 2010).

From the results in Table 7, we infer that there is a significant specialization in the Mexican market audit by the Big 4 due to behavior implemented to fill the demand that requires a specific economic sector in that market. In summary, the results indicate that The Big 4 in Mexico apply highly specialized knowledge by sectors of the audited companies to gain competitive advantage and thereby achieve high market shares of Mexican audit. Specifically, Ernst & Young holds the exclusive leadership in the specialized sector of transport and communications throughout the period. Price Waterhouse Coopers participates in three specialized sectors, occupying two of them "Extractive Industry and Miscellaneous" absolute leadership over the years from 2003 to 2005 and 2002 to 2005 respectively. KPMG holds the exclusive leadership in the specialized construction sector throughout the period of our study. Deloitte does not develop very intensively such strategies because even participates in three specialized sectors like Price Waterhouse Coopers, the total accumulated share of the niche

market is much smaller than that obtained by both KPMG and Price Waterhouse Coopers, occupying therefore the fourth instead of our ranking as the best total accumulated specialized market share is concerned (Hogan and Jeter, 1999; DeFond et al., 2000).

**Table 7. Participation of The Big 4 in the specialized sectors**

Economic Sector	2001		2002		2003		2004		2005	
	Audited Firms	Share	Audited Firms	Share	Audited Firms	Share	Audited Firms	Share	Audited Firms	Share
Extractive Industry	AA EY	0.72 0.28	DTT EY PWC	0.63 0.35 0.02	PWC EY	0.63 0.37	PWC EY	0.75 0.25	PWC EY	0.74 0.26
Communications and Transports	EY PWC	0.72 0.28	EY PWC	0.74 0.25	EY PWC	0.78 0.22	EY PWC	0.81 0.13	EY PWC	0.83 0.12
Varios	AA PWC DTT	0.55 0.24 0.13	PWC DTT EY	0.56 0.23 0.18	PWC DTT EY	0.56 0.24 0.17	PWC DTT EY	0.57 0.26 0.14	PWC DTT EY	0.58 0.25 0.14
Construction	KPMG DTT	0.68 0.19	KPMG DTT	0.67 0.20	KPMG DTT	0.62 0.23	KPMG DTT EY	0.58 0.26 0.11	KPMG DTT	0.68 0.23

**AA=Arthur Andersen PWC=Price Waterhouse Coopers DTT=Deloitte Touche Tohmatsu  
EY=Ernst and Young y KPMG=Kpmg**

### Specialization of Big 4 firm size of the audited company

As to the demand for specialization of audit firms based on the size of the audited company, the international literature emphasizes that the demand for it is clear from the actual size of the audited company, as features like; planning the audit, compliance testing of internal control, and audit program they are dependent on the size of the audited company. However, in practice it is difficult for a particular firm follow one of these strategic behaviors identified in pure sense, either as a distinct specialization or cost leadership, there is rather a conjunction of both behaviors (DeAngelo, 1981; Dopuch and Simunic, 1982; Garcia-Benau et al., 1998).

To test the effect specialization size of the audited company, we have divided the total sample of our study in seven sections according to their measured it in terms of the turnover of the audited company size. First we have identified the relative share of the Big 4 and other firms active in the Mexican market audit in each of these seven sections of the size of the audited company.

**Table 8. Participation of audit firms of the simple sections activity of the audited company**

Size of the audited company (Billing sales) in millions of Mexican pesos	2001		2002		2003		2004		2005	
	Percentage of companies audited by		Percentage of companies audited by		Percentage of companies audited by		Percentage of companies audited by		Percentage of companies audited by	
	The Big 5	Other auditing Firms	The Big 4	Other auditing Firms						
(1) Less than 50.	2	98	2	98	2	98	24	76	05	95
(2) 50 to 500.	60	40	59	41	34	66	35	65	34	66
(3) 500.01 to 5,000.	85	15	90	10	82	18	78	22	74	26
(4) 5,000.01 to 25,000.	89	11	88	12	89	11	84	16	83	17
(5) 25,000.01 a 50,000.	100	-	100	-	100	-	95	5	95	5
(6) 50,000.01 a 100,000.	100	-	100	-	100	-	100	-	100	-
(7) More than 100,000.	100	-	100	-	100	-	100	-	100	-

Sections of the size of the audited company = (1), (2), (3), (4), (5), (6) y (7)

The results in Table 8, demonstrate certain behaviors conditioned by the audit firms. In the first part, we see how the group called the rest of the audit firms dominates the stretch one of the audited company activity throughout the study period. On the contrary, we note that The Big 4 become more competitive as the size of the audited company, especially from three sections as with regard to section two the market is more or less balanced between the two groups auditing firms participating. Therefore, we can conclude that with the exception of one section, there is a barrier to market entry for Mexican audit classified as the rest of the audit firms based on the size of the audited company group (DeAngelo, 1981; Palmrose, 1986). The results in Table 9 we have calculated the Herfindahl Hirschman Index (HHI) to measure the concentration by the size of the audited company, assuming that as the size of the audited increases there are fewer active auditing firms and, therefore, the higher the concentration in the Mexican market audit.

**Table 9. Concentration level size of the audited company**

Size of the audited company (Billing) in millions of Mexican pesos	2001		2002		2003		2004		2005	
	Number of Audit Firms	HHI	Number of Audit Firms	HHI	Number of Audit Firms	HHI	Number of Audit Firms	HHI	Number of Audit Firms	HHI
(1) Less than 50	4	0.35	6	0.26	5	0.33	4	0.37	2	0.91
(2) 50 to 500	10	0.15	11	0.14	12	0.11	12	0.13	12	0.12
(3) 500.01 to 5,000.	9	0.18	6	0.25	9	0.20	11	0.18	10	0.17
(4) 5,000.01 to 25,000.	8	0.24	7	0.29	7	0.29	8	0.21	8	0.23
(5) 25,000.01 to 50,000	4	0.30	3	0.41	3	0.41	4	0.41	4	0.38
(6) 50,000.01 to 100,000.	4	0.26	4	0.26	4	0.27	3	0.36	2	0.51
(7) More than 100,000.	1	1.00	1	1.00	1	1.00	2	0.73	3	0.48
TOTAL	17	0.21	17	0.27	18	0.27	21	0.25	21	0.25

Sections of the size of the audited company = (1), (2), (3), (4), (5), (6) y (7)

For the data in Table 9 observe, first, that stretch one size of the audited company, the market for Mexican audit is concentrated on four active auditing firms on average throughout the period of our empirical study. Second we appreciate that from section two to section five of activity of the audited company, the level of market concentration remains on a steady increase throughout the study period and which is reflected by the continued reduction in the number active to the extent that the size increases audited companies accounting firms.

Thirdly, we note that for the section six of activity of the audited company, the level of concentration reached by the audit firms by the Herfindahl Hirschman Index, declined compared with Fourthly, we note in Table 9 for the seventh installment of activity of the audited company, the concentration level increased exponentially with respect to the section previous six for the years from 2001 to 2003 and also a significant increase for 2004, but not being thus for the year 2005 in which reflected a decrease of the concentration index, concluding with respect to this part of the market that our earlier hypothesis proposed shows a greater tendency to be fulfilled. Notably for the years 2001 to 2003 the existing absolute control for this part of the audit market by one of the Big 4. However for 2005 shows that the market for Mexican audit was already dominated by three audit firms which demonstrates the existence in the market for Mexican audit of real competition between The Big 4. From the results obtained so far we conclude that as the size of the audited company that extent the audit firms smaller lose competitive strength, with the exception of section one of activity of the audited company which we assume by the results in table 8 above, that that section one it is dominated by the rest of the audit firms. Therefore, we can conclude that in the market for Mexican audit if there is a barrier to entry for smaller audit firms serving the size of the audited company, also adding that the level of efficiency of the Big 4 in Mexico increased by the same proportion as the size of the audited company.

## CONCLUSIONS

This study analyzes the service differentiation as an explanatory factor of market concentration financial audit in Mexico. To do this, we first demonstrated the existence of a high concentration of the audit market in Mexico. After preparing the study, we reached the following conclusions:

**FIRST:** The results of our empirical study indicate that the market for Mexican audit is dominated and controlled by large international audit firms, better known as The Big 4. This allows us to accept the hypothesis that service differentiation based on quality and reputation of The Big 4 may be an explanatory factor of market concentration for Mexican audits, stemming from the fact that that most companies in the sample audited decided to choose one of The Big 4. In this regard, the literature states that a market like the financial auditing services where there is a strong informational asymmetry between supply and demand and therefore an additional difficulty in assessing the quality of service provided, the brand name constitutes an essential attribute on which to base differentiation auditor. Therefore, if the audit market allows the existence of differences in the service, then firms with higher quality and reputation gain greater market share and, consequently, those markets where there are significant differences in quality between bidders they tend to be concentrated.

**SECOND:** The results of our empirical study indicate that the Big 4 apply differentiation auditing service focused on high specialization in response to the economic activity of the audited company sector in order to achieve high market shares of Mexican audit. The study reveals that there is a specialization of the Big 4 in certain sectors: These include the transport

and communications sector where the firm Ernst & Young is the most specialized throughout the study period. As for the Extractive Industry sector auditing firms have greater specialization are Deloitte and Price Waterhouse Coopers firms for the period from 2001 to 2002 and from 2003 to 2005 respectively. In regards to the Construction sector, KPMG achieves greater specialization throughout the study period. On the Various sector, the firms Price Waterhouse Coopers and Deloitte were the most specialized accounting firms during the study period. This allows us to accept the hypothesis that service differentiation based on quality and reputation "understood the quality and the high specialization of the Big 4 in response to the audited company sector" may be an explanatory factor of the concentration of the audit market Mexican, derived from most of the "segmented by the audited company sector" companies in the sample audited decided to choose a firm of the group of The Big 4.

THIRD: The results of our study indicate that The Big 4 in the Mexican market can capture audits of large companies. So, Ernst & Young tends to specialize in larger companies, but also has a presence in all sections of the sample with one exception of the section is to lower billing companies. KPMG aims to develop greater specialization among companies in the stretch six not participating between companies belonging to section five. Deloitte and Price Waterhouse Coopers distribute their turnover in the sections four, five and six on the size of the audited company, not so for both firms in stage seven, except for Deloitte in the year 2005. With the exposure of these findings we completed our empirical study on the differentiation of the audit service as an explanatory factor of market concentration financial audit in Mexico.

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