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Game Theory and Competitive Analyse for Developing the Turistic Priorities in Albanian Region. The Case Study of Vlora Coast

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Abstract: In this article, consider optimal decision making in two-alternative forced-choice. The paper research consist by analyzing the mathematical models of TAFC decision making and show that all but one can be reduced to the drift diffusion model, implementing the statistically optimal algorithm (most accurate for a given speed or fastest for a given accuracy). The paper research prove further that there is always an optimal trade-off between speed and accuracy that maximizes various reward functions, including reward rate (percentage of correct responses per unit time), as well as several other objective functions, including ones weighted for accuracy. These findings address empirical data and make novel predictions about performance under optimality. This literature review of decision making (how people make choices among desirable alternatives), culled from the disciplines of psychology, economics, and mathematics, covers the theory of riskless choices, the application of the theory of riskless choices to welfare economics, the theory of risky choices, transitivity of choices, and the theory of games and statistical decision functions. In this paper we are trying to adopt the concrete data of ITC in Vlora region for touristic promoting. The theories surveyed assume rational behavior: individuals have transitive preferences. There are two points of hypothesis in this study: 1. The GTCA (Game theory and competitive analyse) theory and it apply in Albanian condition for promoting the tourism. 2. MMDM (Mathematics Models and Decision Making) theory and apply in developing the conditions for promoting the reforming in Albania. Game theory, a discipline that was given its modern form by the mathematician John von Neumann, models markets in which the actions of competing parties influence one another while each acts in its own self interest.

Key words: Decision making, disciplines data, science influences, mathematical and economical theory, statistical decisions, touristic priority in Vlora hotels, ICT system

1 Introduction

1.1 Conceptual and economical model overview and ITC data

These perspectives provide deeper insights into price structures than simple supply and demand, thereby guiding investment and capital expenditure decisions. This paper identifies and addresses of the important factors underlying of the, conceptual and economical model in decision making in Albania and changes in the form of organization, under the administrative and implementing reforms in developing the touristic models in Albanian region. The paper also introduces with the changes in Internet users, SME and Vlore University, for taking part in this study. Analyzing a different competitive setting, a political scientist and a mathematician have recently extended the age-old technique for dividing a piece of cake between two individuals one cuts, the other chooses to fair division among many parties when economics and other complex forces are at work. Such disputes might center on dividing cities and natural resources at the close of a multi-nation war.
The theoretical solution of the underlying mathematical problem that of fair, envy-free division among many parties, might lead eventually to tools that heads of state could apply to deciding disputes like the division decisions. The 1994 Nobel prize in economics was shared by John Headley and the mathematicians John Nash and Mohelis & Holmess for their introduction of several different concepts of market equilibrium, situations in which each player is in an optimum position relative to its competitors.

Information and Communication Technologies (ICT) have recognized a significant development in the tourism industry. Digitization of all processes of the tourism development is a modern alternative to the rapidly growing tourism industry in developing countries like Albania. Technology opportunities today offer the possibility of excellence and development in the field of ICT in the tourism industry. However, the level of tourism development varies according to regions, countries and continents. The main objective of this research is to examine the ICT developments in tourism in Albania, particularly in its applications in hotels in the Vlora, Ionian coast, as a great opportunity to bring them on the international tourism market. In particular, the research examines the extent of ICT in enterprises of small and medium tourism. The level of Internet presence is sufficient to study the level of the Destination Management System. Results show that the market district of Vlora is in the early stages of its deployment. However, the low spread of ICT expresses once again the lack of cooperation between tour operators and structures responsible for tourism development.

It also shows a lack of cooperation between companies that operate in the ICT sector and operators in the tourism sector. The spread of ICT is a great opportunity to raise the revenues of small and medium tourism enterprises through their presence in the global market. Ionian coast hotels occupy an important place in the tourism industry in Albania. The increase of their activity is closely linked with the spread of information and communication technologies (ICTs). It is very important to present first of all their demographic characteristics. According to our assessment 58% of all the properties are family owned and about 13% of them have an ownership group. 83% of the structures are multi-storey buildings and 17% of them are only one-floor buildings. The amount and type of distribution in the structures in the hotels of this region is an important element. Overall capacity of the hotels is small. Data show that only 10% of the hotels interviewed have more than 40 rooms, 22% have 10-14 rooms. None of the hotels have a capacity greater than 80 rooms. About 96% of all rooms are single, while the largest number of rooms is composed of double, triple or matrimonial rooms. As regarding the number of the apartments available, data show that only 10% of hotels have two to three apartments, while hotels with more than three apartments are only 3% of hotels in the sample. A good part of them offer services such as restaurant, bar, respectively 85% and 82%. Only 17% do not have restaurants. The working time in 60% of the structures of the sample is the entire year while the rest, 40%, work only seasonally. Regarding their location we can state that 56% of them are located on the seashore, 16.6% of 50m from the sea, and 12.5% of them more than 100 meters from the sea. The number of employees varies from season to season.

2. Literature Review and Hypotheses

2.1. Focus of Mathematical concepts and using in management plan

Game theory is the branch of decision theory concerned with interdependent decisions. The problems of interest involve multiple participants, each of whom has individual objectives related to a common system or shared resources. Because game theory arose from the analysis of competitive scenarios, the problems are called games and the participants are called players. But these techniques apply to more than just sport, and are not even limited to competitive situations. In short, game theory deals with any problem in which each player is strategy depends on what the other players do. The appropriate techniques for analyzing interdependent decisions differ significantly from those for individual decisions. Using this methodology, whether or not we end up ahead of another player will be of no consequence; our only concern will be whether we have used our optimal strategy.
The reasons for this will become clear as we continue. In gaming, player actions are referred to as moves. The role of analysis is to identify the sequence of moves that you should use. A sequence of moves is called a strategy, so an optimal strategy is a sequence of moves that results in your best outcome. The aim of this paper is to analyze the use of Internet by families in a developing region as is Vlore and its surrounding cities. The methodology used includes the study through a questionnaire realized in a sample of students in university environments who are asked as representatives of their families, in relation with the use of Internet, the frequency, the reasons for using it or not and other issues about quality of services.

Primary data are gathered with a quality. Advanced econometric techniques are used to present an assessment of demand for Internet functions, including socio-demographic characteristics of individuals and their families. First of all it is presented a graphic analysis of data, looking for relationships between different characteristics. Then, we have specified the two estimates with econometric models, the first for access at home and the other for the intensity of Internet use outside home environment including the purpose of use, reasons for obtaining Internet service as well as its impact on improving social capital.

2.2 MMDM and management analyses

Mathematics Models and Decision Making help in such cases when we want to plan a management strategy and management SWOT analyses. Sometimes, the mathematical models use to create a root strategy for the statistical and modeling decisions in management analyses. Supposedly there was de-emphasis of such bugaboos as rote memory and drill and a renaissance of understanding and discovery. A pioneer econometric focuses on the adoption of the broadband Internet service (Madden, Savage and Simpson 1996), with data collected in Australian homes. These authors were the first to discover that demographic characteristics are one of the main influences on the individual decision to use the broadband Internet service. Goolsbeey (2000), Duffy and Deno (2001), Kridel and Taylor (2002) also examine the demand for Broadband Internet access with data from different samples in US cities and households. U.S. Department of Commerce (2002) has its contribution in this regard too.

-H1 The development of a platforms of Mathematical Models of Economical Decision Making Processes for developing the touristic region in Albania..Mathematical Economic Decision Making using in Albania for promoting the tourism.

2.3 Evolution of Mathematical Decision and internet technology development

Dual monitoring system stimulates the use of multiple method for reporting and auditing ,increased transparency of the process and the reliability of conclusion reached. The combination of internal monitoring and external enabling effective action for improvements in the form of assistance from specialized units of local and national. An important question that was raised with regard to the Gauss problem was "why?" One of the most powerful human desires - to know why - is filled with ambiguity, and our obligation as individuals and as a community is as much to engage in a dialogue that enables us to figure out what we are asking when we ask the innocent sounding "why?" as it is to try to come up with answers. Internet is today one of the most common phenomena of technology development. Though a relatively new network with its beginning related to the use for military purposes, today it is the most widely used network in the world for business, research, study, entertainment and social purposes. Historically, the use of systems to a common network to allow connection of two computers began to develop in the early 60's. In 1969 the decision was made to implement an experiment for the network that will enable the exchange of information between different computers.
If one starts with the hypothesis that aspects of mathematics learning could have an impact on the way one conducts views the world in other domains as well, what are some of the possible mind-expanding ways in which it might be conceived? It is unquestionable that the "structure of the disciplines" movement of the past fifteen years solved some problems in the past decade for some people.

If we analyze the Internet phenomenon from a historical perspective in terms of adoption of a new product/service, the Internet is nothing different from other products/services. Just as happens with some new products, demand for content increases gradually until, in a very short time, it becomes a commodity. The advent of Internet has pervaded our daily lives. The number of websites has increased from 130 in 1993 to well over 17 million in 2000 (Connolly, 2000). The aim of this study was also the construction of a model which shows the demand (access and services). In fact, the use of a provided service by an individual is possible.

This observation is central to the model of Averous Artileder (1973) and still represents a cornerstone for modeling demand for the Internet (Taylor, 1994). An econometric model remains a goal for the future. The literature suggests that Internet users differ from other users of telecommunication about the kind of attributes that are important. This is supported by studies in 2002, when they describe the differences between the phone application and Internet application. Jackson et al. (2002) tends to use a model of utility maximization, assuming that customers want to have income, leisure activity and also online.

Theory shows that the maximization of customer service that has access at home is limited by consumption of other goods and the allocation of time and income, but note that while theoretical arguments suggest that the application is used to save money and time.

According to Taylor (1994), there are two types of respondents to the questionnaire:

\( G_0 \): the set of respondents without access to the network
\( G_1 \): the set of respondents with access to the network.

The individual utility function is expressed in the form

\[ U^i = U^i (x^i, q^i; \delta^i) \] or \( U^*TR^* (q^r, q^s, q^g) \) when \( r, s, g \) are indicators

\( i, q_i \delta^i \) is the vector of goods consumed by individual \( i \), dichotomous variables that determine the access status of an individual if he has (use) Internet access;

Otherwise

\[ q^i = q_i \forall a \in G_1 \text{ and } q^i = 0, \forall a \in G_0 \]

\( \delta^i = 1 \), if the individual has access and \( \delta^i = 0 \), otherwise.

The problem of maximizing service later said the individual functions for each type of individual as follows:

\[ U = U^1 (x^1, q_i) \text{ if } \delta = 1 \]

\[ U^0 = U^0 (x^1) \text{ if } \delta = 0 \]
A linear approximation of the conditional utility function would be:

\[ U^*_t = x^T_t \beta + \varepsilon_t, \]

Where \( U^*_t \) is the utility function, \( \beta \) is the vector of parameters to be estimated and represents the array of secondary services that are found to \( x^T_t \) vector and error is the \( \varepsilon_t \).

According to the model that we want build, Internet access and use are functions of several variables:  
1) Internet Access = \( f \) (income, technology, social demographic distribution)  
2) Using the Internet = \( g \) (income, technology, demographic distribution, access)

3. Methodology and Research Goal

For the past several years, some study have collaborated on an interdisciplinary program of experimental and theoretical research involving applied mathematics, experimental psychology, systems and human engineering, and computer science to develop a normative-descriptive theory to address problems of team-distributed decision making / they have developed empirically validated normative-descriptive models that capture the complexity, dynamicity, and uncertainty of the task environment and, in turn, quantify the resulting team performance, coordination, and decision strategies in specific situations objectives of this chapter are to present several of these models, to introduce the mathematical tools used to support the modeling activity, to demonstrate the process by which the normative-descriptive theory is applied to generate predictions of actual team performance, and to offer some novel hypotheses on team decision-making behavior and performance / point out the characteristics of the distributed dynamic decision-making problems that have been addressed, to define the normative-descriptive modeling approach, and to describe a unique research paradigm for distributed decision making that has been used to generate and collect the data to develop and validate the mathematical models.

The Internet has experienced explosive growth and the Internet traffic has grown exponentially in the last decades. Technology has developed to resolve the traffic problem, in ways that many homes and access
points rely on different services, with different speed, offered by Internet service providers. There are some early descriptive studies carried out on the basis of independent surveys concerning the adoption of Information Technologies and communications in different countries. In Spain the National Institute of Statistics (INE) began to compile this kind of information as of 2001. Different reports have been written to consider demographic influences on the adoption of Internet in general, and especially broadband Internet.

Finally, we should mention the report issued by the OECD (2001) which analyzes the adoption of Wideband Internet connections in 30 countries. After careful consideration of literature review, primary data are gathered through a survey done in the University of Vlora. Students were the respondents as representatives of a middle level family type, including so families of all the region (Vlore, Fier, Berat,). The sample of students is based on quotas according to year of the study and type of degree. Face to face interviewers were administered during March-April 2011. The questionnaire designed includes all these topics and comprises about 50 variables.

Data for the first section consist in obtaining information about the extent spread of fixed line very important tool of ICT. We also analyzed the degree of their proliferation according to the service. [25][26][27] Cell phones and the purpose of using them is the subject of the second section. Questions are asked about the type of operator, costs, frequency of use, the number of SMS, the frequency of changing the mobile device, etc. Questions also deal with information about the quality of Internet services and the impact of ICT usage on social capital. Great attention has also been paid to the access to computer and Internet use at work and study environments for developing the touristic situation in Albania.

Conclusions and recommendation

The literature suggests that Internet users differ from other users of telecommunication about the kind of attributes that are important. This is supported by studies in 2002, when they describe the differences between the phone application and Internet application. All hotel owners claim that the interest of the clients
has increased for the Internet service and 100% of them claim that customers ask about the existence of this service. During this analyze, we are find these conclusions: 1. The internet lines are very use full in Albania. Game theory is the branch of decision theory concerned with interdependent decisions. We are study this theory to promote the modeling system in Albanian touristic conditions and to arrangement the profits during touristic season.

The problems of interest involve multiple participants, each of whom has individual objectives related to a common system or shared resources. Because game theory arose from the analysis of competitive scenarios, the problems are called games and the participants are called players. In this study the touristic operators are “the players”

2. All hotel owners claim that the interest of the clients has increased for the Internet service and 100% of them claim that customers ask about the existence of this service. In terms of payment for this service, the hotel pays monthly to the ISP, from a minimum of 20 euro to a maximum of 150 euro. 28% of them pay up to 20 at 30 euro per month while 27% of them pay 40-50 euro per month. Regarding their location we can state that 56% of them are located on the seashore, 16.6% of 50m from the sea, and 12.5% of them more than 100 meters from the sea. The number of employees varies from season to season.

In this paper research we are trying to solve two hypotheses that are the indicators of this research. MMDM and ITC modeling system are showing on points like:

1. Our intention in this work was to analyze the internet access and use by students and their families in Vlora region.
2. In future, we will try to build a mathematical model explaining the relation between internet access and use by other variables, economical, socio-demographical, individual characteristic related to mode of use, etc.

Our research will be improvement with other data in another our publishing. The literature suggests that Internet users differ from other users of telecommunication about the kind of attributes that are important.

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ELECTRIC POWER; INFORMATION VALIDATION; LOAD MANAGEMENT; MULTIVARIATE
ANALYSIS; POWER DEMAND; ECONOMICS; MANAGEMENT; MATHEMATICS
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This is an excellent nontechnical book on game theory, and this paper, internet link www.qtheory.mat.it
Gama theory and mathematical concepts, internet link www.mathemethical theory.nu.it
Sustainability of Agricultural Cooperative Societies in Nigeria:  
The Case of South-South Zone, Nigeria  

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Abstract: The study looked at the sustainability of agricultural cooperative societies in the south-south geopolitical zone of Nigeria. Out of six states of the zone, Cross River, Rivers and Edo were randomly selected for the study. The study identified the socio-economic characteristics of cooperative societies, analyzed loan advanced to cooperative members, focus on the scope for sustainability of cooperative societies, women empowerment and analyzed the loan utilization by the cooperative members. Secondary data was sourced from the Nigerian Agricultural Cooperative and Rural Development Bank (NACRDB), Calabar Branch. The information was analyzed using descriptive statistics. The result showed that out of the total loan advances made, more than 50% went for consumption purposes. Rough estimate shows that about 50% of the cooperative members fall below poverty line which shows that the cooperative groups of the zone comprised mostly of the economically poor.

Keywords: Agricultural Cooperatives, Sustainability, Capital

1. Introduction

In developing countries in which Nigeria is one, agriculture dominates the economy of the nation. It has been established that about 70 percent of Nigeria population is engaged in agriculture (Obasi and Agu, 2000) while 90 percent of Nigeria total food production comes from small farms and 60 percent of the country population earn their living from these small farms (Oluwalayo et al, 2008). The recent importation of food items into the country to make up for the shortfalls in food supply is a dangerous indication of dwindling farm productivity and warning sign that if the nation continue with the business as usual, the prospect of food security will be bleak for millions of people (Nweze, 2003). The fall in agricultural production could be attributed to inadequate infrastructure, under mechanization and inadequate finance (Oshiokaya, 2005). According to Ojo (1998), one problem confronting small scale enterprise including that in agriculture is inadequate capital.

Inadequate finance has remained the most limiting problem of agricultural production. This is because capital is the most important input in agricultural production and its availability has remain a major problem to small scale farmers who account for the bulk of agricultural produce of the nation. In Nigeria, credit has long been identified as a major factor in the development of agricultural sector (Balogun, 2007). Credit is considered the catalyst that activates other factors of production and make under used capacities functional for increased production (Ijere, 1998). It is a major factor necessary for technological transfer in traditional agriculture (Oyaloye, 1981). Farm credit can be obtained from either the formal source which include the banks and other government owned institutions or the informal sources which are self help group, money lender, cooperatives and non-government agencies (NGO).

According to Afolabi and Fagbero (1998), the informal source of credit is more popular among small scale farmers which may be to the relative ease in obtaining credit devoid of administrative delay, non existence of security or collateral, flexibility built into repayment which is against what is obtained in the formal sources. Ojo et al (1993), observed that the institutional lending system has failed to meet the objectives for which
they were set up. According to him only 15 percent of the trading bank credit to agriculture has been covered. The major short-comings of their transactions he observed are due to the inaccessibility of these funds to rural farmers as a result of bureaucratic procedures and high service cost, which are very difficult for the farmers to meet. The situation has attracted the attention of Nigeria government to the creation of specialized institution such as the Nigeria Agricultural Cooperative and Rural Development Bank (NACRDB) to cater for the credit need in the agricultural sector.

However, Alufohai and Ahmadu (2005), studied its queue management and reported its ineffectiveness in credit delivery. Insipite of the importance of loan in agricultural production, its acquisition is fraught with a number of problems. The small scale farmers are forced to source for capital from relations, money-lenders and contribution clubs. All of these are known to be ineffective in providing capital for substantial increase in agricultural production. The last hope for the small scale farmers then lies with the cooperative societies (Ijere, 1981), the cooperative has bee identified to be better channel of credit delivery to farmers the NGO’s in term of its ability to sustain the loan delivery function (Alufahai, 2006). Thus, there is need for their sustainability.

Cooperatives are defined as “an autonomous association of persons who unite voluntarily to meet their common economy and social needs and aspiration through a jointly owned and democratically controlled enterprise (ICA, 1995). Cooperatives are established by like-minded persons to pursue mutually beneficial economic interest. Researchers are of the opinion that under normal circumstance cooperative play significant role in the provision of services that enhance agricultural development. Patrick (1995), described cooperatives as a medium through which services like provision of farm inputs, farm implements, farm mechanization, agricultural loans, agricultural extension, members education, marketing of members farm produce and other economic activities and services rendered to members. Regular and optimal performance of these roles will accelerate the transformation and sustainability of not only the cooperatives but the revampment of agricultural and rural economic development. Ijere (1981), further explains that it is the cooperative that embraces all type of farmers and a well or ganized and supportive cooperative is a pillar of strength for agriculture in Nigeria. Previous studies have shown that cooperative carryout the function of credit delivery to farmers but there’s ample evidence that farmers face difficulties in obtaining credit and the problem of sourcing for capital still lingers on. However, much of the credit supplied through cooperatives gets used up for consumption purposes and therefore not productive. If members of the cooperatives ever happen too feel that the credit coming forth from the cooperatives is not yielding adequate or no returns and repayment of loans borrowed from them is inescapable, they may stop patronizing them (Katar sigh and Gain, 1995, Dadhich, 2000). The continuing existence of cooperatives and their sustainability therefore depends upon how well the low skill intensive products turned out by the members of the cooperative societies are received in the rural areas.
In the light of the above discussion, the main objective of the study is to focus on the scope for sustainability to cooperative societies in South –south zone and the women empowerment through cooperative groups.

The specific objectives are:

i) To analyze the socio-economic characteristics of the respondent.

ii) To analyze loan advanced to cooperative members (active and passive groups)

iii) To analysis loan utilization by cooperative members.

2. Methodology

The study was conducted in south-south zone of Nigeria. This zone comprises of six states namely; Cross River, Rivers, Akwa Ibom, Bayelsa, Delta and Edo. For the purpose of convenience, three states, Cross River, Rivers and Edo were randomly selected for the study. The list of all registered cooperatives societies was obtained from the Nigerian Agricultural Cooperatives and Rural Development Bank (NACRDB); Calabar branch. Secondary data for the study were collected, from the said institution, a total of 558 cooperative groups were constituted, out of which 480 were active while 78 passive. Data obtained from the study were collated and analyzed using simple descriptive statistics.

3. Result and Discussion

3.1 Sustainability

There are 558 groups of agricultural cooperative societies which were constituted in the selected three states. The earliest group existed before now. It was during the period of restructuring of NACB in 2001. the government policies at the state levels aided the formation of a large number of groups during the period.

The cooperative grew in number to a total of 558, out of which 480 became active while 78 passive. Agricultural prosperity contributes to the sustainability of the cooperative.

There are some data on the activities for which loans are disbursed to members of the group. Loans are taken by members for family maintenance, petty trading including garri and palm fruits procession, vegetable sales, marketing of agricultural produce and investment in other smaller businesses.

It is noticed that of the total advances made more than 50% have gone for consumption purpose (table 1).

Table 1: percentage of loan advance by purpose (N000 )

<table>
<thead>
<tr>
<th>Purpose</th>
<th>Active group</th>
<th>Passive group</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Consumption %</td>
<td>6120 60.53</td>
<td>4920 74.54</td>
<td>11040 66.06</td>
</tr>
<tr>
<td>Production %</td>
<td>3990 39.46</td>
<td>1680 25.45</td>
<td>5670 33.93</td>
</tr>
<tr>
<td>Total %</td>
<td>10110 100</td>
<td>6600 100</td>
<td>16710 100</td>
</tr>
</tbody>
</table>

Field survey 2011

The occupational pattern of the members of the active cooperative groups is of interest. Thus a large majority of members of the groups are dependent upon agriculture for a living and their incomes if anything would fluctuate much more widely than the incomes of those in non-farm activities. This may have a telling effect on the sustainability of cooperative groups.
Table 2: Occupation distribution of members of cooperative groups

<table>
<thead>
<tr>
<th>Purpose</th>
<th>Active group</th>
<th>Passive group</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Agricultural %</td>
<td>252</td>
<td>24</td>
<td>276</td>
</tr>
<tr>
<td></td>
<td>52.50</td>
<td>30.76</td>
<td>52.27</td>
</tr>
<tr>
<td>Marginal farmer %</td>
<td>87</td>
<td>30</td>
<td>117</td>
</tr>
<tr>
<td></td>
<td>18.13</td>
<td>38.48</td>
<td>22.15</td>
</tr>
<tr>
<td>Non-farm active and rural artisan%</td>
<td>141</td>
<td>24</td>
<td>165</td>
</tr>
<tr>
<td></td>
<td>29.38</td>
<td>30.76</td>
<td>29.56</td>
</tr>
<tr>
<td>Total %</td>
<td>480</td>
<td>78</td>
<td>528</td>
</tr>
<tr>
<td></td>
<td>100</td>
<td>100</td>
<td>100</td>
</tr>
</tbody>
</table>

Field survey, 2011

3.2 Women Empowerment

The yardstick used to the performance of a cooperative society should no always be its financial standing. Even if a cooperative does not seem capable to sustaining itself financially, every effort should be made to put it on the rails particularly when it empowers the economically and socially disadvantaged by giving them a sense of belonging. The saving habit that is inculcated by cooperative groups among women should be also taken into cognizance, for the money saved can make them feel independent. The interaction among the members facilitates by the group meetings can make women think progressively about their children’s education.

Table 3: Distribution of members of cooperative group by land holding

<table>
<thead>
<tr>
<th>Particulars</th>
<th>Active group</th>
<th>Passive group</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Marginal farmer %</td>
<td>124</td>
<td>15</td>
<td>201</td>
</tr>
<tr>
<td></td>
<td>38.75</td>
<td>19.23</td>
<td>36.02</td>
</tr>
<tr>
<td>Small farmers %</td>
<td>57</td>
<td>9</td>
<td>66</td>
</tr>
<tr>
<td></td>
<td>11.88</td>
<td>11.53</td>
<td>11.82</td>
</tr>
<tr>
<td>Medium farmers %</td>
<td>24</td>
<td>6</td>
<td>30</td>
</tr>
<tr>
<td></td>
<td>5.00</td>
<td>7.69</td>
<td>5.37</td>
</tr>
<tr>
<td>Big farmers %</td>
<td>0.0</td>
<td>9</td>
<td>9</td>
</tr>
<tr>
<td></td>
<td>0.00</td>
<td>11.53</td>
<td>1.61</td>
</tr>
<tr>
<td>No level %</td>
<td>213</td>
<td>39</td>
<td>252</td>
</tr>
<tr>
<td></td>
<td>44.38</td>
<td>50.0</td>
<td>45.16</td>
</tr>
<tr>
<td>Total %</td>
<td>480</td>
<td>78</td>
<td>558</td>
</tr>
<tr>
<td></td>
<td>100.0</td>
<td>100.0</td>
<td>100.0</td>
</tr>
</tbody>
</table>

Field survey 2011

There is no denying the fact that the cooperative groups of the zone comprise mostly the economically poor. Rough estimation shows that about 50% of them fall below poverty.
Table 4: Distribution of cooperative groups by literacy levels

<table>
<thead>
<tr>
<th>Particulars</th>
<th>Active group</th>
<th>Passive group</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Illiterates %</td>
<td>168 35.00</td>
<td>30 38.46</td>
<td>198 35.48</td>
</tr>
<tr>
<td>Primary %</td>
<td>219 45.63</td>
<td>18 23.07</td>
<td>237 42.47</td>
</tr>
<tr>
<td>Secondary</td>
<td>57 11.89</td>
<td>15 19.23</td>
<td>72 12.90</td>
</tr>
<tr>
<td>Higher %</td>
<td>30 6.25</td>
<td>15 19.23</td>
<td>45 8.06</td>
</tr>
<tr>
<td>Above %</td>
<td>6 1.25</td>
<td>0.0</td>
<td>6 1.07</td>
</tr>
<tr>
<td>Total %</td>
<td>480 100</td>
<td>78 100</td>
<td>558</td>
</tr>
</tbody>
</table>

Field survey, 2011

Table 5: Distribution of members of cooperative groups by age

<table>
<thead>
<tr>
<th>Particulars</th>
<th>Active group</th>
<th>Passive group</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>No of group members</td>
<td>36 7.50</td>
<td>3 3.84</td>
<td>39 6.98</td>
</tr>
<tr>
<td>Age group below 25 years %</td>
<td>72 15.0</td>
<td>21 26.92</td>
<td>93 16.66</td>
</tr>
<tr>
<td>25-35 years %</td>
<td>243 50.62</td>
<td>24 30.76</td>
<td>267 47.54</td>
</tr>
<tr>
<td>Above 35 year %</td>
<td>129 26.87</td>
<td>30 38.46</td>
<td>156 28.49</td>
</tr>
<tr>
<td>Total</td>
<td>480 78</td>
<td>558</td>
<td></td>
</tr>
</tbody>
</table>

Field survey, 2011

Table 6: Responses of members classified by their level of participation in meetings of cooperative groups

<table>
<thead>
<tr>
<th>Participation in group activities</th>
<th>Active group members</th>
<th>Passive group</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Good %</td>
<td>300 62.60</td>
<td>45 19.23</td>
<td>315 56.45</td>
</tr>
<tr>
<td>Average %</td>
<td>132 27.50</td>
<td>27 34.61</td>
<td>159 28.49</td>
</tr>
<tr>
<td>Poor %</td>
<td>48 10.00</td>
<td>36 46.15</td>
<td>84</td>
</tr>
<tr>
<td>Total</td>
<td>480 78</td>
<td>558</td>
<td></td>
</tr>
</tbody>
</table>

Field survey, 2011

These details go to show that cooperative groups (active and passive) of the zone are largely in service of the economically and socially weaker sections of the zone. Illiteracy has not deterred them from joining
cooperative group (Table 5). It should be possible to tap the hitherto untapped entrepreneurial skills of these women. The interaction among members which is so essential for spread of knowledge about health, education and more particularly for governing the activities of the cooperative groups seems good with 2.3rd of members which is so essential for spread of knowledge about health, education and more particularly for governing the activities of cooperative groups seems good with over 2.3rd of the members.

4. Conclusion

The importance of cooperative societies arises from the fact the rural poor (farmers) are not properly served by formal institution agencies (viz, commercial banks and other government owned financial institution). These institutions refrain advancing loan to the rural poor because of the bureaucratic procedures and high cost service involved in lending to them. Cooperative societies also assume importance in view of the fact that money lenders subject the rural poor to sever exploitation by charging high interest. By forming into cooperative the rural poor can get over these two problems. In as much as the poor borrow and repay money to banks as a group the cost of lending decreases. Since the members of the cooperative groups are of homogenous economic class and since peer monitoring is the rule in the groups, loans advanced will promptly. This makes cooperative group sustainable and the ever increasing number of cooperative societies has much to do with this fact. The new NACRDB’s role in the expanding number of cooperative groups is not to be belittled either.

Cooperative societies have grown from strength to strength particularly in South-south zone of Nigeria. In this study 558 randomly selected cooperative groups of south-south zone cooperative groups are giving them a new identity in the society. Saving on a monthly basis, which was unknown to women, is now a reality. The hitherto untapped entrepreneurial skills of women are to the fore. To make the cooperative groups financial sustainable, it is necessary to advance loans for activities which are not marginalized and which lead to production of goods that have few substitutes in urban manufacturers.

5. Recommendation

1. The new role of NACRDB the expansion of number of cooperative groups should be seriously upheld for cooperative sustainability.
2. To make the cooperative groups financially sustainable, it is necessary for the financial institutions to advance loans for activities, in which it is meant for.
3. More commercial banks should be involved in granting loans from agricultural cooperatives.
4. Government should subsidized the interest rate and make it possible for the vast majority of the farmers to acquire agricultural credit.

References

Unemployment and Persistent Poverty in the Niger Delta Region of Nigeria: A Constraint to Sustainable Development in the 21st Century Nigeria

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Doi:10.5901/mjss.2012.v3n2.27

Abstract: This paper examines the phenomenon of unemployment and persistent poverty in Nigeria with special reference to the Niger Delta region. Having diagnosed the episode of unemployment and poverty in the region, the paper unfolds that unemployment and poverty have devastating effect on individuals, society and economy at large. This paper identifies that one of the core causes of poverty in the Niger Delta today is the inability of many job seekers to secure gainful employment. It also reveals the increasing level of poverty which has conditioned many people to a very low and undignified standard of living in the region. The paper identifies unemployment and poverty as impacting negatively on the lives of the people and sustainable development programmes in the region. Economic growth, which is supposed to be a solution to the problem of unemployment and poverty, appears not to be in this region. In view of this, the paper recommends that the government and all stake-holders must work together to get over the hurdles of unemployment and poverty and create more poverty alleviation programmes in order to promote maximum investment and employment opportunity to the rural dwellers for sustainable development at the rural setting.

1. Introduction

The Niger Delta region of Nigeria is endowed with multifarious and multitudinous resources in both human and material resources. Notwithstanding the magnanimous contributions of the Niger Delta region to the wealth of Nigeria, the people of the remain unemployed, impoverished, underdeveloped and blighted by environmental and health hazards. However, due to gross mismanagement, profligate spending, kleptomania and adverse policies of various governments of Nigeria, these resources have not been optimally utilized nor adequately channeled to profitable investments to maximum economic benefits to the communities. As a result of the foregoing, the region has been bedeviled with unemployment and poverty. And so, considerable agitation, tension and violence have accompanied the attempts by oil producing communities in the region to seek redress against the alleged neglect by government and the oil multinationals. The Niger Delta, a massive and densely populated area of tropical rain forest and swamps located on the South-South geopolitical zone of the country, has always been an important centre for natural resources extraction, and has become one of the most economically and strategically important territories in Africa since the discovery of oil there in the 1950s. Economic growth, which is supposed to be a solution to the problems of unemployment, poverty, corrupt politicians and civil servants, violent political agitation, and rampant lawlessness, the Niger Delta region continues to languish, despite being one of the most oil-rich regions in the world. The region is recognized with bad roads, low infrastructural development, high level of unemployment and poverty, female prostitution and low industrialization rate. The Niger Delta is blessed with abundance of physical and human resources, including the majority of Nigeria’s oil and gas deposits, good agricultural land, extensive forest,
excellent fisheries as well as a well developed industrial base an a vibrant primary sector (Duru, 1999). The future of the region is threatened by incessant incident of militancy, kidnapping and insecurity as a result of unemployment and poverty which in essence has grossly affected the tremendous potential for economic growth and sustainable development in the area. “Violence, provoked by conflicts, has often turned the people’s attention from creative production to creative destruction (Nnoli, 2003:3)

2. Conceptual Framework

This section of the paper considers relevant issues of unemployment, poverty and sustainable development. There are various types of unemployment ranging from frictional, structural, cyclical, disguised and underemployment. Frictional unemployment usually grows into long term unemployment. This is often described as equilibrium unemployment (Lindbeck: 1999). Structural unemployment refers to a mismatch of job vacancies with the supply of labor available, caused by shifts in the structure of the economy (Bannock et al, 1998). Cyclical unemployment is an unemployment resulting from lack of aggregate demand in the business cycle (Bannock, 1999). While disguised and underemployment describes the incidence of under paid jobs. This is a core problem in the Niger Delta region that has many graduate job seekers to take to under-paid and menial jobs. Poverty has become a major socio-economic in present day Nigeria. A disturbing observation about poverty in Nigeria is that it is on the increase, both in incidence and intensity despite the wide variety of national and international measures have been attributed to a multiplicity of causes, of which the most frequently mentioned and emphasized include: inadequate conceptualizations of poverty and development, failure to identify the root causes of the problem, lack of adequate organizational requirement for effective programme implementation, wrong prescriptions given as solution to the problem of poverty and various combinations of these shortcomings. Poverty is a comprehensive socio-economic virus that constitutes one of the greatest afflictions of mankind. Generally in the Niger Delta region, poverty appears endemic and at least its reduction has remained inextricable part of the policy and its excruciating impact are pervasive and palpable on the people especially the rural dwellers.

According to Stanley (1995) the concept of sustainable development is a scientific notion capable of precise, unequivocal measurement. The World Commission on Environment and Development (The Brundtland Report, 1987) in our common future defines sustainable development as “Development that meets the needs of future generations” (World Development Report, 1992). The report argues that unemployment, poverty, resources depletion and environmental therefore is socio-economic and political concept which largely incorporates the twin objectives of human development and environmental protection. It is obvious from the analysis given above that the process of national development centers on man’s well being and therefore entails finding solutions to the problems of health, unemployment, poverty, human settlement, education and the exploitation of natural resources for a better and more meaningful life.

3. Unemployment and Poverty in the Niger Delta Region – A Time Bomb For The Country

One of the causes of poverty in the Niger Delta region today is the inability of many job seekers to secure gainful employment. It is an inescapable fact that more than 70% of the Nigeria populace is currently unemployed or underemployed. Those who are employed are earning starvation wages that cannot feed them, let alone meet their various needs. More alarming is the fact that the burden of this huge unemployment is borne by the youths and other energetic adults. See table 1 & 2b below.

Politically, youth is defined as a transitional period from childhood to adulthood marked by events such as completing schooling and further education, entering the world of work, achieving financial and residential autonomy from family, engaging in close personal relationship and in some cases, marriages. The World Health organization (WHO) describes the youth as anybody between the ages of 15 and 24 years. In consonance with this, Ibonvbere (1989) says youth is conventionally conceptualized as a social category
made up of people whose chronological age falls within 15 and 24 years bracket and who also possess certain distinct psychological and socio-cultural characteristic and constitutes over 20% of the population. The African Youth Charter in Briggs (2008:18) sees a youth or young person as somebody, male or female between the ages of 15 and 35 years. India also adopt this definition. Uzoeshi (2006) says that the period of youth is the time to plan and execute, the time to aggregate, the time to give, the time to display energy and the time to gather knowledge and avoid ignorance.

Table 1 & 2 of the paper provides an insight into the distribution of unemployment in Nigeria. In the tables, the age and sex distribution of unemployment are presented. The tables show that unemployment incidence affects the job seekers within the ages of 20 – 24 and 25 – 44 years more, while there is less incidence of unemployment within the ages of 55- 59 and 65 years and above.

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Table 1. Percentage distribution of unemployed persons by age-group and sex, December 1998- December 2000 (urban centres)

N.A.: Not Available
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2000 (rural centres)

Table 2. Percentage distribution of unemployed persons by age-group and sex, December 1998- december

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AvailableThe age distribution of unemployment in the urban centres signals a great threat to the domestic economy and the survival of the Nigerian nation. This is because many energetic youths with dynamic resources wander around without gainful engagements. For instance, in December 1998, the urban centre unemployment within the age bracket of 25-44 years was as high as 48.8 percent for males and 42.9 percent for females. In December 1999, a figure of 41.5 and 29.8 percent were recorded for males and females unemployment rate respectively while the corresponding time in 2000 had a record of 36.1 percent for male job seekers and 34.9 for females in the urban centres. In the rural centres, official records in December 1999, indicated a total of 27.8 percent unemployment rate within the ages of 25-44 years for males and females respectively. The 2000 figure saw the rates for males increasing slightly to 32.2 percent with a slight decrease in female unemployment to 26.4 percent within the same age bracket. Despite the various efforts of government, stakeholders and economic players, by establishing a number of programmes such as the National Directorate of Employment (NDE), the National open Apprenticeship Scheme (NOAS), the National Poverty Eradication Programme (NAP EP), The Better Life, Family Support and the Family Economic Advancement Programme (FEAP) during the life span of various administrations to address the hurdles of poverty and unemployment, this monster among Nigerians is still on the speed lane. The World Bank and associate agencies have been part of the poverty problem. Their Structural Adjustment Programme, (SAP), relieve and poverty alleviation programme have only succeeded in diversity the attention of the poor from the real causes of poverty (World Bank, 1975; Abasieking, 1994; Abiodum, 1998). Millions of Nigerian youths who graduated from the Universities, Polytechnics and other tertiary institutions cannot find jobs and appropriate avenues to positively utilize their youthful energies. This segment of the populace is at the height of their physical and mental powers. Normally, they should form the productive foundation of the economy of any nation, but in Nigeria you find them roaming the streets in search of livelihood and employment opportunities everyday and their frustrations keep mounting. The increase in both the frequency and intensity of bank robberies is an outcome of unemployment and glaring social inequalities. No amount of police equipment or training can rein crime unless the society strives to reduce the number of the frustrated. It does not take much thinking to realize that an explosive mix of high volatility is brewing in the country especially in the Niger Delta region, and it is being fuelled daily by elite insensitivity. If this vicious cycle of poverty and unemployment continues unabated in this region, every unemployed, frustrated and pauperized citizen of the region, becomes a potential social time bomb waiting to explode any moment. Nigerians are demanding governmental accountability and good governance like never before and the results are trickling in. Someday these trickles will turn to gales of mass discontent that will sweep bad leaders out of power at the pools. Inch by inch that is the direction Nigeria is heading.
4. Poverty Alleviation

Indeed, the Nigerian landscape is crawling with a rapidly mutating population of jobless able-bodied men and women who are angry, ill, frustrated and whose disempowerment accounts largely for the reign of cynicism in the land and a high mortality rate. Unemployment and poverty have assumed a different and worrisome dimension in view of the effects of the current global financial and economic crisis of the people. The unemployment crisis in the Niger Delta region is linked to galloping poverty and of course, this is obvious. But to put Nigerians to work, the solution lies in a reinvention of the nature and purpose of government. Once upon a time in this country, Nigerians were a busy people, jobs were available, unemployment was low. Companies used to rush to the universities every year and later to National Youth Service Corps (NYSC) camps, to recruit skilled workers. Then, a certificate guaranteed a job and a better life. It is a common practice now to see young graduates on newspaper stands, hotels and internet cafes in search of jobs openings. Unemployment and poverty have social consequences as it increases crime rates in the country.

Poverty alleviation has been slow in developing nations such as Nigeria, and most African countries because of the role of external power actors such as the World Bank and other “aid” donors. A number of institutions, agencies and programmes established to alleviate poverty such as National Directorate of Employment. (NDE) Directorate of Food, Roads and Rural Infrastructure (DFRRI), Better Life, and Family Support Programme (FSP), National Poverty Eradication Programme (NAPEP) have not been able to meet the enormous demands of the population. People and Community Banks are typical examples. Instead of alleviating poverty, they mop up the little resources of the poor only to go distress leaving the poor depositors in more difficult financial situations.

Again, instability in government and its parastatals is a crucial factor of poverty alleviation because when development policies change suddenly with regimes, it becomes difficult if not impossible for rural development and poverty alleviation to be implemented effectively (Ekong, 1991; Aziz, 1978). It is regrettable that in spite of these efforts, socio-economic indicators continue to show that the number of men and women joining the ranks of the unemployed working and those in vulnerable groups is perpetually on the increase.

5. The Effect of Unemployment and Poverty on Sustainable Development in the Niger Delta Region of Nigeria

In his book “Economic Development in the Third World”, Torado (1981) defines development as the process of improving the quality of all human lives. This includes raising people standard of living, creating condition conducive to the growth of people self esteem and increasing people’s freedom to choose by enlarging the range of their choice variables. Sustainable development on the other hand refers to the basic of all people that must be met in a way which provides for their needs with security and dignity and without absolute limits to development. It also means a conscious and dignity and without absolute limits to development. It also means a conscious and deliberate effort aimed at helping communities recognize their capacities to participate fully in the life of the nation (Ekong, 2008). By implication therefore, sustainable development involves active participation by the people themselves in efforts to improve their level with as much reliance as possible on their own initiative and the provision of technical and other services in ways which encourage initiative, effective self help and mutual help that meets the needs of the present without compromising the ability of future generations to meet their own needs (Standley, 1995).

Central to the Niger Delta crisis is poverty and unemployment amidst unimaginable oil wealth. The oil producing communities do seek to control their oil or at least participate actively in decision making on matters affecting their areas. Over the past two decades, environmental degradation, including land degradation has continued to worsen, exacerbating further poverty and food insecurity. This region is too rich for her citizens to be poor. There has been a transformation in people perception of the poverty and
unemployment problem in the region. Until recently, the international community and national government have tended not to appreciate the need for integrated rural poverty alleviation and environmental management programmes in marginal areas.

Increasingly, the Niger Delta people are realizing that the fragile environment on which they depend for their survival is being neglected and over exploited and it is now necessary to rehabilitate it and manage it sustainably. The environment belongs primarily to them, and they must take the responsibility, for the land and organize themselves in groups, cooperative, village development associations and other local associations to defend it. They therefore have demanded for compensation to be paid to them by the oil multinationals and for them to be sincerely committed towards the expansion of infrastructural facilities for sustainable development. Sustainable development is not possible in a hostile environment where the oil companies and community relations is highly contentious.

Tense atmosphere of conflict and violence in the region between the three major stakeholders had a negative effect on sustainable development. Again, the presence of unemployed youths and poverty stricken people and the exploitation of oil and valuable non-renewable natural resources is associated with increased social unrest and youth restiveness in the Niger Delta Region. Oil and mineral extraction in the region promoted the looting tendency by various government in Nigeria and have linked with unusually high poverty rates, poor health care and high rate of mortality (Rose, 2011). This means in effect that sustainable development can hardly be achieved under this unfavorable and insecure environment.

The adverse effect of high unemployment and poverty on the domestic economy cannot be quantified. The availability of abundant human resources if utilized could serve as great catalyst to sustainable development but if otherwise, could exert negative influence on the economy. The unutilized large quantum of human resources in the Niger Delta region due to unemployment has continued to impede the prospect of growth. The resulting effect of unemployment and poverty such as perpetration of violence and general insecurity threatens sustainable development to a large extent. It is no longer news that insecurity; instability and uncertainty are the hallmarks that characterized the Niger Delta region due to youth restiveness. The energies of the youths of the regions have not been meaningfully harnessed leading to sordid experiences in the area (Agina-Obu, 2008:47).

Oil extraction in the region has worsened poverty and other negative behaviors by denying the oil producing communities employment and access to oil revenues. Taken together, these trends have severely jeopardized the socio-economic growth and development of both the economy and human capabilities in the region. This has brought about violence and kidnapping which are desperate acts of desperate people who have completely lost all sense of hope for a better future in the country. When environment and economic development conditions deteriorate to unbearable level, the oil bearing communities naturally reacts. Instead of the multinational responding to the plight of the people positively they rather respond by securing the assistance of the Federal Government through the use of the Nigeria Police or military to terrorize and brutalize the protesters. Most of their complaints relate to unemployment, poverty, environmental degradation, destruction of means of livelihood and health. The deepening unemployment and poverty rate in the region is already leading to mounting instability. Unemployment and poverty are the tinders which ignites the resentments and fears that the oil communities harbour. Sustainable development and buoyant economy can hardly be achieved in an atmosphere of crisis and hostility more so when the governments in the past have always sidelined this region from meaningful development. The overall situation in this region till now has been very hostile to economic growth and sustainable development.

6. Challenges of Unemployment and Poverty

Combating the challenges of the rising level of unemployment and poverty in the Niger Delta in particular and Nigeria in general is a major task for stakeholders, policy makers and economic managers alike. Unemployment and persistent poverty have been identified as the major hindrances to sustainable
development programmes in the region. The unemployment and sufferings among the youth of the Niger Delta Region should be addressed spontaneously, as the increase in armed robbery, hostility to company’s staff and properties, female youth prostitution and ritual killings are becoming alarming. Lack of employment opportunities for many Nigerians has resulted in large number living in poverty. To enhance rapid economic growth, increasing employment opportunities and heightening industrialization, the agricultural sector should be revitalized.

The widespread unrest, turmoil, kidnapping, hostage taking and violence which is now afflicting an unprecedented number of the oil producing communities is linked by one common thread of growing economic malaise and underdevelopment. In order to eradicate unemployment and poverty in the Niger Delta region, requires the development and implementation of more poverty alleviation programmes that will directly benefit the poor, by restructuring sources of Nigeria’s gross domestic product (GDP) to significantly include varieties of industries that are labour intensive, such as cottage industries. Also, governmental organizations and landowners should be encouraged to make land available to poor Nigerians on a more equitable basis for agricultural related industries such as farming. Until such radical steps are taken, agriculture for sustainable development will continue to be unviable source of employment opportunity and poverty alleviation for most Nigerians. Government should also make land available to private and public organizations to set up cottage industries in the most economically depressed areas and provide training to unskilled or economically deprived Nigerians which make ownership of small scale industries a viable source of employment and building wealth for many Nigerians.

The agitation for resource control pursued by the Niger Delta people is without doubt, informed by actual and perceived injustice, where the oil multinationals taking the oil from their land and giving them virtually nothing in return and the complete marginalization and neglect by the Federal Government. Resource control by the Niger Delta has to be influenced by some imperative political considerations which are intimately connected with socio-economic rights of members of this region who have been consistently and systematically neglected by the Federal Government. It is easy to observe that the monies earned by the Federal Government from mineral resource-yielding communities are denied adequate funds for sustainable development projects while other sections of the system are continually developed. Since the Federal Government uses promulgated laws to control resources located in the Niger Delta region, and the proceeds from the exploitation of such resources are not equitably shared or managed, the affected “people” are justified in demanding control of their God given resources.

Various environmental problems arising from the impact of oil exploration and exploitation are manifestations of the disharmony between development and the environment and they threaten to destroy the basis of development itself. The lack of commitment by the Federal Government towards the enforcement of standards in the oil companies has encouraged the oil companies to operate without hindrances. Nigeria is a signatory to a number of International Conventions on environmental standards maintainable in the oil and gas industries. These conventions have been honored in the breach than in their observance. Policies of government should therefore, be streamlined to check the blatant oil exploitation and flaring of gas which are associated with exceptionally low human development and poverty rates, conspicuously poor performance on a range of important social welfare indicators and depressed rates of sustainable development. The Ministry of Environment should not abandon their statutory role of policing the oil and gas companies. The environmental impact assessment standards used in the United States of America and Europe should as well be applied in the Niger Delta region.

7. Conclusion and Recommendation

From a historical antecedent of past reports and recommendations on the Niger Delta region, fifteen such reports and recommendations have been initiated, from Henry Willlinks Commission of 1958 to Ledum Mittee led Technical Committee on the Niger Delta of 2008, without their implementation. We recommend that the
distilled recommendations raised by the Ledum Mittee led Technological Committee should be implemented without undue delay. Again, the newly created Ministry of the Niger Delta Affairs should be provided with enough funds to execute its master plan and to carry out integrated sustainable development programmes in the oil producing communities to revitalize the Niger Delta economy by providing viable options to combat unemployment and poverty that will help the Federal Government achieve sustainable development, peace, human and environmental security in the Niger Delta region.

Unemployment and poverty crisis which manifest in layoffs, retrenchment, lack of jobs for young school leavers and graduates, always intensify social distributional conflicts and economic contestations. As already observed, the spate of conflict in the region will continue unless the Federal Government provides appropriate remedies for the devastating consequences of unemployment and widespread poverty. Such remedies should include improvement in the level of social provisions and infrastructures such as roads, water, electricity, health care, housing, education, food production and distribution which are basic to the realization of genuine rural development efforts for the people, as well as the introduction of other measures such as setting up of cottage industries that would reduce the level of unemployment and poverty in the Niger Delta region. The institution of a drastic land reform measure to ensure equitable distribution or redistribution of land and land resources particularly in areas where gross inequalities in land ownership existed should be put in place. Unemployment and poverty are serious constraints to sustainable development of the Niger Delta Region of Niger’s socio-economic resources in the 21st Century Nigeria. The time to reverse this ugly and unpalatable situation is now.

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Analysis of Resource Productivity and the Level of Fertilizer - Manure Substitution Among Vegetable Farmers in the Southern Region of Nigeria

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Abstract: The study analyzed farm input productivity and estimated constant elasticity of substitution of fertilizer for manure for vegetable farmers in the southern region of Nigeria. Primary data obtained from four hundred and eighty vegetable farmers in Uyo and Itu regions of the southern part of Nigeria were used in the study. A combination of analytical tools including descriptive statistics (percentages, frequency and tables), and regression analysis were used for data analysis. The generalized constant elasticity of substitution function was specified and estimated through a system of coefficients relationship after which the constant elasticity of substitution of fertilizer for manure for each crop enterprise was calculated. The empirical results revealed a constant elasticity of substitution of fertilizer for manure of about 27.21% for waterleaf production and 35.11% for fluted pumpkin production in the region. The Cobb-Douglas production function for waterleaf production revealed that planting material, family labor, fertilizer, manure, and water have significant influenced on waterleaf production; while the linear production function for fluted pumpkin production revealed that seed, hired labor, fertilizer, and manure have significant impact on the quantity of fluted pumpkin produced. The result also revealed that the utilization of all significant production inputs of the two crop enterprises were in the rational zone of the classical production surface. A mean total factor productivity of 45.60% and 45.59% were realized for waterleaf and fluted pumpkin farms respectively in the region. The study however recommended that government should increase fertilizer supply to vegetable farmer at a subsidized rate, intensify effort towards increasing research on manure production to adequately complement the use of fertilizer and make land more accessible to vegetable crop farmers in the region. Also, farmers cooperative organizations should be encourage among vegetable farmers as this would make inputs acquisition less cumbersome.

Keywords: Vegetable, fertilizer, manure, substitution, CES, waterleaf, fluted pumpkin

1. Introduction

In Sub-Saharan Africa, agriculture has continues to be a primary instrument for sustainable development, poverty reduction, attainment of household self food sufficiency and food security at large (World Bank, 2008
This is based on the fact that majority of the population are engaged in agricultural activities. This make the agricultural sector in Africa a top preference for spurring growth, overcoming poverty, and enhancing self food security. However, agricultural productivity in Africa has continued to decline over the last decades and poverty level has increased (Olwande et al., 2009). Scale economies in staple crop production and marketing are small. Staple crop production is especially plagued by many input and factor market failures (Christiaensen and Demery 2010). In Nigeria, more than 60 percent of the population is engaged in agricultural production; most of which are engaged in small scale production (Deckers, 1993 and Olutawosin and Olanian, 2001). The ecological zones in the country support varieties of crop production, ranging from cereals in the savanna region, root and tree crops in the rain forest and vegetables in all ecological zones.

Vegetable production has been inconsistent in Nigeria; for instance in 2005 about 4924.9 thousand tonnes were produced, while 2487.7 thousand tonnes were produced in 2006 (CBN, 2006). Vegetables are good sources of protein, mineral salts, sugars, vitamins, and essential oils that increase man’s resistance to disease (Hugues and Philippe, 1995 and Christian, 2007). Mlozi, (2003) and Francisca et al., (2006) asserted that increased vegetable production improved food security and offer employment opportunities to many rural women in Nigeria.

In the southern region of Nigeria, vegetable production is popular due to its high consumption rate easily traced to it affordability. Waterleaf (*Talinum triangulare*) and fluted pumpkin (*Telfairia occidentalis*) are among the major leafy vegetables grown by farmers in the southern region of Nigeria. The popularity of these two major vegetable crops had been linked to low cost per unit of resource use in production, short gestation period and quick returns on invested capital compared to other vegetable crops (Udoh, 2005). Sustained production of vegetables in the southern region of Nigeria could only be achieved if farm inputs are readily available and utilized optimally. Therefore, rational farm resources allocation and utilization are prerequisite for attaining higher productivity in vegetable production in the southern region of Nigeria.

For instance, significant positive impact of fertilizer use on arable crop production in the southern region Nigeria has been reported by Van Reuler and Prins (1993), Udoh (1993), Alimi et al., (2001), Osuhor et al., (2002) and Akpan et al., (2010). On the other hand, Fabiyi and Oggunfowora (1992), Udoh (1993), Chinedu et al., (2002), Udoh et al., (2007), Olayinka et al., (1998), Udoh (2005) and Akpan et al., (2010) asserted significant positive influenced of manure application on arable crop production in Nigeria. Also, significant influenced of labor, capital, land size, planting material fertilizer and manure in vegetable production such as *Talinum triangulare* and *Telfairia occidentalis* has been reported by Udoh (2005), Udoh and Sunday (2007), Omonona and Babalola (2007), Nwachukwu and Onyenwaku (2007) and Enete and Ubokudom (2010) all in Nigeria. Also the cultivation of vegetable crops in Nigeria is gender biased as it is dominated by women (Amali, 1989; Okonjo, 1991; Auta et al., 2000; Mlozi, (2003); Rahman et al., 2003; Francisca et al., 2006; Damisa and Yohanna, 2007; Udoh and Sunday 2007; Nwachukwu and Onyenwaku 2007 and Rahman, 2008).

Due to the population pressure, increasing urbanization and land fragmentation in the southern region of Nigeria; vegetable crops is cultivated in the marginal or less fertile land by smallholder farmers under traditional system of farming (Spencer, 1991; Enete and Ubokudom, 2010 and Udoh and Sunday, 2007). In a situation of small farm sizes couple with the deteriorating condition of the soil, agricultural intensification becomes the means of effectively addressing the problem of self-insufficiency in food production (Pinstrop-Anderson and Pandya–Lorch, 1994). The issues on agricultural intensification have mixed impacts (Senjobi et al., 2000 and DFID, 2002). Sustained vegetable production in the southern region of Nigeria could be achieved under increasing agricultural resources intensification and dynamic economic environment only if resource allocation and utilization occur in the rational stage of the classical production surface (CGIAR, 1988). The attainment of such farm objective especially in the developing countries is constrained by price inelasticity of input demand among others. Farmers in response to these constraints are compelled to adopt strategies to attain certain level of efficiency in resource allocation and utilization. Inputs substitution is one of
the strategies widely used by farmers in the developing countries to avert high price of complementing inputs. Among vegetable farmers in the southern region of Nigeria, there is an evidence of increasing substitution of fertilizer for manure in their production activities (Akpan et al., 2010). Despite the inherent advantages the use of fertilizer has on food crop production and welfare of farmers, the adoption of the technology has been hindered by multifarious factors including socioeconomics characteristic of farmers (i.e. education, social status, attitude, social influence, estimated skills and resource endowments), budget constraint, characteristic of the technology (i.e. relative advantage of the technology, its profitability and compatibility), environmental factors, and unhealthy fertilizer policy as well as farmer’s related factors (Rogers, 1983; Byerlee, 1997 and Manyong et al., 2006).

In the face of the various agricultural programmes and policies implemented over the years by the government of various states in the southern Nigeria to rise farmers’ efficiency and productivity in crop production; the important of vegetable sub sector to the economy of the southern region of Nigeria (temporary job creation, self food sufficiency, and good food complement sources), and production constraint inherent in vegetable production; there is an overwhelming need to assess the productivity of vegetable farm resources and determined level at which fertilizer is substituting for manure in the production of vegetables in the region. Indices of farm resource productivity and allocation would help in formulating sustainable policy frame work from which sound farm level policy could be base in the region. For an example, effective fertilizer policy in the region would be promoted if the farm production and allocation index relating to fertilizer use among farmers is known with certainty. If the index is low, the need for intensification policy could be advocated and vice visa. Therefore, the study specifically assessed the resource productivity of vegetable farmers and also determined the constant elasticity of substitution of fertilizer for manure among vegetable farmers in the southern region of Nigeria. We assumed that the index of manure-fertilizer substitution among vegetable farmers in the southern Nigeria is approximately constant due to the insignificant change in the sub sector's output and subsistence nature of production of the enterprise over the years (AKSMA, 2010).

2. Research Methodology

2.1 The study area; data sources and collection procedures

The study was conducted in Uyo region and Itu region in Akwa Ibom State and Cross River state all located in the southern region of Nigeria. Uyo region consisted of Uyo, Uruan and Ibesikpo local government areas of Akwa Ibom state. The Itu region consisted of Itu, Odukpani and Calabar local government areas of Akwa Ibom state and Cross River State. Uyo and Itu lie within the humid tropical rainforest zone of Nigeria with an average annual precipitation range of 2000 - 3000mm. Uyo is located between latitude 5°17' and 5°27'N and longitude 7°27' and 7°58'E and covers an area of approximately 35 square kilometers as well as a population of 305,961; while Itu is situated within latitude 4° and 20°N of the equator and longitude 30° and 47°E of the median and has an area of about 128.32 square kilometers as well as a population of 127,850 (NPC, 2006). The areas are basically an agrarian environment and vegetable production is very prominent among the inhabitants. Two – stage random sampling technique was used to select two hundred and forty waterleaf farmers in Uyo region and another two hundred and forty fluted pumpkin farmer from intense cultivation area in Itu region. Primary data collected from the farmers consisted of socio-economic and production data. Personal interviewed were also conducted to validate the consistency and accuracy of information supplied by the respondents.

2.2 Analytical Techniques

A combination of analytical tools including descriptive statistics (percentages, frequency and tables), and regression analysis were used in the study. The regression analysis involved specification of various forms of
production functions. An implicit production function specified was as follows;

\[ Y_{WP} = f(QS, FL, MA, DEP, HL, FER, LNS, WAT) \] .................................................. (1)

Where,

- \( Y_{WP} \) = Output of waterleaf or pumpkin (kg)
- \( QS_{wp} \) = Quantity of seed or planting material (kg);
- \( HL \) = (in man days)
- \( FL \) = Family labour (in man day);
- \( FER \) = quantity of fertilizer used (kg)
- \( MA \) = Quantity of Manure used (kg);
- \( LNS \) = land size (in hectares)
- \( DEP \) = Depreciation as a proxy of capital stock (₦)
- \( WAT \) = quantity of water used (in litres);
- \( U \) = Error term

The study specified only the important production inputs used in vegetable production in the areas. From the survey it was noticed that about 99.9% of vegetable farmers in the regions do not used herbicides or any form of agro chemical in the production of vegetables. Cultural barriers, unfounded rumors and high price were some of the reasons farmers refused to applied chemicals in their farms.

To determine the constant elasticity of substitution of fertilizer for manure by waterleaf and fluted pumpkin farmers in the study areas, the generalized constant elasticity of substitution (CES) production function was specified for each of the crop enterprise as follows (Kmenta, 1967):

\[ Y = f(FER, MAN) = A \left[ \delta FER^{\gamma} + (1-\delta) MAN^{\gamma} \right]^{\frac{1}{\gamma}} \] .................................................. (2)

Where;

- \( A \) = efficiency parameter (\( A > 0 \));
- \( \delta \) = distribution parameter (\( 0 < \delta < 1 \))
- \( \gamma \) = substitution parameter (\( \gamma \geq -1 \))
- \( Y_{N} \) = normalized output of the ith crop in kg
- \( FER \) and \( MAN \) are as defined in equation (1) but were normalized using output price in equation (2).
- \( V \) = return to scale parameter (\( V > 0 \))

Kmenta (1967) states that in the above CES function, when \( \beta \) is in the neighborhood of zero or when the elasticity of substitution \( \sigma \) is in the neighborhood of unity, that the CES function can be approximated with a Taylor expansion series around \( \beta = 0 \). Using Taylor expansion series around \( \beta = 0 \); equation (2) was linearized as in equation (3) and ordinary least squares method used to estimate it in the form of equation (4).

Hence,

\[ \ln(Y_{N}) = \ln(A) + V\delta\ln(FER) + V(1-\delta)\ln(MAN) - \beta V\delta/2(1-\delta)\ln(FER)^{2} - \beta V\delta/2(1-\delta)\ln(MAN)^{2} + \beta V(1-\delta) \lnFER \ln(MAN) + \epsilon_{i} \] ..................................................(3)

Further simplification of equation (3) yield,

\[ \ln(Y_{N}) = bo + b1\ln(FER) + b2\ln(MAN) + b3\ln(\ln(FER) - \ln(MAN))^{2} + \epsilon_{i} \] ..............(4)

The implication of the transformation is that, fertilizer and manure technology is assumed to have a constant elasticity of substitution in the production of vegetable crops in the region due to the production constraints inherent in its production. And this elasticity of substitution is assumed to be in the neighborhood of unity. Following this assumptions, the input and the output values observed for the production of these crops could be fitted to equation (4). It then follow that the restriction stated below could be used to test whether the estimated function does in fact approximate the CES function in equation (2) and thus estimate the CES parameters \( A, \delta, \beta \) and \( V \).

\[ A = \text{antilog of } bo, V = b1 + b2, \delta = b1/(b1 + b2), \beta = -2b3(b1 + b2)/b1b2 \text{ and } \sigma = 1/(1 + \beta) \]

Where, \( \sigma \) is the elasticity of substitution of fertilizer for manure in the production of each crop output. Given the above definition of \( \sigma \), the following relationships between \( \sigma \) and \( \beta \) hold (Bruno et al, 2005).

- \( \sigma = \infty \) then (\( \beta = -1 \)): CES takes the linear form and the inputs are perfect substitute so that the farmers have no special preference for any of the inputs.
- \( \sigma = 1 \) then (\( \beta = 0 \)): CES becomes Cobb Douglas function and expressed a perfect balance between substitution and complementary effects. That is unity elasticity of substitution between the two inputs.
- \( \sigma < 1 \) then (\( \beta > 0 \)): CES function becomes production function with significant complementarity’s effect between inputs.
\(\sigma > 1\) then \((\beta < 0)\): CES function shows inputs that are partial substitutes.

\(\sigma = 0\) then \((\beta = \infty)\): CES takes the form of Leontief production function. This means that, the optimal inputs combination or substitution in the production process does not depend on input prices but fully determined by the parameters defining the production function.

Equation (3) and (4) are similar so that the parameters of CES were estimated using a system of coefficient relationship described above.

### 3. Result and Discussion

#### 3.1 Socioeconomic Characteristic of Vegetable farmers in the Southern Nigeria

The socioeconomic characteristics of vegetable farmers in the southern region of Nigeria are summarized in Table 1. The survey revealed that female farmers dominated the cultivation of waterleaf (100%) and fluted pumpkin (91.67%) in the southern region of Nigeria. The result revealed the significance of agricultural activities to the sustenance of rural women folk in the southern Nigeria.

Table 1: Socio-economic Characteristics of Vegetable farmers in Uyo and Itu regions of Southern Nigeria.

<table>
<thead>
<tr>
<th>Characteristics</th>
<th>Fluted Pumpkin</th>
<th>Waterleaf</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Frequency</td>
<td>Percentage</td>
<td>Frequency</td>
</tr>
<tr>
<td>Sex Distribution</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Male</td>
<td>20</td>
<td>8.33</td>
<td>0</td>
</tr>
<tr>
<td>Female</td>
<td>220</td>
<td>91.67</td>
<td>240</td>
</tr>
<tr>
<td>Total</td>
<td>240</td>
<td>100.00</td>
<td>240</td>
</tr>
<tr>
<td>Age Range (Yrs)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>&lt; 30</td>
<td>30</td>
<td>12.50</td>
<td>30</td>
</tr>
<tr>
<td>31-60</td>
<td>192</td>
<td>80.00</td>
<td>204</td>
</tr>
<tr>
<td>&gt; 60</td>
<td>18</td>
<td>7.50</td>
<td>6</td>
</tr>
<tr>
<td>Total</td>
<td>240</td>
<td>100.00</td>
<td>240</td>
</tr>
<tr>
<td>Marital Status</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Single</td>
<td>30</td>
<td>12.50</td>
<td>12</td>
</tr>
<tr>
<td>Married</td>
<td>162</td>
<td>67.50</td>
<td>132</td>
</tr>
<tr>
<td>Divorcee</td>
<td>12</td>
<td>5.00</td>
<td>30</td>
</tr>
<tr>
<td>Widowed</td>
<td>36</td>
<td>15.00</td>
<td>66</td>
</tr>
<tr>
<td>Total</td>
<td>240</td>
<td>100.00</td>
<td>240</td>
</tr>
<tr>
<td>House Hold Size (Yrs)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>&lt; 5</td>
<td>66</td>
<td>27.50</td>
<td>60</td>
</tr>
<tr>
<td>5-10</td>
<td>138</td>
<td>57.50</td>
<td>162</td>
</tr>
<tr>
<td>&gt; 10</td>
<td>36</td>
<td>15.00</td>
<td>18</td>
</tr>
<tr>
<td>Total</td>
<td>240</td>
<td>100.00</td>
<td>240</td>
</tr>
<tr>
<td>Level of Education (Yrs)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>No Formal Education</td>
<td>18</td>
<td>7.50</td>
<td>36</td>
</tr>
<tr>
<td>Primary School</td>
<td>138</td>
<td>57.50</td>
<td>108</td>
</tr>
<tr>
<td>Secondary School</td>
<td>60</td>
<td>25.00</td>
<td>72</td>
</tr>
<tr>
<td>Tertiary Education</td>
<td>24</td>
<td>10.00</td>
<td>24</td>
</tr>
<tr>
<td>Total</td>
<td>240</td>
<td>100.00</td>
<td>240</td>
</tr>
<tr>
<td>Primary Occupation</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Farming</td>
<td>174</td>
<td>72.50</td>
<td>174</td>
</tr>
<tr>
<td>Trading</td>
<td>24</td>
<td>10.00</td>
<td>18</td>
</tr>
<tr>
<td>Civil Service</td>
<td>12</td>
<td>5.00</td>
<td>30</td>
</tr>
<tr>
<td>Others</td>
<td>30</td>
<td>12.50</td>
<td>18</td>
</tr>
<tr>
<td>Total</td>
<td>240</td>
<td>100.00</td>
<td>240</td>
</tr>
<tr>
<td>Total Income/annum (₦)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>&lt; 100,000</td>
<td>84</td>
<td>35.00</td>
<td>42</td>
</tr>
<tr>
<td>100,000 – 200,000</td>
<td>72</td>
<td>30.00</td>
<td>132</td>
</tr>
<tr>
<td>200,001 – 300,000</td>
<td>42</td>
<td>17.50</td>
<td>36</td>
</tr>
<tr>
<td>300,001 – 400,000</td>
<td>12</td>
<td>5.00</td>
<td>9</td>
</tr>
</tbody>
</table>
The finding implies that women are the dominant force in arable crop production in Nigeria and that poverty alleviation programme targeted on women in the southern region of Nigeria would probably performed better through agricultural sector. The result corroborates the findings of Amali, (1989), Okonjo (1991); Auta et al., (2000); Mlozi, (2003); Rahman et al., (2003); Francisca et al., (2006); Damisa and Yohanna, (2007); Udoh and Sunday (2007); Nwachukwu and Onyenwaku (2007) and Rahman, (2008) in Nigeria.

Eighty percent of waterleaf farmers and eighty five percent of fluted pumpkin farmers fell within the age bracket of 30 and 60 years with an average age of about 42 years for both enterprises. This implies that, active labor force is involved in the cultivation of waterleaf and fluted pumpkin and this has a positive implication for vegetable production in southern Nigeria. This is an incentive to agricultural innovation dissemination as younger farmers are more likely to adopt new technology in agricultural production (Udoh and Sunday, 2007 and Akpan et al., 2010).

The surveys also revealed that majority of vegetable farmers (i.e. 67.50% for fluted pumpkin farmers and 55% for waterleaf farmers) in the region are married and have household size range of 5 to 10 members (57.50% for pumpkin and 67.50% for waterleaf) as well as an average household size of 6 members. The result could be explained by the fact that most vegetable farmers in the region used the proceeds from the vegetable enterprise to augment family income and employed relatively large and cheap family labor in vegetable production. These have a positive implication on farmers’ welfare, sustainability of the enterprise and cost minimization objective of vegetable farms in southern Nigeria.

Also, majority of vegetable farmers have at least 6 years of formal education with an average of 8 years for all respondents. The result implies that there is a high probability of innovation adoption and diffusion among vegetable farmers in the southern Nigeria. Around 35% of fluted pumpkin farmers made less than N100,000 per annum with an average of about N200,000/annum; while 55% of waterleaf farmers made between N200,001 and N300,000 per annum with an average of about N270,000/annum. This means that vegetable cultivation is profitable in the southern Nigeria. In addition, the result showed that majority of vegetable farmers in the region (about 70% for waterleaf and 41.67% for fluted pumpkin) have farming experience greater than 5 years with an average farming experience of about 7 years for fluted pumpkin and 6 years for waterleaf farmers. This indicates that vegetable cultivation is an emerging enterprise in the in southern Nigeria with vast potentials for increase private investment.

About 80% of fluted pumpkin farmers and 70.83% of waterleaf farmers have farm size that is between 0.1 ha to 1.0 ha with a mean farm size of 0.65 and 0.12 for fluted pumpkin and waterleaf farms respectively. The result could be attributed to the continuous subsistence nature of cultivation of vegetable crops in the southern Nigeria imposed by increasing land fragmentation and urbanization. The finding consolidated the research report by Nwachukwu and Onyenwaku (2007) and Akpan et al., (2010).
4. Result of the regression Analysis

The estimates of production functions for waterleaf and fluted pumpkin in the southern region of Nigeria are presented in Tables 2 and 3. Various functional forms were estimated for each crop enterprise. The diagnostic tests and number of significant variables as well as the information criteria were used as basis for selecting the lead or best equation. Double log production function was selected as the best functional form for vegetable production.

**Table 2:** Regression results for waterleaf production in Uyo region in southern Nigeria.

<table>
<thead>
<tr>
<th>Variable</th>
<th>Linear</th>
<th>Exponential</th>
<th>Semi-log</th>
<th>Double-log (L*)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Constant</td>
<td>61.787 (2.083)**</td>
<td>4.742 (35.034)**</td>
<td>-55.801 (-1.856)*</td>
<td>1.517 (1.728)*</td>
</tr>
<tr>
<td>Planting Material</td>
<td>0.534 (4.932)**</td>
<td>0.002 (4.483)**</td>
<td>17.775 (4.447)**</td>
<td>0.108 (6.789)**</td>
</tr>
<tr>
<td>Hired Labor</td>
<td>-0.001 (-0.539)</td>
<td>-6.65e-006 (-0.834)</td>
<td>2.055 (0.490)</td>
<td>0.002 (0.179)</td>
</tr>
<tr>
<td>Family Labor</td>
<td>0.001 (-0.358)</td>
<td>8.08e-009 (0.154)</td>
<td>2.687 (3.508)**</td>
<td>0.007 (4.657)**</td>
</tr>
<tr>
<td>Fertilizer</td>
<td>0.114 (0.195)</td>
<td>0.001 (0.398)</td>
<td>8.731 (1.794)*</td>
<td>0.006 (2.500)**</td>
</tr>
<tr>
<td>Manure</td>
<td>0.014 (0.238)</td>
<td>0.001 (0.761)</td>
<td>-3.999 (-0.126)</td>
<td>0.084 (2.466)**</td>
</tr>
<tr>
<td>Land size</td>
<td>-3.948 (-1.238)</td>
<td>-0.304 (-0.250)</td>
<td>-5.150 (-1.653)*</td>
<td>-10.06 (-1.074)</td>
</tr>
<tr>
<td>Depreciation</td>
<td>0.002 (1.680)</td>
<td>7.86e-006 (1.256)</td>
<td>17.857 (1.361)</td>
<td>0.047 (1.215)</td>
</tr>
<tr>
<td>Water</td>
<td>0.022 (1.165)</td>
<td>0.001 (1.857)*</td>
<td>1.958 (2.606)**</td>
<td>0.440 (2.849)**</td>
</tr>
</tbody>
</table>

**Diagnostic Statistics**

- $R^2$: 0.848, 0.757, 0.813, 0.877
- Adjusted $R^2$: 0.809, 0.694, 0.764, 0.846
- $F$-Statistic: 21.600***, 12.040***, 16.817***, 27.745***
- Akaike Criterion: 444.31, 212.36, 95.61, 24.43
- Schwarz Criterion: 459.51, 127.56, 98.34, 27.45
- Hannan-Quinn: 499.81, 117.86, 92.63, 27.42
- RESET test: 1.96(0.172), 33.09(0.000)**, 2.300(0.201), 4.67(0.0300)**
- Normality test: 0.35 (0.838), 6.560(0.038), 17.778(0.000)**, 17.78(0.000)**

**Note:** Values in bracket represent t-values; asterisks*,**, and *** represent significance levels at 10%, 5% and 1%. Variables are as defined in equation (1). Where L* represents the lead equation.

The result of the diagnostic test showed the $R^2$ value of 0.877 for the lead equation. This means that about 87.70% of variations in waterleaf output ($Y_w$) are caused by the specified independent variables. The $F$-statistic value of 27.745 for the lead equation is statistically significant at 1% probability level, suggesting that it is significant and this implies goodness of fit for the log linear model. The RESET test result is significant at 1% probability level and this indicates that the equation is not mis-specified and that the assumption of log linearity among variables is correct. The information criteria indicate the relevance of the selected equation. The normality test confirmed the appropriateness of the ordinary least squares technique. The empirical result showed that, planting material ($Q_{SW}$) has a significant positive relationship with the waterleaf output. This implies that when the quantity of planting materials is increased, the output of waterleaf would also increase. The result corroborates the research findings reported by Udoh (2005); Udoh and Sunday (2007) and Omonona and Babalola (2007) on vegetable production in Southern Nigeria. Also, family labor (FL) and fertilizer (FER) have a stimulating or positive correlation with the quantity of waterleaf output in the region. Udoh and Sunday (2007) and Enete and Ubokudom (2010 have reported similar result for waterleaf production in Akwa Ibom state in the southern Nigeria. In a similar way, the quantity of manure (MA) and volume of water (WAT) used by waterleaf farmers have significant positive impact on waterleaf output in the region; this also indicates a stimulating influence of these inputs on waterleaf output. Udoh (2005) reported similar result for vegetables farmers in south-south zone of Nigeria.
Table 3: Estimated Cobb-Douglas production parameters for waterleaf production in Uyo region of southern Nigeria.

<table>
<thead>
<tr>
<th>Variable</th>
<th>Average productivity</th>
<th>Marginal productivity</th>
<th>Elasticity of production</th>
</tr>
</thead>
<tbody>
<tr>
<td>Planting Material</td>
<td>5.9824</td>
<td>0.6464</td>
<td>0.108</td>
</tr>
<tr>
<td>Family Labour</td>
<td>0.6145</td>
<td>0.0043</td>
<td>0.007</td>
</tr>
<tr>
<td>Fertilizer</td>
<td>3.8223</td>
<td>0.0182</td>
<td>0.005</td>
</tr>
<tr>
<td>Manure</td>
<td>0.4759</td>
<td>0.0400</td>
<td>0.084</td>
</tr>
<tr>
<td>Water</td>
<td>0.0450</td>
<td>0.0198</td>
<td>0.440</td>
</tr>
</tbody>
</table>

Source: computed by the authors

The estimated parameters showed that the average productivities of all significant variables are greater than their marginal productivities respectively. This implies that the level of input utilization in the production of waterleaf in the southern region of Nigeria is in the rational zone in a classical production surface. Since waterleaf production enterprise in the southern Nigeria has the features of perfect market structure, it therefore means that farmers are price-takers; as such optimum input/output combination occurs in stage II in a classical production surface. Therefore a unit increase in these inputs would only result in marginal increase in the output of waterleaf produced by farmers. For instance, 10% increase in planting material (QS_m), family labor (FL), fertilizer (FER), manure (MAN) and water (WAT) would result in 6.5Kg, 0.04Kg, 0.18Kg, 0.40Kg, and 0.19Kg units’ marginal increase in waterleaf produced respectively. Also the production elasticity value with respect to each significant input revealed inelastic relationship with the waterleaf output. This implies that a unit change in the significant inputs would result in a less than equivalent unit change in the waterleaf output. The scale of production of waterleaf enterprise in the region revealed a decreasing return to scale value of 0.644. This means that continuous increase in the utilization of the specified inputs would result in a decreasing waterleaf output in the long run. The mean total factor productivity (TFP) of about 4.56 {i.e. antilog (1.517)} is obtainable among waterleaf farms in the region. This implies that inputs productivity among waterleaf farms in the southern region of Nigeria is high; and this further revalidates the rational used of farm inputs among waterleaf farmers in the region.

Similarly the estimated production functions for fluted pumpkin are presented in Table 3. The linear form was picked as a lead equation (L*) because it has the highest coefficient of determination (R² = 0.685) and more significant explanatory variables compared to other models estimated. For the lead equation, the F-statistic (3.531) is highly significant at 1% level which justifies the goodness of fit of the lead equation.

Table 4: Regression results for Pumpkin production in Itu region in southern Nigeria.

<table>
<thead>
<tr>
<th>Variable</th>
<th>Linear L*</th>
<th>Exponential</th>
<th>Semi-log</th>
<th>Double-log L</th>
</tr>
</thead>
<tbody>
<tr>
<td>Constant</td>
<td>255.89 (2.483)**</td>
<td>5.341(25.709)**</td>
<td>-1125.94 (-1.296)</td>
<td>1.524 (0.941)</td>
</tr>
<tr>
<td>Planting Material</td>
<td>0.78 (2.167)**</td>
<td>0.001 (1.765)*</td>
<td>142.15 (1.421)</td>
<td>0.341 (1.830)*</td>
</tr>
<tr>
<td>Hired labor</td>
<td>0.001 (1.680)*</td>
<td>4.96e-006(1.835)*</td>
<td>42.32 (0.682)</td>
<td>0.149 (1.287)</td>
</tr>
<tr>
<td>Family Labor</td>
<td>-0.002 (-0.815)</td>
<td>-2.76e-006 (0.730)</td>
<td>-22.001 (-1.055)</td>
<td>-0.057 (-1.459)</td>
</tr>
<tr>
<td>Fertilizer</td>
<td>1.470 (1.861)*</td>
<td>0.002 (1.753)*</td>
<td>0.328 (0.005)</td>
<td>-0.064 (-0.502)</td>
</tr>
<tr>
<td>Manure</td>
<td>0.080 (3.773)**</td>
<td>1.86e-005 (0.045)</td>
<td>5.839 (0.071)</td>
<td>0.062 (0.407)</td>
</tr>
<tr>
<td>Land Size</td>
<td>-0.546 (-6.067)**</td>
<td>-0.006 (-0.022)</td>
<td>-23.03 (-2.239)**</td>
<td>-0.033 (-2.183)**</td>
</tr>
<tr>
<td>Depreciation</td>
<td>0.0001(0.300)</td>
<td>1.64e-006 (0.689)</td>
<td>33.031 (0.761)</td>
<td>0.099 (1.219)</td>
</tr>
</tbody>
</table>

Diagnostic Statistics
The RESET test result is significant at 1% probability level indicating that the equation is not mis-specified and that the assumption of linearity among variables is correct. The information criteria and normality test indicate the important and correctness of the selected equation and the used of ordinary least squares technique respectively.

The empirical result revealed that the coefficient of pumpkin seed (QS_p) has a significant positive relationship with the quantity of fluted pumpkin produced by farmers. The result implies that 10 percent increase in the quantity of seed used would result in 7.8 percent units increase in pumpkin output. Similarly, the coefficient of hired labor (HL) used in the production of fluted pumpkin has a stimulating influenced on the pumpkin output. This indicates that a unit increase in (HL) would result in 0.001 units increase in the fluted pumpkin output.

The slope coefficients of fertilizer (FER) and manure (MAN) have significant positive impact on fluted pumpkin output in the study area. The results imply that 100 percent increase in both inputs would result in 147.0 and 8.0 percent increase in pumpkin output respectively. On the other hand, the coefficient of land size (LNS) has a significant negative relationship with fluted pumpkin output. The result indicates that a unit increase in land size would retard fluted pumpkin output by 0.546 units. The reasons for the result might be explained by declining soil fertility in the study area attributed to increase soil intensification and the issue of high cost of mineral fertilizer in the region. The mean total factor productivity (TFP) of about 4.59 (i.e. antilog (1.524)) was obtainable among fluted pumpkin farms in the region. This implies that inputs productivity among fluted pumpkin farms in the southern region of Nigeria is high; and this further reaffirmed the rational used of farm inputs among pumpkin farmers in the region.

### Table 5: Estimated Linear production function Parameters for Fluted Pumpkin in Itu region of southern Nigeria

<table>
<thead>
<tr>
<th>Variable</th>
<th>Average productivity</th>
<th>Marginal productivity</th>
<th>Elasticity of production</th>
</tr>
</thead>
<tbody>
<tr>
<td>Planting Material</td>
<td>0.29105</td>
<td>0.078</td>
<td>0.26700</td>
</tr>
<tr>
<td>Hired Labour</td>
<td>0.01234</td>
<td>0.001</td>
<td>0.08104</td>
</tr>
<tr>
<td>Fertilizer</td>
<td>7.32963</td>
<td>1.470</td>
<td>0.19885</td>
</tr>
<tr>
<td>Manure</td>
<td>1.38695</td>
<td>0.080</td>
<td>0.05768</td>
</tr>
<tr>
<td>Land Size</td>
<td>636.34266</td>
<td>-0.546</td>
<td>-0.00086</td>
</tr>
</tbody>
</table>

Source: Computed by authors

The average productivities of all significant variables are greater than their marginal productivities respectively. This means that the level of input use in the production of fluted pumpkin in the study areas is in the rational zone in a classical production surface. The elasticity of production of fluted pumpkin with respect to each of the significant variable; planting material (QS_p), hired Labor (HL), fertilizer (FER), manure (MAN), and land size (LANS) revealed an inelastic relationship. The scale of production in fluted pumpkin enterprise in the study area revealed a decreasing return to scale value of 0.6037. This means that continuous increase in significant inputs would result in a decreasing fluted pumpkin output in the long run.
4.2 Estimates of constant elasticity of substitution of fertilizer for manure for vegetable farmers in Uyo and Itu regions in the southern part of Nigeria.

The first part of the result in Table 6 shows the estimated equation (4) for waterleaf and fluted pumpkin farms. The F-values of (11.287) for waterleaf, and (3.864) for fluted pumpkin production are statistically significant at 1 percent level respectively. This indicates goodness of fit for the specified double log linear model in equation (4). The value of $R^2$ for each crop enterprise shows considerable variations in outputs were caused by the use of fertilizer and manure.

Table 6: Constant elasticity of substitution parameters for vegetable farmers in Uyo and Itu regions of Southern Nigeria.

<table>
<thead>
<tr>
<th>Variable</th>
<th>Waterleaf</th>
<th>Pumpkin</th>
</tr>
</thead>
<tbody>
<tr>
<td>$b_0$</td>
<td>-0.899(-3.167)**</td>
<td>-0.536(-1.899)*</td>
</tr>
<tr>
<td>$b_1$</td>
<td>0.026(0.399)</td>
<td>0.306(1.236)</td>
</tr>
<tr>
<td>$b_2$</td>
<td>0.485(4.775)**</td>
<td>0.691(2.346)**</td>
</tr>
<tr>
<td>$b_3$</td>
<td>-0.033(-1.668)*</td>
<td>-0.196(-2.361)**</td>
</tr>
<tr>
<td>$R^2$</td>
<td>0.485</td>
<td>0.510</td>
</tr>
<tr>
<td>F-cal</td>
<td>11.287***</td>
<td>3.864***</td>
</tr>
</tbody>
</table>

Note: figures in bracket are t-values, while *,**, and*** represent 10%, 5%, and 1% significance levels respectively. Variables are as defined in equation 2.

The second part showed the approximated CES parameters and the last part revealed the constant elasticity of substitution of fertilizer for manure in the production of waterleaf and fluted pumpkin crops. The result revealed that in the production of waterleaf and pumpkin, the constant elasticity of substitution of fertilizer for manure is 0.2721 and 0.351 respectively and is less than unity. This implies that the use of fertilizer and manure inputs in the production of vegetables in southern region of Nigeria has a significant complementarity effect between them. This means that manure is frequently used to complement fertilizer in the production of waterleaf and fluted pumpkin in approximated constant rate of 0.2721 and 0.351 respectively in the southern region of Nigeria. The efficiency parameters (A) with respect to the used of fertilizer and manure in waterleaf production is about 12.62% and 29.11% for fluted pumpkin production. The scale of production (V) revealed a decreasing return to scale of 0.511 for waterleaf production and 0.997 for fluted pumpkin production. The substitution parameters are less than unity for both crops and revealed one-sided substitution of one input for another. This further validates the fact that more manure is used than fertilizer by vegetable farmers in the region.

5. Summary and Recommendations

The study analyzed farm input productivity and fertilizer - manure substitution among waterleaf and fluted pumpkin farmers in the southern region of Nigeria. Descriptive statistics and Ordinary Least Squares regression model were used in the analysis. Empirical results revealed that planting material, family labor, fertilizer, manure, and water are significant farm inputs affecting the production of waterleaf; while planting material, hired labor, fertilizer, manure, and land size affect fluted pumpkin production in the southern region of Nigeria. Constant Elasticity of Substitution of fertilizer for manure less than unity was discovered for the crop enterprises. The result also indicated that the level of farm resources use in both waterleaf and fluted...
pumpkin production in the region were in the rational stage of classical production surface. In addition, the findings revealed the presence of decreasing return to scale in waterleaf and fluted pumpkin production.

The study therefore recommended that the state government of the region should increase fertilizer supply to vegetable farmer at a subsidized rate. Also, government and private investors should intensify effort towards increasing research on manure production to adequately complement the use of fertilizer among vegetable farmers in the southern region of Nigeria. In addition, the regional governments should make land more accessible to vegetable crop farmers in the region. This could be achieved through land extensification programmes such as: land reclamation, development of Fadama and provision of accessible roads to interior more accessible to vegetable crop farmers in the region. This could be achieved through land extensification programmes such as: land reclamation, development of Fadama and provision of accessible roads to interior or undulating landscape areas. Farmers cooperative organization should be encourage among vegetable farmers as this would make inputs acquisition less cumbersome. Vegetable production is a profitable venture in the southern part on Nigeria, thus increase private investment is strongly advocated.

References


Job Insecurity in Selected Banks in Ibadan Southwest Nigeria

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Abstract: Job insecurity has become an important phenomenon that affects the job performance. This problem is prominent is worsened in the banking sector of Nigeria. This paper examined Job Insecurity amongst bank workers in ten (10) selected new and old generation banks in Nigeria. The study was anchored on Adam Smith’s Equity theory, utilized both qualitative and quantitative techniques to gather data from two hundred and sixty (260) respondents randomly selected from the ten banks. Findings from the study revealed that Findings from the study showed that 58.8% of the respondents agreed that unfavorable government policy makes their future uncertain and 55.2% agreed that absence of trade unions make the future of their job unprotected. Also, 39.8% of the respondents have intention to leave their present employer and 54.4% agreed that there is high labour turnover in their respective organizations. From the bivariate analysis, there was significant relationship between old generation banks and new generation banks on perception of level of job insecurity (X²c=15.475; p<0.05); there was significant association between the age of respondents and perception on level of job insecurity (X²c=8.613; p<0.05); and there was no significant association between respondents’ category of staff and perception on level of job insecurity (X²c=0.009; p>0.05).The paper concluded that there is a high level of job insecurity among bank workers, especially those on contract appointment and recommended : the need to harmonize the wage structure among both contract and permanent staff and to encourage trade unionism in banks to protect the rights of workers

Key words: Job Insecurity, Contract staff, Permanent staff, New Generation Banks, Old Generation Banks

1. Introduction

Job insecurity has become an important organizational phenomenon impacting on both the individual and organization hence the need to respond at all levels. A study by Sverke and Goslinga (2003) revealed that job insecurity has immediate consequences, which may affect the attitudes of individuals and have possible long-term consequences that may affect an individual’s health and behaviour. According to different studies, job insecurity is also related to work and organizational attitudes (Davy, Kinicki, & Scheck, 1997; Orpen 1993). Knowing the individual and organizational consequences of job insecurity and all its dimensions emphasizes the need to investigate possible processes and factors that may moderate and mediate its effect. From what has been theorized and inferred, it is understandable that job insecurity is highly threatening to employees given the prospect of losing the positive material, social, and psychological benefits associated with employment (De Witte, 1999). The notion that job insecurity may produce negative individual-level effects is well established.

The current turbulent Nigerian business environment requires workers and organizations to re-examine their practices. Banking is an inherently stressful profession with long working hours, stiff competition, ethical dilemmas, regulatory bottlenecks and difficult customers. However, the Central Bank of Nigeria (CBN)
introduced a consolidation programme as part of its over-sight functions of the banking industry as a result of failed banks saga of the late 90s. Consolidation of the banking industry generally involves a combination of existing banks, growth among the major players in the banking industry; and may lead to the exit of small and weak banks from the industry (Ogunleye, 2005). Soludo (2004) submitted that the consolidation programme became necessary because the Nigerian banking industry was plagued with persistent liquidity problems, poor asset management, weak corporate governance, weak capital base, over-dependency on public sector deposits, late or non-publication of annual accounts, and neglect of small and medium scale enterprises. The CBN adopted a risk-focused, rule-based regulatory framework predicated on merger and acquisition to implement the bank consolidation programme. Among other things, the minimum capitalization of Nigerian banks was increased from 2 billion to 25 billion naira. This reduced the number of banks in Nigeria from 89 (as at June, 2004) to 25 (in December, 2005).

Though, the bank consolidation programme in Nigeria has helped stabilize and reposition the banking industry, it is not without some challenges for the banks, the regulatory agencies, and their employees (Ogunleye, 2005; Ojedokun, 2008). For banks, consolidation has increased inter-bank competition, demands for high returns on investment, a need to retain highly skilled employees, and a bid to avoid the sanctions of the monitoring and regulatory agencies. Consequently, there is a shift from transaction based model to sales/service model (Ojedokun, 2008). For bank employees in Nigeria, the effect is not less. The sales model adopted by banks puts a lot of pressure on the employees to perform, as higher targets are set to justify their pay. For example, more than before, Nigerian banks hinge confirmation of appointment, promotion, recognition, and remuneration of an employee on how well he/she met job targets. High job targets may increase demand/time pressure in employees and may have implications for the health and job satisfaction of such employees. Also, outsourcing of major functions has also been a major setback to employees’ career satisfaction with ridiculous wage/salary structure.

Research into job insecurity has provided consistent evidence across firms, industries, and countries that job insecurity is associated with negative employee attitudes, behaviours, and health (Sverke, et al 2002). Despite the growth of evidence on job insecurity as reported in literature, not much research has been done to link individual effects to organizational level effect. To fill this gap, this study therefore examined job insecurity among workers in old and New Generation banks in Ibadan, Southwest Nigeria.

The main issues the paper focused on are investigations on the perceived causes of job insecurity, the effects of job insecurity on job performance, and the consequences of job insecurity on organizational performance.

2. Brief Literature Review

Job insecurity has been conceptualized widely in the international literature (Greenhalgh & Rosenblatt 1984; Hartley, et al 1991; Hellgren, et al 1999; Roskies & Louis-Guerin 1990). As early as 1965, researchers and writers identified job insecurity as a phenomenon to be considered in the changing world of work (Kronhauser 1965). Throughout the literature, job insecurity was conceptualized from two distinct perspectives; namely global and multidimensional. The global perspective underwrites the assumption that job insecurity can be conceptualized as the overall concern about the future of one’s job (Hartley, et al. 1991). The literature shows the use of this conceptualization in the context of change or crises, such as political change, mergers or reorganization. In these cases, job insecurity is normally considered to be the phase prior to unemployment (Dooley 2003). Multidimensional conceptualizations conversely hold the viewpoint that job insecurity is a more complex phenomenon than only the fear of losing a job and includes dimensions such as the fear of losing job features, including job stability, positive performance appraisals and promotions (Greenhalgh & Rosenblatt 1984; Jacobson 1991).

Mauno, et al 1999 conceptualized job insecurity as a stressor irrespective of its conceptualization as global or multidimensional. This view includes the application of stress theories to research on job insecurity. Some research done from the stress framework holds that stressors such as demands placed on the employee and
the employee’s experienced levels of strain may produce feelings of job insecurity (Ashford et al. 1989; De Witte 2000; Mauno, et al, 1999; Sverke et al. 2002). Probst's (2002) integrated model of job insecurity confirms the perspective that job insecurity is a job stressor.

3. Theoretical Position

The Adams' Equity Theory model which this study utilized extends beyond the individual self, and incorporates influence and comparison of other people’s situations. The theory posits that when people feel fairly or advantageously treated they are more likely to be motivated and when they feel unfairly treated they are highly prone to feelings of disaffection and de-motivation. The way that people measure this sense of fairness is at the heart of Equity Theory.

Adam's equity theory's relates with this study on the notion that job inequality is viewed and has been a resurgent theme in job insecurity research employing justice frameworks, moderators of job insecurity reactions among different categories of employment (contract and permanent). It is theorized to shed light on how management should treat work in equitable manner to all categories of employees for desirable outcome and output for greater efficiency and effectiveness to achieve organizational goals and objectives. This has a long way to motivate and increase the morale of the employees, which has a reciprocal effect on the organization.

4. Methodology

Survey method was adopted in this study. In other words, the study relied on combination of both qualitative and quantitative methods.

The target population for the study were bank workers in 10 selected banks, in Ibadan. The banks were selected through deep balloting from the surviving 25 banks from post consolidation exercise and it covered both First/Old and New Generation Banks. They were:

<table>
<thead>
<tr>
<th>NEW GENERATION BANKS</th>
<th>FIRST GENERATION BANKS</th>
</tr>
</thead>
<tbody>
<tr>
<td>First City Monument Bank Plc</td>
<td>First Bank of Nigeria Plc</td>
</tr>
<tr>
<td>Skye Bank Plc</td>
<td>Wema Bank Plc</td>
</tr>
<tr>
<td>Guaranty Trust Bank Plc</td>
<td>United Bank for Africa Plc</td>
</tr>
<tr>
<td>Spring Bank Plc</td>
<td>Afrbank Plc</td>
</tr>
<tr>
<td>Intercontinental Bank Plc</td>
<td>Union Bank Plc</td>
</tr>
</tbody>
</table>

The respondents were selected using simple random sampling technique to give each member a chance to be involved in the study without any element of bias.

Fifty percent (50%) of the population in the selected banks was randomly selected to represent the entire industry. The total sample size drawn from the selected 10 banks was 250 (25 respondents from each bank) for the quantitative instrument (questionnaire), while for qualitative instrument, 10 IDIs were conducted, in which one respondent was selected from each of the banks through simple random technique to complement data generated through the quantitative instrument.

The research instruments used for the collection of data for this study were Questionnaire and In-depth Interview (IDI). The questionnaire was divided into 5 sections. Section A dealt with socio demographic characteristics of the respondents, section B dealt with the causes of job insecurity, section C was on job performance, section D was on organizational performance and section E was on solutions to job insecurity. The major advantage of using the questionnaire is that it provides opportunity to categorize the responses and its ability to elicit information where many respondents are involved. Two hundred and fifty copies of questionnaire were administered while 10 IDIs were conducted. The IDI was used because it gave the opportunity to probe deeper especially on issues the questionnaire could not extensively deal with and to complement data generated through the questionnaire.
4.1 Analysis of Findings

4.1.1 Socio-demographic characteristics of the Respondents

Table 1: Socio-Demographic Characteristics of the Respondents

<table>
<thead>
<tr>
<th>Frequency</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>NGB</td>
</tr>
<tr>
<td>Sex</td>
<td></td>
</tr>
<tr>
<td>Male</td>
<td>45</td>
</tr>
<tr>
<td>Female</td>
<td>80</td>
</tr>
<tr>
<td>Total</td>
<td>125</td>
</tr>
<tr>
<td>Marital status</td>
<td></td>
</tr>
<tr>
<td>Married</td>
<td>56</td>
</tr>
<tr>
<td>Single</td>
<td>69</td>
</tr>
<tr>
<td>Total</td>
<td>125</td>
</tr>
<tr>
<td>Religion</td>
<td></td>
</tr>
<tr>
<td>Christianity</td>
<td>84</td>
</tr>
<tr>
<td>Islam</td>
<td>41</td>
</tr>
<tr>
<td>Total</td>
<td>125</td>
</tr>
<tr>
<td>Educational qualification</td>
<td></td>
</tr>
<tr>
<td>O' Level</td>
<td>-</td>
</tr>
<tr>
<td>OND/NCE</td>
<td>21</td>
</tr>
<tr>
<td>B.Sc/HND</td>
<td>80</td>
</tr>
<tr>
<td>Postgraduate</td>
<td>24</td>
</tr>
<tr>
<td>Total</td>
<td>125</td>
</tr>
</tbody>
</table>

Source: Field Survey (2011)
*NGB – New Generation Bank; *OGB – Old Generation Bank

The above table 1 presented the first part of socio-demographic characteristics of the respondents. From the table 34.8% were males while 65.2% were females. This was because females were used for marketing and the ability to attract customers, while males were more commonly used for banking operations. Data about marital status reveals that there were more married respondents among the banks as indicated on the table above, where married respondents were 53.2% as against single respondents which were 46.8%. An inference that can be drawn here is that most respondents had family responsibilities. A closer observation shows that most married respondents were located in OGB, while most single respondents were located in NGB.

Regarding the religion of the respondents, the data shows that 69.6% of the respondents were Christians, while 30.4% were Muslims. The implication here is that Christians dominated the sample and were located in OGB. The importance of religion in the lives of individuals cannot be over emphasized because it shapes one’s world view (Weber, 1904). As regard educational qualification of the respondents revealed that 3.6% of the respondents, which constituted the lowest percentage of the distribution had O’ Level, 24.4% of the respondents had OND/NCE certificate, 51.2% which constituted the highest percentage...
of the respondents were working with the B.S.c/HND certificates, which indicates that respondents were well read and 20.83% also indicated they had postgraduate degree. This shows that there were more skilled personnel in the banking institutions and this may likely be as a result of competition for higher post and prospect of switching career into another profession or inter-bank switching. Inference that can be drawn from is that most of B.Sc/HND holders were located in NGB and OND/NCE were located OGB, while O’Level School holders were located in OGB.

**Table 2: Socio- Demographic Characteristics of the Respondents**

<table>
<thead>
<tr>
<th>Frequency</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Age range</td>
<td>NGB OGB NGB OGB Total Percentage</td>
</tr>
<tr>
<td>21-30</td>
<td>69 72 27.6 28.8 141 56.4</td>
</tr>
<tr>
<td>31-40</td>
<td>48 38 19.5 15.2 86 34.4</td>
</tr>
<tr>
<td>41-50</td>
<td>8 13 3.2 5.2 21 8.4</td>
</tr>
<tr>
<td>50 above</td>
<td>0 2 .0 .8 2 0.8</td>
</tr>
<tr>
<td>Total</td>
<td>125 125</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Frequency</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Employee status</td>
<td>NGB OGB NGB OGB Total Percentage</td>
</tr>
<tr>
<td>Senior staff</td>
<td>29 46 11.6 19.2 75 30.0</td>
</tr>
<tr>
<td>Junior staff</td>
<td>96 79 38.4 30.2 175 70.0</td>
</tr>
<tr>
<td>Total</td>
<td>125 125</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Frequency</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Category of staff</td>
<td>NGB OGB NGB OGB Total Percentage</td>
</tr>
<tr>
<td>Permanent staff</td>
<td>36 48 14.4 19.2 84 33.6</td>
</tr>
<tr>
<td>Contract staff</td>
<td>89 77 35.6 30.2 166 66.4</td>
</tr>
<tr>
<td>Total</td>
<td>125 125</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Frequency</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Years in service</td>
<td>NGB OGB NGB OGB Total Percentage</td>
</tr>
<tr>
<td>1-5</td>
<td>99 87 39.6 34.8 186 74.4</td>
</tr>
<tr>
<td>6-10</td>
<td>16 24 6.4 9.6 40 16.0</td>
</tr>
<tr>
<td>11-15</td>
<td>7 12 2.8 4.8 19 7.6</td>
</tr>
<tr>
<td>16-20</td>
<td>3 0 1.2 .0 3 1.2</td>
</tr>
<tr>
<td>21 above</td>
<td>0 2 .0 .8 2 0.8</td>
</tr>
<tr>
<td>Total</td>
<td>125 125</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Frequency</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Monthly income</td>
<td>NGB OGB NGB OGB Total Percentage</td>
</tr>
<tr>
<td>Below 50,000</td>
<td>42 31 16.8 12.4 73 29.2</td>
</tr>
<tr>
<td>50,001-100,000</td>
<td>44 47 17.6 18.8 91 36.4</td>
</tr>
<tr>
<td>100,001-150,000</td>
<td>25 25 10.0 10.0 50 20.0</td>
</tr>
<tr>
<td>150,001-200,000</td>
<td>7 10 2.8 4.0 17 6.8</td>
</tr>
<tr>
<td>200,001 above</td>
<td>7 12 2.8 4.8 19 7.6</td>
</tr>
<tr>
<td>Total</td>
<td>125 125</td>
</tr>
</tbody>
</table>

**Source:** Field Survey (2011)

The age distribution of the respondents from the above table 2 shows that 56.4% of the respondents fell between the age range of 21-30. Also, 34.4% of the respondents fell between the age range of 31-40, 8.4% of the respondents were between the age range of 41-50, and 0.8% were above 50. However, it is obvious
that the highest proportion of the respondents were clustered around age 21-30 (34.4.6%), this shows that majority of the respondents were still at their productive age and at the same time the banks also made it a point of duty to employ staff who have no family commitment. However, a closer observation shows that most respondents at their productive age range were located in NGB, while most respondents at older age were located in OGB.

Classifying the respondents by the employee status, the result from the table shows that the junior staff in terms of transaction officers, cashiers and the bulk tellers (front desk officers) who were 70% dominated the work force among the banks, while the cash officer, funds transfer officer, customer service officer, relationship officer which constituted the senior staff were 30%. The inference from employee status further reveals that most of the respondents that were senior staff were located in OGB, while most that were junior staff were located in NGB.

Furthermore the frequency distribution data on category of staff of the respondents as presented in the table revealed that 33.6% of the respondents were permanent staff, while temporary/contract staff constituted the higher percentage of the staff at 66.4%. This shows that there were more outsourced staff among the banks and this may be attributed to the current trend in the banking sector to use temporary staff to cut off expenditures i.e. wages/salary costs to maximize their profits. However, most respondents in OGB were permanent staff, and those that were contract staff were located in NGB.

The frequency table on years in service shows that the majority of the respondents 74.4% were clustered around 1 – 5 years in service. Also, 16.0% fell into the category of 6-10 years, the length of service between 11-15 years was 7.6%, 1.2% in the category of 16 – 20 years, while 0.8% of the respondents are in the category of 21 years and above. The highest category of 1 – 5 years in service can be linked to high labour turnover, poor salary structure and tedious bank activities especially for marketers, which made bank workers to leave the job prematurely and new staffs, were often recruited by the banks.

Lastly on table 2 above is the frequency distribution of the respondents by their salary grade. The data reveals that, majority of the respondents 36.4% earned between 50,001 – 100,000 while the minority 7.6% earned between 200,001 and above. The interpretation from this show that the salary structure in the banking sector is poor and this may likely be as a result of factors like recent shift in business line transaction based model to sales/service model as ascertained by Ojedokun (2008) and also, banks in their attempt to remain in business need to cut operational cost especial salary and allowances of the employees. Further inference that can be drawn from monthly income shows that most of those that earn high wages were from OGB, while most of the respondents that earn low wages were from NGB as indicated in the above table.

4.1.2 Causes of job insecurity in the banking sector

This section deals with the respondents’ knowledge and views on the causes of job insecurity among the employees of the selected banks.

**Table 3:** Frequency Distribution of Respondents’ views on Renewal and Change in Technology

<table>
<thead>
<tr>
<th>Statement</th>
<th>NGB</th>
<th>OGB</th>
<th>NGB</th>
<th>OGB</th>
<th>Total</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Renewal and change/ in technology use can make my present post redundant</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Strongly Disagree</td>
<td>53</td>
<td>30</td>
<td>21.2</td>
<td>12.0</td>
<td>83</td>
<td>33.2</td>
</tr>
<tr>
<td>Disagree</td>
<td>29</td>
<td>30</td>
<td>11.6</td>
<td>12.0</td>
<td>59</td>
<td>23.8</td>
</tr>
<tr>
<td>Undecided</td>
<td>11</td>
<td>10</td>
<td>4.4</td>
<td>4.0</td>
<td>21</td>
<td>8.4</td>
</tr>
<tr>
<td>Agree</td>
<td>26</td>
<td>37</td>
<td>10.4</td>
<td>14.8</td>
<td>63</td>
<td>25.2</td>
</tr>
<tr>
<td>Strongly Agree</td>
<td>6</td>
<td>18</td>
<td>2.4</td>
<td>7.2</td>
<td>24</td>
<td>9.6</td>
</tr>
<tr>
<td>Total</td>
<td>125</td>
<td>125</td>
<td></td>
<td></td>
<td>250</td>
<td>100.0</td>
</tr>
</tbody>
</table>

**Source:** Field Survey (2011)
The above table 3 presents data on renewal and change in technology. The data reveals that highest percentage of the respondents (33.2%) “strongly disagreed” that renewal and change in technology use could make their post be redundant, 23.6% “disagreed”, 8.4% were “undecided” 25.2% “agreed”, while 9.6% of the respondents “strongly agreed”. The data suggested that change in technology to some employees could make their present post to be redundant while some employees believed that change in technology cannot make their present post redundant. The interpretation from the above can be likened to research on white collar jobs by Hartley (1991), who asserted that there is existence of job insecurity on white collar employees and which was systematically related to high job insecurity. However, closer observation shows that most respondents that disagreed were located in NGB, while most that agreed respondents were located in OGB.

Table 4: Frequency Distribution of Respondents’ views on Change in Organization Design

<table>
<thead>
<tr>
<th>Statement</th>
<th>Frequency</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Change in organization design/structure can make me lose my job</td>
<td>NGB</td>
<td>OGB</td>
</tr>
<tr>
<td>Strongly Disagree</td>
<td>21</td>
<td>23</td>
</tr>
<tr>
<td>Disagree</td>
<td>36</td>
<td>35</td>
</tr>
<tr>
<td>Undecided</td>
<td>29</td>
<td>19</td>
</tr>
<tr>
<td>Agree</td>
<td>21</td>
<td>42</td>
</tr>
<tr>
<td>Strongly Agree</td>
<td>18</td>
<td>6</td>
</tr>
<tr>
<td>Total</td>
<td>125</td>
<td>125</td>
</tr>
</tbody>
</table>

Source: Field Survey (2011)

The above table 4 presents data on change in organizational design. From the table, 17.6% of the respondents “strongly disagreed” that change in organizational design can make them lose their job. Also, 28.4% which constituted the highest percentage “disagreed” with the statement, 25.2% of the respondents “agreed” with the statement, while 9.6% “strongly agreed” that change in organizational design could make them lose their job. From the data, it can be seen that change in organizational design which include activities merger and acquisition as witnessed in Nigeria between July 2004 to December 2005 brought about restructuring in banking system where different banks embarked on activities like downsizing, change in contract of employment, job redesign etc. This could actually cause job insecurity especially among contract employees. However, most respondents that agreed (16.8%) were located in OGB, while those that disagreed were located in NGB.

Table 5: Frequency Distribution of Respondents’ views on Unfavourable Government Policy

<table>
<thead>
<tr>
<th>Statement</th>
<th>Frequency</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Unfavourable government policy is banking sector makes the future of my job to be uncertain</td>
<td>NGB</td>
<td>OGB</td>
</tr>
<tr>
<td>Strongly Disagree</td>
<td>18</td>
<td>3</td>
</tr>
<tr>
<td>Disagree</td>
<td>7</td>
<td>12</td>
</tr>
<tr>
<td>Undecided</td>
<td>32</td>
<td>31</td>
</tr>
<tr>
<td>Agree</td>
<td>51</td>
<td>62</td>
</tr>
<tr>
<td>Strongly Agree</td>
<td>17</td>
<td>17</td>
</tr>
<tr>
<td>Total</td>
<td>125</td>
<td>125</td>
</tr>
</tbody>
</table>

Source: Field Survey (2011)
The data on the table above shows that 45.2% of the respondents agreed which constituted the highest percentage and 7.6% of the respondents, with the least percentage signified that they disagreed that unfavourable government policy in the banking sector could make the future of their job uncertain. Government policy on merger and acquisition has resulted into some gain in the post consolidated era e.g. the notched up of capital base to N768 billion and better corporate professionalism, but despite this achievement it has posed a serious threat on human resource and employees of banks which was characterized by job cut, retrenchment, salary and wages cut among others. A closer observation shows that most respondents that strongly disagreed were located in NGB, while most respondents that agreed were located in OGB.

The above data corresponded to the view of a respondent during an IDI session, he said:

**Government in its different policies did not formulate viable policies for the private sector especially banking sector. The issue of employment and contract of employment were not well addressed, and their various policies did not indicate how we bank workers should be enumerated unlike in the public sector, which has standardized scales.**

(IDI/Male/FCMB/April, 2011)

### Table 6: Frequency Distribution of Respondents’ views on Absence of Trade Unions

<table>
<thead>
<tr>
<th>Statement</th>
<th>Frequency</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>My job is unprotected as a result of absence of trade union</td>
<td>NGB</td>
<td>OGB</td>
</tr>
<tr>
<td>Strongly Disagree</td>
<td>8</td>
<td>6</td>
</tr>
<tr>
<td>Disagree</td>
<td>28</td>
<td>18</td>
</tr>
<tr>
<td>Undecided</td>
<td>20</td>
<td>32</td>
</tr>
<tr>
<td>Agree</td>
<td>34</td>
<td>51</td>
</tr>
<tr>
<td>Strongly Agree</td>
<td>35</td>
<td>18</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>125</strong></td>
<td><strong>125</strong></td>
</tr>
</tbody>
</table>

**Source:** Field Survey (2011)

The above table 6 presents data on absence of trade unions. The respondents were asked if the absence of trade unions makes them feel unprotected on their job. The data depicted that minority of the respondents 5.6% “strongly disagreed”, 18% of the total respondents “disagreed”, 20.8% were “undecided”, and 34.0% “agreed” that the absence of trade unions in their banks make them feel unprotected on their job. However, 21.2% “strongly agreed”. From the table, it could be seen that majority of the respondents agreed to the statement that the absence of trade unions makes them feel unprotected with their job. It is likely that the trade unions could be a key element in organizations that could help to protect the interest of the workers against management prerogatives. It could be inferred from the results that banks allow trade unions to represent the interests of the workers, this was reflected in the responses of the respondents as most respondents who disagreed (11.2%) came from NGB.

In relation to this, a respondent said:

**The trade union activities in the banking system are not potent unlike its public sector. But of recent like Union Bank closure of its offices through trade union intervention has made it a starting point of duty for protection of bank workers against management arbitrary decisions.**

(IDI/Female/Skye/April, 2011)

4.1.3 Effect of job insecurity on employee job performance

This section examined the effects and consequences of job insecurity on the employees’ performance. The
purpose is to determine how job insecurity affects employees’ performance and also to find out the consequence on the organization.

Table 7: Frequency Distribution of Respondents’ views on Turnover Intention

<table>
<thead>
<tr>
<th>Statement</th>
<th>Frequency</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>I have intention to leave my present employer</td>
<td>NGB 6</td>
<td>OGB 17</td>
</tr>
<tr>
<td>Strongly Disagree</td>
<td>4.8</td>
<td></td>
</tr>
<tr>
<td>Disagree</td>
<td>7.2</td>
<td></td>
</tr>
<tr>
<td>Undecided</td>
<td>19.6</td>
<td></td>
</tr>
<tr>
<td>Agree</td>
<td>19.6</td>
<td></td>
</tr>
<tr>
<td>Strongly Agree</td>
<td>9.2</td>
<td></td>
</tr>
<tr>
<td>Total</td>
<td>250</td>
<td></td>
</tr>
</tbody>
</table>

Source: Field Survey (2011)

The table above shows frequency distribution of the respondents on turnover intention. The result reveals that overwhelming majority (38.8%) “agreed” that they had intention to leave their present employer, while 39.2% of the respondents were “undecided” if they would be leaving their present employer in the nearest time. The other responses from the table depict that 9.2% and 12.8% of the respondents “strongly disagreed” and “disagreed” respectively. The implication of this is that there would be higher turnover intention rate among temporary staff, with translated effect of high absenteeism and lower motivation among contract staff than among permanent staff of the respective banks. However, a closer observation showed that most respondents with turnover intention came from OGB, while most respondents that disagreed with turnover intention were located in NGB.

In relation to this, a respondent said:

Contract workers are no longer motivated and they leave the job anytime because of the fear of losing their job at point in time, especially when the target is not met; therefore they tend to leave earlier more than expected when they found a greener pasture elsewhere. (IDI/Male/UBA/April, 2011)

Table 8: Frequency Distribution of Respondents’ views on Commitment to other Jobs

<table>
<thead>
<tr>
<th>Statement</th>
<th>Frequency</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>I am committed to other jobs outside my primary job</td>
<td>NGB 27</td>
<td>OGB 10</td>
</tr>
<tr>
<td>Strongly Disagree</td>
<td>15.6</td>
<td></td>
</tr>
<tr>
<td>Disagree</td>
<td>23.2</td>
<td></td>
</tr>
<tr>
<td>Undecided</td>
<td>36.8</td>
<td></td>
</tr>
<tr>
<td>Agree</td>
<td>4.8</td>
<td></td>
</tr>
<tr>
<td>Strongly Agree</td>
<td>4.8</td>
<td></td>
</tr>
<tr>
<td>Total</td>
<td>250</td>
<td></td>
</tr>
</tbody>
</table>

Source: Field Survey (2011)

The above table 8 presents data on commitment to other jobs. From the table, 15.6% and 23.2% of the respondents “strongly disagreed” and “disagreed” respectively that they are committed to other jobs outside their primary jobs. This is as a result of the fact some bank employers have won their employees’ loyalty and thus they are willing to give their best to their work despite being underpaid or being outsourced staff. Moreover, 36.8% were “undecided” whether they would be committed to other jobs or not while 19.6% and 4.8% of the respondents admitted that they will be committed to other jobs outside their primary job.

The above was further buttressed in one of the IDIs conducted:
I am very much committed to my job because this is what I do to sustain my family. The only thing is that the salary package is low and despite this our job is time consuming from morning to late evening, so I don't think I can be chanced to engage in another form of job. (IDI/Female/Skye Bank/April, 2011)

4.1.4 The consequences of job insecurity on the organisation

This section examines the consequences of job insecurity on the organization. This study aims at identifying the consequences of job insecurity on the organization by focusing on the following:

Table 9: Frequency Distribution of Respondents' views on High Labour Turnover

<table>
<thead>
<tr>
<th>Statement</th>
<th>Frequency</th>
<th>Percentage</th>
<th>NGB</th>
<th>OGB</th>
<th>NGB</th>
<th>OGB</th>
<th>Total</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>There is high labour turnover in this organization</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Strongly Disagree</td>
<td>6</td>
<td>3</td>
<td>2.4</td>
<td>1.2</td>
<td>9</td>
<td></td>
<td>3.6</td>
<td></td>
</tr>
<tr>
<td>Disagree</td>
<td>22</td>
<td>24</td>
<td>8.8</td>
<td>9.6</td>
<td>46</td>
<td></td>
<td>18.4</td>
<td></td>
</tr>
<tr>
<td>Undecided</td>
<td>26</td>
<td>33</td>
<td>10.4</td>
<td>13.2</td>
<td>59</td>
<td></td>
<td>23.6</td>
<td></td>
</tr>
<tr>
<td>Agree</td>
<td>55</td>
<td>52</td>
<td>22.0</td>
<td>20.8</td>
<td>107</td>
<td></td>
<td>42.8</td>
<td></td>
</tr>
<tr>
<td>Strongly Agree</td>
<td>16</td>
<td>13</td>
<td>6.4</td>
<td>5.2</td>
<td>29</td>
<td></td>
<td>11.6</td>
<td></td>
</tr>
<tr>
<td>Total</td>
<td>125</td>
<td>125</td>
<td>250</td>
<td></td>
<td></td>
<td></td>
<td>100.0</td>
<td></td>
</tr>
</tbody>
</table>

Source: Field Survey (2011)

The above table 9 on high labour turnover shows that 11.6% of the respondents “strongly agreed” that there is high labour turnover in their respective banks. 42.8% which constituted the majority “agreed”, 23.6% “undecided”, while 18.4% and 3.6% “disagreed” and “strongly disagreed” respectively. The survey revealed that 54.4% of the respondents believed that there was high labour turnover in their respective banks. From the result on high labour turnover, it is believed that the banking sector over the years has witnessed an increasingly labour turnover and this can be attributed to several factors like stiff competition, fear of bankruptcy, perceived downsizing and ultimately as a result of poor wage/compensation system. Other reasons include the assertion of Greenhalgh & Rosenblatt, 1984; Hartley et al., 1991 that qualified employees/workers will more easily find a new job and thus are more likely to quit if they experience job insecurity. However, a closer observation shows that most respondents 22.0% that agreed were in NGB while the least that strongly disagreed were in OGB.

This is corroborated by a respondent during an IDI session, he said:

Over the years i have worked with different people. Some come in and leave within 2 months because they cannot cope and precisely the money we earn as marketers is just too small to survive on to commensurate our effort. (IDI/Male/Union Bank/April, 2011)

Table 10: Frequency Distribution of Respondents' views on Deteriorated attitude to work

<table>
<thead>
<tr>
<th>Statement</th>
<th>Frequency</th>
<th>Percentage</th>
<th>NGB</th>
<th>OGB</th>
<th>NGB</th>
<th>OGB</th>
<th>Total</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Attitude to work is deteriorated in this organization</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Strongly Disagree</td>
<td>16</td>
<td>23</td>
<td>6.4</td>
<td>9.2</td>
<td>39</td>
<td></td>
<td>15.6</td>
<td></td>
</tr>
<tr>
<td>Disagree</td>
<td>40</td>
<td>15</td>
<td>16.0</td>
<td>6.0</td>
<td>55</td>
<td></td>
<td>22.0</td>
<td></td>
</tr>
<tr>
<td>Undecided</td>
<td>37</td>
<td>45</td>
<td>14.8</td>
<td>18.0</td>
<td>82</td>
<td></td>
<td>32.8</td>
<td></td>
</tr>
<tr>
<td>Agree</td>
<td>3</td>
<td>32</td>
<td>12.0</td>
<td>12.8</td>
<td>62</td>
<td></td>
<td>24.8</td>
<td></td>
</tr>
<tr>
<td>Strongly Agree</td>
<td>2</td>
<td>10</td>
<td>0.8</td>
<td>4.0</td>
<td>12</td>
<td></td>
<td>4.8</td>
<td></td>
</tr>
<tr>
<td>Total</td>
<td>125</td>
<td>125</td>
<td>250</td>
<td></td>
<td></td>
<td></td>
<td>100.0</td>
<td></td>
</tr>
</tbody>
</table>

Source: Field Survey (2011)
The table above depicts that 4.8% of the respondents "strongly agreed", that there is deteriorating attitude to work. Also, 24.8% “agreed” as well, while 32.8% that constituted the majority of the respondents were "undecided". However, 22.0% and 15.6% “disagreed” and “strongly disagreed” respectively. From the table, it shows that 29.6% of the respondents were in support of the question that there is deteriorating attitude of workers to work in their respective banks. A closer observation shows that most respondents in NGB disagreed, while most that strongly agreed were located in OGB.

However, the radical change from a traditionally secure working environment to a rapidly changing and insecure one could be expected to have an impact not only on the well-being of the individuals, but also on their work attitudes and behavior, and, on the long run, for the vitality of the organization as asserted in the work of Greenhalgh and Rosenblatt (1984), that workers react to job insecurity, and their reactions have consequences for organizational effectiveness.

**Table 11: Frequency Distribution of Respondents’ views on Likelihood to merge with another bank**

<table>
<thead>
<tr>
<th>Statement</th>
<th>Frequency</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>This organization will likely merge with another in the nearest time</td>
<td>NGB</td>
<td>OGB</td>
</tr>
<tr>
<td>Strongly Disagree</td>
<td>33</td>
<td>34</td>
</tr>
<tr>
<td>Disagree</td>
<td>17</td>
<td>12</td>
</tr>
<tr>
<td>Undecided</td>
<td>43</td>
<td>52</td>
</tr>
<tr>
<td>Agree</td>
<td>9</td>
<td>23</td>
</tr>
<tr>
<td>Strongly Agree</td>
<td>23</td>
<td>4</td>
</tr>
<tr>
<td>Total</td>
<td>125</td>
<td>125</td>
</tr>
</tbody>
</table>

**Source:** Field Survey (2011)

The data above reveals that 10.8% of the respondents “strongly agreed”, that their bank may likely merge with another bank in the nearest future. Also, 12.8% “agreed” as well, while 38% that constituted the majority of the respondents were “undecided”. However, 11.6% and 26.8% disagreed and “strongly disagreed” respectively. There are distressed banks which could not meet up with the CBN regulation on share capital base and thus will likely merge with another bank in the nearest time as claimed by some of the respondents.

4.1.5 Chi-squre test of association

**Table 15: Chi-square Test of Association between Respondents’ Bank category and Perception of level of Job Insecurity**

<table>
<thead>
<tr>
<th>Variable</th>
<th>Job insecurity</th>
</tr>
</thead>
<tbody>
<tr>
<td>Category of staff</td>
<td>Low</td>
</tr>
<tr>
<td>Old generation bank</td>
<td>52</td>
</tr>
<tr>
<td>New generation bank</td>
<td>83</td>
</tr>
<tr>
<td>Total</td>
<td>135</td>
</tr>
</tbody>
</table>

\[ \chi^2 = 15.475 \]

\[ \chi^2 = 3.841 \]

df = 1

Ls = 0.05
From the analysis of chi-square above on respondents’ bank category and level of job insecurity, it shows that there is significant association between the old generation bank and new generation bank on job insecurity because $X^2_c$ is greater than $X^2_t$.

**Table 16:** Chi-square Test of Association between Respondents’ Age and Perception of level of Job Insecurity

<table>
<thead>
<tr>
<th>Variable</th>
<th>Job insecurity</th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Low</td>
<td>High</td>
<td>Total</td>
<td></td>
</tr>
<tr>
<td>Age</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>21 – 30</td>
<td>72</td>
<td>69</td>
<td>141</td>
<td>56.7%</td>
</tr>
<tr>
<td>31 – 40</td>
<td>44</td>
<td>42</td>
<td>86</td>
<td>34.4%</td>
</tr>
<tr>
<td>41 – 50</td>
<td>17</td>
<td>4</td>
<td>21</td>
<td>8.4%</td>
</tr>
<tr>
<td>51+</td>
<td>2</td>
<td>0</td>
<td>2</td>
<td>0.8%</td>
</tr>
<tr>
<td>Total</td>
<td>135</td>
<td>115</td>
<td>250</td>
<td>100.0%</td>
</tr>
</tbody>
</table>

$X^2_c = 8.613$
$X^2_t = 7.815$
$df = 3$
$Ls = 0.05$

From the analysis of chi-square above on respondents’ age and level of job insecurity, it shows that there is significant association between the age of respondents and level of job insecurity because the $X^2_c$ is greater than $X^2_t$.

**Table 17:** Chi-square Test of Relationship between Respondents’ Category of staff and Perception of level of Job Insecurity

<table>
<thead>
<tr>
<th>Variable</th>
<th>Job insecurity</th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Low</td>
<td>High</td>
<td>Total</td>
<td></td>
</tr>
<tr>
<td>Category of staff</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Permanent staff</td>
<td>45</td>
<td>39</td>
<td>84</td>
<td>33.6%</td>
</tr>
<tr>
<td>Contract staff</td>
<td>90</td>
<td>76</td>
<td>166</td>
<td>66.4%</td>
</tr>
<tr>
<td>Total</td>
<td>135</td>
<td>115</td>
<td>250</td>
<td>100.0%</td>
</tr>
</tbody>
</table>

$X^2_c = 0.009$
$X^2_t = 3.841$
$df = 1$
$Ls = 0.05$

From the analysis of chi-square above on respondents’ category of staff and level of job insecurity, it shows that there is no significant association between permanent staff and contract staff on level of job insecurity because the $X^2_c$ is less than $X^2_t$. The inference that can be drawn from this is that irrespective of the category of staff i.e. permanent or contract staff they all perceived job insecurity, but it could be observed that contract staff reported more job insecurity than the permanent staff.
5. Conclusion

This research focused on job insecurity as a consequence that may follow upon the changing nature of work. However, as this research has revealed, job insecurity may not be only an inherent and inevitable consequence of downsizing, technological change, and organizational strivings for flexibility. Rather, job insecurity can be described as a function of the objective situations as identified in this study (flexibility in operations, labor market characteristics, organizational change, etc).

The accelerating rate of organizational change indicates that job insecurity is a phenomenon that will continue to characterize modern working life in years to come. As the flexibility of the labour market is likely to increase even more rapidly in the future, it is also of vital importance that research on job insecurity be made sensitive to changes in working life and address more modern forms of employment relationships. While flexibility certainly meets the demands of many employers, it could well be that work in a temporary and outsourced employment are also in line with the expectations and wishes of bank workers.

By understanding and working with the framework in which job insecurity arises, policy makers (government) and practitioners should be able to react to new events and interpretations concerning job insecurity in banking sector. It has become an important organizational phenomenon and therefore a response to its impact, not only on the individual, but also at the organizational level, is needed. Knowing the individual consequences which were more pronounced in this study and organizational consequences of job insecurity and all its dimensions as identified, it is therefore imperative to understand how to moderate and mediate its effect. However, ignoring or neglecting the current and evident future presence of job insecurity may result in dramatic and negative results for individuals, organizations and growth of business in Nigeria.

References


Spatial Pattern of Road Traffic Accident Casualties in Nigeria

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Abstract: The paper examined the spatial variation of road traffic accident casualties in Nigeria with a view to suggesting measures to reduce the scourge. The data used for the study included the total number of deaths and number of injuries from road traffic accident in Nigeria for the period 2004 to 2007. These were collected from the Nigerian Police Force Headquarters and the Federal Road Safety Commission. Data were also collected from relevant federal and state ministries. The results of the analysed data were then shown in map form to depict the spatial variation of road traffic accident casualties across the 36 states and the Federal Capital Territory. Multiple regression method was then used to model the spatial pattern of road accident casualties in Nigeria for the study period. The result showed that spatial variation exists in the incident of road traffic accident in Nigeria. The paper finally made recommendations to reduce the carnage on Nigerian roads.

Keywords: Injuries, Deaths, Safety, Law enforcement, Risks

1. Introduction

Road accident fatalities continue to attract the attention of policy makers and the populace all over the world. The incessant carnage on the roads, especially in developing countries, constitutes a major challenge to safety professionals. This is evident from available statistics on road accident crashes and injuries all over the world.

However, as a result of safety measures adopted in developed countries, variation exists in the magnitude of this scourge between developed and developing countries. While for example developed countries have experienced a decreasing trend since the 1960s, the fatality rate in African countries ranges from 10-fold to more than 100-fold of those in the United States (Chen, 2010; Jacobs & Aeron-Thomas, 2000; Peltzer and Renner, 2004). Lagarde (2007) also reported that while South-East Asia has the highest proportion of global road fatalities (one-third of the 1.4million occurring each year in the world), the road traffic injury mortality rate is highest in Africa (28.3 per 100,000 population) compared with 11.0 in Europe. Indeed, if major challenges are not made to reverse the trend, it is feared that road traffic crash fatality rate in Africa as a whole is anticipated to increase by 80 per cent between 2000 and 2020 (Peden et al., 2004).

In terms of vulnerability, road traffic injuries and fatalities are mostly concentrated on males of their most productive age. According to OECD (2006) and Williams (2003); young drivers have been found to have higher rates of accidents than older drivers (see also Lafont et al., 2008). Statistics has also shown that mortality in road traffic accidents is very high among young adults in their prime and who also constitute the workforce (Balogun et al., 1992).

Besides, pedestrians account for between 45 per cent and 75 per cent of all road traffic deaths in developing countries (Odero et al. 1997). In Africa, pedestrians and passengers of public transportation are the most affected (Lagarde, 2007). These are usually the breadwinners in many cultures. Over 75 per cent of road traffic casualties in Africa are in the economic productive age bracket between 16 and 25 years.

The causes of traffic crashes and fatalities are also varied. Three major categories have traditionally been identified. These are human, vehicle and highway infrastructure (Haddon, 1980). Amongst the three factors, the human factors including road user behaviour and incapacitation have been found to account for more
than 85 per cent (see Odero et al., 2003). Among them, the two-best-known contributing factors are speeding, drinking and driving (Chen, 2010; Afukaar, 2003). Human incapacitation, such as visual acuteness and driver fatigue has also been identified among the human factors (Onabolu, Otulana and Awodein, 2008).

The vehicle factor relates to the road-worthiness of vehicles. Vehicle failure resulting from vehicle defects, lack of maintenance and using low quality spare parts also contribute to road crashes and fatalities (Odero, 2003). Highway infrastructure defects such as potholes, sharp bends and generally poor road conditions also have significant effect and contribute to road crashes.

A significant precaution to save lives in the event of road crashes is provision of emergency services. Limitations that explain the poor outcome for people involved in road traffic crashes in Africa have been identified as lack of trained surgeons, intensive care staff, and field para medics, underserved medical facilities; inappropriate dedicated transportation and disorganized or non-existent emergency and trauma services (Lagarde, 2007).

However, most studies in road traffic crashes and fatalities have concentrated on the trends of such events and not emphasizing the spatial patterns. Yet, road traffic crashes and fatalities should be examined also from spatial dimension. In the same way that variations exist in climate, vegetation and economic resources, so also do variations exist in the incidence of road traffic fatalities at global, regional and local levels (World bank, 1999).

The objective of this study is to assess the spatial variation in the incidence of Road Traffic Accident Casualties across the 36 states in Nigeria including the Federal Capital Abuja with a view to making recommendations to curb the carnage on Nigeria roads.

2. Review of Related Literature

A handful of theories have been put forward to explain Road Traffic Accidents causations. Some of the best known theories use System theory and Risk theory in an attempt to explain the causation of Road Traffic Accidents.

2.1 System Theory

The systems perspective views human performance as a function of many interacting system-wide factors. In the context of human error and accident causation, for example, it is now accepted that errors are a consequence of ‘systems’ failure rather than merely aberrant psychological factors within individuals. Human error is thus no longer always seen as the primary cause of accidents, rather, it is treated as a consequence of latent failures residing within the wider system (Reason, 2000). In a road safety context, elements of the system beyond road users, such as vehicle design and condition, road design and condition, road policies, and so on, all shape drivers behaviour on the road.

Although there are other models of accident causation (e.g. Levenson, 2004; O'Hare, 2000), the systems-based models is the most prominent and it is now widely accepted that the accidents which occur in complex socio-technical systems are caused by a range of interacting human and systemic failures (Salmon and Lenne, 2009). Systems-based accident analysis and investigation, described also in the ‘Swiss model’, (Reason, 2000) has been applied with significant success in a range of safety critical domains such as in road transport, aviation, process control, rail transport and in a range of other domains which they have been applied successfully (Salmon et al., 2009; Smith et al., 2001; Wiegmann et al., 2003).

2.2 Risk Theory

Risk theory has also been used in the description of accident causation. Risk can be defined as the effect of uncertainty on objectives whether positive or negative. Its management is followed by coordinated
economical application of resources to minimize, monitor, and control the probability and impact of unfortunate events (Hubbard, 2009; Rundmo, 2004; Moen, 2005) or to maximize the realization of opportunities. Risks can come from uncertainty in financial markets, project failure, legal liabilities, credit risk, accidents, natural causes and disasters as well as deliberate attacks from an adversary. Road traffic accidents risk, according to DeJoy (1989) is a function of four elements. The first is the exposure or amount of movement or travel within the system by different users or a given population density. The second is the underlying probability of crash, given a particular exposure. The third is the probability of injury given a crash. The fourth element is the outcome of injury. Risk can also be explained by human error (Reason, 2000; Rasmussen, 1999); kinetic energy, tolerance of human body and post-crash care (Bustide et al, 1989).

Lupton (1999) also asserts that Risks can be seen from four perspectives. These are the rationalist, realist, constructionist and middle positions. The rationalist sees risks as real world phenomena to be measured and estimated by statistics, prioritized by normative decision theory and controlled by scientific management. The realist sees risks as objective hazards or threats that exist and can be estimated independently of social and cultural processes but that may be distorted or biased through social and cultural frameworks of interpretation. The constructionist sees nothing as a risk in itself. Rather, what we understand to be a risk, the constructionist sees as the product of historically, socially and politically contingent ways of seeing. Proponents of the middle positions between realist and constructionist theory see risk as an objective hazard or threats that is inevitably mediated through social and cultural processes and can never be known in isolating from these processes (see Jaeger et al., 2001; Horden, 2004).

2.3 Geographical Approach to Traffic Accidents

The geographical approach to the study of traffic accidents relates the concept of place, time and environment to accident occurrence. It is believed that land use, road element, width of the road, bending of road, hilly area, topography and regional distribution in occurrence of road traffic accident are factors to be considered. According to Cutter (1993), geographical scale is important for impacts and their reduction. Land use pattern, types of road network, local business and activity pattern will influence the system risk in an area (Komba, 2006). There is also rural-urban differences. In urban areas, there are more accidents, lower degree of injury while in rural areas, there are lower accident levels but more serious fatalities.

3. Materials and Methods

The data needed for this study are the number of deaths and the number of injured persons resulting from Road Traffic Accidents in the different states of Nigeria for the period 2004 – 2007. The 36 states in Nigeria and Federal Capital, Abuja are shown on figure 1. The data were collected from records of the Nigerian Police Force Headquarters and the Federal Road Safety Commission office in Abuja.

Data were also collected on the total number of registered vehicles in the different states of the country for the period 2004 – 2007 through the States’ Statistical Agencies. The distribution of the population of the country by states were collected from records of National Population Commission (NPC). These were obtained through the National Population Census conducted for the country in 2006.

Length of Federal Government of Nigerian Roads in the states were obtained from records of Federal Ministry of Works and Annual Abstract of Statistics 2008 compiled by the National Bureau of Statistics. The collected data were then collated, analysed and presented in form of maps to show the spatial distribution of Road Traffic Accidents casualties by states in the country. These are shown in figures 2., 3. and 4. In addition, regression method was used to build statistical models for the explanation of the spatial pattern of Road Traffic Accident casualties in the country. The analyses were carried out using the Statistical Package for the Social Sciences (SPSS) and Excel.
4. Results and Discussions

4.1 Pattern of Total Road Traffic Accident Casualties

The distribution of total Road Traffic Accident Casualties by states in Nigeria is as shown in Table 1.0. The distribution of the accident casualties has been divided into 3 groups based on the percentage of total casualties recorded by each state.

The groupings are as shown on Table 2.0. Group A comprise of states with percentage score of Road Traffic Accident Casualties ranging from 0.00 – 2.99 per cent. Group B comprises of states with percentage score of between 3.00 – 5.99 per cent while group C comprises of states with percentage score of between 6.00 – 8.99 per cent. The states that fall within group A are Abia, Adamawa, Akwa Ibom, Anambra, Bayelsa, Borno, Delta, Ebonyi, Edo, Ekiti, Enugu, Gombe, Imo, Jigawa, Kebbi, Kogi, Kwara, Federal Capital – Abuja. These states can be ranked as comparatively recording low level of total Road Traffic Accident casualties in the country. Group B comprises of Bauchi, Cross River, Kano, Katsina, Lagos, Ondo, Osun, Oyo and Plateau States. These states could be ranked as recording a relatively medium level of Road Traffic Accident casualties. Group C comprises of Benue, Kaduna and Ogun States. These states standout as recording high level of Road Traffic Accident casualties in the country.

Figure 2 shows the distribution of Road Traffic Accident casualties by states.
Table 2: Summary Grouping of States on Severity of Road Traffic Accident Casualties

<table>
<thead>
<tr>
<th>Group</th>
<th>Rank</th>
<th>States</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>Low (0.00 – 2.99%)</td>
<td>Abia, Adamawa, Akwa Ibom, Anambra, Bayelsa, Borno, Delta, Ebonyi, Edo, Ekiti, Enugu, Gombe, Imo, Jigawa, Kebbi, Kogi, Kwara, Nassarawa, Niger, Rivers, Sokoto, Taraba, Yobe, Zamfara, Federal Capital Territory</td>
</tr>
<tr>
<td>B</td>
<td>Medium (3.00 – 5.99%)</td>
<td>Bauchi, Cross River, Kano, Katsina, Lagos, Ondo, Osun, Oyo, Plateau</td>
</tr>
<tr>
<td>C</td>
<td>High (6.00 – 8.99%)</td>
<td>Benue, Kaduna, Ogun</td>
</tr>
</tbody>
</table>

Source: Author’s Analysis of Table 1.0

4.2 Pattern of Motor Vehicle Deaths

The distribution of motor vehicle deaths by states in Nigeria is also shown on table 1.

The distribution has been divided into 4 groups based also on the severity of total deaths recorded by the states. The groupings are as shown on table 3.0. Group A comprises of Abia, Adamawa, Anambra, Bayelsa, Borno, Delta, Ebonyi, Edo, Ekiti, Enugu, Gombe, Imo, Jigawa, Kebbi, Kogi, Kwara, Nassarawa, Niger, Ondo, Osun, Oyo and Plateau States. The states can be ranked as recording relatively low level of motor vehicle deaths in the country.

Group B comprises of Akwa Ibom, Bauchi, Benue, Cross River, Kano, Katsina, Lagos, Osun, Oyo and Plateau States. The states can be ranked as recording relatively medium level of motor vehicle deaths in the country.

Group C comprises of Benue and Ogun State and these states can be ranked as recording relatively high level of motor vehicle deaths in the country. The fourth group is Group D comprising only of Kaduna State which can singularly be ranked as the only state with relatively very high level of motor vehicle deaths in the country. Figure 3.0 shows the spatial distribution of motor vehicle deaths by states in the country.
Table 3: Summary Grouping of States on Severity of Motor Vehicle Deaths

<table>
<thead>
<tr>
<th>Group</th>
<th>Rank</th>
<th>States</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>Low (0.00 – 2.99%)</td>
<td>Abia, Adamawa, Anambra, Bayelsa, Borno, Delta, Ebonyi, Edo, Ekiti, Enugu, Gombe, Imo, Jigawa, Kebbi, Kogi, Kwara, Nassarawa, Niger, Ondo, Rivers, Sokoto, Taraba, Yobe, Zamfara, Federal Capital Territory.</td>
</tr>
<tr>
<td>B</td>
<td>Medium (3.00 – 5.99%)</td>
<td>Akwa Ibom, Bauchi, Cross River, Kano, Katsina, Lagos, Osun, Oyo, Plateau.</td>
</tr>
<tr>
<td>C</td>
<td>High (6.00 – 8.99%)</td>
<td>Benue, Ogun</td>
</tr>
<tr>
<td>D</td>
<td>Very High (9.00 – 11.99%)</td>
<td>Kaduna</td>
</tr>
</tbody>
</table>

Source: Author’s Analysis of Table 1.0

4.3 Pattern of Motor Vehicle Injuries

The pattern of distribution of motor vehicle injuries by states in the country is also as shown on table 1.0. The distribution can be grouped into 3 categories based on the severity of motor vehicle injuries recorded by the states.

Group A comprises of Abia, Adamawa, Akwa Ibom, Anambra, Bayelsa, Borno, Delta, Ebonyi, Edo, Ekiti, Enugu, Gombe, Imo, Jigawa, Kebbi, Kogi, Kwara, Nassarawa, Niger, Ondo, Rivers, Sokoto, Taraba, Yobe and Zamfara States. These states can be ranked as recording relatively low level of motor vehicle injuries in the country.

Group B comprises of Bauchi, Cross River, Kano, Katsina, Lagos, Ondo, Osun, Oyo, Plateau States and the Federal Capital Territory. They can be ranked as recording relatively medium level of Motor Vehicle Injuries in the country.

Group C comprises or Benue, Kaduna and Ogun States and can be ranked as recording relatively high level of Motor Vehicle Injuries in the country. Table 4.0 shows the summary groupings of the severity of Motor Vehicle Injuries by states while figure 4.0 shows the spatial pattern of the distribution.
Table 4. Summary Grouping of States on Severity of Motor Vehicle Injuries

<table>
<thead>
<tr>
<th>Group</th>
<th>Rank</th>
<th>States</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>Low (0.00 – 2.99%)</td>
<td>Abia, Adamawa, Akwa Ibom, Anambra, Bayelsa, Borno, Delta, Ebonyi, Edo, Enugu, Gombe, Kebbi, Kogi, Kwara, Nassarawa, Niger, Rivers, Sokoto, Taraba, Yobe, Zamfara</td>
</tr>
<tr>
<td>B</td>
<td>Medium (3.00 – 5.99%)</td>
<td>Bauchi, Cross River, Kano, Katsina, Lagos, Ondo, Osun, Oyo, Plateau, Federal Capital Territory.</td>
</tr>
<tr>
<td>C</td>
<td>High (6.00 – 8.99%)</td>
<td>Benue, Kaduna, Ogun</td>
</tr>
</tbody>
</table>

Source: Author’s Analysis of Table 1.0

5. Modelling the Spatial Pattern of Road Traffic Accident Casualties

The model developed here relates total accident casualties with total number of road accidents; population estimates, length of roads and number of registered vehicles for a country. The model is a modification of that used by Nasir in 2009 in his study of Road Accident Deaths in India and that used by Flanders in Belgium in 2001.

The original model takes the form:

$$RF = RA + PE + LR + PT + \varepsilon$$

Where RF represents Road fatalities, RA – Road Accidents; PE – Population Estimates; LR – Length of Roads; PT – Traffic Population; \(\varepsilon\) is the Error term.

The model for this study takes the form:

$$RAC = TRA + PE + LR + NRV + \varepsilon$$

Where RAC = Road Accident Casualties
TRA = Total Road Accidents
PE = Population Estimate
LR = Length of Federal Government roads
NRV = Total Number of Registered Vehicles
\(\varepsilon\) = An Error term

Two multiple regression models were developed for the study. One for Motor Vehicle Deaths and the second for Motor Vehicle Injuries for the study period in the country.

In order to take the interactive nature of the variables into consideration, the model was transformed into its logarithm form (See Zlatopher, 1984; Pocock et al., 1982). Using the Least Square Regression Method the collected data were analysed with the Statistical Package for the Social Science (SPSS) and Excel.

5.1 Pattern of Motor Vehicle Deaths

The model for motor vehicle deaths takes the form.

$$\log (MVD) = \log (TRA) + \log (PE) + \log (LR) + \log (NRV) + \varepsilon$$

Where MVD represents Motor Vehicle Deaths, TRA represent Total Road Accidents, PE represents Population Estimates; LR represents Length of Roads; NRV represents Number of Registered Vehicles
Table 5.0 shows the Regression Summary of Motor Vehicle Deaths with the independent variables. The independent variables explain 73.2 percent of the total variation in motor vehicle deaths. The remaining 26.8 percent are variables which cannot be included in the model due to their exogenous features. These could include lack of emergency services and first aid in the event of motor vehicle accidents.

Table 5: Regression Summary for Motor Vehicle Deaths and the Independent Variables

<table>
<thead>
<tr>
<th>Dependent Variables</th>
<th>Independent Variables</th>
<th>Regression Coefficient</th>
<th>Standard Error</th>
<th>t-values</th>
<th>Levels of significance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Motor Vehicle Deaths (MVD)</td>
<td>Constant</td>
<td>-0.303</td>
<td>1.088</td>
<td>-0.279</td>
<td>0.782</td>
</tr>
<tr>
<td></td>
<td>Total Road Accidents (TRA)</td>
<td>-0.013</td>
<td>0.220</td>
<td>-0.101</td>
<td>0.920</td>
</tr>
<tr>
<td></td>
<td>Population Estimate (PE)</td>
<td>0.819</td>
<td>0.111</td>
<td>7.766</td>
<td>0.000*</td>
</tr>
<tr>
<td></td>
<td>Length of Roads (LR)</td>
<td>0.166</td>
<td>0.138</td>
<td>1.596</td>
<td>0.120*</td>
</tr>
<tr>
<td></td>
<td>No. of Registered Vehicles (NRV)</td>
<td>-0.025</td>
<td>0.080</td>
<td>-0.245</td>
<td>0.808</td>
</tr>
</tbody>
</table>

R² = 0.732
DF = 4/32
F = 21.828 > 2.69

* Significant at 0.05 level of significance

The regression summary shows that motor vehicle deaths have a negative association with total road accidents and number of registered vehicles. This is not surprising since the establishment of the Federal Road Safety Commission in Nigeria in 1988 has had a positive impact in reducing motor vehicle accidents in the country and consequently motor vehicle deaths.

The regression summary also shows that motor vehicle deaths have a positive association with population estimate and length of roads. These outcomes are not surprising also because increase in the level of motorization in a country is associated with increasing population. Increasing population is also associated with higher probability of accident occurrence. Also, improvement in road networks encourages speeding by drivers and also accidents.

Further the F-test shows that the regression is significant since the F-statistic of 21.828 is greater than the critical value of 2.69 at 0.05 level of significance. The t-values also show that population estimate and length of roads are significant at 0.05 level. The value of the coefficient of determination, R² which is 73.2 per cent shows that the model is a good fit for the data. The predictive ability of the model is thus confirmed. The regression model obtained is:

\[
\text{Log (MVD)} = -0.303 - 0.013 \text{log (TRA)} + 0.819 \text{log (PE)} + 0.166 \text{log (LR)} - 0.025 \text{log (NRV)}
\]

5.2 Pattern of Motor Vehicle Injuries

The model for motor vehicle injuries takes the form:

\[
\text{Log (MVI)} = \log (\text{TRA}) + \log (\text{PE}) + \log (\text{LR}) + \log (\text{NRV}) + \varepsilon
\]

where MVI represents motor vehicle injuries; TRA, total road accidents; PE, population estimate; LR, length of roads; NRV, number of registered vehicles.

Table 6. shows the regression summary of motor vehicle injuries and the independent variables. The independent variables explain 83.8 per cent of the total variation in motor vehicle injuries.
Table 6: Regression Summary for Motor Vehicle Injuries and the Independent Variables

<table>
<thead>
<tr>
<th>Dependent variable</th>
<th>Independent Variables</th>
<th>Regression Coefficients</th>
<th>Standard Error</th>
<th>t-value</th>
<th>Levels of Significance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Motor Vehicle Injuries (MVI)</td>
<td>Constant</td>
<td>1.037</td>
<td>0.833</td>
<td>1.245</td>
<td>0.222</td>
</tr>
<tr>
<td></td>
<td>Total Road Accidents (TRA)</td>
<td>-0.143</td>
<td>0.168</td>
<td>-1.474</td>
<td>0.150</td>
</tr>
<tr>
<td></td>
<td>Population Estimate (PE)</td>
<td>0.916</td>
<td>0.085</td>
<td>11.185</td>
<td>0.000*</td>
</tr>
<tr>
<td></td>
<td>Length of Roads (LR)</td>
<td>0.237</td>
<td>0.105</td>
<td>2.945</td>
<td>0.006*</td>
</tr>
<tr>
<td></td>
<td>No. of Registered Vehicles (NRV)</td>
<td>-0.049</td>
<td>0.061</td>
<td>-0.636</td>
<td>0.530</td>
</tr>
</tbody>
</table>

R² = 0.838  DF = 4/32  F = 41.46 > 2.69

* significant at 0.05 level of significance

The remaining 16.2 per cent are variables which cannot be included in the model as a result of their exogenous features. These could include behaviour and driving capacities of drivers, and vehicle conditions.

The regression summary shows that motor vehicle injuries has positive association with population estimate and length of roads. This is to be expected since population growth leads to increased level of motorization and higher probability of accident occurrence and also injuries. Also, improved road provision promotes motorization and motorability.

In this study, total road accidents is found to have negative association with motor vehicle injuries. This could be due to the efforts of the Federal Road Safety Commission established in the country in 1988 to reduce road traffic accidents and injuries on the Nigerian roads. The results show that number of registered vehicles has negative association with motor vehicle injuries. This is hard to interpret but one should not dismiss the possibility that security checks by law enforcement agencies also help to reduce the number of unregistered and un-roadworthy vehicles on the roads.

The study also shows that two independent variables, population estimate and length of roads are significant at 0.05 level, considering their t-values. The value of the coefficient of determination R² which is 83.8 per cent shows that the model is a good fit for the data. The F-test also shows that the regression is significant since the F-statistic of 41.46 is greater than the critical value of 2.69 at 0.05 level of significance. The predictive ability of the model is thus confirmed. The multiple regression model obtained is

\[
\text{Log}(\text{MVI}) = 1.037 - 0.143\log(\text{TRA}) + 0.916\log(\text{PE}) + 0.237\log(\text{LR}) - 0.049\log(\text{NRV})
\]

6. Conclusion and Recommendations

This study has examined the spatial distribution of road traffic accident casualties among the 36 states and the Federal Capital Territory of Nigeria. The study shows that regional variations exist in the incidence of road traffic accident casualties in the country within the study period of 2004 – 2007.

The study has tried to model motor vehicle deaths and motor vehicle injuries on Nigerian roads. The results show that total road traffic accidents, population estimate, road lengths and number of registered vehicles are important variables to take into consideration in examining road traffic accident casualties in the country.

In order to curtail road traffic accidents on Nigerian roads, the following recommendations are pertinent:
1. Drivers should be trained and retrained as a means of effectively dealing with road traffic accident reduction.
2. Motorists should drive within speed limits and with a speed consistent with road conditions.
3. Motorists should not drink and drive and should comply with the legislation on speed limits.
4. Seat belts should be worn by motorists for both short and long trips.
5. First aid kit should be provided in every vehicle and emergency first aid facilities should be made available for accident casualties.
6. Road safety education should be part of the curriculum in our educational institutions.
7. Traffic laws must be judiciously enforced by the various law enforcement agencies in the country.

References

Federal Highway Administration.


Evaluating Low Income Families’ self Perception of the Economic Aid Program:  
The Albanian Case

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Abstract: Given the complicated transition in which post communist countries have been going through during their rapid development, it is important to make sure that concerns of the weakest part of these societies are taken into consideration and not left on their own fate hidden in the chaotic transition process. This study is an evaluation of Albanian needy families’ perceptions of the public Economic Aid program. Qualitative research was based on ten interviews of Economic Aid recipients, male and female baby boomers. They all had children. The findings showed a huge gap between the Economic Aid amount and their real expenses and needs. In most cases this gap was covered from black market jobs. Recipients felt extremely poor, inferior, hopeless, and concerned about surviving. The lack of trust in the Economic Aid program in specific and the government in general was due to perceived high level of corruption. We recommended a practical framework for restructuring the Economic Aid program in terms of the amount delivered, transparency, employment support, psychological assistance for both parents and children, and better medical coverage.

Keywords: social services; Economic Aid; Albania; developing countries; temporary cash assistance.

1. Introduction

Developing countries in South Eastern Europe have been going through a complex transition in terms of political changes, economic stability and social development. Corruption has been an evident unethical phenomenon for these countries accompanying their journey towards development and integration. As a result, the integration process has been complicated.

After Croatia being finally accepted in the European Union as of July 1st 2013, Albania is one of the next candidates of Western Balkan whose application is being considered for the membership of European Union (European Union Commission, 2010). It has been twenty years since communism collapsed in Albania and many socio-economic changes have occurred since then. Yet, the efficiency of these changes still needs to be evaluated. The lack of an appropriate preparation of the population to embrace the new capitalistic system and an ineffective legal system to ensure stability prevented from appropriately addressing concerns of the extreme poor class of the Albanian society.

According to INSTAT (Albanian Institute of Statistics, 2011) Albania still does not have an official Living Minimum Standard. However, the public Economic Aid program that supports the needy families with no or not enough revenues and invalids is considered 5-6 times under the assumed minimum standards. In addition, the unemployment rate of 13.8 % (INSTAT, 2009) coexisted with a considerable increase in prices.
The intent of this article is to raise the voice of this class of the Albanian society being the official data extremely ambiguous due to the informal economy and unethical political strategies still operating in this country. In this study we are questioning the reality from people’s perspective in an attempt to understand their experience with the public Economic Aid program and issues they have been going through without establishing direct cause – effect relationships. The intent of this article is to identify their main concerns, understand if the public Economic Aid is perceived as an efficient corrector, and how this is influencing their quality of life.

This study can be relevant to needy families as the opportunity to externalize their needs and issues adds value to their voice which hopefully will be taken into consideration for future antipoverty programs. The local regional directories can gain from this research as well. If they start directing the culture of their organizations to being more democratic and open to families’ in need feedback, they will be able to come out with more efficient suggestions for their future budgets to be approved by the main directory of the Ministry of Work and Social Affairs. As this ministry adopts a decentralized structure for its local operations, it will be easier for different regions to have a personalized program for the social services they could provide to the needy families as complementary or substitutes to the Economic Aid. In addition, the European Union Commission can gain helpful information to evaluate the membership of Albania and ensure a more transparent integration process. It is crucial for them to know that data observed are a correct reflection of the reality.

Other Not for Profit not owned by the government will have a better idea of what to offer to the community in terms of antipoverty programs. By offering the extreme poor families what they really need, they would fulfill the mission of their existence and support a democratic Albanian society in terms of socioeconomic welfare.

2. Literature review

“Everyone, as a member of society, has the right to social security and is entitled to realization, through national effort and international cooperation and in accordance with the organization and resources of each State, of the economic, social and cultural rights indispensable for his dignity and the free development of his personality.”

Universal Declaration of Human Rights, Art 22

Many studies have been done to evaluate welfare programs’ efficiency. However, there is a lack on studies that consider the recipients’ self perceptions on these programs (Nicolas & JeanBaptiste, 2001). Our intent is to explore previous researches and theoretical concepts in order to build the foundations for a grounded theory based on the triangulation process. By digging in the theory out there and analyzing different perspectives provided us a better understanding of the theoretical context of our study. We focused our attention in three main pillars that helped us create support the objectives of our study. First, we explored the concept of human dignity in general and that of needy families in specific and the impact of welfare programs on it. We wanted to understand how to value people as human beings and protect their integrity. Secondly, we examined how developed countries deal with needy families issues in terms of welfare programs and human dignity protection. Last, but not least, we considered other developing countries’ realities as they have been going through socioeconomic transition similar to Albania. We mainly focused on how previous researchers approached the Albanian welfare programs in particular and poverty issues in general within their studies.

2.1 Humanitarian approach

Most of the previous studies define the welfare based on the humanitarian approach as an instrument to protect human dignity. The protection of human dignity is a way to enhance human development and ensure autonomy. All this leads to human rights protection (Gumbis, Bacianskaite, & Randakeviciute, 2010). These
studies mainly focus in the policies at the basis of human dignity protection. Different policies have different consequences, thus should be taken into consideration very carefully before being applied.

Wax (2003) in his study states that the protection of human dignity is considered not just a government’s responsibility, but of all members of a society as well. He argues that no one can take full benefit for what he does and achieves as everything happens in a context which can be the society itself and its institutions. Other studies embrace the same non individualistic approach (Gumbis, Bacianskaite, & Randakeviciute, 2010). According to these studies, no one, as long as they are a part of that society, has the right to be against the distribution of welfare benefits even when they do not receive these benefits due to a lack of need.

Based on these principles, Wax (2003) criticizes the concept of self-reliance by affirming that there is nothing wrong in being dependent as long as the dependence is constructive. Other studies, however, have not such a negative attitude toward the concept of self-reliance. Siegel, Green, Abbott, and Mogul (2007) fear that welfare programs might induce dependency from these programs if not based in appropriate policies. These researchers after analyzing the development process of welfare leavers and returners show that the most efficient programs are the ones that prioritize human development and its attitude toward work, instead of just cash benefits, in order to avoid dependence from the government. This way, people learn how to take responsibilities. These priorities are set up through a requirement of people to work in order to have those cash grants. Similar beliefs are particularly supported from a feminist perspective. Scott, London, and Gross (2007) in their study regarding welfare-reliant women’s perspectives on self-sufficiency have shown that women equal self-reliance with independence from the state and marriage. They would prefer to work rather than marry someone in order to be dependent from them. It is important to identify what people need and not simply pretend to know their needs while making welfare policies.

2.2 Developed countries approach

In order for people to be able to know what they need it is important to provide full information of welfare benefits and their impact on human development. Studies show that many people are not fully aware of what is being offered in terms of welfare services. Most of them are familiar with the temporary cash support, but not with the rest of the welfare programs. A study in UK has shown that full assistance through specific advice centers had better results in human development compared to welfare policies with no advice (Adams, White, Moffatt, Howel, & Mackintosh, 2006). People need to be guided while being in critical situations in order to help them overcome those difficulties. Gabel and Kamerman (2006) analyzed twenty one industrialized countries in order to identify the public commitment in investing in programs that support children, help their development and at the same time make life easier to their parents. As the authors state, “changing family structures, particularly among those families headed by mothers living alone, have made families with children increasingly vulnerable to income poverty and its consequences” (Gabel & Kamerman, 2006, p.239). Families with a single parent are now common to our reality, thus adequate governments’ policies, other than just cash, would be helpful to single parents who struggle between being a parent and a worker. It is interesting that regardless economic difficulties within the industrialized countries which were under analysis, the government commitment toward these programs did not decrease as one might think. Gabel and Kamerman (2006) found that non cash services provided by governments were intentionally created as the interest of families had moved from cash benefits to finding the appropriate balance between parental and worker responsibilities. This supports Scott et al. (2007) findings about the families with single mothers that do not like to be dependent to state or marriage. Brown’s study (2009) done in Australia shows the same findings in terms of people’s dependency from the cash benefits provided by the government. In all these studies welfare programs based on cash benefits only would fail to meet all low income families’ needs.

Studies showed other reasons to have welfare programs not based just on cash benefits, especially considering that parents’ unemployment influences also children’s quality of life in many aspects. Parents who had less money and more emotional stress had higher probability of mental and physical health
decrease (García Rodríguez, 1998; Jin, Shah, & Svoboda, 1995) leading to an increase of divorce probability (Kraft, 2001). This, in addition to the recession impact on children’s quality of life listing children in USA during 2010 at the highest poverty level in twenty years (Land, 2010) was a strong evidence of the necessity for efficient public policies in order to solve the critical situation in developing as well as developed countries.

Studies also showed how parents’ wellbeing impacted their children achievements, at least in the short run, especially when parents were just high-school or less educated (Stevens, Huff, & Schaller, 2009). This study highlighted the need for social programs which help parents get a degree, or support their children during the stressful period of their parents’ unemployment. While Stevens et al. (2009) talk about a short-term decrease at least from an academic performance point of view, the Foundation for Child Development based on a longitudinal study stated that “research shows that children who slip into poverty, even for a short time, can suffer significant setbacks, even when their families regain their economic footing.” (Land, 2010, p.3).

Same conclusion was reached in the Australian case study where Brown (2009) stated that:

The personal cost to these children, who grow up without the positive influence of a working parent to teach them about responsibility and discipline and instill them with a sense of ambition and self determination, cannot be underestimated. Family joblessness leads to welfare dependency and child poverty, and inferior health, social, and developmental outcomes for children (p.5).

The Australian welfare and tax policies went through a learning experience. The government realized that people get dependent to welfare if they receive more over the same amount of money that they would take while working. This is the reason why they applied financial and other incentives. As for financial incentives, decrease of taxes or increase of wages was the key solution to make these people earn sufficiently more if working. While in terms of non financial incentives, the Australian government found strict welfare rules to be efficient on getting people to work. People would get punished if they did not go through the process of looking for a job and being part of the programs that help them finding one (Brown, 2009, p. 3).

Research does not consider people’s unawareness of welfare services’ availability as a reason to fully justify the state of poverty that people face. Many of the welfare systems are not perfect. Roth (2004) in his study shows that the best instrument for change to occur is to raise the voice and make public the inefficiencies of welfare systems. Claiming systems that do not work properly can increase awareness much more than just demonstrating how things should be. On the other hand, it is important to be aware that the attitude of the public towards welfare benefits depends on how much interest they have on those benefits (Blekesaune & Quadagno, 2003). If people are not expecting to be unemployed, they are less willing to accept taxes for the fair distribution of wealth. Similar attitudes where found regarding the Norwegian welfare programs (Pettersen, 2001). Blekesaune and Quadagno (2003) also found that people tend to increase awareness in situational cases, such as when unemployment is high, and they are more aware of the support that public welfare state can give to them in terms of cash or support in finding a job. The advice centers become once again crucial in helping people to overcome these situational moments (Adams, White, Moffatt, Howel, & Mackintosh, 2006).

2.3 Developing countries approach

Speaking of available welfare services, studies have shown how in countries which experience a rapid growth, the public policies were not ready to respond with appropriate policies to protect the human dignity of the poor (Daniere & Takahashi, 1999). The gap between rich and poor increases when there is a rapid economic increase (Ishay, 2010). This is the reality that most of the developing countries have been going through. Thus, an adequate welfare system in these countries becomes even more critical. By adequate we mean that these policies should not just exist, but should also be applied in an efficient way. Hadiprayitno (2010), while analyzing the Indonesian policies about the right for food from a humanitarian approach, found that the Indonesian government was struggling to practice the public policies as they should, failing this way to protect the right for food. As a result the human dignity was not respected. Similar non positive effects of
social assistance in reducing poverty level were founded by Verme (2011) in his attempt to evaluate social services performance in Moldova, the poorest country in Europe, also in transition after coming out from communism. In contradiction with the Indonesian and Moldovan case, Sen (1981) focused his research in four good examples of South Korea, Singapore, Hong Kong, and Taiwan as countries with a rapid, yet quality economic growth in their early capitalism era. Findings on this study proved that the state’s commitment is crucial to adopting effective public and welfare policies.

In addition, studies about Albania showed an interesting factor to be considered while analyzing the quality of life and the poverty level. Carlett and Zezza (2006) found that there is a gap between Albanian poverty measured based on objective instruments and Albanians’ perception about their poverty level. This study concluded that Albanians feel poorer than objective measurement techniques would define their quality of life, reason why we wanted to include the subjectivity factor while evaluating the efficiency of existing policies and considering the introduction of new welfare policies.

The Commission of European Union (2010), in its annual report stated that Albania is in a good way towards getting its membership. Still many more efforts needed to take place before that happened. The political influence in the public administrative system has to decrease in order for this institution to work efficiently. In addition the law has to be enforced so actual public policies can be applied properly. With inefficient public institutions, no welfare system can protect human dignity, enhance human development and increase low income families’ quality of life.

Previous studies about the performance of Economic Aid program in Albania, showed its public institution inefficiency. Mangiavacchi and Verme (2009) found that this inefficiency consists mainly in a reaching the real poor. They still could not define if this happens because of the complicated formula which is supposed to target the real poor, or because of corruption and poor decentralization structure of the welfare system. However, the inefficiency of the decentralized system of targeting the poor has been proved in other Alderman’s (2002) studies as well.

Independently from the public institutions efficiency, previous researchers have also included the subjectivity factor while analyzing Albanians welfare. Interesting enough is the fact that Albanians perceive a higher financial satisfaction if they are working in the informal sector, and have a low-positive attitude toward tax payments. In few words, if two people have the same income, but one works in the formal sector, and the other one in the informal sector accompanied by low-ethical attitude toward tax morale, the latter will perceive a higher well being (Ferrer-i-Carbonell & Gërxtiani, 2005).

2.4 Summary of the Literature

As supported from the literature above, the humanitarian approach consists on the idea that human rights are protected if people’s dignity is respected and if these people are treated and enabled to live as human beings. In order to achieve this, a constructive dependability is allowed, up to the point where people are still motivated to reach self-reliance. For this to happen, effective welfare programs should exist and full assistance in sharing information should be provided by public institutions in order to support needy families during the process of overcoming their obstacles. Examples of developed countries approach with welfare issues mainly highlighted the high influence of non cash benefits on avoiding the risk of unlimited dependence of needy families on the state support. The relevance of non cash incentives is also enforced by showing which additional non cash problems needy parents have to go through while raising their kids. Emotional stress has a critical impact on parents and children’s health and socio development in the short and long term. In conclusion, we analyzed other researches that have been done considering countries which have gone through similar socio economic rapid growth accompanied by a huge gap between rich and poor as happened in the Albania. Findings showed the successful countries had a strong public system which helped to efficiently apply the exiting welfare policies. Mismanagement and corruption were the major causes of the failure of these programs in other countries. Studies analyzing the Albanian reality showed that a critical element of the financial satisfaction and quality of life depends on the fact that needy families work in
the informal job market or not. Even their attitude toward the taxation as an instrument which can influence the Economic Aid changes depending on their participation in the informal job market. This theoretical framework served as fundamentals of our study. They helped us better understand the context of our study while considering different perspectives.

3. Methodology

The purpose of this study was to evaluate low income families’ self perception of the Economic Aid program and its impact on their everyday life in an attempt to provide a guideline for antipoverty programs. In order to achieve this goal the study focused on five major objectives which helped us build the fundamentals for answering the research question of this study.

Our objectives were to:

- Define human dignity from needy families' viewpoint.
- Evaluate the efficiency of Economic Aid program from needy families' perspective.
- Identify root causes of the poverty state of low-income families.
- Point out the implications of poverty in general and the Economic Aid program in specific on needy families’ lives.
- Explore opportunities for antipoverty programs as complements or substitutes of the Economic Aid.

This study was based on a qualitative research method in order to give value to people’s perceptions and experiences. The inductive approach of understanding needy families’ context and the implications of it in their lives helped us build a grounded theory.

3.1 Participants

The richness and variability of the data was enabled by using purposive sampling. Information about the respondents was provided by the local public social work entities which distribute the Economic Aid. While selecting our respondents we considered specific characteristics that would provide us with relevant information necessary for reaching constructive conclusions. Major priority was given to characteristics such as: age, duration of the needy state; the size of family; education; geographic area of living. Respondents who fulfilled the characteristics we were looking for were selected while they were present in the public entity. A total of ten interviews were completed. All ten interviewers were from urban area. Six out of ten participants were female. All respondents were baby boomers. None of them had a higher education. This was relevant to our study as this generation had a long experience with the communism and democracy as well. They were all households with children aged five months to twenty-two years. Respondents were long-term needy families having received Economic Aid for more than two years. A personal brief presentation of the purpose of our study was communicated to them. Ten of the twenty two people approached volunteered to be interviewed. Face to face interviews were scheduled on respondents’ preferred timing and location.

3.2 Instrument

Data collection was achieved through personal interviews covering thirty six questions among which two open ended questions asking participants to pick the topics. Respondents were not comfortable in talking about their personal issues in a focus group context because of cultural impediments. In the community where respondents lived people were not easily open to group communications. They fear to be judged by other members of the community, or stereotyped because of their low social status. We considered this element as a critical key to our study, thus we decided that personal interviews would protect their comfort zone. In addition, a survey of eleven questions provided us with participants’ socio demographic data.
3.3 Procedure

The interviews started with a more in-depth prescription of our study and the role of the respondents in it. Respondents were presented with the confidentiality policy and anonymity was insured not using their real names and presenting the data in an aggregate form. The session continued with a short socio demographic survey to be filled by each respondent. No reimbursement was provided to respondents for their participation. The interview was guided by the interviewer towards five major pillars coherent with the objectives of our studies. However, the questions had the characteristics of open-ended questions in order to let respondents guide the issues that were more relevant to them and the depth of the details they were willing to share.

The trustworthiness of this study was insured in terms of credibility, transferability, dependability and conformability (Erlandson, Harris, Skipper, & Allen, 1993). Confirmation questions asked to respondents and peer debriefing and blind coding was used to ensure credibility of the results. Transferability in this study due to the small amount of interviews is guaranteed by providing a detailed and full picture of the context in order to let other researchers and readers evaluate the amount of findings’ transferability into their own context. Within this study a purposive sample was intentionally chosen in order to provide various contexts of people having similar Economic Aid support. Our intention was to provide dependability information by showing how changes of a certain context could affect our research differently. In addition, interviews were recorded and notes were taken in order to provide full access to auditors and ensure conformability.

We analyzed our data through a constant comparative method (Glaser & Strauss, 1967). Statements were codified and grouped into eight categories which led us to our results. The latter was presented through a case study report in order to understand the connection the data with the context of our study and provide information useful for our findings. Themes emerged from the respondents perceptions naturalistically resulting in grounded theory.

4. Findings

4.1 The context

Our intent in this study was to raise the voice of Albanians needy families who deal on a daily basis with poverty while being recipients of the public cash assistance known as Economic Aid program. People who are accepted in this program have to be without income or invalid in order to receive the cash support. Furthermore, they are all registered as unemployed people looking for a job. As soon as they find a job, privately or through the help of public institutions they are no longer considered as cash benefit’s recipients.

The interviews were done at the respondents’ houses because they felt more comfortable there. This helped us realize even better the reality of their lives. Their houses were extremely simple and clean. The respondents were baby boomers, having had hard time to adapt to the transition of going from communism to democracy. The downsizing of organizations owned from the government during communism, found these people unprepared to the new capitalistic model during democracy. During the communism era people had few opportunities to have a higher education, and the government was the only provider of jobs as corporations were all state owned. With the fall of communism in 1991, the majority of the public corporations shut down, having as a result a high increase in unemployment. The rapid economic change toward capitalism made the job market require for higher education. Jobs were neither enough nor insured by the government as they used to be during communism. The change of governments every four year came along with high turnover. Thus the weakest part of the society became even weaker.

Data from INSTAT (2011) show that employment in the public sector during early democracy (1995) was mainly focused in secondary level of education, while it had shifted rapidly to higher education with a decrease of employment for people with a lower education level, which is mainly composed by the communism generation known as baby boomers. It is in this context that the Economic Aid program was adapted. Recipients of this cash support depending on individual circumstances take on average a monthly
payment of 4,500 ALL\(^1\) (around forty dollars). This amount did not change a lot during the years, while the minimum average salary in the public sector has changed from 3,400 ALL in 1995 to 20,000 ALL in 2009 (INSTAT, 2011). This shows an increase of 500% of the minimum wage in fifteen years while the Economic Aid for needy families represents only 25% of the minimum wage. In our findings section we will respond to our four objectives while the last objective will be covered in the conclusion.

4.2 Define human dignity from needy families’ viewpoint

The findings of our study suggested that human dignity is not a definition we could generalize. Every human being has his own perception of what dignity means to them and how they pretend to be treated in order for their human dignity to be respected according to their expectancies. Their definitions change based on their background and the context they belong. In general human dignity to them is not just how the society sees them, but also how they see themselves, intrinsic versus extrinsic. People who had a difference in identifying their dignity based on the position that they have within the society versus the consideration that they have about themselves, showed a difference in their perception of feeling treated as human beings or not. One of the respondents stated: “No, I don’t feel treated as human being. The Economic Aid is insignificant and doesn’t allow me to support my children. Working in the black market makes me feel not treated as human being” (R1). This same respondent considered dignity as the position that she had within the society. On the other side people perceiving human dignity from an intrinsic perspective had different perception about feeling treated as human beings while stating: “Yes, I feel treated as a human being. I never argued with someone.” (R2).

In terms of responsibility 80% of the respondents seem to agree in the fact that they see the government as responsible to their quality of life (R1, R2, R3, R4, R5, R6, R8, & R10). They were very emotional while talking and describing their lives’ conditions, and provided as main responsible the government. Other respondents felt oppressed by the reality and inferior, although their tendency was to hide this feeling in front of their children. “I try to not show how I feel, even though it is very hard for me. I really want to have my own personality and not feel inferior” (R1).

In addition, we noticed a common altruistic value among our respondents while considering not just their own human dignity, but that of other members of their community as well. They would be willing to be helpful to other people in order to support their human dignity. However, they showed a difference in their potential level of involvement, active versus passive behavior. Respondents that were community oriented, and perceived human dignity based on the position and respect that they had among other members of the society, perceived that all members of the society should be responsible for the fair distribution of richness. They would agree to have an increase in taxes, in case they worked, in order for other needy members of the society to receive a greater Economic Aid (R1, R2, R3, R4, R5, R6, R8). On the other hand, other people had a more individualistic approach. “If I worked, I would not accept to have an increase in taxes, because everyone has its own difficulties in life and works for that” (R2). These people learned from their experiences that they can’t depend on any one, not even on the government as such, they expect others to see it the same way (R10). However, the non acceptance of the increase in taxes was explained also as an inefficient solution towards the community welfare improvement. They believe that more taxes mean higher prices (R7, R9).

4.3 Evaluate the efficiency of Economic Aid program from needy families’ perspective.

While our respondents considered the government as the main responsible for their human dignity’s damage, they did not consider the Economic Aid program as a solution at all. “For me the Economic Aid is nothing, is

\(^1\) Lek is the Albanian currency (ALL)
insufficient. My younger son has diabetes, and I cannot even afford to buy his medicines.” (R2). There was a huge lack of information about this program even though the criticism towards it was high. They came to know about this program mainly from families and friends. Only two of them went to ask for help on their own and learned about the program (R5, R6). Others that used to work before, when they lost their jobs they were given a form to fill for the application process and they did not know how much they would receive in terms of cash. All respondents had higher expectations about the monthly cash amount they would have been receiving (R1, R2, R3, R4, R5, R6, R7, R8, R9, R10). Eight out of ten respondents suggested that minimum cash needed to cover basic monthly needs was 3,000 ALL (300$), however they were spending around half of this amount even though their Economic Aid provided them with one third of what they were spending. With that amount they could barely afford to buy two pounds of bread a day, considering a family with an average of four members.

Many of the respondents work in the black market, and still struggle to cover their basic needs. The more we focused in understanding their perceptions about their Economic Aid, the more they continue to talk about their extreme difficulties, and they became emotional, or avoided some of the questions. We did not find any element of dependency from the Economic Aid program, as we found during our theoretical researches. Respondents never stopped looking for a job. They could not depend on the Economic Aid they were receiving. Even though some of the respondents did not stop looking for a job (R2, R4, R7, R8, R9), others stopped looking for a job through the public institutions, due to the fact that they lost their trust in the government and they figured out that there was no job for them (R1, R6, R10).

I have been working in the black market selling coffee in the streets for twenty years, since the communism fell, and I lost my job. Public institutions told me that there were some vacancies only for women under age 35 in the tailoring industry, but I was a man, and not that young. Thus I stopped looking for a job through them. I do not want to know anything about the Economic Aid program. All I want is to take care about my own difficulties. I depend only on myself, and try to protect myself. (R2).

In addition respondents talk about corruption within the public institutions. Four out of ten, admitted the existence of corruption and unfair distribution of the Economic Aid, however, information was vague (R1, R6, R7, R8).

4.4 Identify root causes of the poverty state of low-income families.

Our respondents did not have a higher education and they were poor for almost twenty years, since the fall of communism. As mentioned above, these people also did not have a great support in how to find a job, and how to improve their skills in order to fit to the new job market requirements which had been continuously changing during the transition period. We found that our respondents blamed as the cause of their poverty the political system leading to unemployment as well as the lack of proper education. However, they did not consider their low level of education as a direct cause of their unemployment (R7). All respondents were always willing to work even more if job opportunities were available.

4.5 Point out the implications of poverty in general and the Economic Aid program in specific on needy families’ lives.

Respondents perceived to be extremely poor and hopeless. While all their talk goes around their concerns about their children, they feel that they cannot have the luxury to think about themselves even though they would like to. However, they try to hide their emotional feelings as much as they can from their children. They are open only to their partners (R1, R2, R3, R4, R5, R6, R9). Mainly their children do not judge their parents about their standard of living, even though they are aware of it with the exception of some cases where kids would blame them for what they can't have in comparison with other kids of their age. However these mixed feelings would last only in a short term (R1, R8). The respondents would eat less and satisfy their children’s
needs rather than let them feel inferior to their friends (R1). As much as our respondents try to protect their children, there were circumstances where they had no choice. One of our respondents stated: “I got my daughter married at age fifteen and my son emigrated” (R10). However, their children did not have problems with school, drugs or other social problems. It seems that they were actually motivated to go to school and achieve what their parents could not.

In terms of children-parent relationships, most of the respondents had really good and open relationships with their parents (R1, R2, R3, R4, R5, R6, R7, R8, R9). Others not that good, however we don’t know all the reasons behind it. In general, the respondents perceive appreciation and respect from their children who explicitly show it. A respondent stated: “My nine years old son is sick and I do all I can to take care of him and cover his medical expenses. He has been telling to my neighbors how much he loves and appreciates me.” (R2). Nine out of ten of our respondents stated that they did not notice any difference on the respect given to them from their children based on who works in the family and who does not (R1, R2, R3, R4, R5, R6, R8, R9, R10).

5. Conclusion

First of all our findings highlight a huge gap between what people receive in terms of Economic Aid, what they actually spend for living, and what they perceive they need in order to cover their basic needs and feel treated as human beings. There were no discrepancies regarding the perception of the Economic Aid’s inefficiency among the respondents. However, their approach to poverty showed some differences. Below we are highlighting the main effects of poverty.

This study showed symptoms of inferiority among needy families, more in households than in their children. Inferiority was not only related to how people consider themselves compared to other members of the society, but also how people consider themselves. These findings further support our theoretical findings which showed both an individualist and a communitarian approach. Respondents who were more social oriented were people who criticized the government in general and the Economic Aid program in specific, however, they still hoped in change. They were people who were willing to offer their services to the community if that would have helped them improve their quality of life. These were people who were helped by their relatives to overcome obstacles. Other people had a huge lack of trust in the government, including the Economic Aid program which they did not even consider as a source of income. These people had the tendency to not offer their services to the community. They would not pay more taxes if eventually working. However, none of these people did show any sign of dependency on the Economic Aid as some of the literature research showed. Needy families have been depending on their own, they did not stop working even though on the black market. Our conclusion to these facts was that the economic Aid was so small that it was impossible for these people to rely on it and create some sort of dependency on this program.

We also concluded that the perceived inefficiency of the Economic Aid program was sometimes leading people to unethical behavior. First of all, our findings showed elements of perceived corruption within the government in general and the public institutions of the Economic Aid provider in specific. These examples of corruption, in addition to the insufficiency of the monthly Economic Aid, left people with no other choice than working in the black market when possible. Even though, needy families perceive that not paying taxes is unethical, some of them did not have a choice. Thus it is critical to understand that indirectly pushing people to work in the black market has many side effects. First, we should consider the fact that these needy families are mainly baby boomers generation, with no guidance to entrepreneurial skills, as they have been educated under Marxism-Leninism principles during communism. Letting them on their own fate struggling in the new capitalistic market is not just a cash flow deficit in terms of taxes for the government, but also a high probability of entrepreneurship failure for these people, which will lead to increased poverty, and increased social issues for the entire country. Our theoretical research showed case studies where the most efficient welfare programs were the one with incorporated non cash support and full guidance.
Based on our theoretical and empirical findings, we recommend a framework that takes into consideration the main issues revealed by our study. This way we move toward our last goal focusing in exploring opportunities for antipoverty programs as complements or substitutes of the Economic Aid.

6. Framework for potential implementation

1. Reevaluate the amount of the Economic Aid. It is important to have coherence among the changes in prices, the real purchasing power, and the minimum wage salaries while considering the appropriate amount of Economic Aid. In order to do so it is critical to have an official minimum standard of living as a reference.

2. Control all documentations of the existing recipients of the Economic Aid in order to make sure that elements of corruption will be eliminated. This will require a restructure of the public institutions, and their depoliticization.

3. Increase the public support on the job searching process. Strengthen collaboration with the local business in order to diminish the job hidden market. Do job market research in order to see what skills are required in the current and future job market and create training programs that help needy families achieve those skills.

4. Revise medical support for members of needy families. Households are not able to cover their food expenses. The partial current reimbursement is not enough for these people. A full coverage would avoid health deterioration because of malnutrition and untreated disease.

5. Public psychological assistance. Long term poverty and perceived inefficient support from the government, has made needy families go through mix feelings, such as; inferiority, stress, disappointment, hopeless, insecurity and much more. During the interviews, we perceived an extreme need of these people to talk about their feelings and to truly being listened from someone. Psychological support should be available to parents and children as well.

7. Limitations

Our study was focused on the perceptions of needy families, thus we considered as more appropriate a qualitative research method. It is hard to quantify and standardize the perceptions through a quantitative research. Another limitation is the fact that interviews were held in Albanian, thus, the power of the responses might have lost some of its strength due to their translation in English. In addition, respondents were very unfamiliar with studies as ours, thus privacy concerns related to topics such as corruption, or simply a limited tendency to openly talk about personal feelings, might have influenced their responses.

References


Voting Behavior of People Towards Different Political Parties in District Faisalabad, Pakistan

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Abstract: Voting is the main form of political participation in democratic societies and the study of voting behavior is a highly specialized sub-field in political and social science. The study was concerned with the reasons why people vote the way they do. The main objectives of the present study were to find out the factors which affect the voting behavior & to explore the factors that constitute political affiliation in District Faisalabad. A sample of 160 household respondents was selected systematically from District Faisalabad through multistage sampling technique. Specifically explored through this study the relationship of voting behavior with education, internal changes in the party, voter’s satisfaction and biradrism are those factors that had strong effect on voting decisions. More than fifty percent (55%) of the respondents vote for the candidate not for the party and (53.1%) of the voters change their behavior due to the internal changes in the party. The value of Chi-Square and Gamma showed a significant and strong association between voter satisfaction with particular political party, favour of biradrism and internal change in the party are strongly associated with voter's behavior.

Keywords: voting behavior, class, religion, caste, ethnicity and biradrism

1. Introduction

Man is a social being, and as such he always contributes in social life. But this contribution is not constant: the intensity and types of participation are relevant variables in political analysis. Voting behavior is very important aspect of humans because through this we can know the will of people and also the way they want to have it. Voting is very important tool in democratic societies. Democracy provides a chance to the people to become a dynamic citizens rather than inactive subjects (Jost, 2006). A person who is the citizen of Pakistan, is not less than 18 years of age on the first day of the January of the year in which the rolls are prepared or revised, is not declared by a competent court to be of unsound mind and is or is deemed to be the resident of an electoral area, can get himself enrolled as a voter in the electoral area. The citizens registered on the electoral roll are only eligible to cast their vote. (GOP, 2011). Voting defined by Universal Declaration of Human Right as "Voting is the fundamental right of almost all citizens over the age of eighteen. It ensures that will of the people is preserved" (HRCP, 2008). Voting is the expression of a person's preference for a candidate, or a group of candidates, as well as the person's preference of one political system rather than another (Blais, et al., 2004).

The people of Pakistan do not have much experience in elections. The first 23 years of Pakistan were without elections while from 1970 to 2010 nation has experienced 4 regimes of dictatorship. Frequent military interventions hindered the development of a country. The election system has been changing since independence. Hence the political system of Pakistan is still in its experimental stage. Political behavior is a central part of politics of any political system. Politics is an activity related to political system. It is not only a part of political life but social life too (Ahmed, 2004). Studies allied with voting behavior report that voters can be classified into seven most important types by their inspiration to vote: Party Loyal, Morality Seeking Voters, supporter Seeking Voters, Legislation Minded Voters, advance Seeking Voters, Biradari Bound, and disbeliever Voters (Gallup, 2008). Voting decisions are the most important decisions that public make, They
decide who will rule the country and how the resources and capital are allocated. Voters do not know all of the issues. They only rely on informational cues (Cohen, 2003). Demographic factors do affect the voting decisions like gender, race are more important than socioeconomic factors like education (Leighley and Nagler, 1992). In the last few years ethnic and racial influence on voting decisions was studied more than other issues. Race and ethnicity had great influence on voting behavior (Branton, 2004). Social class plays a significant importance in voting behavior. However, other factors are showing an ever increasing importance today such as, social class, party policies, and ethnicity and region issues (Lednum, 2006). Voting for a candidate of one’s own race might be a product of racism, or it may be the result of reliance on a simple, readily available cue. In other words, voters may support a candidate of their own race or ethnicity based on the assumption that a candidate who shares their racial or ethnic background also shares their basic political views (Michelson, 2005).

2. Methods and Materials

This study was designed to assess the voting behavior of people towards different political parties. The research uses a statistically valid random sample of 160 respondents to study the voting behavior of the respondents in Faisalabad. The study was carried out in randomly selected town. The universe of the present study was Faisalabad district. Out of eight towns of Faisalabad district one town namely Madina town was selected randomly. At the 2nd stage two union councils were selected randomly and at 3rd stage four localities from each Union Councils were selected randomly. At the 4th stage 20 respondents from each locality were selected by systematically sampling technique. A well structured questionnaire consisting of open and closed ended questions was prepared. Descriptive analysis such as percentage distribution, frequency distribution and bi-variate analysis was made by using SPSS. Significant relationship was tested through chi-square and gamma tests.

3. Results and Discussion

Voting is the expression of a person’s preference for a candidate, or a group of candidates, as well as the person’s preference of one political system rather than another. The results about literacy level of respondents exhibited by this study were very typical of Pakistani society. Study showed that 28.1% respondents were without education while mean education of the respondents was 8 year school education with 4.03 standard deviation reflecting the low level of education among the respondents. In Pakistan overall literacy rate is 57% according to Economic Survey (Anonymous, 2010). Majority of the respondents 73.8% belonged to age group of 18-30 years whilst mean age was 28.33 years.

Because of illiteracy the people of Pakistan do not have much awareness about the politics. They are inclined by the campaigns and party slogans and vote accordingly. There are also various economic factors behind their decisions. There are many factors that influence the voter’s decision like biradrisim was found sound effect on the voting behavior. More than fifty percent 55% respondents vote to the candidate because of the candidate and nominee belong to their own biradri or caste. Biradrisim is the most powerful element in Pakistan and it is the main basis of the voting behavior in Pakistani society. These results are analogous with (Ahmad, 2004) who found that major part of voters has no political fidelity. People caste their votes to survive as a group or biradri. In case of candidates belonging to the same biradari, voters use their preferences. There is no party identification that is the psychological connection of a voter to a particular biradri. Wilder, (1999) was also pointed out this phenomenon. He depicts that in Pakistan, particularly in Punjab the leading aspect of the social system is biradarisim. It has impact on the political system at national as well as at local levels. Biradari is a stronger determinant of voting behavior. In Pakistani culture family is considered the strong element and most of the people live in joint family system that’s why family members have strong influence about any decision or matter.
Table 1 Socio economic characteristic of the respondents

<table>
<thead>
<tr>
<th>Age of the respondents</th>
<th>Frequency</th>
<th>Percentage</th>
<th>Mean</th>
<th>Standard Deviation</th>
</tr>
</thead>
<tbody>
<tr>
<td>18-30</td>
<td>118</td>
<td>73.8</td>
<td>23.30</td>
<td>3.68</td>
</tr>
<tr>
<td>31-40</td>
<td>22</td>
<td>13.7</td>
<td>34.45</td>
<td>2.44</td>
</tr>
<tr>
<td>41 and above</td>
<td>20</td>
<td>12.5</td>
<td>51.30</td>
<td>8.97</td>
</tr>
<tr>
<td>Total</td>
<td>160</td>
<td>100.0</td>
<td>28.33</td>
<td>10.52</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Education</th>
<th>Frequency</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Illiterate</td>
<td>45</td>
<td>28.1</td>
</tr>
<tr>
<td>Primary-Middle</td>
<td>16</td>
<td>10.0</td>
</tr>
<tr>
<td>Matric</td>
<td>32</td>
<td>20.0</td>
</tr>
<tr>
<td>Above Matric</td>
<td>67</td>
<td>41.9</td>
</tr>
<tr>
<td>Total</td>
<td>160</td>
<td>100.0</td>
</tr>
</tbody>
</table>

Mean = 8.02  Std Dev. = 4.03

<table>
<thead>
<tr>
<th>Income</th>
<th>Frequency</th>
<th>Percentage</th>
<th>Mean</th>
<th>Standard Deviation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Up to 15000</td>
<td>36</td>
<td>22.5</td>
<td>10333.33</td>
<td>2151.41</td>
</tr>
<tr>
<td>15001-30000</td>
<td>90</td>
<td>56.2</td>
<td>23688.89</td>
<td>4312.62</td>
</tr>
<tr>
<td>Above 30000</td>
<td>34</td>
<td>21.3</td>
<td>37529.41</td>
<td>5406.14</td>
</tr>
<tr>
<td>Total</td>
<td>160</td>
<td>100.0</td>
<td>23625.00</td>
<td>9941.81</td>
</tr>
</tbody>
</table>

A mainstream of the 34.4% respondents vote to the parties because their parents and family members pursued them to do that. They have not their own choice. They just pursue their parent’s decision. These figures indicate that the people of the Pakistan are not sovereign yet to take their own decisions. They depend on their parents and family members. The similar observations were of Birner et al, (2006) They stated that an ample share of the voters also considered the opinions of others, including the landlord, the community and husband or father as important. The results of present study was also supported by Ahmad, (2004) who said that people vote for the same party because their biradari support them. It means people caste their votes to biradri supported candidate. The ratio of biradri supported candidate in Faisalabad district is 74%. The Pakistani people have keen interest about political matters and party manifesto. Data exhibited that 45.6% respondents know about the party agenda. These findings line up with Lednum, (2006) who reported that the agenda of the party had dominated explanations for voting behavior in U.K for example in 1992 (56%) of the social class AB voted for the conservatives and only 20% voted for labor. About 13.8% respondents acquired information about political matters by newspaper. In developed countries media has great exposure and have sizeable impact in shaping the public's political knowledge, attitudes and behavior. But in developing countries like Pakistan people rely on their parents and peer group experiences. Result demonstrated that 62.5% of the respondents caste the vote in the previous (2008) general election. The male respondents were found dynamic role in casting the vote. In the total population about 64.7% of male respondents had cast their vote and 36% of the female respondents cast their vote in the present research. It was also repotted by Anonymous, (2010) that the voting turn out in the previous general election 2008 was 44.5% and in the 2002 general election the voting turnout was 41.8%. It shows that Pakistani people have no much interest in the casting the vote. If we compare with other developed countries such as Sweden, Australia, Switzerland, Denmark and Italy etc. have more than 80% voting turn out. Adma, (2007) It also depicted that Pakistan had the problem a lack of political participation in the politics. Adma and Schoersh, (2007) marked that between 1945 and 1997 about 41.8% of the populations, who had allowed to vote, had voted. This compares with about 90.6% in India, 56% in Bangladesh and 63.7% in Nepal.

Data exhibited that Female voting turnout is low, if we compare with the male respondents. Birner et al, (2006) are also in consonance to the findings of the present study. They also identified that women’s vote
turnout was considerably lower than men’s vote turnout in all Provinces. The difference was particularly pronounced in Khyber Pakhtunkhwa, followed by Sindh. At the national level, 39.5% of the women voted, as compared to 56.8% of the men. The researchers also found that the main causes of the non-casting vote are inconvenient atmosphere did not have I.D card, had no name in voting lists, not take the interest in the selection of the representative and fear of violence were the major causes of non-casting vote in the election. The findings of the study carried out by Birner et al., (2006) they observed that more than a few of the respondents who did not vote because they did not have an I.D card, were not registered as voters, or because their name was not in the electoral list. Lack of possessing an I.D card was also a major reason non-casting the vote.

Table. 2 Distribution of the respondents according to the reasons of non-casting vote

<table>
<thead>
<tr>
<th>No</th>
<th>Reasons behind of non-casting the vote</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Not take an interest in the selection of representative</td>
<td>21</td>
<td>35</td>
</tr>
<tr>
<td>2</td>
<td>Have no name in voting/registration lists in electoral area</td>
<td>10</td>
<td>16.7</td>
</tr>
<tr>
<td>3</td>
<td>Have not identity card (I.D)</td>
<td>7</td>
<td>11.6</td>
</tr>
<tr>
<td>4</td>
<td>Inconvenient atmosphere of polling zone</td>
<td>9</td>
<td>15</td>
</tr>
<tr>
<td>5</td>
<td>Fear of violence</td>
<td>10</td>
<td>16.7</td>
</tr>
<tr>
<td>6</td>
<td>Any others</td>
<td>3</td>
<td>5</td>
</tr>
<tr>
<td></td>
<td><strong>Total</strong></td>
<td><strong>60</strong></td>
<td><strong>100</strong></td>
</tr>
</tbody>
</table>

Table. 3 Distribution of the respondents according to their voting decisions

| No | Response categories                                                                 | Yes          | No            | Total         |
|----|--------------------------------------------------------------------------------------|---------------|---------------|
|    |                                                                                     | Freq. | %age | Freq. | %age | Freq. | %age |
| 1  | Vote caste in (2008) general election                                               | 100   | 62.5 | 60    | 37.5 | 160   | 100  |
| 2  | Male respondent try to caste vote                                                   | 55    | 64.7 | 30    | 35.3 | 85    | 53.1 |
| 3  | Female respondent try to caste vote                                                 | 27    | 36   | 48    | 64   | 75    | 46.9 |
| 4  | Know about the party agenda which to vote                                           | 73    | 45.6 | 87    | 54.4 | 160   | 100  |
| 5  | Internal changes in party affect voting decision                                    | 85    | 53.1 | 75    | 46.9 | 160   | 100  |
| 6  | Decide before the election to which party to vote                                   | 97    | 60.6 | 63    | 39.4 | 160   | 100  |

Data revealed that 53.1% of the voter's alleged that due to the Internal change in the party they vote to the party. Best example of internal changes in the party effect the voter's decision was shown in the previous elections where Pakistan People’s Party (PPP) got lead in the elections just due to the assassination of their leader Banzeer Buhtoo. The voting behavior of the people abruptly changes and the entire sympathy vote...
goes to PPP. In the history of Pakistan the voting prototype of Pakistani people remain the same if a family gave vote to a particular party then they vote again and again to that party. And this affiliation goes generation to generation. This is not done due to the contentment they get by the party work but in Pakistan there are many other factors that affect the voting decisions and most important is biradrisn in the present study this phenomenon is studied. Data demonstrated that 60.6% respondents decide before the election that to which party they will support in the next election. These statistics presented by Anonymous1, (2011) who explored that the voting preference of the respondents in the previous election towards different political parties such as Pakistan People’s Party (PPP) 47.5%, Pakistan Muslim League N (PML N) 30.0%, Pakistan Muslim League Q (PML Q) 11.3% and 11.2% others political parties. These findings strongly grasped up the 2008 general election consequences in Faisalabad. There are total 11 seats of members in national assembly (MNA) and 22 members in Punjab assembly (MPA) in Faisalabad district. In 2008 general election members of national assembly (MNA) in Pakistan the winning candidate of Faisalabad district belonged to different political parties such as (PPP) having 6/11, (PMLN) 3/11 and (PMLQ) 2/11. (Anonymous2, 2011) was the eye viewed of Members of Punjab Assembly (MPA) (PPP) having 7/22 Pakistan Muslim League N (PMLN) 10/22 and Pakistan Muslim League Q (PMLQ) 5/22 respectively. This data show that two major parties PPP and PMLN are dominating in the Faisalabad politics. These findings are also lined up with (PILDAT, 2008) also identified that all elections since 1970 show that there are four clusters of voters: The PPP cluster, the Pakistan Muslim Leagues cluster, the Religious Parties and local Parties cluster. Past electoral behavior demonstrates that roughly 60 to 75% of votes are alleged by the first two clusters (PPP and PML) while the lingering gets distributed among the other two clusters as well as independents and miscellaneous. There is a positive and highly significant association between age, income and education toward voting behavior.

**Table 4. Over all National Assembly results - Election 2008**

<table>
<thead>
<tr>
<th>Political Party</th>
<th>Islamabad</th>
<th>K.P.K</th>
<th>Punjab</th>
<th>Sindh</th>
<th>Balochistan</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Awami National Party</td>
<td>0</td>
<td>10</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>10</td>
</tr>
<tr>
<td>Pakistan Peoples Party</td>
<td>0</td>
<td>10</td>
<td>44</td>
<td>30</td>
<td>4</td>
<td>88</td>
</tr>
<tr>
<td>Mutthida Majlis-e-Amal</td>
<td>0</td>
<td>4</td>
<td>0</td>
<td>0</td>
<td>2</td>
<td>6</td>
</tr>
<tr>
<td>Pakistan Muslim League (N)</td>
<td>2</td>
<td>3</td>
<td>61</td>
<td>0</td>
<td>0</td>
<td>66</td>
</tr>
<tr>
<td>Muttahida Qumi Movement</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>19</td>
<td>0</td>
<td>19</td>
</tr>
<tr>
<td>Pakistan Muslim League (Q)</td>
<td>0</td>
<td>6</td>
<td>28</td>
<td>5</td>
<td>4</td>
<td>43</td>
</tr>
<tr>
<td>Independent</td>
<td>0</td>
<td>11</td>
<td>13</td>
<td>1</td>
<td>2</td>
<td>27</td>
</tr>
<tr>
<td>Total</td>
<td>2</td>
<td>44</td>
<td>146</td>
<td>55</td>
<td>12</td>
<td>259</td>
</tr>
</tbody>
</table>

**Table 5. Over all Provincial Assemblies results - Election 2008**

<table>
<thead>
<tr>
<th>Political Party</th>
<th>K.P.K</th>
<th>Punjab</th>
<th>Sindh</th>
<th>Balochistan</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Awami National Party</td>
<td>31</td>
<td>0</td>
<td>1</td>
<td>2</td>
<td>34</td>
</tr>
<tr>
<td>Pakistan Peoples Party</td>
<td>17</td>
<td>79</td>
<td>29</td>
<td>8</td>
<td>133</td>
</tr>
<tr>
<td>Mutthida Majlis-e-Amal</td>
<td>9</td>
<td>2</td>
<td>0</td>
<td>4</td>
<td>15</td>
</tr>
<tr>
<td>Pakistan Muslim League (N)</td>
<td>6</td>
<td>102</td>
<td>0</td>
<td>0</td>
<td>108</td>
</tr>
</tbody>
</table>
4. Conclusion

The people of Pakistan do not have a lot of experience in elections. The first 23 years of Pakistan were without election while from 1970 to 2010 nation has experienced 4 regime of dictatorship. The election system has been changing since independence. Hence the political system of Pakistan is still in its experimental stage. Political behavior is a central part of politics of any political system. Politics is an activity related to political system. It is not only a part of political life but social life too. Caste system seems to be stronger than political loyalty now-a-days as far as motivations for voting behavior are concerned. Party affiliation determines voting behavior. The strong and national level political parties are expected to wipe out the influence of biradarism. The better level of education and political knowledge will reduce the power of discouraging elements of biradarism. Biradarism as a racial or group prejudice should be discouraged. Because of that our public does not have awareness’ about politics we are still living in a non-politicalised society.

5. Recommendations

1. The literacy rate in Pakistan is very low such as the present study showed that the majority of the respondents were illiterate and they were not aware of the importance and right of the vote. The government as well as civil society/NGOs should take necessary steps to create awareness among the people about the importance, weight, meaning and the power of vote through adequate channels i.e. mass media, community based awareness program and etc, and assure them that the future of a nation highly depends upon its members’ taking right decision by casting their vote.
2. Most of the people caste their vote in support of a candidate who belong to their same Biradari, caste, background and social order, but the people should choose and prefer to those candidate who are capable, candid, devoted and flag-waver which ever of their alike caste, Biradari and social group or not, in respect of abolishing the concept of Biradari and caste-favoritism, nepotism and chauvinism because these are the hindrances and impediments in the way of progress of any country as well as the nation.
3. It is no doubt to say that there are only some archetypal families who have hold, cuddle and ascendancy from top to bottom on politics in Pakistan. In this case, their should be created a atmosphere and ambiance of such opportunities, accessibilities, feasibilities and circumstances in which every citizen of Pakistan may access to politics and think about to be elected as a member of parliament. The people should encourage and promote the new faces in politics.
4. The media is an important tool to represent and reflect the real picture of every aspect of life especially politics. The media should play a positive role in politics and create awareness among the people regarding hot and current political issues that are prevailed on politics in the country
References


Great War in Transcaucasia: From Ottoman Occupation to the Treaty of Kars

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Abstract: In October 1914 the Ottoman Empire declared war on the Entente joining the Central Powers. Now the Turks threatened Russia’s Caucasian provinces and the communications within the British Empire via the Suez Canal but the main campaign of the Ottoman army would extend from southern Caucasus to eastern Asia Minor. Between 1914 and 1917 the situation on this front was quite difficult for the Turks, only the collapse of the Russian forces would change this situation. In November 1917, a first government of an independent Transcaucasia was created in Tbilisi while the Ottomans aiming at creating their own rule on southern Caucasus launched a new offensive toward Baku. The Russian Revolution and the capitulation of the Central Powers, however, open the way to the rivalry between Caucasian nationalities which will be solved only with the arrival of the Soviet forces. Notwithstanding, the conflict between Armenians and Azerbaijani can not find a definitive solution even if the Treaty of Kars restored at list a stable border between Kemalist Turkey and Bolshevik Russia.

Keywords: Great War, Transcaucasia, Ottoman Empire, Azerbaijan, Russia

1. Background

As a consequence of the assassination of the heir to the Austro-Hungarian throne, Archduke Franz Ferdinand, in the summer of 1914 Europe was involved in a conflict of immense proportions. On 28 July, the war opened with the Austro-Hungarian invasion of Serbia, followed by Russian intervention and the chain of general mobilization. German invasion of Belgium, Luxembourg and northern France followed soon after (Liddell Hart, 1934). Meanwhile, Russians launched an attack against Germany on the Eastern Front. In mid-September, after the German march on Paris was brought to a halt, the Western Front settled into a static battle of attrition over a long trench line that changed little until 1917.

On the Eastern Front, the Russian army successfully fought against the Austro-Hungarian forces but was forced back by the Germans while additional fronts opened after the Ottoman Empire joined the Central Powers in October 1914; a secret Ottoman-German Alliance having been signed already on August 2, one day after the German Empire declared war on Russia. It was this binding alliance that ultimately led the Empire to enter the War on the side of Germany even if some important figures still favored an alliance with France and Great Britain. The Sultan Mehmed V wanted the Empire to remain neutral; however, pressure from Germany and the Young Turks led the Empire to align with the Central Powers. As a matter of fact, Germany had invested heavily in Turkey in previous years and now needed the Ottoman Empire on its side. The alliance was sustained by many high ranking officials, including Grand Vizier, the Minister of War Enver Pasha, the Interior Minister Talat, and Head of Parliament Halil Bey (Biagini, 2002; Aksakal, 2008; McMeekin, 2010).

The Ottoman army threatened Russia’s Caucasian provinces and the communications within the British Empire via the Suez Canal. For this reason, the Allies sought to defeat the Turkish forces as soon as possible and opened overseas fronts with the Gallipoli and Mesopotamian campaigns. In Gallipoli Peninsula (Eastern Thrace), where Anzac and French forces had landed in February 1915, after harsh fighting the Ottomans successfully repelled the enemies. In Mesopotamia, by contrast, after the disastrous siege of Kut (1915–16), British Imperial forces were able to reorganize and later captured Baghdad in March 1917. In the
west, the Suez Canal was successfully defended from Ottoman attacks in 1915 and 1916 and a British offensive eventually brought to the fall of Palestine in 1917. The Caucasus, however, remained the main theater of operations for Ottoman forces.1

2. The Caucasus Campaign

The main campaign of the Ottoman army extended from the southern Caucasus to the eastern Asia Minor. The land warfare was accompanied by small operations of the Russian and Turkish navy in the Black Sea. At the beginning of the war, the Turks had their Third Army based in the region, while the Russians lined up their Caucasus Army under the nominal command of the Governor General of the Caucasus with his chief of staff, General Nikolai Yudenich, as real commander.

On land, Enver Pasha, supreme commander of the Ottoman armed forces, aimed to conquer the Russian Caucasus and eventually extend Turkish control over the whole central Asia. He launched an offensive in the region in December 1914 with an army of a strength of about 100,000; however, insisting on a frontal attack against mountainous Russian positions in winter season, the Turks suffered heavy losses at the battle of Sarıkamış in December, 1914 (Erickson, 2001, pp. 55-60). After this almost suicidal attack in winter snow, the Turks who were not already dead, many of them frozen and typhus-ridden, retreated to Erzurum (Allen and Muratoff, 1953, pp. 249-285).

This brought to a brief standstill. Later on, General Yudenich, which had been given full command of operations in 1915, launched a series of attacks that drove the Turks out of most of southern Caucasus.2 Hopes of an Ottoman victorious offensive now seemed to be compromised. On February 12, the Turkish commander Hafiz Hakki Pasha died and was replaced by Mahmut Kamil Pasha in charged with the reorganization of the army.

In March strategic situation was stable while the Ottoman Third Army received reinforcements, although these supplements were no stronger than a division. As a matter of fact, the battle of Gallipoli was draining every Ottoman resource. After small skirmishes, Russians forces kept the towns of Eleşkirt, Ağrı and Doğubeyazıt in Eastern Anatolia. On April 20, 1915, fighting erupted in the city of Van between Armenians and Turkish troops until Yudenich began an offensive (Bloxham, 2005).3 The Russians advanced towards Erzurum. The Ottoman X Corps counter-attacked but they were not able to stop the enemy. On May 17, Russian forces entered the town of Van and Ottoman forces continued to be pushed back.4 On May 21, General Yudenich arrived to the city and supported an Armenian provisional government while fighting shifted farther west for the rest of that summer.

On June 19, the Russian army launched another offensive northwest to Lake Van. However, they underestimated the size of the Ottoman forces and were surprised by a large counter-attack. Actually, although the conditions were extremely difficult, the Turks were now ready to face the Russian attacks. On September 24, 1915, Grand Duke Nicholas was promoted to being charge of all Russian forces in the Caucasus. Actually, he was removed from being Supreme Commander of the Russian Caucasian Army and replaced by General Yudenich. The front was quiet from October till the end of the year and Yudenich used

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2 Also British-French operations at Gallipoli helped the Russian forces in the Caucasus front.

3 What happened at Van and the fear of an Armenian betrayal were among the main causes of the violent repression implemented by the Ottoman authorities against them.

4 Moreover, Turkish supply lines were being cut, as the Armenian rebellions were causing additional difficulties behind the Ottoman lines.
this period to reorganize. The Ottoman situation was very different. The High Command failed to make up the losses during the last months while fresh troops had been deployed to Gallipoli and Mesopotamia.

In early January, Yudenich secretly left its winter quarters and marched towards the Ottoman positions at Erzurum where he achieved total surprise and destroyed an entire Ottoman division at Köprüköy, where during further fighting both rings of the cities’ defenses had been penetrated. In April, the Russian army moved from Erzurum and captured Trabzon. Soon after, Erzincan was captured too, while an Ottoman counteroffensive against Trabzon was halted. Only in August, Mustafa Kemal, asked to organize the defense in the region, recaptured Mush and Bitlis, while fighting around the east side of Lake Van continued throughout the summer. However, by the late September, the Ottoman attack ended.

The rest of the year 1916 was spent by the Ottomans with organizational and operational changes in Eastern Anatolian front. Fortunately for them, the Russians were quiet during this period. Moreover, the winter of 1916–1917 was extremely harsh, which made fighting nearly impossible. The situation did not change during the spring of 1917 and Russian plans for a renewed attack never substantiated.

In 1917, Grand Duke Nicholas assumed again command of the Caucasus Front. He appointed much importance to the logistics and tried to obtain a decisive victory. The internal situation in Russia and the Revolution brought to the collapse of the Russian Caucasus Army. The chaos in the Russian army put a stop to all military operations. As a matter of fact, the Russian army slowly disintegrated but the Turks could not take advantage of this situation. It is also true that, considering the condition of Turkish troops, until the Bolshevik Revolution, Ottoman possible operation in Caucasus could not even be imagined.

However, the situation in Transcaucasia was now completely changed. During the summer, Western Armenian Administration sponsored a conference to consider emergency measures and adopted plans to form a militia while in September the Russian army in the region was about to be completely disintegrated. In November 1917, a first government of an independent Transcaucasia, the Transcaucasian Diet, was created in Tbilisi. It was headed by Nikolay Chkheidze, a Georgian Menshevik. Hope to organize a common resistance in the emergency of the moment, however, proved unworkable and indeed such a measure did not stop the degradation of forces in the region into smaller national entities. Armenia was the main problem for the stability of the region. The Transcaucasian Diet, indeed, did not stop the degradation of military in the region into smaller national forces. While sending some representatives to Transcaucasian Diet, at the same time Armenian nationalists met at Erivan and tried to establish an Armenian Army Corps. They, above all, had planned to keep their existence supporting the Allies and Russia and to establish their own national army with Russian support.

Meanwhile, the Ottoman Third Army was protecting a line from Munzur Mountains to the Black Sea. On December 5, 1917, an armistice was finally signed at Erzincan between the Russians and Ottomans. However, at the turn of 1918, Allied Powers, Cossacks, Georgians, Pontic Greeks and Armenians were still willing to build a resistance line against the Turks through gathering in the region. The fertile mind of Enver Pasha, indeed, was always at work, and he had been watching the situation in the Caucasus over the course of 1917 (Erickson, 2001, p. 182). Not satisfied with simply maintaining the status quo in the Caucasus, Enver and the Turkish General Staff began to consider the possibilities of a renewed offensive. Now Enver was seized with the idea of taking the offensive to regain not just the 1914 boundary but also what the Empire had lost in 1877. The Third Army’s offensive began on February 5. The Ottoman forces moved through east of the line between Tireböülü and Bitlis. The territories previously lost were now recaptured. The Turks advanced

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5 At the turn of 1916, Russian forces reached a level of 200,000 men and 380 pieces of artillery. On the other side, in January 1916, Ottoman forces were 126,000 men, less than half being combat, and 180 pieces of artillery.
6 Nicholas also planned a railway connecting Georgia to the conquered territories, so that fresh supplies could be brought up for a new offensive.
7 Moreover, after receiving the reports on the Caucasian situation, Enver invited the refugee leaders of the Azeri Muslims to Constantinople for discussions on eastward expansion.
fast and Kelkit was liberated already on February 7. Until February 22, Erzincan, Bayburt and Tercan were also taken back. The important Black Sea port of Trabzon fell on February 24.

The Armenian militias, the last forces still on fight, fought to keep the city of Erzurum, but it was captured by the Ottoman First Caucasian Corps on March 12.

The position of the Ottoman troops along the front had been stabilized. On March 3, the Grand vizier Talat Pasha signed the Treaty of Brest-Litovsk (Wheeler-Bennett, 1938). It stipulated that Bolshevik Russia would cede Batumi, Kars and Ardahan. It also stipulated that Transcaucasia was to be declared independent. The actual arrangement of the Transcaucasian front remained, however, still open. On March 14, 1918, the Trabzon peace conference opened among the Ottoman Empire and the delegation of the Transcaucasian Diet. It lasted with any result until April. Conscious of the difficulties the Empire and Central Powers, Enver Pasha offered to surrender all ambitions in the Caucasus in return for recognition of the Ottoman reacquisition of the East Anatolian provinces at Brest-Litovsk. On April 5, the Transcaucasian delegation accepted the proposal to use the treaty of Brest-Litovsk as a basis for more negotiations and wired the Diet urging it to accept this position, but the mood prevailing there was very different. Tiflis had indeed acknowledged a state of war between Transcaucasia and the Ottoman Empire.

On May 11, a fruitless German-mediated conference opened at Batumi. The Ottomans now extended their demands to include Tiflis as well as Alexandropol and Echmiadzin, as operational bases to connect Kars and Julfa with Baku. Thus Armenians and Georgians began to stall.

Beginning on 21 May, Ottoman forces, now renamed the Army of Islam, moved ahead determined to take by force what was required by diplomatic means to no avail. Enver began to think about the idea of an “Army of Islam” in July 1918. This new force, with a hard core of Ottoman divisions, would mobilize Muslims in the Trans-Caspian and Caucasian regions, and would give back the Turks the initiative in the Middle East (Erickson, 2001, p. 189). In reality, its core was not even a Corps size, numbering between 14,000 and 25,000 men and 40 pieces of artillery. It included the Ottoman 5th Caucasian and 15th divisions and an Azerbaijani Muslim Corps. Since June it was led by Nuri Pasha (Enver’s brother).

On May 26, Georgia withdrew from the federation and declared itself a separate republic encouraged by the German mission and followed by Armenia and Azerbaijan (Swietochowski, 1985). Two days after, Georgia signed the treaty of Poti with Germany and welcomed a German Caucasus Expedition. With the government of Azerbaijan moving from Tiflis to Ganja, Germany was concerned about how to see guaranteed its access to Azerbaijan’s oil. Meanwhile, in Batumi, the Transcaucasian delegation split up and each of the successor states began negotiating its own conditions of peace.

The Democratic Republic of Azerbaijan was in fact established on May 28, 1918. Germany had in fact tried in vain to avoid a further worsening of the crisis and facing the new Ottoman advance, now tried to safeguard its interests in Georgia. In June, the arrival of German military mission in Georgia actually coincided with a growing German-Ottoman rivalry for Caucasian influence and resources.

On 4 June 1918, Azerbaijan and the Ottoman Empire signed a treaty of friendship and cooperation, which held that the Turks would provide military assistance to Azerbaijan for maintaining peace and security in the country (Swietochowski, 1985, p. 130).

On 10 June, the Ottomans confronted a joint German-Georgian force at Vorontsovka. As a consequence of this clash, Berlin issued an official threat to withdraw troops and support from the Ottoman Empire. It was the most serious crisis in the Turco-German relations, thus the Turkish government had to concede to German pressure and to halt, for the moment, a further advance into Georgia. Meanwhile, since 6 June, the Baku Soviet issued an order to begin offensive operations against the national Azerbaijani base at Ganja. This offensive was eventually launched on 10 June (Erickson, 2001, p. 133). Being unable to defend its

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8 The Treaty was signed on 3 March 1918, between the Bolsheviks and the Central Powers, marking Russia’s exit from the war.
9 Most of the soldiers were Ottomans, the army numbered also many Azerbaijani forces and volunteers from Dagestan.
10 It involved the 13,000 man-strong First Caucasian Corps of the Red Army; it should be noted that many of its troops were Armenians.
independence, the government of Azerbaijan asked for Ottoman military support. The Bolsheviks achieved some initial success and by mid-June reached the halfway point between Ganja and Baku. Their advance was stopped by the Ottomans in the battle fought at Geokchai between June 27 and July 1. Thus the Army of Islam started advancing towards Baku.

In July, Enver Pasha made new plans ordering an offensive with the goal of taking Baku. This decision was, however, strongly opposed by the Germans. Enver thus decided to launch his offensive on the Caucasus, dividing his forces into two separate groups, one to face the British in northern Persia and the other to strike at Baku through Armenia. This strategy did mean bypassing the main stretch of the Transcaucasian railway which wound through Tiflis and fitted in well with the Young Turk idea of pan-Turanianism (McMeekin, 2010, p. 334). The success of an Ottoman offensive indeed could open new possibilities to a Turkish dominion over the southern Caucasus and eventually Central Asia.

After the armistice of Erzincan Russian troops mainly had left the front and returned to their homes. Some Russian forces, about 10,000 troops, still remained in Persian Azerbaijan and where supplanted by British liaison officers. In 1918, the British also organized a force under the command of General Lionel Dunsterville at Baghdad. Their goal was to reach Caucasus via Persia in order to organize an army with Armenians and other pro-Allied elements. As a matter of fact, since January 1918, the British had become quite concerned about Turkish inroads into the Caucasus and on 27 January, Dunsterville was ordered to keep the Caucasus-Tabriz front intact and put a stop to Enver’s plans.

By mid-June 1918, the Ottoman army began a renewed advance eastward, proceeding along a twin axis of approach toward the city of Baku. The first wing pushed east along the Akstafa-Baku road, the other one along the railroad leading to Alyat on the Caspian coast south of the Azerbaijani capital (Erickson, 2001, p. 187). The Ottoman advance led to a series of battles at Sardarapat, Kara Killisse and the Bash Abaran. The defeat of the Red Army at Geokchai and Ottoman subsequent counteroffensive brought to a head the long-simmering political crisis in Baku. With Russia unable to provide any meaningful aid to the Commune, the city increasingly suffered from hunger and was ill prepared for defence (Swietochowski, 1985, pp. 136-137). In Berlin, the Soviet Ambassador Joffe, was begging the Germans to stop the Turks from attacking Baku. Germany agreed so long as the Bolsheviks would guarantee them free access to Caspian oil production. Thus Moscow also negotiated a supplement to Brest-Litovsk treaty accepting Georgian independence under German protection and in exchange for keeping the Turks out of Transcaucasia, to give Germany a quarter of Baku’s oil production. An agreement to that effect was eventually reached on 27 August (McMeekin, 2010, p. 336).

The Bolshevik forces around Baku had about 6,000 man of the Baku Army. The vast majority of them were Armenians and Russians. However, these few troops were not adequate to thwart a possible Turkish attack. They counterattacked the advancing Ottoman columns and attempted to establish a defensive line at Kurdamir. However, these forces were pushed onward towards Baku. By the 27 of July the Turks had advanced to the high ground overlooking the city (Erickson, 2001, p. 189). Therefore, those in Baku who were neither Bolsheviks nor Muslims began to agitate for inviting a British Expeditionary Force. On 26 July 1918, a coup overthrew the Bolsheviks in Baku establishing a Central Caspian Dictatorship (Swietochowski, 1985, pp. 137-138). Meanwhile, the avant-garde of the Army of Islam had reached the heights above Baku. With the Turks camped out of Baku, the Armenian-dominated Soviet of the city decided to vote to invite the British troops of General Dunsterville, then stationing near the Caspian coast of northern Persia, to save them.

11 In 1918, Enver himself encouraged the Ottoman media to promote pan-Turanianism, aiming to create a series of “Turkish” buffer states in which to expand the Empire’s influence.
12 Actually, since the formation of the Baku Sovnarkom in April 1918, the city and its environs had lived under the rule of a de facto Commune.
13 Worried by the threat to the Baku oil fields, the British General Staff began to send reinforcements to Dunsterville in June 1918.
August 20 (Erickson, 2001, p. 191). Actually, in Baku the Soviet was now cooperating with imperialists, both interested in stopping any Turkish, or German, treat to Azerbaijan and beyond, to Persia and India. Failing their aim to close the gap to the sea and create a strongly defensible line for Baku, from one end of the Apsheron Peninsula to the other. The remnants of the British-Baku force retired to a line slightly north of Diga. Clashes continued in mid-August and September. On 26 August, the Army of Islam launched its main attack. Despite a shortage of artillery, British and Baku troops held their positions. However, faced with increased artillery fire, they retired to the railway line. Later on, the Turks shelled the city heavily and attacked the Binagadi Hill position. It was certainly very good results and the city seemed within reach of the Turkish vanguard. However, Ottoman losses were so heavy that they were not immediately able to continue the offensive. This gave the Baku Army time to reorganize but all hope of resistance seemed futile.

Faced with an ever worsening situation, Dunsterville organized a meeting with the Centro-Caspian Dictators arguing that he was not willing to risk more British lives and hinted at his withdrawal. However, the dictators protested and the British General eventually decided to stay until the very end. On the night of September 13, the Turks began their last attacks. They nearly overran the strategic Wolf’s Gate west of Baku. The fighting continued for the rest of the day and the situation eventually became hopeless. By the night of the 14th, the remnants of the Baku Army and British forces left the city. Dunsterville ordered the evacuation of the city that very day after six weeks of occupation and withdrew to Iran. With the withdrawal of the British, chaos broke out amongst the defenders of Baku and the refugee Armenians. Throughout the night, as the Turks drove in the remaining defences, fires, pillaging and massacre broke out in the city (Erickson, 2001, p. 192). The Ottomans and their Azeri allies, led by Nuri Pasha, finally entered Baku on 15 September and slaughtered some thousands Armenians in retaliation for the March massacre of Muslims at the hands of the Soviet-Armenian bands (McMeekin, 2010, p. 336).

The result of these fights was anyway inevitable. As a matter of fact, British forces were not strong enough to stop the Turks. Ottoman troops threw the British out of Azerbaijan in September 1918, when the British commander, general Dunsterville, ordered the evacuation of the city, after only six weeks of occupation, and withdrew to Persia.

By the end of the war, the Ottoman Empire, although it lost Sinai, Palestine and Mesopotamia, had re-captured all the territory which lost to the Russians in eastern Anatolia and occupied most of southern Caucasus and especially of Azerbaijan. However, the Great War drew to a close, on October 30, 1918, the Armistice of Mudros was signed and the Caucasus Campaign ended as well. As a matter of fact, the capture of Baku proved to be a meaningless victory for the Ottoman Empire.

3. Ottoman withdrawal and the Turkish National Forces

The armistice of Mudros created many doubts on the future of the Ottoman troops in Transcaucasia. The pan-Turanian dreams seemed long gone. However, in Baku, Nuri Pasha authorized his soldiers to join the Azerbaijani Army. Soon after, General Thomson, who had succeeded Dunsterville in the British North Persian Force, ordered that all Ottoman units must leave Baku in one week and Transcaucasia within a month (Swietochowski, 1985, pp. 140-141). The Turks were forced to leave all their gains in the region going back to the 1914 borders.

In fact, the retreat of the Ottoman troops from the Caucasus took place at a certain speed, but the vacuum left by the Turks was soon followed by a series of clashes between different nationalities. As a matter of fact, a border war between Georgia and Armenia broke out already in December 1918 over the parts of the then-disputed districts of Lori, Borchalo and Javakheti, previously occupied by Ottoman forces. Not surprisingly, a brief Georgian-Armenian war soon followed. The conflicts involved many civilians in the disputed areas,
moreover, guerrilla operations were the main reasons for high civilian casualties. Skirmishes continued until December 31 when a British brokered ceasefire was signed. Moreover, after the Turks began to withdraw their forces, Armenians seized Nagorno-Karabakh to create a base for further expansion westward into Nakhchevan; in doing so they created the conditions for further violence.

In Anatolia the situation was even worse. After Ottoman surrender the situation in the Empire became extremely difficult, with England, France, Italy and specially Greece aiming to impose their control over the country. The Turks had now to live Transcaucasia, while a harsh Greco-Turkish war in Asia Minor would eventually follow after the organization of armed resistance by nationalist forces under the leadership of Mustafa Kemal. It lasted until autumn of 1923. As a result of the disastrous defeat of Greek army, on 15 October 1923, the last Allied troops left Constantinople with the official birth of the Turkish Republic taking place two weeks after (Vagnini, 2011).

In this period for the Turkish nationalists fighting their war of independence was essential to achieve a favorable arrangement of the Southern Caucasus too, where the presence of Armenian bands was a constant threat to the integrity of Turkey. Not surprisingly, relations between Ankara and the Government of the Democratic Republic of Azerbaijan, as well as those with Bolshevik Russia, were especially good since both countries were interested in containing and eventually remove the Armenian threat.

4. The Conflict between Azerbaijan and Armenia

By October 1918, German and Turkish troops in the Caucasus had been substituted by those of the Entente. Control of Azerbaijan was strategically important for the British and consequently, headed by General W. Thomson, who had declared himself the military governor of Baku, about 1,000 Commonwealth soldiers arrived in Baku on November 17. By General Thomson’s order, martial law was implemented in the city. British involvement during this period also extended into some branches of the civilian administration and British officers occasionally intervened in the routine business of local authorities (Swietochowski, 1985, p. 144). Actually their main goal was to extend control over the oil fields.

Notwithstanding, the situation was not yet stabilized and the various nationalisms had already set in motion. The Armenians in particular wanted to ensure international recognition for their state after that already in March, ethnic and religious tensions had grew in Baku when Musavat and Committee of Union and Progress had been accused of Pan-Turkism by Bolsheviks and their allies. Therefore, between March and April 1918, southern Caucasus witnessed an inter-ethnic warfare and the massacre of up to 12,000 Azerbaijanis by the Bolsheviks and other armed Armenian units in the city of Baku and other locations in its Governorate. There were many disputed territories on which the Armenians tried to establish themselves against the Azerbaijani.15 Actually, it was question of a series of brutal conflicts that took place in 1918 and then again from 1920 to 1922. Fighting involved civilians in the disputed districts of Kazakh-Shamshadin, Zanghezur, Nakhchevan and Karabakh. As a matter of fact, beginning with 1918, a Republic of Mountainous Armenia was declared in the area of Karabakh, with its government trying several times to seize Shusha militarily but the Ottoman troops had prevented the realization of the Armenian nationalist’s dream. Only after the Turkish withdrawal, Armenians seized Nagorno-Karabakh. Meanwhile, the British military command gave the assurances to Armenians that the conflict would be solved with the Paris Peace Conference.

The role of British forces stationed in Azerbaijan was still important, but whatever British greed for the wealth of Baku might have been, whatever the profits from Azerbaijani oil, they were not sufficiently strong to compel London to forego its priorities, which lay elsewhere; in Egypt and India. Actually, British government had decided as early as February 1919 to evacuate Transcaucasia as soon as possible. Thus, at the beginning of April the Supreme Allied Council proposed that Transcaucasia, or at least Georgia, be placed

15 It should be remembered that the first clashes between Armenians and Azeris had took place in Baku in February 1905 and lasted until August.
under Italian occupation. Rome initially agreed to a mandate over the region. Anyway, the involvement of Italy proved to be purely exploratory in character. Italy’s interest in Transcaucasia, indeed, failed to survive the next change of cabinet in Rome (Sale, 2007).

During autumn of 1919 a dramatic turn in the Russian Civil War took place as the White Army bit off more than it could in its drive on Moscow. At this juncture, Transcaucasia again came to the attention of the statesmen in Versailles. In fact, in January 1920 Allied General Staffs were discussing the defence needs of Azerbaijan and Georgia with their delegations in Paris (Swietochowski, 1985, p. 159). Discussions, however, did not lead to any concrete decision.

In winter of 1920, London had begun a definite reappraisal of its Russian policy. Rather than continue the unpopular and costly involvement in the Russian Civil War, the British government now considered moves toward coming to terms with the Bolsheviks. It was in fact the prelude to final abandonment of Transcaucasia. The situation in Southern Caucasus continued to be extremely tense and in spring 1920 major ethnic clashes took place in Shusha. In those days, the Azerbaijan Democratic Republic was in a very troubled situation, facing both Armenian and Bolshevik threat (Swietochowski, 1985, pp. 152-153). Rumors that the Red Army was about to cross the border and invade Azerbaijan were particularly alarming. In this confused situation, undoubtedly, Russia was a destabilizing factor. While allowing the possibility of a temporary compromise with Armenia and Georgia, with which the Bolshevik Russia concluded bilateral treaties in fact, Moscow refused, even in theory, any formal recognition of the independence of Azerbaijan. As a matter of fact, Russia maintained a constant political and military pressure on Azerbaijan, trying to undermine its internal stability thanks to the support of local Communist activists.

Actually, in the post-Great War Caucasus occurred three main events: fight for Karabakh, in early 1920; Sovietization of Azerbaijan, in April 1920; Soviet invasion of Georgia on 25 February 1921.

While the Azerbaijani government and its army were in chaos, the Armenian militias used the opportunity to assert their control over parts of Azerbaijani territory. The Red Army takeover in April-May 1920 resolved the conflict between Azerbaijan and Armenia.

Faced with the Red Army, the Azerbaijani government officially surrendered, but local militias kept resisting the advance of Soviet troops; so it took a while for the Soviets to stabilize their newly-proclaimed Azerbaijan Soviet Socialist Republic. In the meantime, a Communist coup in Armenia failed.

While Azerbaijan was in chaos, the Armenian militias used the opportunity to assert their control over parts of disputed territory, occupying Shusha and Khankendi. Actually, by the end of April the Armenians were in control of most of western Azerbaijan including all of Karabakh, Nakhchevan and much of Kazakh-Shamshadin district.

The definitive establishment of the Bolshevik regime in Azerbaijan therefore had an important ideological and strategic value. Russia thus supported the expansion of communist ideology beyond its borders and created a privileged base for propaganda in the direction of the Middle East and Central Asia. A key factor in the fate of the Democratic Republic of Azerbaijan was the community of interest between Bolshevik Russia and Turkey, both interested in obtaining accommodation in the Transcaucasian region favorable to their interests.

In September 1920 Armenia was also engaged in a bitter war on another front against Turkish national forces, particularly costly for the poor Armenian forces. In late November, there was a new Soviet-backed Communist uprising in Armenia. On November 28, 1920 the Red Army crossed the demarcation line between Democratic Republic of Armenia and Azerbaijan. Fighting lasted only a week and marked the final conquest of Armenia by the Soviet Union.

16 The only tangible outcome of these talks was the de facto recognition of the two republics by the Supreme Allied Council on January 12 (Georgia) and on January 19 (Armenia).
17 Actually, relationship with the White Russian forces was also quite troubled.
The subsequent Soviet invasion of Georgia in 1921 would have put an end to the brief independence of southern Caucasus.

5. The Treaty of Kars

The collaboration between Bolshevik Russia and Turkish nationalists had a decisive role in the arrangement of the southern Caucasus. This collaboration was manifested through weapons and material from Moscow, while on a political level the main result proved to be the elimination of the Armenian state. Harsh fighting against the Turks in autumn 1920 had stripped Armenia of most of its south-western territories, including Kars and Alexandropol. Armenian forces were now exhausted, even if in fact the Turks were unable to completely defeat them and agreed to sign a cease-fire. Problems for Armenia, however, were not finished. On November 28, 1920, blaming Armenia for the invasions of Sharur and Karabakh the Red Army occupied the country.

The Treaty of Kars would be the ultimate solution to the issue of Caucasians borders, confirming the Soviet control over the Transcaucasian republics and safeguarding the interests of Turkish nationalists. After an initial agreement reached in Moscow in March 1921, it was signed in Kars on October 13, 1921, and ratified in Yerevan on September 11, 1922. Signatories included representatives from the Grand National Assembly of Turkey, which in 1923 would declare the Republic of Turkey, and also from Soviet Armenia, Soviet Azerbaijan and Soviet Georgia all of which formed part of the Soviet Union after December 1922. The treaty provided for the territory of the former Russian Batumi District of the Kars Governorate to be divided. The northern half, with the port city of Batumi, was attached to Georgia, while Nakhchivan went to Armenia. The southern half would be annexed by Turkey. It was agreed that the northern half would be granted autonomy within Soviet Georgia. It eventually evolved into the Adjara Autonomous Soviet Socialist Republic. Additionally, Turkey was also guaranteed the use of the port of Batumi without special charges.

The treaty also created a new boundary between Turkey and Soviet Armenia, defined by the Akhurian and Aras rivers. Turkey obtained from Armenia most of the former Kars Governorate, with Mount Ararat and the cities of Kars, Ardahan and Oltu. Most of these areas were anyway already under Turkish military control. The treaty required also Turkish troops to withdraw from other areas under their occupation. It was also specified the partition of Nakhchivan as an autonomous territory under the protection of Azerbaijan.18 Both Turkey and Russia would become guarantors of Nakhchivan’s status.

6. Conclusions

The analysis of the situation in Transcaucasia during the final stages of Great War and between 1919 and 1921 seems to be extremely complex. The opposing nationalism and a long series of clashes, in which the interference of the great powers has been very strong, in fact, affected the region until the final Soviet takeover. In fact, national rivalries in Transcaucasia cannot seem to have any peaceful solution. Neither the brief Ottoman occupation, nor the weak British presence proved able to stabilize the region. The conflict between Georgia and Armenia was difficult to solve, the one between Azerbaijan and Armenia was indeed impossible. By 1920 the only possible solution of these disputes could come either by military victory or by the imposition from above of an imperial power. None of the national forces, however, was powerful enough to win a decisive victory and after the British failed miserably to impose a settlement, the arbiters of the situation turned out to be the Bolsheviks. The Red Army occupied Azerbaijan and Armenia in May and November 1920 and eventually invaded Georgia in 1921. The Treaty of Kars would officially put an end to this troubled period of Transcaucasian history.

18 In 1924, the region became the Nakhchivan Autonomous Soviet Socialist Republic, an exclave subordinate to Azerbaijan.
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Determinants and Motivators of Dividend Policy: A Study of Cement Industry of Pakistan

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Abstract: Dividend is one of the most debatable topics for the researchers. Many researchers explore the factors of dividend policy. The aim of the study is to find out the factors that motivate the dividend policy among the cement industry. For the purpose data of eight firms was collected from Karachi Stock exchange and State bank of Pakistan. SPSS 17 was used to analyze the data and it was found that PE ratio, EPS growth and sale growth are positively associated with the dividend payout while profitability and debt to equity were found to have negative association with dividend payout.

Key words: Dividend policies; Determinants of dividend; Dividend payout; Cement industry;

1. Introduction

Dividend policy is one of the most researchable topics for the finance researchers. Numerous researchers have studied on this topic to give the answer that whether companies should pay dividend to its shareholders or not?. Many of them have developed different models to explain the dividend behavior (Baker & Powell, 1999) and some of them have surveyed personally to the top executives of the multinational organizations to determine their views about the dividend (Baker, Veit & Powell, 2001). Despite extensive research of the researchers, motivation for paying dividend is still a question mark (Baker & Powell, 1999).

Dividend plays a vital role in traditional stock valuation model, and motivation for dividend could betterly be understood after understanding this stock valuation model. In such dividend models, stocks have value because they hold future cash payouts. Dividend represent s the primary payments in the form of cash to the shareholders of the organization, and the value of the stockholder’s share will be greater as there will be greater expected future flow of dividends (Carlson, 2001).

Researchers have found controversial results regarding dividends impact on the shareholders wealth. Some researchers argued that dividend and shareholders wealth are directly related i.e. dividend increase the shareholders wealth (Gordon, 1959), some believed that dividend are irrelevant with the shareholders...
wealth (Miller & Scholes, 1978), and some argued that dividend and shareholder’s wealth are inversely related i.e. dividend decreases the shareholder’s wealth (Litzenberger & Ramaswamy, 1979).

The purpose of this study is to find out all the factors that motivate the dividend decisions. Simply dividend policy is the determination that what portion of the earning should be kept by the firms for their further investment and what portion should be distributed among the shareholders of the firm.

2. Literature review

2.1 Dividend Signal future success

Investors psychologically prefer to invest in those companies whose dividend stream is constant and positive. This favorable behavior of the investors and the dividend policy suggests the value of the dividends. The management’s choice of rising or declining the yield of dividends does not impact the value of the firm. Thus, these changes have impact on the stock prices of the company in the markets.

Constant dividends are the indicator of company’s present and future success and this also increase the company’s market creditability and reduces the risk level from the investor’s point of view. Stability in the dividends eliminates the poor market valuation of the firm from the investors and on the other side decline in the dividend results decrease in the firm’s stock price. Thus the decrease in the firm’s stock price is the result of decline in the dividend (Shapiro 537).

In summing up managements should maximize the shareholders value, and dividends work to accomplish this task that firm should not offer dividends at that point where they reject the investment with positive net present value. Droms (1990) argued that dividends are necessary for the prosperity of the firm in present as well as in future and normally a company’s prosperity leads to dividend yield and this also increases the value of the stock.

2.2 Dividend Theories

The literature explains four dividend theories i.e.

2.2.1 Pure residual dividend policy

This policy states that when the firms return on equity capital exceeds then the rate of return, the investors could reinvest those dividends in another equallent risk’s investment. Firm could reinvest the dividends on the behalf of investors rather than issuing the dividends. The firm determines the best option available to benefit the investors after determining its budget (Droms 218). Thus dividends are a function of fluctuations in earning of the firm. This policy results change in dividend from year to year and equity finance must be commenced to create a left over when the equity investment is greater than earning (Droms, 1990).

2.2.2 Smoothed residual dividend policy

This theory explains that dividend fluctuations are kept to a minimum level. According to Shapiro “Dividends are set equal to the long-run residual between forecasted earnings and investment requirements. Dividend changes, in turn, are made only when this long run residual is expected to change; earning fluctuations believed to be temporary are ignored in setting dividend payments. The clear preference is for a stable, but increasing, dividend per share” (Shapiro 532-533). Thus if earnings are low then dividends exceed the residual.
2.2.3 Constant Payout Residual Dividend Policy

This theory of dividend is very simple and this suggests maintaining a constant dividends payout ratio because this tends dividends to fluctuate directly with the earnings of the firm (Kania & Bacon, 2005).

2.2.4 Small Quarterly Dividend with Annual Bonus

This theory suggests dividends to the investors only when the earning explains the expectations and according to this theory dividends are given to the investors periodically along with the annual bonus. Usually large scale firms work with this policy as they earn beyond their expectations. This policy is benefited to both the management (they have flexibility in earning) and to the investors (they get guaranteed dividend) (Kania & Bacon, 2005).

2.3 Related Studies

Primarily dividends are based on the net income level of the organization and gradually adjusted to the change in income level. Literature shows that increase in the tax rate encourages corporate savings in the form of dividends. This is because retained earnings are not taxed without delay as compared to dividends. Capital gain is paid by the stock holders at the time of the sale of their stocks (Lintner, 1956). In addition to Lintner, Malkiel (1999) found that long term capital gain reduces the tax to a maximum of 20% and upper level tax rate on the dividends is 39.6%.

According to Baker and Powell (1999) dividends policy affect the firm’s value. According to (Malkiel, 1999) cash dividends convey about the future profitability of the firm. Survey indicates that most of the big investors use to announce dividends to know about the to access the firm’s stock prices. For example steep drop in the company’s dividends indicate bad about the future of the firm. Respondents were also uncertain about the bird in hand theory of the dividend. This theory indicates that high yield of dividends higher will be the firms value. Dividend represents increase in the share price of the firm because dividends are slightly less risky as compared to capital gain. A firm’s continuity in dividend suggests stability and consistent growth of the firm and this give investors confidence to invest in that firms stocks.

Hexter, Langrehr, and Holder (1998), found that there is negative correlation between corporate focus and the dividend payout ratio. This means that more corporate focus will reduces the dividend payout ratio of the firm. Smaller firms tend to have low dividend payout ratio as compared to the larger firms because they are corporate focused. It is also found that insider ownership and dividend payout ratios are inversely related to each other i.e. higher the insider ownership of the firm reduces its dividend payout ratio. Larger the number of shareholders and the greater cash flow leads to the greater dividend payout ratios.

Lazo’s survey (1999) argued that most of the dividend paying companies (almost 87%) are of the view that dividends signal the future earning of the organization. On the other side of the same findings 93% of the respondents were of the view that stock buyback program is more effective as raising the dividends of the company.

Carlson (2001) has discussed few variables that affect the dividend decisions. Stock repurchase only explains a small part of the decline in dividend yield. Increase in the retained earnings and investment might also be the reason of the decline in the dividend yield. According to him the third reason for the decline in the dividend yield might be the rapid acceleration of stock prices. In crux if the stock prices of the organization accelerate then the dividend yield declines.

Kumar and Lee (2001) studied the determinants of dividend smoothing. Dividend smoothing is the method of choreography the time profile of earnings. He concluded that constant dividend payments do not disappoint the shareholders of the organization. While bankrupt, return on capital and investment have impact on the dividend policy.
2.4 Justification of variables

Banerjee, Gatchev & Spindt (2002), argued that there is inverse relation between shares turnover and dividend payout i.e. firms having lower share turnover are more likely to pay the dividends and vice versa. External financing is greater needed by the highly growth firms. Thus, most of the companies have established good reputation among the shareholders. Firms increase their reputation by issuing the dividends (LaPorta, Silanes, Schleifer & Vishny, 2000). We measure the growth with the estimated five years sale growth rate of the firm.

H1: sale growth is positively associated with dividend payout.

Higher stock price and higher price earning ratio (PE) leads to high dividend payout. In crux future cash flows can be secured by increasing the dividends which results increase the PE ratio and stock price. Puckett (1964), argued that a dollar given as dividend has almost four times greater impact on the stock price of the firm as compared to the retained earnings. High price earnings may be associated with the less risk and high dividend payout ratios, while low price earnings may be associated with the high or more risks and low dividend payout ratios. Thus,

H2: Price to earnings ratio is positively associated with dividend payout.

DeAngelo, DeAngelo, and Skinner (1992), argued that current income is another determinant of the dividend payout. Because most of the managers reduce their dividends when their earnings are poor and increase dividends when current earnings are better. This suggests that dividends are related to the earnings of the firm. However it is also reasonable to accept that all the all the firms with low income does not reduce dividends. We measure current earnings with earnings per share growth for the last five years. Thus,

H3: Last five years earning per share growth is positively associated with dividend payout.

Usually the firms with the huge profits likely to pay more dividends to its stock holders (Banerjee, Gatchev & Spindt, 2002). According to Lintner (1956) firms are traditional in their policies, as a result their dividend payout activity is characterized by degree of inertia. Moreover all the companies which are uncertain about their future profits, likely to hedge the risks by paying low dividend payouts (Friend & Puckett, 1964). Corporate dividend policy usually change with the change in its past profits, current profits and expected future profits (Darling, 1957). In the present study profitability is measured as the ratio of net income to equity. Thus

H4: There is negative association between profitability and dividend payout.

All the companies having high cash flows are less likely to cut off their dividends, and on the other hand high leverage increase the chances to cut the dividends. Such companies should not borrow more from the external parties to increase their debt financing; they should invest more to increase their equity financing (Benito & Young, 2001). High rate of retention are associated with heavy external financing. According to Friend & Puckett, (1964) rate of retention is positively associated with the external financing. Therefore higher the retention rate, the lower the dividend payout. Level of external financing is measured with debt to equity ratio. Hence

H5: Debt to equity ratio is negatively associated with dividend payout.
3. Methodology

To select the determinants of decision making policy, all the listed companies with the web of Karachi Stock Exchange (www.kse.com.pk) were selected as population. There are 661 companies registered with the web of Karachi Stock Exchange according to the year 2009. Twenty one among the registered companies are belonging to the cement industry. Out of which 2 companies have been declared as defaulter by the state bank of Pakistan, so there are 19 registered working cement companies. Out of these 19 companies eight were chosen for analysis as sample on the basis of simple random sampling technique. Data was collected from the web of state bank of Pakistan and Karachi stock exchange from 2004-2009. To analyze the determinants of selected companies (OLS) ordinary Least Square regression was applied. We imperially test the independent variables on the firm’s dividend payout ratio. Thus,

Dividend Decision (dividend payout) = f (profitability, price to earning ration, debt to equity ratio and estimated five years growth sale)

Table 1 : Variables and Hypothesis Supported by the Literature

<table>
<thead>
<tr>
<th>Factor</th>
<th>Definition</th>
<th>Hypothesis</th>
<th>Sign</th>
</tr>
</thead>
<tbody>
<tr>
<td>Dividend payout ratio</td>
<td>Dividend / EPS</td>
<td>Dependent</td>
<td>variable</td>
</tr>
<tr>
<td>Profitability</td>
<td>Net income / equity</td>
<td>Negative</td>
<td></td>
</tr>
<tr>
<td>Price to earnings ratio</td>
<td>Market value/ earnings per share</td>
<td>Positive</td>
<td></td>
</tr>
<tr>
<td>Debt to equity ratio</td>
<td>Long term debts/ equity</td>
<td>Negative</td>
<td></td>
</tr>
<tr>
<td>Five years EPS growth</td>
<td>Five years EPS growth</td>
<td>Positive</td>
<td></td>
</tr>
<tr>
<td>Five years growth sale</td>
<td>5 years growth rate</td>
<td>Positive</td>
<td></td>
</tr>
</tbody>
</table>

4. Data Analysis and Discussion

Table 2: Regression Results

<table>
<thead>
<tr>
<th>Variables</th>
<th>BETA Coefficient</th>
<th>Hypothesized Sign</th>
<th>P Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>Profitability</td>
<td>-2.29</td>
<td>Negative</td>
<td>0.00</td>
</tr>
<tr>
<td>PE Ratio</td>
<td>0.189</td>
<td>Positive</td>
<td>0.21</td>
</tr>
<tr>
<td>Debt to Equity ratio</td>
<td>-2.33</td>
<td>Negative</td>
<td>0.34</td>
</tr>
<tr>
<td>EPS growth</td>
<td>0.048</td>
<td>Positive</td>
<td>0.004</td>
</tr>
<tr>
<td>Sales growth</td>
<td>0.294</td>
<td>Positive</td>
<td>0.09</td>
</tr>
</tbody>
</table>

R = 0.317
R Square = 0.100
N= 48

The results of regression are shown in the table 2; the value of R square of the table is 10%. This indicates that 10% of the change in dividend payout is due to the explained variables. From the early studies these variables were found to have 25-30% change in the dividend payouts but, those studies were conducted on the textile sector of European countries while the present study shows the results of cement sector of Pakistan. The results of the table also revealed that profitability is negatively related to the dividend payout at a significant level of 1%. Similarly debt to equity ratio is also negatively related with the dividend payout as was hypothesized. The results indicate a positive relationship of price earning ratio, earning per share growth and sales growth with the dividend payout. As observed earlier that high dividend payout is associated with
the high price to earning ratio. Raising the amount of dividend reduces the future risks and this increases PE and stock price as well. Furthermore it was also found in literature that high growth firms need more external financing and for this they try to increase their good will among the external parties to attract them for more equity through higher dividend payout (LaPorta et al., 2000).

4.1 Limitation and direction for future studies

This present study was an attempt to find the determinants of dividend policy among the cement industries of Pakistan. In future other sectors (i.e. textile, automobile etc.) should be kept in mind. In the present study only five explained variables were selected other factors (i.e. current ratio, leverage etc.) also been explored by the future researchers.

5. Conclusion

The aim of this study was to find out the factors of dividend policy among cement sector of Pakistan. To analyze the factors a sample of eight cement companies (2004-2009) was taken from the web of Karachi Stock Exchange and State Bank of Pakistan. It was found that higher the PE of an organization, lower the risks and higher is its dividend payout ratio. Similarly earning per share growth and sale growth also leads to dividend payout.

References


A View on the Customs and the Constitutional Conventions as Subsidiary Sources of the Constitutional Law

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Abstract The aim of this research article is “developing the topic” which is being analyzed. The treated issues in this research article, with constitutional – juridical thematic, lay and focus in analyzing the customs and the constitutional conventions as subsidiary sources of the constitutional law, as a branch of the law, it presents illustrative and concrete examples from the practice of the comparative constitutional law. This article shows special interests, mainly and firstly, in the development of theoretic and juridical – constitutional thought, and also treats professional and applicative issues. The juridical norms, if we use a figure of speech, are “the spinal cord” or “the essence” of the constitutional law as a branch of the law. As a matter of fact, the juridical norms constitute the content of the constitutional law. The juridical norms that regulate the social relations, which compose the object of the constitutional law are called constitutional – juridical norms, and this is how they diverge from the juridical norms that regulate other social relations, which on the other side, are included in other branches of the law (in the administrative law, in the criminal law, in the civil law etc)1. The constitutional – juridical norms are juridical sui generis norms (norms of a special kind), that are “regulated or sanctioned by the state” for the juridical regulation of the social relations which are created during the activity of the highest and most important organs of a given state.

Key words: juridical sui generis norms, political relations, certain state organs

1. Introduction

The constitutional – juridical norms, which are comprised in the positive constitutional law of a certain state, from the technical – juridical view are created and expressed in the constitutional acts (as general normative juridical acts that have superior juridical power), like the constitution, the constitutional law, the constitutional amendment or the constitutional annexes, these some examples that regulate the constitutional – juridical matters. There are other juridical normative acts, that have lower juridical power compared to the constitutional acts, but that regulate issues in the field of the constitutional law: certain legal acts, the regulation for the work of the certain state organs (parliament, government, constitutional court), the decisions of the constitutional courts etc. The constitutional – juridical norms are the most important norms in the juridical system of a state.

These norms are important because they regulate the fundamental political relations, as a social relations with special and extraordinary worth in the entire complexity of social relations, that are related, mainly, with constituting, organizing and the function of the state power, as well, as the juridical position of

the individuals in a state and in the society which is manifested by assuring and protecting the fundamental freedoms and the rights of the individual and citizen.

1.1 Juridical acts and “contra – constitutionem”

This is why the constitutional - juridical norms have juridical supremacy compared to the other juridical norms. These juridical norms mainly are summarized and included in the constitution as the supreme and fundamental juridical act in the hierarchy pyramid of the juridical acts, in order to display and manifest the supremacy of this norms compared to all the other juridical norms. Each juridical norm that disagrees with the juridical and constitutional norms is unconstitutional (contra constitutionem), and as a result, is worthless, that is why that juridical norm must be removed (with ex nunc or ex tunc) by the justice institutions, by constitutional courts and all the juridical consequences in the field of social relations must be discussed. The norms of the constitutional law as branch of the law are displayed both in written form and in the unwritten form. The written juridical norms are denominated as “primary or formal sources”. The unwritten rules that may be half-juridical or extra-juridical are denominated as “secondary or subsidiary sources”. The primary or formal sources of the constitutional law are the general normative acts, that are expressed in the written form and that have a supralegal juridical power which regulate the constitutional – juridical matters, as well, as they are integral part of the positive national law.

This normative acts are used to regulate the constitutional – juridical matters, that can be formed as a result of the volition of the state organs, that are legitimated by the Constitution as authority subjects and that are the juridical base for the construction and the function of the constitutional order in a given state. Concerning the subsidiary or secondary sources of the constitutional law, they are half-juridical (non-juridical and unwritten) sources, that are applied in a given state as an alternative, only in the cases of juridical gaps, when there are no formal sources of the constitutional law, when there are lacks of norms and juridical acts in the written form that have constitutional - juridical nature. Like the formal or primary sources, the subsidiary or secondary sources of the constitutional law may differ. The most popular formal sources are the constitutional acts, concerning the subsidiary sources that are custom popular are the constitutional customs and the constitutional conventions.

1.2 Constitutional Law and Albania Fundamental Statute

The constitutional acts are the formal and the most important source of the constitutional law, because they have superior juridical power compared to all the other juridical acts. The constitutional acts regulate the most important issues of constitutional – juridical matters, like organizing the state power and the freedoms and the fundamental freedoms and rights of the individuals. These acts are displayed in different forms and denominations like Constitution (or another juridical act like “The Fundamental Statute” in Albania since 1914), constitutional law, constitutional amendment, constitutional annex etc. The Constitution as a juridical written act, never displays a perfect document, that is complete and has no defects, or that is clearly formulated without ambiguities, and that is precise and well defined. This is why the constitutional customs

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3 Citation from Dr. Kurtesh Saliu, The constitutional law (E drejta kushtetuese), Prishtinë, 2004, page 198 – 200.
5 For more inf. Consult the sources of the constitutional law see: Dr. Pavle Nikoliç, page 22 –29.
Dr. Kasim Tmka, page. 14 – 18; Dr. Kurtesh Saliu, page 35 – 44; Dr. Luan Oman, Dr. Aurela Anastasi, page 14 – 22.
6. See : Dr. Svetomir Shkariq, cit. at page 17 – 18
7 Dr. Kurtesh Saliu, cit. at page 37
and the constitutional conventions are considered as a subsidiary or a secondary source of the constitutional law\(^8\).

2. Literature Review and Hypotheses

From an historical perspective, the customs and the constitutional conventions are older sources of the constitutional law than the Constitutions and the laws as formal sources. Until the XVIII century, the constitutional customs were the main sources and a dominant way for the regulation of the constitutional - juridical matters, this customs may exist even nowadays in countries like England, where the major part of the relevant constitutional institutions (state institutions)\(^9\) are regulated with constitutional customs\(^10\). After the presentation of the first written constitutions and after the evolvement of the juridical modern systems with formal sources, the customs lost their importance as a source of the law in general and especially as a source for the constitutional law. The customs are a main source of the law in general and especially of the constitutional law\(^11\) only in the countries where radical changes do not happen, where there are no frequent changes of the social relations for long periods of time (duly this are countries with e stable and consistent juridical system) for instance, in countries like England and in the countries which have formed their juridical system under the influence of the specific Anglo-Saxon juridical tradition (Common law legal system). On the other side, the countries that accepted and that apply the European continental juridical system (Civil law legal system), the customs are considered as a subsidiary or as a secondary source.

\(H\) 1. The countries (that apply Civil law legal system), want to consider the customs as a source of the constitutional law, must fulfill two conditions: first, when there are gaps in the Constitution or in another formal source (in the written form) of the constitutional law.

For instance, if an important constitutional issue is not regulated neither by the constitution neither from another formal source (in the written form) of the constitutional law.

\(H\) 2. The Second condition to fulfill is that the custom must not disagree or be against the principles of the constitutional order in power\(^12\).

The customs in general and the especially the constitutional customs are based in respecting a given conduct (longa consuetudo) that is followed by the conviction that the conduct is also “juridical obligation”\(^13\). There are two elements that constitute a constitutional custom: 1 the external element (material) and 2 the internal element (psychological). The constitutional custom is made from the precedents (frequent repetition) and from the consciousness to behave in a certain manner (opinio iuris sive necessitatis). According to this practice, the standard and constant behaviors repeated in longer periods of time turn into customs under the action of material and psychological factors.

\(H\) 3. The material factor is the frequent repetition (regular and continuous) that displays and testifies the existence of a general practice, which was accepted as fair.

\(^8\) Dr. Miodrag Jovićić, O ustanu, Beograd, 1977, fq. 253.
\(^9\) Constitutional institutions are all the state bodies, in the Constitution there are provisions that define their building, competences and functioning.
\(^12\) Dr. Arsen Bačić, Ustavno pravo i političke institucije, Split, 2006, page 19; Dr. Nurko Pobrić, Ustavno pravo, Mostar, 2000, page 16.
\(^13\) Dr. Nurko Pobrić, Ustavno pravo, Mostar, 2000, page 16.
The subjective factor is the consciousness that by acting or not acting in a given manner in given circumstances is acceptable by the custom rules. When these two conditions are fulfilled simultaneously they show and testify that a practice is transformed into a constitutional custom. At this point the constitutional customs display social unwritten rules which can regulate issues from the constitutional-juridical sphere. In the major part of the democratic countries, the constitutional custom can be taken under consideration in two cases. The first case – when there are no provisions in the constitution neither in another formal (written) source that can regulate an issue partially or completely determined by the constitutional-juridical matters. The second case – when in the provisions of the constitution or of another formal source a constitutional – juridical issue is partially or completely not clear, when it is not treated properly or enough, in order to express the contain of the constitutional written norm.

The constitutional customs can contribute to make clear the volition of the constitution-maker and to avoid further ambiguities in the formal and written source, it also eases the implementation of the constitution or any other formal source. In both cases the repetitive and continual behavior within a long period of time may create the conviction that acting in a given manner in given circumstances creates also the conviction to behave in a given manner in a state organ or in any other political subject. We can conclude by saying that the constitutional customs play a double and auxiliary role, their role can be expressed in two main directions: in the concretization or in clearing the meaning of a written norm, and in the enrichment of the written constitution or of another formal source, in case of juridical gaps and of course when the constitutional custom isn’t against the principles of the constitution or of another formal source (secundum constitutio et praeter constitutione).

2.1 An overview of the historical developing of constitutional stable system

This is important especially for the countries that have a very short and generalized constitution, that have an aged constitution and a constitutional stable system, for instance U.S.A, Switzerland, Belgium, Sweden, Norway etc. It is important to give instances. Some of them are: members of the Congress, more precisely of the Chamber Representatives that must reside in their electoral area (while the Constitution requires that the candidates must be citizens of the country where they want to be elected); the president must appoint in the Cabinet representatives of the most important regions of the U.S.A (even though in the Constitution there are no provisions relevant to this issue); the Cabinet as a consultative organ, as a counseling organ that is made from the Department Chiefs (The Constitution does not recognize The Cabinet as a constitutional-juridical institution); not allowing the members of the presidential Cabinet to speak in the séances of the Assembly Chambers of the U.S.A (even though it is not regulated in the Constitution); in the European Parliamentary Monarchies.

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14 Dr. Miodrag Jovićić, cit.at., page 253 – 254.
15 Dr. Kurtesh Saliu, cit.at, page 40.
16 Dr. Josip Sruk, Ustavno Uregjenje Socijalističke Federativne Republike Jugoslavije, Zagreb, 1976, page 6; Dr. Branko Smerdel, Dr. Smiljko Sokol, page 20 see: Dr. Arsen Baçiç, Ustavno pravo i političke institucije, Split, 2006, page 19.
17 See: Dr. Arsen Baçiç, Ustavno pravo i političke institucije, Split, 2006, page 19
18 Dr. Kurtesh Saliu, page 40.
19 Parliamentary monarchy – the reignition of the state, which is characterized by choosing the chief of the state on the principle of the power heritage, and the “essential role of the parliament within the that sort of governing a state” – for more inf. Consult Parliamentary Democracy – cited by Dr. Arsim Bajrami, Demokracia Parlamentare, Prishtinë, 2005, page 84.
Tab1. The indicators and retroactive effect of low

(Denmark, Norway, Sweden, Belgium and Holland) the monarchs never use the right of the suspensive veto, even if it is foreseen by their Constitutions; in France the constitutional customs are created under the influence of the France Constitution of year 1875, especially not using the right of the Chief of the Republic to dissolve the parliament and the right to the suspended veto relevant to the approved laws from the parliament (even though this authorizations were according to the Constitution), also preventing the retroactive effect of laws (that is not part of the Constitution of 1875) 20; in Switzerland the Federative Council reflects the number of the members of three linguistic communities (it isn’t required by the Constitution); in Bosnia and in Herzegovina the six members of the of the Constitutional Court of Bosnia and Herzegovina, which are chosen from the parliaments of the ethnics of Bosnia and Herzegovina, will be chosen in order to put the ethnical balance “of the people that constitute”, in the Constitutional Court (two Bosnians, two Croatians and two Serbians)- even though this is not expressed in the Constitution in power of Bosnia); the Chairman of the Council of Ministers in Bosnia and Herzegovina must belong to different ethnic parts every new mandate- the rotation- (this is not formally regulated in the Constitution) 21

2.2 The principles and ethnical culture communities

In both cases, of Switzerland and of Bosnia and Herzegovina its treated the principle of equality in the democracy that “forbids the people to dominate on other people” by creating a consensual mechanism that would diminish the possibility of the ethnical communities to become “a majority”. This is a principle for the countries with heterogenic ethnical culture or that are multiethnic 22. There is no doubt that the implementation of the constitutional customs depends on the constitution-maker organ that can also in the juridical aspect sanctioned the existence and their implementation or that can categorically suspend the existence and the implementation, or can have a neutral position. For instance, The Grand Popular Assembly of Turkey, during the rule of Kemal Ataturk, interdicted wearing the fez as a “non-civil custom”.

But the constitution-maker may have a dualist attitude to the custom: firstly, respect the existence of the custom and secondly violate the existence of the custom. For instance the U.S.A for more than 140 years

20 Dr. Miodrag Jovičić, page 255 – 259; Dr. Kasim Trnka, page 81; Dr. Svetomir Shkariq, page 46 – 47.
21 See : Dr. Kasim Trnka, page 18 – 23 and 46 – 49.
respected the constitutional custom of not electing the same candidate for president more than twice. This constitutional custom was not violated from any American president, except the president Franklin D. Roosevelt which candidate for the third time in 1940 and in 1944 for the fourth time. In 1951 the constitutional-maker legitimated this constitutional custom, and transformed it in a constitutional written norm in Amendment XXII in the Constitution of the U.S.A: - “No person shall be elected to the office of the President custom than twice” 23. It is important to mention the fact that this constitutional norm written since 1951 and in power until nowadays is still respected.

2.3 Constitutional – juridical practice and functional duties

When the constitution-maker is not satisfied with a given constitutional custom, can regulate and adapt that custom in order to implement it. During the constitutional – juridical practice in the Croatian Constitution in 1990 was amended a constitutional custom, because there was a juridical gap relevant to the incompatibility of exertion of two functional duties as a depute and as a minister. By sharing the state power, the ministers had the possibility to be elected as deputys of the Assembly.

3. Conclusions and Recommendation

This constitutional custom was implemented until the Law for the election of deputies in the Parliament (Sabor) of Croatian Republic sanctioned the institute of the incompatibility, by anticipating in article 6 that “a depute can’t be a chairman, vice-chairman, minister and member of the Croatian government…” 24. The Prime-Minister (James Callaghan) refused the demand for the resignation of the government and constated that the convent for minister responsibilities is vis major 25. The Chamber of Regions accepted this interpretation and the convent was created with a new exception 26. To conclude we can say that: the constitutional conventions are not juridical norms, but they have constitutional nature in their content, this is why the conventions are treated as subsidiary sources of the constitutional right. The constitutional conventions differ from the constitutional customs for three reasons. Firstly, the constitutional conventions are implemented only under the activity of the crucial and most important state organs – parliament & government, the constitutional customs are implemented broadly in the whole constitutional – juridical – matters. Secondly, the constitutional conventions have lower influence compared to the constitutional customs because they are not enforced or recognized by the courts, in fact, their application depend from the will of the state organ that is addressed the constitutional convention. Thirdly, the constitutional conventions are extra-juridical rules (non-legal rules) that are more dynamic and flexible than the constitutional customs because the conventions can be changed easily. 27

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24 Dr. Branko Smerdel, Dr. Smiljko Sokol, Ustavno pravo, Zagreb, 2006, page 20.

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Money Talks: The Influence of Economic Crisis on Global Governance

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Abstract: The economic crisis has had an influence on all aspects of life, from economic to social life, from national security to governance, and from politics to sports. The consequences of the economic crisis of 2008 could shape the future of global governance. Also, the appearance of new players in influencing and restructuring the global political system, such as private and state-owned Transnational Corporations (TNCs), makes us rethink the ways in which we need to approach human development issues such as fighting corruption, supporting human rights and higher living standards, and maintaining good governance practices worldwide. Thus, this article addresses the influence of the economic crisis of 2008 on formal and informal governance. The focus of this article is addressing the increasing of economic and political power of TNCs, especially state-owned TNCs, and their influence on the global political system. The conclusion reached is that International Organizations (IOs), civil society organizations, people, and even TNCs need to work together to reorganize the political scene with new international agreements and IOs, because institutions and international agreements that initiated after WWII are not working affectively anymore.

Keywords: International organizations, Economic crisis, Transnational Corporations, State-owned TNCs, China, Governance

1. Introduction

Without a doubt, globalization has affected every corner of the globe; even isolated areas that were once less affected by what is happening outside their borders have been affected as a result of globalization. Advanced technology and transportation have translated communication and relational dynamics of global world into those of a small village. In addition, the desire of Transnational Corporations (TNCs) to maximize their profits and the willingness of states with strong economies to have bigger role in shaping world’s political systems, among other factors, have participated in restructuring local and global governance in recent decades.

Politics, relationships between states, international trade, and culture are all influenced one way or another by globalization. Accordingly, the economy is one of the fundamental factors that has shaped and continues to shape this new era of globalization. Also, economic crises such as the one in Asia in the 1990s and the current crisis that began in 2008 are good examples of how globalization became an unavoidable fact. Consequently, the role of governments has changed dramatically, from welfare states trying to provide jobs for citizens to facilitating states trying to provide a proper environment for investors. According to United Nations Conference on Trade and Development (UNCTAD) (1996), “under forces of globalization, the role of government is progressively shifting toward providing and an appropriate enabling environment for private enterprise” (p.14). This new role for governments comes as a result of globalization and capitalism, as modeled in the USA, Western European countries, and Japan.

Host states change some regulations to attract TNCs to invest. In contrast, financial crises are golden opportunities for TNCs with strong financial status to have new investments.

According to Harris (2010),

The TCC [Transnational Capitalist Class] response to the world crisis is to expand transnational accumulation through a deeper integration of the national into the global. For the TCC there is no national industrial policy that is not a transnational policy. Economies at home and abroad have merged in ways that intractably link the profits and strategies of TNCs. U. S. auto manufacturers can't
survive without their global footprint. The same is true of every auto corporation, no matter their perceived national identity. (p. 407)

The 2008 economic crisis and its consequences such as increase in countries national debts and browning costs show indications of the new structure of the global economic system. For example, a new report by Financial Times shows that China, through China Development Bank and China Export-Import Bank, has lent more money to developing countries than the World Bank did in 2010 (Dyer, Anderlini, and Sender, 2011). A country borrowing from other countries is a frequent action and always happened, but this time is different for two reasons. The first reason is that countries such as China, Qatar, and United Arab Emirates (UAE) have started to invest in and lend money to countries in need of cash, such as Greece and some African countries. These lenders record low in most governance indicators, such Worldwide Governance Indicators (WGI) by the World Bank (Kaufmann et al., 2010), which raises the important issue of how these lenders could use these loans and investments to influence the development of governance development in the receiving and host countries. The second reason, which is related to the first, is the fact that these loans and investments come with flexible conditions from lenders compared to loans guaranteed by IOs or developed countries, this flexibility might have an influence on aspects of formal and informal governance, such as transparency and the democratic process, in receiving countries. In the case of China, for example, Tull (2006) states that “by offering aid without preconditions, China has presented an attractive alternative to conditional Western aid, and gained valuable diplomatic support to defend its international interests.” (p. 459)

Transnational Corporations (TNCs) are the key players in the new global political system. Beyond the mere exchange of goods and provision of services in foreign countries, TNCs participate in – or have an enormous impact upon – the formation of regulations, public organizations, politics, and even the governmental constitutions of home and host states. The economic and political influence of TNCs has risen in recent decades (Henderson, 2000; UNCTD, 2011). According to the World Investment Report of 2011, “TNCs’ production worldwide generated value-added of approximately $16 trillion in 2010, about a quarter of global GDP. Foreign affiliates of TNCs accounted for more than 10 per cent of global GDP and one-third of world exports.” (UNCTD, 2011a, p. x)

State-owned TNCs have been one of the main forces of globalization. According to World Investment Report,

State-owned TNCs are an important emerging source of FDI. There are at least 650 State-owned TNCs, with 8,500 foreign affiliates across the globe. While they represent less than 1 per cent of TNCs, their outward investment accounted for 11 per cent of global FDI in 2010. (UNCTD, 2011a,p. x) However, the main task of state-owned TNCs is maximizing profit and diversifying investment, or at least they claim this is the case; however, there is no doubt that state-owned TNCs have other roles to play, including political roles (Henderson, 2000; McLean, 2003; Rondinelli, 2003; UNCTD, 2011a).

This article will discuss the increasing role that privately owned TNCs and state-owned TNCs play in the global governance and global economic system. This paper is structured as follows. First, the economic and political influence of TNCs in world political systems and global governance will be discussed. Second, responses to the economic crisis of 2008 from IOs and TNCs and its affect on formal and informal governance will be explored. Finally, suggestions for further research will be presented, since this article is intended as a step toward a better understanding of international governance structure.

2. Transnational Corporations (TNCs)

TNCs are defined as “incorporated or unincorporated enterprises comprising parent enterprises and their foreign affiliates” (UNCTD, 2011b, p. 3). According to the World Investment Report of 2011, TNCs accounted for 25 percent of world GDP, which explains their economic power. Simply stated, a transnational corporation (TNC) is a corporation or enterprise that introduces services or/and production in other countries as well as the home country.
Foreign Direct Investment (FDI) and other forms of TNCs have a positive impact on the market and people of the countries where they operate. For example, FDI challenges the local companies with competition, leading them to merge in order to have a strong firm (financially and professionally) and the ability to compete with the big TNCs either in business or by launching new ideas with new products. According to World Investment Report, “each form of foreign investment plays a distinct and important role in promoting growth and sustainable development, boosting countries’ competitiveness, generating employment, and reducing social and income disparities.” (UNCTD, 2011a, p. 21)

Even though FDI and TNCs are a very important element in posting economy, it is important to keep in mind that TNCs are profit driven, so they will relocate whenever there is a new opportunity or serious threat to their operations (UNCTD, 2011a). In addition, TNCs, as a form of FDI, like to operate in countries with flexible regulations (e.g., labor, environment) to reduce cost and maximize profit (Hill, 2008; Kwok & Tadesse, 2006; Tull, 2006). According to Kwok & Tadesse (2006),

There are plenty of anecdotal evidences that TNCs sometimes bring undesirable influences. In some situations, TNCs exploit natural resources, cause environmental pollution, employ child labor, or take advantage of the looser regulations of the host countries (to bypass the stringent regulations and costly requirements of parent countries). (p. 8)

In addition, according to Henderson (2000), there is always a conflict of interest between private and public interests, which in this case refers to the interests of TNCs and the people of the countries they affect. Yet economic globalization and liberalization movements give private sectors and TNCs advantage over the public interest, and local governments have less power to control, manage, or organize TNCs’ activities. Thus, TNCs have the necessary power to influence governments’ actions toward their interests, even if such interests conflict with the public interest. According to Henderson (2000),

Companies and TNCs still fight regulations with stonewalling, countless legal challenges, lobbying, political fundraising, manipulating markets and finance, corruption, and in some cases, repression and violence, even if a regulation would benefit them by organizing a new and larger market or help capitalize a cleaner, cost-saving technology. (p. 1236)

Even though there is an attitude among reporters and in academia to distinguish between privately owned TNCs and state-owned TNCs, there is no consensus on labels for non-state-owned TNCs, so we will call them privately owned TNCs in this article. There are some characteristics that can help to distinguish private and state-owned TNCs. While all TNCs are profit-driven, one could argue that privately owned TNCs enjoy more freedom in running their operations even when governments own shares in the company (e.g., US government ownerships of shares of GE), because the government’s shares’ ownership is a temporary situation and the governments have little or no influence in these companies’ strategies. Thus, one could argue that most of privately owned TNCs operate in developed countries. By contrast, state-owned TNCs are owned completely or partially by governments, and in many cases these governments have their own agenda carried out by the companies. For example, a report by U.S.-China Economic & Security Review Commission in 2011 explains the relationship between China’s government and China’s state-owned TNCs:

Chinese outward investment activities are often directed by the Chinese government, especially for firms in deals involving oil and minerals or telecommunications, which are required by the government to remain under government oversight or control. Chinese governments at various levels often appoint executives in such Chinese firms and finance the deals through state banks. The Chinese government’s support for these industries includes a variety of subsidies as well as access to low-cost financing from the largest banks, all of which are state owned. (Salidjanova, 2011, p. 4)

This statement relates specifically to Chinese state-owned TNCs, but this could be applied to all state-owned companies in developing and transitional economies. Thus, privately owned TNCs have less political
involvement in host countries compared to state-owned TNCs, and both types have economic and political influence in home-state countries.

Although it can be hard to distinguish between privately owned TNCs (governments have less control over operations) and state-owned TNCs (governments direct TNCs economically, managerially, and politically), following World Investment Report by UNCTD we will try to distinguish between the two politically and, to some extent, economically. Thus, state-owned TNCs will be discussed in a separate section to clarify the role that state-owned TNCs play in the world’s political systems. Also, we will discuss some countries, such as China, that rely heavily on state-owned TNCs to gain international economic and political power.

2.1 Foreign Direct Investment

Foreign Direct Investment (FDI) has been one of the main indicators in measuring global trade. FDI refers to inflow (investment to countries) and outflow (investment from countries). The World Investment Report defines FDI as:

an investment involving a long-term relationship and reflecting a lasting interest and control by a resident entity in one economy (foreign direct investor or parent enterprise) in an enterprise resident in an economy other than that of the foreign direct investor (FDI enterprise or affiliate enterprise or foreign affiliate). (UNCTD, 2011b, p. 3)

However, state-owned TNCs from the U.S., China, and Western Europe have the biggest share of global FDI, developing and transitional economies attracted more FDI in 2010 than other economies. According to World Investment Report published by United Nations Conference on Trade and Development, global FDI totaled $1.24 trillion worldwide in 2010. Consequently, FDI inflows increased 5 percent in 2010, which is 37 percent less than the peak point in 2007. By contrast, FDI outflows remained constant in 2010 compared to 2009 (UNCTD, 2011a).

2.2 State-Owned TNCs

International trade and the influence of state-owned TNCs in shaping the global political system is one of the controversial issues among politicians, economists, and academics; however, there is no agreement among international organizations and countries as to a specific definition of state-owned TNCs. McLean (2003) in The Transnational Corporation in History studies the history of TNCs, and he argues that “because the legal nature of corporations was not determined by international law, but rather by national or colonial law, the status of the different corporations varied” (p.371). In this article, the U.N. definition will be adopted. According to the United Nations Conference on Trade and Development, state-owned TNCs are “enterprises comprising parent enterprises and their foreign affiliates in which the government has a controlling interest (full, majority, or significant minority), whether or not listed on a stock exchange.” (UNCTD, 2011a, p. 28)

According to the World Investment Report of 2011, there are almost 650 state-owned TNCs and more than 8,500 foreign affiliates around the globe; presumably, then, it would be unusual to find a country that does not have TNCs or one of their affiliates present. Furthermore, in 2010, TNCs accounted for 25 percent of global GDP, while their affiliates accounted for almost 10 percent of global GDP and one-third of world exports. Even though TNCs and their affiliates account for less than 1 percent of all TNCs, they nonetheless wield great economic and political power in their home and host countries (Clark & Chan, 1995; Harris, 2010; Henderson, 2000). According to the report, in 2010, 19 of the 100 largest TNCs in the world were state-owned and accounted for 11 percent of global FDI. Also, state-owned TNCs cover a variety of manufacturing industries and services, contrary to the common myth that state-owned TNCs only concentrate on natural sources industries, such as the energy industry. Finally, developing and transitional economies host more than half of TNCs (UNCTD, 2011a). These figures show the economic power that TNCs have in the world.
As a result of their economic power, TNCs have become unofficial governments that participate in influencing and shaping foreign and domestic affairs of their home and host states. For example, China's corporations conduct billions of dollars of business in Africa, which gives China the power to intervene heavily in decision making processes in its TNCs' host countries (Tull, 2006). The same thing happens to other states that used state-owned TNCs to pressure host states (Clark & Chan, 1995; Farazmand, 2002; Newfarmer, 2001; Salidjanova, 2011). According to Farazmand (2002), “the rule of giant organizations and multinational corporations, backed by their supportive political and military-security organizations of powerful states, is so formidable that few if any can escape their effects.” (p. 111)

3. TNCs and Global Governance

One of the controversial issues of state-owned TNCs is the influence of the government that owns a TNC on its strategies and operations. This influence can be used to deliver home states' political agendas in host states. A TNC's essential mission is supposed to be operating as a firm (i.e., increasing income and social responsibility toward home and host countries) without political agendas. However, the other side of the coin, which is the use of TNCs by home states to deliver their political agenda, has a long history. McLean (2003) argues that British colonies in India in the 1800s had similar practices, using Indian companies owned by the British government to deliver Great Britain's political agendas. McLean (2003) thinks that modern TNCs have the same vision, and he deems that globalization and the TNCs it produces constitute a new form of colonization. According to McLean (2003), “The new world economic order is built on this colonial legacy.” (p.373)

By contrast, some scholars argue that political activity is part of any organization, whether private or public, so TNCs are not unique in defending their rights and fighting for their interests by using political methods (Clark & Chan, 1995; Farazmand, 2002). Farazmand (2002) argues that “all organizations public, private and nonprofit are involved in politics and political processes and activities. Indeed, all organizations may be considered political institutions, for they all perform political functions in one way or another.” (p. xix)

The influence of a TNC in its home and host states is both overt (in its entity and sales) and covert (in its political and administrative influence). This influence is also both direct (in providing jobs for citizens, bringing technology to its host state, and to some extent serving the community) and indirect (e.g., in its ability to influence the passing of laws or regulations that will serve its interests). This influence takes different shapes and forms. One of the most common forms is informal governance such as lobbying, especially in democratic states where a group of people with similar interests seek to influence an issue. In non-democratic states, other forms of informal governance appear, sometimes including illegal activities such as bribery and nepotism (Henderson, 2000). According to Henderson (2000), “today, global corporations are capturing global markets with foreign direct investment, globalizing production, outsourcing to weak states, and—often overlooked in conventional analyses—negotiating global standard-setting processes.” (p. 1238)

While it is the TNCs' right to fight for their interests, they sometimes become greedy, especially when there is a conflict of interest between the corporation's interests and the public interest. In such cases, the public tends to suffer the most, especially when the host state is weak and cannot defend its citizens' rights, which is the case in most developing and transitional states (Henderson, 2000; McLean, 2003).

3.1 TNCs as Political Actor

State-owned TNCs have been criticized for being used by their owners (i.e., the governments of their home states) to deliver and push the owners' political agendas in host states. By contrast, privately owned TNCs have been criticized for their influence on their home states' governments to achieve their own interests, regardless of conflict with the public interest. According to United Nations Conference on Trade and Development (2011a),
State-owned TNCs are causing concerns in a number of host countries regarding national security, the level playing field for competing firms, and governance and transparency. From the perspective of home countries, there are concerns regarding the openness to investment from their State-owned TNCs. (p. xiii)

Rondinelli (2003) argues that TNCs have influence on every aspect of life, including influencing public opinion through media, affecting governments’ decisions through financial aid, helping governments to solve problems such as creating jobs, and supporting candidates for public offices in democratic societies.

According to Rondinelli (2003),

"The expanding public roles of transnational corporations in private foreign aid, in self-regulation and private certification of business practices, not to mention helping shape public policy, can be viewed as evidence of corporate citizenship and social responsibility or as a threat to democratic decision making and national sovereignty." (p. 13)

Another issue raised by Rondinelli (2006) is the exchange role between governments and TNCs. He argues that one of the clear results of globalization and the TNCs it produces is the fact that global corporations perform tasks that used to be performed by governments, such as influencing people socially and economically. Rondinelli (2006) stated that:

"A less visible, though nonetheless significant, aspect of globalisation is the rapidly expanding roles that these corporations and their executives and industry associations have assumed in social, economic, and environmental policy – areas that had in the past been the primary or exclusive responsibilities of governments." (p. 15)

Over the 25 years, TNCs have become the largest provider of foreign aid in the world through their donations and NGOs that they have initiated (Rondinelli, 2006). The increasing economic and political power of TNCs causes governments to change laws and regulations either as a response to pressure from TNCs or to attract them to invest in the country. Henderson (2000) stated that “today, the state is everywhere in retreat and similar fears are now focused on the ascendance of markets and private corporate power in our globalized economy” (p.1232). Rondinelli (2006) goes even further by deeming that TNCs have an international influence rather than limited influence at the local level. According to Rondinelli (2006), “TNCs also influence international policy dialogues prior to national governments and international organisations enacting laws and regulations or attempt to influence the pace and direction of decisions by governments and international organizations.” (p. 16)

Koenig-Archibugi (2004) shares Rondinelli’s views and thinks that TNCs in some cases have more power than host states, where host governments are not able to hold TNCs accountable for their actions. According to Koenig-Archibugi (2004), “host governments might be unable to act effectively as agents of accountability between TNCs and citizens because of the lack of material and organizational resources for policy formulation and implementation.” (p.244)

The economic and political influence of TNCs has spread throughout the globe, so no region or state is immune from TNCs’ effects. “The growing economic influence of TNCs almost assures continued expansion of the public role of the private sector in international policy” (Rondinelli, 2003, p. 21). In the United States, for example, the massive bailout after the 2008 financial crisis raised a lot of questions regarding the amount and timing of the bailout, as well as the political power that allowed TNCs to influence the passing of the bill by Congress and the White House. In his study of the U. S government’s actions to bail out giant companies such as GM and Ford, Harris (2010) argues that the massive bailout from the U.S. government to auto companies as a response to the 2008 economic crisis is clear evidence that TNCs have strong political and economic power that goes beyond countries’ ability to control them. According to Harris (2006),

But auto is an indicator of a broader trend in which TNCs are increasing their monopoly over the world economy. Moreover, through all the global wheeling and dealing we see how government bailouts help promote transnational investments that blur the identity of national ownership. (p. 405)
The case of China will be presented as an example of state-owned TNCs in the following section. It is important to note that China’s authority insists in many circumstances that Chinese state-owned TNCs have nothing to do with China’s political agenda in the world. Also, statistics regarding China’s TNCs activities are outdated because they are infrequently collected. Salidjanova (2011) in his study about the U.S-China economic relationship argues that “data most readily available from Chinese statistical sources generally have a reputation for inaccuracy and opacity” (p. 27). Finally, although most developed and developing economies have similar attitudes regarding state-owned TNCs, China is used in this article as a result of the increasing economic and political power of Chinese TNCs around the globe.

3.1.1 State-Owned TNCs: China as Study Case

Unsurprisingly, recent reports have concentrated on the economic crisis and various countries’ efforts to survive. Many articles and reports have been introduced lately that cover China’s government and China’s state-owned TNCs and their involvement in helping governments financially (Salidjanova, 2011; UNCTD, 2011). A report by Financial Times shows that, as of 2011, China’s lending to developing countries has exceeded lending from World Bank (Dyer et al., 2012). According to Dyer et al., (2012), China Development Bank and China Export-Import Bank signed loans of at least $110bn (£70bn) to other developing country governments and companies in 2009 and 2010, according to Financial Times research. The equivalent arms of the World Bank made loan commitments of $100.3bn from mid-2008 to mid-2010, itself a record amount of lending in response to the financial crisis.

Although this report concentrates on lending to developing countries, other reports show the increasing direct and indirect support from China to all countries in need of financial assistance, such as Greece and African countries. Investing in treasury bonds and securities in countries like the U. S. (e.g., more than 23.3 percent of U.S Treasury Securities are held by China) is another example of the spread of Chinese investment all over the globe (United States Department of the Treasury and Federal Reserve Board, 2012).

On the other hand, China’s FDI plays a major role in global FDI. According to World Investment Report, in 2010 China was the largest recipient of FDI among the developing countries with $106 Billion as 11 percent increase from last year. In addition, outflows from China and Hong Kong increased 14.7 percent in 2010 to reach $68 billion. The World Investment Report summarizes the increasing economic power of China and China’s state-owned companies in the world as follows:

China’s position as a leading investor in extractive industries has been strengthened. The country overtook the United States to become the world’s largest energy user in 2010, and Chinese oil companies have continued their buying spree, spending $25 billion on overseas assets, accounting for around one-fifth of all global deal activities. Mining companies from the country spent much less - $4.5 billion - but are catching up, as highlighted by the $6.5 billion bid for Equinox Minerals (Australia and Canada) by Minmetals Corporation. As a result of such investments, China has become the leading foreign investor in Australia. (UNCTD, 2011a, p. 48)

In other words, although there has been a decline in global FDI and global economic activities since the financial crisis of 2008, China and China’s state-owned TNCs have been raising their investments around the globe. According to statistics from the Ministry of Commerce in China, Chinese investments are present in more than 177 countries around the globe (Salidjanova, 2011). Most of these investments are carried by Chinese state-owned TNCs, in which the Chinese authorities are heavily involved in directing operations and strategies that serve the political agenda of the Chinese government. According to Salidjanova (2011), behind much of the concern over Chinese investments abroad lies the fear of the Chinese state - acting through its large state-owned enterprises - acquiring increasing power and influence abroad, and potentially engaging in other actions to promote the interests of the state and the Chinese Communist Party. (p. 11)
In China’s Engagement in Africa, Tull (2006) investigates the ways that Chinese state-owned TNCs and Chinese loans to African countries are used by Chinese authorities to influence internal and external affairs of the countries receiving these loans and host countries of the TNCs. He argues that Chinese authorities use business investments and loans to push the Chinese government’s political agenda. After reviewing statistics of China’s investments in Africa, Tull (2006) argues that “China’s political and economic involvement in Africa has a palpable impact on the domestic scene in many African states, which will increase should China continue to pursue a more globally oriented foreign policy, particularly towards non-Western regions.” (p. 460)

Chinese state-owned TNCs are spreading all over the globe, with increasing economic power. This economic power usually drives and results in political power as well, so it is clear the Chinese state-owned TNCs are a fundamental tool used by Chinese authorities to gain a bigger role in the global political system.

4. International Organizations (IOs) vs. TNCs

International Organizations (IOs) have been key players in the global political system since World War II. Many IOs have been established since WWII, such as the United Nations. In addition, as a result of globalization, increasing in FDI activities globally, and the increasing economic and political role of privately owned TNCs and state-owned TNCs, other IOs have been established, such as the World Trade Organization (WTO). Accordingly, there has been a debate among politicians, economists, and academics on the efficiency and effectiveness of IOs in pushing development, fighting corruption, supporting human rights and higher living standards, and maintaining good governance practices worldwide. Also, there is a debate among politicians with regard to the independence of decision-making process in IOs, where IOs have been accused of serving developed countries’ interests. In the following section, IOs’ independence and economic and political power will be discussed. Also, the increasing role of TNCs and the corresponding decreasing role of IOs will be explored.

Dreher & Voigt (2011) argue that being a member of IOs claimed to add credibility to members. According to Dreher & Voigt (2011), “membership in international organizations is often considered to have beneficial consequences for their member countries – as well as for the international community at large” (p. 2). However, in most cases, being a member of one or more of IOs is not enough to serve the country’s best interest. Stone (2009) argues that informal governance is a necessary step for less powerful states to participate and benefit from international organizations, even though such actions may negatively affect on the credibility of IOs. According to Stone (2009),

Leaders of these countries find that the only way to exert effective leverage over international organizations is to appeal to the leading states in the system—usually, to the United States—to exert informal influence on their behalf. This intervention tends to undermine the credibility and autonomy of the international organization involved, which may weaken its legitimacy vis-à-vis third parties. (p. 5-6)

Haftel and Thompson (2006) conducted research to study the factors that influence IOs’ political independence and their ability to shape the global political system. They argue that “the independence of an institution largely determines its authority and influence - in short, its ability to shape international politics” (Haftel & Thompson, 2006, p. 254). The authors used three aspects of institutional design - decision making, supranational bureaucracy, and dispute settlement - to study to what degree an IO is independent in making decisions and adopting strategies. The study concludes that IOs’ economic independence and their ability to shape the global political system are strongly correlated, so less economic independence means IOs will have less influence in shaping the global political system.

Accordingly, as a result of the increased economic impact of TNCs through financial aid and investments, privately owned TNCs and state-owned TNCs play an increasing role economically and politically compared to IOs in shaping the global political system. In addition, the financial crisis of 2008 gave an advantage to TNCs and countries with cash in hand, such as China, and their state-owned TNCs. Countries in need of
financial assistance go to IOs such as IMF and World Bank or to countries with the financial ability to help, but since IOs have run out of money, countries ask strong economies such as China, Qatar, and UAE for help. In response, these countries offer help directly through loans or indirectly through investment from TNCs such as China Investment Corp. and Qatar Holding. However, “the ownership and governance of State-owned TNCs have raised concerns in some host countries regarding, among others, the level playing field and national security, with regulatory implications for the international expansion of these companies.” (UNCTD, 2011a, p. X)

4.1 Thoughts for Success

The above discussion shows the importance of economic factors in shaping international relations, the world’s political systems, and formal and informal governance. Many have called for the reorganization of IOs so that they will have economic and political independence from the influence of powerful countries in order to support human and governance development (Dreher & Voigt, 2011; Haftel & Thompson, 2006). Dreher and Voigt (2011) hypothesize that “the degree of delegation to international organizations can improve the credibility of nation-state governments.” (p. 1)

The WTO and Kyoto Protocol are examples of organizations and agreements attempting to regulate and organize the world market in general and TNCs in particular, but due to the lack of political and economic independence of such organizations, their success is limited. These organizations also have limited success as a result of the conflict of interest between political and profitable issues, as well as the conflict of interest between developed countries (USA, Japan, and Western EU) and developing countries (China, Brazil, and India) (Bhagwati, 2005; Henderson, 2000; Jones, 2009; UNCTD, 2011a). Henderson (2000) states that “international agreements on full disclosure, accounting standards, and other measures to police global capital markets are still rudimentary.” (p. 1236)

On the other hand, Rondinelli (2003) thinks that recognizing the important role that TNCs (both privately owned and state-owned) play in society and the global political system is the first step toward effective and successful human and governance development. Also, he argues that the only way to hold TNCs accountable for their actions at the global scale, and to make them work in the interest of the society of the host and home states, is to give NGOs, civil society, and governments the power needed to function as a ‘watchdog’ on TNCs’ operations and tasks. According to Rondinelli (2003),

A more effective system of countervailing forces – allowing governments, NGOs and TNCs to apply checks and balances that reduce the potential of any of the major participants in the global economy of abusing their power or shirking their legitimate social responsibilities – depends on a better understanding of the types of public roles that TNCs are playing and the scope and magnitude of their impacts. (p. 21)

This suggestion relies on local authorities to protect the public interests, but it is missing the fact that TNCs, as discussed before, operate mostly in nondemocratic political systems where corruption and ‘bad’ governance practices are common (Henderson, 2000; Koenig-Archibugi, 2004).

Bergsten (2008) studies the increasing influence of China as an economic and political power. He argues that the power China has gained as a result of massive donations and loans to countries overthrows the role of financial IOs such as IMF and World Bank. Thus, he argues that in the best interest of the U.S. government economically and politically, the U. S. needs to absorb China’s raising power by sharing “global economic leadership” (Bergsten, 2008, p. 1) with China. For economic and political reasons, Bergsten (2008) argues that:

Washington would need to accept China as a true partner in managing global economic affairs, the development of an intimate working relationship with an Asian country rather than its traditional European allies, and constructive collaboration with an authoritarian political regime rather than a democracy. (p. 8)
5. Recommendations and Future Researches

A state’s economy is the cornerstone of its existence. Thus, economic crises are a critical situation for any state, in which they take every available step to minimize the consequences of such a situation. By contrast, TNCs and states with a good economic status take advantage of other states’ economic crises by increasing investments and increasing their economic and political power internationally.

Unfortunately, neither IOs nor most host governments are able to hold TNCs accountable for their actions (Henderson, 2000; Koenig-Archibugi, 2004). Koenig-Archibugi (2004) draws a picture of the situation of TNCs in host countries as follow:

The globalization of production exacerbates accountability gaps in the relationship between citizens and corporations. Some of these gaps stem from the difficulties that governments have in holding TNCs accountable under conditions of sustained capital mobility and opportunities for jurisdictional ‘exit’. Other gaps stem from the difficulties that citizens have in holding their government accountable when it colludes with, and receives support from, economically robust corporations – and TNCs tend to be robust in comparison to many host countries. Finally, sometimes governments are too weak to function as effective links in the accountability chain between citizens and companies. (p. 257-258)

Consequently, the economic crisis situation makes any international efforts by countries and IOs to organize TNCs’ activities even harder. Thus, Scherer et al. (2006) correctly state:

In a globalized world, however, global governance - referring to rule-making and rule-implementation on a global scale - is no longer a task managed by the state alone. Today, transnational corporations (TNCs), as well as civil society groups, increasingly participate in the formulation and implementation of rules in policy areas that were once the sole responsibility of the state or international governmental organizations. (p. 506)

Therefore, International Organizations (IOs), civil society organizations, people, and even TNCs need to work together to reorganize the global political scene with new international agreements and IOs, because institutions and international agreements that initiated after WWII are not working affectively anymore. Also, the power of TNCs, especially state-owned TNCs, is increasing dramatically, so international community needs to act fast to develop effective ways to protect the public interests and support human and governance development.

This article raise concerns more than answers regarding the influence of the current economic crisis on formal and informal governance. A few of the questions that should be considered are as follows. Will the new tendency of states that are hit hard by the economic crisis to ask for help (both directly and indirectly) from other countries such as China change governments’ priorities toward applying good governance practices that have been pushed by IOs such as the UN, IMF, and World Bank? Are we experiencing a new era of globalization and international governance as a result of the increasing economic and political power of TNCs and the declining power of IOs? What do local governments need to do to protect citizen rights’ from the greediness and selfishness of TNCs? And finally, what should we as citizen and civil society organizations do to protect our interests? Each of these questions can be a research topic in itself, because unfortunately there is no easy answer.

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The Contrastive Move Analysis: An Investigation of Persian and English Research Articles’ Abstract and Introduction Parts

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Abstract: The study of the generic and rhetorical structure of the research article genres and sub-genres is of crucial importance in academic writing investigations. While the majority of such studies have mostly focused on articles written in English, the analysis of the ‘moves’ in other languages might shed some light on cultural and linguistic variations in functional levels. The present study investigated ten Persian and English Linguistics articles in terms of their moves in abstract and introduction parts. Analysis was conducted by incorporating Hyland’s (2000) Information-Purpose-Methods-Products-Conclusion (IPuMPrC) model and Swales’ (1990) the Create-A-Research-Space model (CARS) for abstract and introduction parts, respectively. Findings revealed that while the moves mentioned by Hyland (2000) and others are totally typical to English research articles, some significant variations exist in Persian articles.

Keywords: contrastive move analysis; linguistics; genre; research articles; abstract and introduction parts

1. Introduction

Over the recent years, a huge body of studies has been carried out on Research Articles (RA) and more specifically, on their structure, social construction, historical evolution and etc. A number of these studies have dealt with the overall organization of various parts of the research article, such as the abstracts (e.g., Salager-Meyer, 1992), the introduction (e.g., Swales, 1981, 1990; Swales & Najjar, 1987), the result section (Thompson, 1993), discussion (Hopkins & Dudley-Evans, 1988). Various lexi-co-grammatical features of the research article, ranging from tense choice to citation practices, have also been investigated. The social construction of this genre (Myers, 1990) and the historical development of the research article (Salager-Meyer, 1999) have been studied as well. In academic prose, abstracts, “a part-genre of the RA” (Swales & Feak, 2009) have become an essential and inalienable part of research articles. Almost every scholarly journal, written either in English or in other languages, would require an abstract to be submitted along with the original research article (Marti, 2003). Abstracts have become a gateway into the research literature (Hartley & Benjamin, 1998) and are a useful tool of mastering and managing the ever increasing information flow in the scientific community (Ventola, 1994). The American National Standards Institute (ANSI) defines abstract as follows: “[i]t is an abbreviated, accurate representation of the contents of a document, preferably prepared by its author(s) for publication with it” (Lorés, 2004: 281). This is especially true in today’s busy information world. Nowadays, more and more research articles are accompanied by an informative abstract. Previous studies of research article abstracts have covered several different disciplines, such as medicine, psychology, and applied linguistics, and have mainly focused on two dimensions of abstracts: the rhetorical organization or the move structure (e.g., Cross & Oppenheim, 2006; Lau, 2004; Santos, 1996) and the linguistic realizations of the moves (e.g., Busch-Lauer, 1995; Pho, 2008).

Introduction, as one of the most researched sections of the RAs, has started to attract scholarly attention since Swales’ (1981, 1990) work on the move structure of RA introductions, and since then the proposed
CARS model (Create-A-Research-Space) has been applied to other sets of texts. In 1990, Swales revised his previous four-move structure to a three-move pattern, called the CARS model: 1. Establishing a territory, 2. Establishing a niche, and 3. Occupying the niche. The CARS model has influenced numerous later studies on the structure of the introduction (Bhatia, 1997; Samraj, 2002, 2005). As Swales (2004) said, “the basically three-part model for English language introductions in many leading journals is or has become prototypical” (p. 226). The cyclical nature of introductions, the use of references in introductions, the investigation of texts written in different languages and cultures using Swales’ model (e.g., Fredrickson & Swales, 1994), the analysis of citation practices of ‘expert’ writers (e.g., Pickard, 1995), the investigation of citation practices in academic texts (e.g., Thompson, 2000), extending Swales’ division of citation forms (e.g., Thompson & Tribble, 2001), and the investigation of RA introductions from two disciplines (e.g., Samraj, 2002, 2005) are among various studies conducted on the RA introduction. In spite of such studies in academic writing, there has been less research on analysis of two types of sub-genres, namely, abstract and introduction parts, written in two different languages of Persian and English, in terms of the moves in each language’s articles. Moreover, although several studies have analyzed research article abstracts and introductions, only a few studies have focused on articles in linguistics (e.g., Lorés, 2004; Pho, 2008; Santos, 1996). Hence, the question probed in the present study was whether there was any difference in the use of functional moves in sub-genres (i.e. abstracts and introductions) of theoretical linguistics articles written in Persian and English.

2. Theoretical Terms and Background

2.1. Concept of Genre

“The past decade or so has seen increasing attention given to the notion of genre and its application in language teaching and learning” (Hyland, 2004: 303). A genre has been defined by Swales and Feak (2009) as “a type of text or discourse designed to achieve a set of communicative purposes” (p. 1).

Scholars usually try three different approaches to genres: New Rhetoric approach, the ESP (English as Specific Purpose) approach, and Systemic Functional Linguistics (Hyland, 2003). In the New Rhetoric approach, Halliday (1994) develops classroom perspectives on the genre based the theory of systemic functional linguistics. He focuses on social actions rather than form itself, which is a different feature from systemic functional approach. He also argues that genres are resources for getting things done, and people all have a repertoire of appropriate responses. The New Rhetoric school puts less emphasis on the form of discourse and more emphasis on the action which is used to accomplish its purposes, seeking to establish the connections between genres and repeated situations and to identify the way genre is seen as recurrent rhetorical actions (Hyland, 2002). The ESP scholars define genre as a class of communicative events such as a university lecture, or an academic essay (Paltridge, 2001). They also add that the events are linked by shared purposes recognized by the members of a particular community and that the purposes are the rationale of the genre. This point of view is based on Swales' work (1990) on the discourse structures and linguistic features of scientific reports.

In Systemic Functional Linguistics, a genre is more often defined as a kind of text with related form, function and context, such as a description, procedure, or exposition (Paltridge, 2001). In the view of Systemic Functional Linguistics, a genre involves the interactions of participants using language in a conventional, step-wise structure (Hyland, 2002). Thus, there are different views on how to define and identify a genre. Some hold that a genre can be identified by the examination of textual structures alone, and others present the view that genre identification requires a more complex perspective on the notion of genre. The broadest of these views takes the position that several aspects contribute to the identification of a communicative event as an instance of a particular genre and that this cannot necessarily be done with reference to text structure alone (Paltridge, 2001).
Swales (1990) states that a genre comprises a class of communicative events, the members of which share some set of communicative purposes. These purposes are recognized by the expert members of the parent discourse community and thereby constitute the rationale for the genre. This rationale shapes the schematic structure of the discourse and influences and constrains choice of content and style. Bhatia (1993) asserts that a genre is a recognizable communicative event characterized by a set of communicative purpose(s) identified and mutually understood by the members of the professional or academic community in which it regularly occurs. Most often it is highly structured and conventionalized with constraints on allowable contributions in terms of their intent, positioning, form, and functional value. He focuses on discourse within the academic community and on the genre characteristics, conventions and constraints that are recognized and understood by its professional members.

2.2. Move and Move Analysis

According to Samraj (2005), most of the studies in genre analysis have focused on single genres and not on the relation among them. On the other hand, each ‘macro genre’ can be divided to some sub-genres comprising a genre set. In other words, in the context of research articles, which can be viewed as a macro-genre, there are some sub-genres like abstract, introduction, literature review, method, conclusion, etc. parts that are observable in most internationally acclaimed research articles. Accordingly, each sub-genre is believed to be made of some functional moves revealing the purpose behind the linguistic expressions written in that part. Richard and Schmidt (2002) define move as “a unit of discourse which may be smaller than an utterance” (p. 344). Therefore, they are functional unites that are realized through the text.

Move analysis has also been employed in Contrastive Rhetoric (CR), studying cultural variation in discourse structure. Kaplan stated, “the cultural background of the author might lead to variation of the rhetorical structures of texts, and that such variation should be considered in ESL teaching programs” (as cited in Li, 2011: 2). Considering the variations of RA structures among languages, researchers who wish to succeed through publication in the international community will need to acquire awareness of cross-linguistic differences in text structures. With the growing internationalization of the academic community, more and more non-native speakers (NNS) of English want to develop awareness and mastery over the writing conventions of the Anglo-American academic community in order to acquire international recognition. Due to this fact, in the majority of cross-linguistic analyses of the RA structure, English RAs have always been compared with RAs in other languages. Researchers who study the rhetorical patterns of ‘RA’ abstracts often use move as the basic unit when conducting analysis. The analysis by move is also called that of information structure. Santos (1996) gave a clear definition of move after Swales (1990) that “As genres are purposed, staged activities, the move was chosen as the unit of analysis. A move is to be considered as a genre stage which has a particular, minor communicative purpose to fulfill, which in turn serves the major communicative purpose of the genre” (p. 485).

2.3. Previous Studies

In addition to move analysis, other features of abstracts in RAs in several disciplines, including both hard and soft fields, have been examined. Some analyzed rhetorical structures of abstracts: for example, Lau (2004) conducted a study using the corpus in the discipline of life science; Santos (1996) conducted analysis using a corpus in applied linguistics. Others investigated verb-tense and modality used in three types of English medical journal abstracts. Still others analyzed the rhetorical organization and thematic structures of journal articles abstracts in linguistics. Lau (2004) compared RA abstracts written by 50 Taiwanese Ph.D. students and those written by 30 foreign scholars in academic published journal papers of life science in an attempt to show factors and beliefs that might affect structural patterns of academic abstracts. He used the abstract structural patterns proposed by Hyland (2000)—Introduction, Purpose, Method, Product, and Conclusion for
the analysis of his corpora, substituting Result for Product used by Swales. After manual coding and analysis of the 80 abstracts, results show that abstracts written by foreign scholars contain the assumed five moves, with the exception of Method. Student abstracts do not contain all the five moves, and the percentage of those with a five comprehensive move structure is relatively low compared with those of foreign scholars. Three representative types in student abstracts were found: (a) BPuRC (B stands for background), (b) BRC, and (c) RC. Lau gave three reasons for the findings of student abstracts: academic immaturity, linguistic inadequacy, or word limit set for abstracts. He suggests the need to familiarize our graduate students with various structural patterns. As for pedagogical implications, the five-move structural patterns and the problematization process (Situation, Problem, Response, and Evaluation) can be useful in the teaching of academic English.

Santos (1996) examined the moves structures of applied linguistics. He took a close look at the features that constitute 94 published RA abstracts at the macro-level of textual organization and content as well as at the micro-level of textual analysis taken from journals in the field of applied linguistics. Santos then raised a number of issues based on the results of his study. First, there is an apparent mismatch between recommendations in the technical writing textbooks and the way writers compose their articles. Second, the proposed schematic pattern he used can be used as a pedagogic tool. Lastly, Santos expressed the concern of the genre-specific conventions governing abstracts. Specifically, three major genre-specific features are: the size of textual space allocated for each move (move balance), the blending of moves into the same statement (move embedding), and the reversed sequence of moves (move reversal), might vary in different disciplines (p. 497).

Similarly, Salager-Meyer (1992) conducted text-type and move analyses of verb tense and modality distributions in English medical article abstracts. He aimed to find out how finite verb tenses and modals were distributed across the different moves in abstracts of Medical English (ME) scholarly papers and across different ME text types of all papers in his analysis. 84 abstracts of ME scholarly papers were collected for analysis. Salager-Meyer concluded that a close relationship between the rhetorical function of each abstract move and the use of verb tenses and modality has. Further, the communicative function of each ME text type also determines the use of verb tenses in research papers. Lastly, it reaffirms the relationship between suggestive discourse and the use of modality (or hedging), which reflects a limitation of claims and helps writers move their findings away from the fact-like status. As for teaching implications, Salager-Meyer (1992) suggested that when teaching verb tenses to scientists for reading or writing purposes, it is crucial to point out their communicative purpose in the different rhetorical divisions of ME abstracts and in the different ME text types. Lores (2004) analyzed the rhetorical organization and thematic structure of 36 research article abstracts in applied linguistics. It was found that the rhetorical organization analysis showed that the indicative type of abstracts followed the CARS (Swales 1990) structure other than the traditional IMRD structure. Also, the finding in this study confirmed with previous ones that the two main types of thematic pattern (simple linear and constant) are often combined in RA abstracts.

Hyland (2004) in his study of the generic structure of dissertation acknowledgements mentions about the neglect of acknowledgement parts in such analyses. He identifies 3 macro moves, namely reflecting, thanking and announcing moves. In reflecting move, the author gives his introspective comment on the writer’s research experience; this macro move does not have any sub-move. On the other hand, ‘thanking’ move has 4 sub-moves, namely presenting participants, thanking for academic assistance, thanking for resources, and thanking for moral support. In the ‘presenting participants’ sub-move, the author introduces those to be thanked; in ‘thanking for academic assistance’ the authors thanks for intellectual support, ideas, analyses feedback and etc; in ‘thanking for resource’, the writer thanks for data access and clerical, technical and financial support; in the last sub-move, ‘thanking for moral support’, the author gives his gratitude for encouragement, friendship, sympathy and patience. The last macro move is ‘announcing’ move in which the writer accepts the responsibility of the study and states inspiration. This macro move in turn is divided into 2 sub-moves, namely ‘accepting responsibility’ and ‘dedicating the thesis’. In the former, the author gives
assertion of authorial responsibility for possible flaws and errors, and in the latter he gives a formally
dedicates the thesis to individual(s).

Ding (2007) in another study analyzed the moves in applications essays to medical and dental schools. He also mentions that contrary to the significant role of personal statements in graduate school application, little research has been done on its functional features and little instruction has been given about it in academic writing courses. He therefore conducted a multi-level discourse analysis on a corpus of 30 medical/dental school application letters, using both a ‘hand-tagged’ move analysis and a computerized analysis of lexical features of texts. He finally identified five recurrent moves, namely explaining the reason to pursue the proposed study, establishing credentials related to the fields of medicine/dentistry, discussing relevant life experience, stating future career goals, and describing personality.

Despite the bulk of research conducted into the analysis of research article genres and sub-genres rhetorical structure and moves, most of such researches are conducted with the focus on articles written in English, whether by natives or non-natives. This was the reason for the present study to address the inter-linguistic difference in terms of the moves in Persian and English languages. Investigating the contrasts and similarities in two languages’ articles, may help Iranian students to be familiar with the structure of the same-filed research articles in English as an international language. Hence, academic writing needs to be explicitly taught to those who want to participate in the academic circle. From the results of her lexical bundle study, Cortes (2004) points out that simple exposure to research articles in one’s field does not guarantee acquisition of the writing convention; thus helping students ‘notice’ and become aware of the different contexts and discourse functions in academic disciplines is an important task for teachers.

3. Procedure and the Corpus

Having surfed the net, the researchers shared the list of related research articles with an outside expert and the preliminary corpus (consisting of 13 RAs) was drawn from a range of articles refereed by the expert to be central in the intended discipline (theoretical linguistics). The corpus was restricted to a period of 5 years (2003-2008) to control for potential rapid changes within the discipline. The final corpus, 10 RAs (5 for each language), was selected based on the importance and reputation of the journals and the extent to which the journals were research-oriented. Moreover, to qualify for the final corpus, all the RAs had to report original research. Furthermore, due to the fact that different disciplines may have different conventions to write abstracts and introductions, and in order to present a more detailed analysis, the present study examined 10 theoretical linguistics articles’ abstracts and introductions from the dimension of move structure.

As Table 1 shows, the five English research articles were chosen from international journal of linguistics. To recap, assuming that the type of journal might have a bearing in text organization, and to make the analysis more reliable, only articles published in the international journal of linguistics were chosen and included in the study.

Table 1. Five English Research Articles Selected from International Journal of Linguistics

<table>
<thead>
<tr>
<th>No.</th>
<th>Articles</th>
</tr>
</thead>
</table>
Moreover, the five Persian research articles, two from Pazand Linguistic Journal, and three from Journal of Language and Linguistics, were chosen from two national journal articles (see Table 2).

Table 2. Five Persian Research Articles Selected from Pazand Linguistic Journal

<table>
<thead>
<tr>
<th>No.</th>
<th>Articles</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>میرعمادی، ع و مجیدی، س. (86). تحلیل معنایی واژگان مربوط به زبان فارسی. مجله زبان و زبانشناسی: سال سوم، شماره اول. مجله انجمن زبانشناسی ایران.</td>
</tr>
<tr>
<td>2</td>
<td>افکار گزینه، ف و گیلانیان، م. (86). روزنامه‌گزاری در تحلیل کلمات انتقادات. مجله زبان و زبانشناسی: سال سوم، شماره اول. مجله انجمن زبانشناسی ایران.</td>
</tr>
<tr>
<td>3</td>
<td>زعیتی، ر. و عزتی، س. (86). بررسی ساختار وظایف در گیلکی رودس. مجله زبان و زبانشناسی: سال سوم، شماره اول. مجله انجمن زبانشناسی ایران.</td>
</tr>
<tr>
<td>4</td>
<td>میرمحمدی، ا. و ماهینی، م. (87). شناخت زبان پیامدهای نافرجامی و شناخت مفهوم پیام در زبانشناسی شناختی. فصلنامه پژوهش در زبانشناسی: شماره 87، سال 1363.</td>
</tr>
<tr>
<td>5</td>
<td>فلاحی، ا. و موسی، ش. (87). بررسی راه‌هایی برای افزایش اعتبار و کمیتههای تصویری در اصطلاحات حاوی اعضاً دنبال. فصلنامه پژوهش در زبانشناسی: شماره 87، سال 1363.</td>
</tr>
</tbody>
</table>

In order to probe the difference between Persian and English article journals of theoretical linguistics in terms of the functional moves, the abstract and introduction parts of the five intended articles in each language were compared based on Hyland’s (2000) Information-Purpose-Methods-Products-Conclusion (IPuMPrC) model and Swales’ (1990) the Create-A-Research-Space model (CARS) for each part, respectively (Tables 3 and 4).

Table 3. The Number of Moves in Abstracts

<table>
<thead>
<tr>
<th>Articles</th>
<th>Functional Moves</th>
<th>Number of Persian Articles Having This Move</th>
<th>Number of English Articles Having This Move</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Introduction: (Statement of the Knowledge)</td>
<td>1</td>
<td>4</td>
</tr>
<tr>
<td></td>
<td>(Statement of the Problem)</td>
<td>-</td>
<td>1</td>
</tr>
<tr>
<td></td>
<td>Purpose of the Study</td>
<td>5</td>
<td>5</td>
</tr>
<tr>
<td></td>
<td>Method</td>
<td>3</td>
<td>2</td>
</tr>
<tr>
<td></td>
<td>Results</td>
<td>4</td>
<td>5</td>
</tr>
<tr>
<td></td>
<td>Conclusions</td>
<td>1</td>
<td>4</td>
</tr>
</tbody>
</table>
Table 4. The Number of Moves in Introductions

<table>
<thead>
<tr>
<th>Article Journals Functional Moves</th>
<th>Number of Persian Articles Having This Move</th>
<th>Number of English Articles Having This Move</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Establishing a Territory</td>
<td></td>
<td></td>
</tr>
<tr>
<td>A: Claiming Centrality:</td>
<td>-</td>
<td>1</td>
</tr>
<tr>
<td>B: Making Topic Generalization:</td>
<td>3</td>
<td>4</td>
</tr>
<tr>
<td>C: Reviewing Previous Research:</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>2. Establishing a Niche</td>
<td></td>
<td></td>
</tr>
<tr>
<td>A: Counter Claiming:</td>
<td>-</td>
<td>3</td>
</tr>
<tr>
<td>B: Indicating a Gap:</td>
<td>-</td>
<td>2</td>
</tr>
<tr>
<td>C: Question Raising:</td>
<td>1</td>
<td>-</td>
</tr>
<tr>
<td>D: Continuing a Tradition:</td>
<td>1</td>
<td>-</td>
</tr>
<tr>
<td>3. Occupying a Niche</td>
<td></td>
<td></td>
</tr>
<tr>
<td>A: Outlining Purposes:</td>
<td>3</td>
<td>4*</td>
</tr>
<tr>
<td>B: Announcing Present Research:</td>
<td>-</td>
<td>4*</td>
</tr>
<tr>
<td>C: Announcing Principal Findings:</td>
<td>2</td>
<td>5*</td>
</tr>
<tr>
<td>D: Indicating R Structure:</td>
<td>2</td>
<td>4*</td>
</tr>
</tbody>
</table>

*Each introduction has three or all four sub-moves in the ‘Occupying the Niche’ move. This case was not observed in Persian articles.

4. Results

Results of the present study revealed that there are noticeable differences in the frequency of moves in Persian and English articles’ Abstract and Introduction parts. The ‘purpose of the study’ move in Persian articles was found present in all 5 research articles, then ‘results’ move was found prominent in frequency with 4 articles having it. ‘Introduction’ move was only observed in one Persian article. Regarding English articles, the 3 moves of ‘Introduction, Purpose, and Results’ were used in all articles. 4 English articles out of five also had the ‘conclusion’ move. To sum up, the results showed the significance of the ‘purpose of the study’ move in both Persian and English articles. The ‘results’ section was also prominent in both Persian and English abstracts. But ‘conclusion’ move was found prominent only in English but not in Persian (only one out five articles had this move in Persian).

Dealing with introduction part, significant difference was observed. 3 Persian articles’ introductions met the ‘establishing a territory’ move, 2 met ‘establishing a niche move’, and 5 met ‘occupying the niche’ move. But it was found interesting that all English articles met all these three ‘macro moves’ and variations were only observable in the ‘sub-moves’ as shown in Table 4.

Another finding was that most of the English introductions included most of the sub-moves of the ‘occupying the niche’, but each Persian introductions met only one of these sub-moves. Therefore, the results of the comparison and contrast showed that those articles written in Persian and those counterparts written in English are significantly different in terms of the functional moves in their abstract and introduction parts.

5. Conclusions

The findings of the current study revealed that although moves are functional units which show the purpose
of linguistic expression used in academic settings, there might be some linguistic-cultural differences between the uses of the moves in research articles. It is safe to assume that the English research articles conform mostly to the moves identified by the experts due to the fact that their studies solely have focused on genres and sub-genres in English language. But other languages, like Persian here, might incorporate (to some degrees) different generic structures. As the current study showed, Persian articles, while having the overall structure like English articles, contrary to English articles make use of more ‘general’ macro moves and less specific detailed sub-moves. This genre-based study offers, to linguistic researchers as well as EFL/ESP teachers, insights which can be used in instruction. Foreign language teaching can benefit from it, mainly because it is an authentic sample of language in use. However, one important point has to be made in order to avoid an over-use or misuse of it. Genre approach is a useful tool if one is looking for a holistic teaching methodology but it has to be understood as a clarificatory description rather than prescription (Swales, 1990; Bhatia, 1993). The findings of this research can be applied in English for Academic Purposes courses for non-native English-speaking researchers or graduate students to contribute to the development of learners’ awareness of the structures and grammatical forms that typify the discoursal patterns of the RAs. Learners in such courses may profit from a pedagogical approach that raises their awareness about the structures that exhibit syntactic-semantic distance. This can be achieved through activities that require, within a discoursal framework, discriminating and judgment through alternative evidence provided on the basis of appropriacy. Thus congruent and incongruent structures can be observed or contrasted across the introductions of the RAs or contrasted with other scientific genres, allowing the learner to judge on the basis of appropriacy rather than on the basis of grammaticality.

References


An Assessment of Seasonal Variation of Waste Generation and Management in Cross River State, Nigeria

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Abstract: The level of waste generation and management in Ugep and Ikom urban are of great concern to many scholars in environmental management. This paper attempt to assess the seasonal variation of waste generation and management in the two urban centre in Cross River State. One hundred and five copies of questionnaire were randomly distributed in each of urban centre to the residents in three major streets in the area. Information such as flash points, dump sites, types of waste and the frequency of waste disposal were captured in the questionnaire. Findings shows that there was no significant different in the seasonal variation of urban waste generation and management in the two areas under investigation which was evidenced in the tested hypothesis with high calculated value greater than the critical value of 1.56 at 0.05 level of significance. The fisher ISD test was further used to buttress the above assertion and the result indicate that family size influence the amount of waste generation in the two areas. However, the sustainability of the environment in these two areas depends on the various stakeholders in area

Key words: Urban environment, stakeholders, flash points, waste disposal.

1. Introduction

In many countries of the developing world, solid wastes management has constituted a serious problem because of the low level of technology that is not sophisticated enough to handle the high rate of wastes generation (Baum, 1973). The rapid rate of urbanization and population growth in a large extend has contributed to the rate of waste generation especially in urban areas. Human population and rural-urban migration has increase through urbanization, natural increase rate and industrialization, yet the service rendered is not sizeable enough to control the high level of solid waste generated in urban areas and these has contributed to a large extent, the nuisance and the damaging effect of the urban environment (Sule, 2004). The rapid growth of the urban areas, according to David M. (1985), has resulted in increasing number of industrial establishments, and inhabitants. Increasing quantity of goods produced, increase in total income with corresponding increase in level of consumption led to substantial increase in the amount of solid wastes generated. Today, the rate at which waste is being generated is about 70% as compared to the total rate of its disposal which is 30% (Edu, 2003). No doubt Edu (2003) argued that waste could be anything which may not be directly useful or needed by man. In Nigeria, the dehumanizing effects of these circumstances in our urban lives and bighted environments has often been cited and noted as contributing causes of Nigerian
urban decay (Asuquo, 1979). Ugep and Ikom urban are not left out in this scenario despite the huge revenue allocated to waste disposal and management by the government, the rate of waste generation and management constitute a serious problem in area. (Ekpoh, 2003). Beside, areas are crowded with biodegradable and non-biodegradable waste which one cannot ascertain how they are disposed and managed hence it posed great threat to the urban environmental quality in the area. It is also surprise that the residents in these areas are ignorance of the problems associated with indiscriminate waste disposal, even when the dump sites are provided, the waste are litter around the environment. In this vein, one may ask why the residents are unable to manage their waste in an unacceptable manner, what is then responsible for the negative attitude of the people towards waste disposal and management in the area? Therefore, this paper seek to make a comparative analysis of waste generation and management with specific reference to the types of waste, methods of waste disposal, frequency of waste disposal and waste evacuation in the areas.

2. Methodology

This study was conducted in Cross River State taking consideration two urban towns such as Ugep and Ikom. Three (3) streets each were used for this study of which sampled location were considered especially streets with flash points (i.e. where individual waste or domestic waste were empty before it is finally disposed. In Ugep the streets considered were Bikobiko, Usaja and Lekpako while in Ikom Ochedere, Prince Niko and Bacha streets were considered. The rationale for using these major streets was base on the fact that these streets witnesses a high population and socio-economic activities which gives rise to high level of waste generation in the area. Data such as frequency of waste disposed types of waste generation and evacuation methods were obtained from the questionnaire administered to the residents in each of the urban centre. A sample population of 210 was drawn from the two areas of which 105 questionnaires each were randomly administered to residents in the area. However, the data obtained were analyzed using the One-way ANOVA.

3. Factors Influencing Solid Waste Generation

Solid waste generation is a product is brought about by many factors like population growth, urbanization, increase in per capital income, improvement in living standard of people and even technological advancement. Stren and Whyte, (1989) noted, as a result of rapid population growth and the increasing density of people and houses in major urban centres, the volumes of waste generated have grown tremendously. Unfortunately, the capacity of the municipal governments to handle this and other urban challenges is not commensurate with the rate of urbanization and the growth in magnitude of the urban problems. Piles of uncollected wastes are common in many urban centres in Africa, making the urban environment unhealthy, unclean and unattractive to investment. The greater the size of urban centres, the greater the level of environmental pollution.

This is because the inhabitants of these cities generate wastes that accentuate the size and volume of pollution. As these cities grows with increase population, the land areas decreases leaving little or not space for efficient waste disposal sites. Sule (1991). Over the last five decades, population of towns and cities in Nigeria has been on the increase by 5 percent per year. In the last ten years alone, the urban population had grown by more than 350 million people, Sule (2001). Most of these people are being drawn to the cities by the prospect of finding a better standard of living, which when achieved will result in the increase in daily consumption of food and in the rate at which people purchase good and materials thus discarding the old ones and as a result increase in solid waste generation. In the context of technological advancement, Sule (2004) noted the rich societies of the developed countries are likely to be more concern about the unfavorable effects of solid waste produced based on technological advancement than those nations in the
developing countries where poverty and hunger are the order of the day. Solid waste management is the collection, transport, processing, recycling or disposal of waste materials. The term usually relates to materials produced by human activity, and is generally undertaken to reduce their effect on health, aesthetics, or amenity. Waste management is also carried out to reduce the materials effect on the environment, and to recover resources from them (Odum, 2007). Solid waste management practices differ for developed and developing countries, for urban and rural areas, and for residential and industrial producers. Management for non-hazardous residential and institutional waste in metropolitan areas is usually the responsibility of local government authorities, while management for non-hazardous commercial and industrial waste is usually the responsibility of the generator. Ekpoh (2003) argued that the solid management requires a more serious attention. This fact is true because, in Nigeria, inadequate attention about solid waste management has resulted in littering of waste everywhere. The nation, he added, need to pay more than usually attention about solid waste management. Well, in Nigeria, the Federal and State even the Local Government have set various solid waste management arrangements in many parts of the nation.

4. Findings

4.1 Types of waste generation

Types of waste generated in the area as shown in table I revealed that there was no significant variation in the types of waste generation in the two seasons as indicated with a maximum value of 54.28% and 50% which shows that majority of the waste generated in two seasons composed of garbage and vegetable waste while 14.75% of the waste were wood/glass and plastics. Table 1 shows that the sampled population in Ugep urban were of the opinion that garbage was the major waste generated in the area during wet season with a value of 34.28% which was on the high side compared to dry season with a value of 24.76%. This variation was wideness in Ikom urban with garbage having a low value of 17.14% during wet season compared to dry season with a high value of 27.61%. Accordingly, this situation was observed in the vegetable waste generated as presented in table 1.

<table>
<thead>
<tr>
<th>Variables</th>
<th>Types of waste generation</th>
<th>Percentage</th>
<th>Percentage</th>
<th>Percentage</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Ugep urban</td>
<td>Wet season</td>
<td>Ikom urban</td>
<td>Dry season</td>
<td>Wet season</td>
</tr>
<tr>
<td>Garbage</td>
<td>36</td>
<td>34.28</td>
<td>18</td>
<td>26</td>
<td>24.76</td>
</tr>
<tr>
<td>Vegetable</td>
<td>30</td>
<td>28.57</td>
<td>30</td>
<td>29</td>
<td>27.61</td>
</tr>
<tr>
<td>Paper/glass</td>
<td>19</td>
<td>18.09</td>
<td>16</td>
<td>17</td>
<td>16.19</td>
</tr>
<tr>
<td>Wood/bone</td>
<td>10</td>
<td>9.52</td>
<td>5</td>
<td>13</td>
<td>12.38</td>
</tr>
<tr>
<td>Cans</td>
<td>9</td>
<td>8.57</td>
<td>25</td>
<td>11</td>
<td>10.47</td>
</tr>
<tr>
<td>Plastics</td>
<td>5</td>
<td>4.76</td>
<td>11</td>
<td>9</td>
<td>8.57</td>
</tr>
<tr>
<td>Total</td>
<td>105</td>
<td>100</td>
<td>105</td>
<td>105</td>
<td>100</td>
</tr>
</tbody>
</table>

* Source: Field survey (2011)

However, the trend analysis of types of waste generation in the area presented in figure 1 shows a seasonal variation in the types of waste generated in the two areas which ranged from garbage, vegetables, paper/glass, wood/bone, cans and plastic waste.
4.2 Methods of waste disposal in the area

Table 2 which represent the methods of waste disposal shows that there is no significant variation in the methods of waste disposal in the dry season with a percentage maximum of 36.19% which indicate that waste were basically disposed in open pits and gutters. This result was also evidenced in wet season as 23.85% and 43.80% of waste generated were disposed in gutters with a variation in the methods of waste disposal as observed in a value of 45.75% compared to 41.90% which indicate that the residents in Ugep were used to disposing their waste in open pits and space during wet season which was contrary to 23.80% which shows that majority of the residents preferred dumping their waste in gutters during dry season. However, this was also obtained in dry season with 37.14% and 39.04% of the resident having the opinion that gutters and open pits constitute the major methods of waste disposal even though other methods such as backyard, cans and roadsides exist.

Table 2: Methods of waste disposal in the area

<table>
<thead>
<tr>
<th>Variables</th>
<th>Wet season</th>
<th>Dry season</th>
<th>Percentage maximum Wet season</th>
<th>Percentage maximum Dry season</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Ugep urban</td>
<td>Percentage</td>
<td>Ugep urban</td>
<td>Percentage</td>
</tr>
<tr>
<td>Waste cans</td>
<td>13</td>
<td>12.38</td>
<td>2</td>
<td>1.90</td>
</tr>
<tr>
<td>Backyards</td>
<td>18</td>
<td>12.00</td>
<td>5</td>
<td>3.80</td>
</tr>
<tr>
<td>Gutters</td>
<td>23</td>
<td>21.90</td>
<td>41</td>
<td>39.04</td>
</tr>
<tr>
<td>Pits, open space 48</td>
<td>48</td>
<td>45.75</td>
<td>39</td>
<td>37.14</td>
</tr>
<tr>
<td>Roadsides</td>
<td>3</td>
<td>2.85</td>
<td>19</td>
<td>18.09</td>
</tr>
<tr>
<td>Total</td>
<td>105</td>
<td>100</td>
<td>105</td>
<td>100</td>
</tr>
</tbody>
</table>

Source: Field survey (2011)
4.3 Number of flash points

The number of flash points presented in figure 2 indicate the number of flash points located in both areas which varies from one another. This was observed in 55.15% flash points located in the streets in Ikom which was on the high side compared to 51.71% of the flash points in Ugep urban. Figure 2 shows that number of flash points in Prince Niko streets were high with a value of 24.13 compared to Bikobiko streets were high with a value of 24.13 compared to Bikobiko streets with a value of 20.68%. However, it was observed that Lekpakom and Ugep urban and Ndoma Egba street in Ikom recorded a low number of flash points with values of 13.79% and 10.34% respectively which shows that waste generation and management is very poor in these locations.

Figure 2: Number of flash points in the areas

Source: Field survey (2011)

4.4 Frequency of waste generation

The frequency of waste generated presented in figure 3 indicate that 50.47% and 56.19% of the sampled population in both areas are of the opinion that waste were disposed on daily bases in both wet and dry season as also evidenced in wet season with maximum value of 48.57%. It was observed in figure 3 that majority of the sampled population are of the opinion that waste are evacuated and disposed after 3 days in both Ugep and Ikom urban with values of 49.52% and 55.23% respectively. However, a critical assessment shows that a maximum of 48.57% and 35.25% of the entire population sampled are of the opinion that waste were mostly disposed daily or after 3 days during wet season which was on the high side compared to dry season with values of 26.19% and 52.3% respectively.
5. Result analysis

Result on the analysis of the influence of family size on the rate of waste generation as shown in table 3 indicate a high calculated of 6.42 which was greater than 4.07 critical f-value at 0.05 level of significance. This result shows that family size has a significant influence on waste generation as shown in table 3. The fishers' least significance difference (LSD) post hoc test was used to assess if or not the class of family size greatly influences the amount of waste generation in the study area as presented in table 4. The LSD post hoc test shows that the significant t-values was observed between groups ‘1' and 2, 3, 4, 1 and 5, 2 and 3, 2 and 4; and between groups ‘2' and e and also significant difference between groups 1 and 2, 3 and d and between group 3 and 4. The interpretation of this result shows that there was a significant difference in the rate of waste generation between the group the t-values are significant below the diagonal as presented in the fisher’s LSD test l. In each of the group, the calculated t-values was greater than the critical t-value of 1.56 at 0.05 level of significance.

Table 3: Fishers' LSD of the influence of family size on the rate of waste generation

<table>
<thead>
<tr>
<th>Group</th>
<th>Family size</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>1-2 2-3 3-4 4-5</td>
</tr>
<tr>
<td></td>
<td>(n=1-31) (n=2-26) (n=3-50) (n=4-45) (n=5-17)</td>
</tr>
<tr>
<td>1-2</td>
<td>42.03 -0.10 -6.33 -3.78 -3.20</td>
</tr>
<tr>
<td>3-4</td>
<td>-0.17 41.20 -6.04 -3.35 -3.17</td>
</tr>
<tr>
<td>5-7</td>
<td>-6.33* -7.54* 43.30 0.56 0.74</td>
</tr>
<tr>
<td>8-10</td>
<td>-5.44* -6.73* 1.02 42.64 0.19</td>
</tr>
<tr>
<td>11 and above</td>
<td>-3.47* -44.0* 0.65 0.19 43.39</td>
</tr>
<tr>
<td></td>
<td>Msw = 7.94</td>
</tr>
</tbody>
</table>

Source: Data analysis (2011)
6. Recommendations

It was observed from the findings that accept waste generation and management is revolutionaries in the areas under investigation, the problems of waste generation and management would continue to persist. Therefore, the following are recommended if the problems of waste must be averted in the areas.

- Effective campaign should be carried out for residents to see the necessity of consciousness with regards waste disposal and management.
- Government should re-introduced the monthly sanitation in order to make the people more conscious of the purity of their surroundings.
- Government should provide adequate funds for proper execution of environmental programs. This would help secure new modern waste management technology that could help correct the negative attitude of citizens towards waste disposal and management.
- Open dump sites should be declared out of bound as they are always in a state of abuse by the people.

7. Conclusion

Today, waste generation has generated great concern to many scholars in environmental studies due to its impact on the human health and sanity. The study shows that both residents in Ugep and Ikom were not conscious of the implication of poor waste management which has resulted to the poor nature of the human ecosystem in the two cities. However, since environmental enlightenment changes the people's attitudes towards waste management, there is need for urgent enlightenment programs that would help educate the people on waste management and control in the area.

References

Accessible Package of Services in Health Insurance Reform in Albania

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Abstract: This article presents a summary of the current status, of health Albanian system. The developing health care system of undergraduate, postgraduate and continuous medical education in Albania and suggests opportunities for development and partnerships that would help the country's medical education reform. The impact of these changes and developing health care sector may be reduced by two modifications in undergraduate medical programs. First identifying, training practice discrepancies, with a view of correcting them. Computerization of all pharmacies started for the first time in 2007. Partnership with health institutions and namely with pharmacies was also strengthened. The intention of this corporation was to insure hardware equipment to support the software produced by HII. Since their system was designed in such a way that it served not only to HII, but also to pharmacies in their everybody work, very soon pharmacists that previously didn’t want to procure equipment became our collaborators in improving the system. The HII received more than 17% of all health funds, with 8.5% coming from the state budget, 4.3% from employers and 4.4% from individual contributions. While the state remains the major source of health care financing, its contribution shrank from around 84% in 1990 to less than 60% in 1999 as other funding, especially out-of-pocket payments, increased.

Keywords: Health insurance, health care system, Bismark model, cost-effective and reference system, contribution payer, Government priorities, hospital indicators.

1. Introduction

Healthcare is funded by the state and private practice is limited to a small niche sector. The state system is supposed to be funded through insurance contributions from those employed and their employers, but poverty in Albania is rife and few can afford to pay. The net result is that many people fail to get much needed medicine and medical care to treat their ailments. The failure to collect a substantial amount of contributions means that healthcare system is strongly reliant on charitable aid for medical supplies and drugs. Albania is a small south-eastern European country still recovering from almost half a century of a fierce communist regime. While major reform and support have focused on healthcare and higher education (HE) in the past decade, there have not been major attempts to improve medical education. The time is now ready for medical education improvements created by increasing internal and external pressures as Albania aims to align its HE with the European Union standards and adapts the Bologna system.

Health care seeks to prevent, diagnose, and treat disease and to improve the physical and mental well-being of all Americans. Across the lifespan, health care helps people stay healthy, recover from illness, live
with chronic disease or disability, and cope with death and dying. Quality health care delivers these services in ways that are safe, timely, patient centered, efficient, and equitable. Unfortunately, Americans too often do not receive care that they need, or they receive care that causes harm. Care can be delivered too late or without full consideration of a patient’s preferences and values. Many times, our system of health care distributes services inefficiently and unevenly across populations. Some Americans receive worse care than other Americans. These disparities may be due to differences in access to care, provider biases, poor provider-patient communication, and poor health literacy. Each year since 2003, the Agency for Healthcare Research and Quality (AHRQ) has reported on progress and opportunities for improving health care quality and reducing health care disparities.

2. Literature Review and Hypotheses

Management functions require urgent attention, and Albania does not have any professional management consultants. Managerial performance is judged more by political commitment than by effectiveness. Most funding is determined centrally by comprehensive budgets that are allocated at the start of each financial year. District administrators and health care managers have little flexibility and limited technical capacity to manage effectively. There is also an urgent need to establish management information systems, which would provide useful and accurate program and budgeting information.[7][8][9] Other stakeholder groups, such as professional associations, unions and consumer groups, play little role in planning or regulation. Health service providers are still not accountable to their patients, despite the policy objective of the Ministry of Health to “put the patient at the centre of the system”.

2.1 Decentralization of the health care system.

The health care system in Albania remains highly centralized and hierarchical, despite some decentralization. Some administrative responsibility (but no political or policy responsibility) has devolved to the 36 districts, though they remain accountable to the Ministry of Health. Responsibility for running and maintaining rural PHC facilities has largely devolved to the local governments. Rural PHC doctors primarily use these facilities but receive their salaries, based on capitation fees, from the Health Care System in Albania.

2.1.1 Which are the categories that benefit from health insurance scheme? Source: ISKSH Albania, year 2009, Focus Journal

All citizens of the Republic of Albania benefit from health insurance schemes, whether contributory or vulnerable categories, since the state contributes for the later. The state specifically contributes for these categories just like children, pupils, and full-time students; retirees, the disabled people (mental and physical), the unemployed, people receiving economic and social assistance; mothers on maternity leave; citizens who perform military service.

2.2 Which are the benefits from the health insurances?

The entire population benefits health services: free of charge through health insurances; free of charge service by the family doctor; specialist doctors; free of charge health services at home, from polyclinics and hospital; free of charge laboratory and radiological examinations; unique tertiary examinations with a 90% reimbursement by the HII and 10% with the patient co-payment; free of charge drugs from the reimbursed drugs list for children 0-12 months, invalids, pensioners, blind and orphans; free of charge drugs for veterans with chronic disease and war invalids; patients with tumors, kidney transplantation, multiple sclerosis and major CA.
H 1. Two competing models: 1. (Bismark and Beverage), 2. (Mogediss and Creblenn) was based on insurances health care system in Albania. Is the actual model the best one for Albania and why?

The recently formed HII is a new health sector entity. Eventually, the institute is intended to assume a larger health-funding role. Though the decentralization initiatives noted here are now being implemented, no decision has been made about the extent or form of future decentralization. The Ministry of Health apparently intends to test different models before proceeding with a larger decentralization program at the national level. In addition, other central bodies (such as the Ministry of Finance, Ministry of Local Governments, Ministry of Justice, etc.) are also involved in Albanian development health care programs, legal programs, health funds for management.

H 2. The important problem facing the government after the transition to multiparty democracy in 1992 was finding the financial resources to maintain essential health services, given the very small government budget. What changes are introduced in the health insurance scheme in recent years?

Management functions require urgent attention, and Albania does not have any professional management consultants. Managerial performance is judged more by political commitment than by effectiveness. Most funding is determined centrally by comprehensive budgets that are allocated at the start of each financial year. District administrators and health care managers have little flexibility and limited technical capacity to manage effectively. The e-taxes reform is progressing and as of January 2008, income tax was reduced from 20% to 10%, one of the lowest in the region. In addition, as of May 2009, the social insurance contribution payable by employers will be reduced again from 20% to 15%, down from 29% in 2006. 300 thousand people have a family doctor, Businesses can file their tax returns and social insurance declarations electronically in 12 cities including Tirana and electronic payment of taxes is also possible through certain banks. [Source: Health care Albanian Reform, year 2009]

![Tab1](image)

**Tab1.** Health care financing (level 1), state budget (level 2), individual contribution (level 3)

Businesses claim that neither VAT nor income tax refunds are reimbursed in a timely fashion. Management-Financing levels for Albanian health care remain very low and, for the last decade, the sector emphasis has been on how to do more with less. There is little information on the scale of funding before 1990. In
Communist ideology, health care was considered a nonproductive sector and thus a low priority. In 1987, health expenditure in Albania was estimated to be 3.0% of GDP, compared to a CEE average of 2.8% and an EU average of 7.3% (26). Albanian health services are funded through a mix of taxation and statutory insurance. [Source: MOH government report 1992-1999]

3. Albanian health service and statutory insurance

3.1 Albanian public health financing

The latest project of HII has to do with the way of calculating the hospitals costs. This system currently operates in each cost center of about 40 hospitals. The basis of information is the patient clinical card and other hospital financial forms. So we can determine: the number of hospitals inpatients and the cost for each patient, service, diagnoses etc. So, while in previous times, the information was insufficient and incorrect because it was mainly based on registers and manual work, currently due to the implementation of various IT projects, quicker and effective analyses were made valid and qualitative information for decision making was insured. Implementation of IT project has followed some directions as:
1. Systems that enable registration of electronic information at the “source of its creation”, largely including the service providers.
2. A good coordination of donor resources, the World Bank funds, funds of contractors and HII.
3. Systems “in due time” providing solutions for specific management objectives of HII and, very frequently different, fast and parallel implementation phases.
4. Frequent support of the staff for software designing and building.
5. Computerization of the actors.
6. Systems that base their implementation in the respective contract with health institutions.

<table>
<thead>
<tr>
<th>Diagnoses</th>
<th>No. of patients</th>
<th>No. of prescriptions</th>
<th>Reimbursement(in Leke)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Essential Hypertension</td>
<td>182,317</td>
<td>786,659</td>
<td>762,024,922</td>
</tr>
<tr>
<td>Diabets – mellitus</td>
<td>47,697</td>
<td>215,581</td>
<td>441,484,544</td>
</tr>
<tr>
<td>Thalasemia- Major</td>
<td>283</td>
<td>1,257</td>
<td>294,616,695</td>
</tr>
<tr>
<td>Kidney chronic Insufficiency</td>
<td>2,213</td>
<td>9,225</td>
<td>269,883,549</td>
</tr>
<tr>
<td>Bronchial Asthma</td>
<td>18,718</td>
<td>70,131</td>
<td>251,777,024</td>
</tr>
<tr>
<td>Cardiac Insufficiency</td>
<td>22,729</td>
<td>93,210</td>
<td>162,277,454</td>
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<tr>
<td>Myeloid Leukemia</td>
<td>222</td>
<td>570</td>
<td>152,462,381</td>
</tr>
<tr>
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<td>9,324</td>
<td>39,358</td>
<td>152,398,327</td>
</tr>
<tr>
<td>Epilepsy</td>
<td>9,333</td>
<td>41,014</td>
<td>124,582,444</td>
</tr>
<tr>
<td>Female breast maline tumor</td>
<td>2,613</td>
<td>12,328</td>
<td>121,138,471</td>
</tr>
<tr>
<td>Glaucoma</td>
<td>10,136</td>
<td>44,632</td>
<td>119,752,950</td>
</tr>
<tr>
<td>Heart disease from hypertension</td>
<td>23,969</td>
<td>82,071</td>
<td>110,155,916</td>
</tr>
<tr>
<td>Multiple sclerosis</td>
<td>209</td>
<td>753</td>
<td>71,281,329</td>
</tr>
<tr>
<td>Prostate Hipoplasia</td>
<td>11,812</td>
<td>49,360</td>
<td>54,972,051</td>
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<tr>
<td>Parkinson syndrome</td>
<td>4,687</td>
<td>20,339</td>
<td>53,396,761</td>
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<td>Hypophysal gland disturbances</td>
<td>318</td>
<td>1,148</td>
<td>44,724,597</td>
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<tr>
<td>Arteriosclerosis</td>
<td>12,854</td>
<td>42,536</td>
<td>43,247,910</td>
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<tr>
<td>Prostate maline tumor</td>
<td>556</td>
<td>2,195</td>
<td>41,451,208</td>
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<tr>
<td>Post renal transplant condition</td>
<td>139</td>
<td>608</td>
<td>41,311,840</td>
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<tr>
<td>Heart rhythm disorders</td>
<td>16,554</td>
<td>65,991</td>
<td>36,844,910</td>
</tr>
</tbody>
</table>

Tab2. The data for diagnose, reimbursement funds in Albania, ISKSH publishing data, year 2011
Source: ISKSH Albania
3.2 Treatment cost and hospital examination of patients with dominant polycystic kidney disease.

Chronic kidney disease (CKD) is a global problem for the patients, their families and society worldwide. Today treatment of these diseases occupies about 80% of health spending in the world. The Medicare cost for the terminal stage of CKD has increased from $12.2 in 2000 to 20.8 billion in 2007. These numerals require a review of cost-effectiveness of prevention and treatment of CKD. The main clinical manifestations are lumbar pain, hematuria, calculus, urinary tract infections (UTI), arterial hypertension (HTA) and chronic renal failure (CRF).

If we want to improve the health care system, we will analyze the example of USA. Health care helps people stay healthy, recover from illness, live with chronic disease or disability, and cope with dying. Quality health care delivers these services in a way that is safe, timely, patient centered, efficient, and equitable. Unfortunately, Americans too often do not receive care that they need or they receive care that causes harm. Care can be delivered too late or without full consideration of a patient's preferences and values. Many times, our system of health care distributes services inefficiently and unevenly across populations. Each year since 2003, the Agency for Healthcare Research and Quality (AHRQ), together with its partners in the Department of Health and Human Services (HHS), has reported on progress and opportunities for improving health care quality, as mandated by the U.S. Congress. The information amassed for the National Healthcare Quality Report (NHQR) since its inception is a growing knowledge base that addresses two critically important questions:

- What is the status of health care quality in the United States?
- How is the quality of the health care delivered to Americans changing over time? These questions we will use and in our study.

3.3 Material and Methods of Paper Research

In this retrospective study are included 51 patients with ADPKD admitted in Service of Nephrology, UHC “Mother Teresa” during the period January 2008 – July 2010. Is prepared a fold tip taken following data: age, gender, birthplace, the examinations made the cost for each examination in money (leke), treatment day and expenses for each medicament taken by patients. The diagnosis of ADKP was based on household data for the presence of ADKP and echographic criteria. The renal function alteration was considered then the creatininemia level was bigger than 1.5 mg/dl. For data analysis was used SPSS. For continuous data were calculated the average and standard deviation. For the comparison between the groups was used ANOVA. P ≤ 0.05 was considered significant.

Results of this paper research and conclusions

Democratic Albanian local governance is a prerequisite to the meaningful decentralization of infrastructure management. When people participate in defining visions for sustainable development for their communities, in formulating strategies for equitable access to services and resources and in setting priorities for action, they have endorsed. Participation also sharpens their awareness of the interrelations between economic, social and environmental issues.

This is a highly significant feature of infrastructure Albanian programs and carries important implications for local development. The health care is one more important field that Albanian Government has it’s priority. During the years 2009-2011 the health care system is developing with new and progress indicators.

Healthcare Reform is confusing to say the least. It would seem that the news coverage is focusing more on the political side rather than on the substance of medical care itself. We will try to focus on the main changes and highlight the main points of the healthcare reform and how it will affect us and Medicare as it
stands now. Changes recommended in these contracts, concern mainly strengthening of mutual accountability, the best ways to implement the current system of health services and their funding, with the ultimate goal of providing health services in primary health care, enabling a more complete access of the citizens to these services and creating financial sustainability of these services. Despite these successes in Albania health care system is, some tensions and challenges that were always there have become increasingly visible. Firstly, Albanian regions have tended to over-spend their allocated budgets, with Parliament and central Albanian government having virtually no control over such expenditure.

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A Study into Methodological Issues in Cross-Cultural Pragmatic Research

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Abstract: The methodological issues are one of the areas of pragmatics which have gained considerable attention recently. The foundation of basic instruments in speech act research can be placed in a two-polar continuum. At one end, there are the perception/comprehension methods and at the other end production methods are placed. Each level then has its own specific instruments. As for the perception/comprehension methods, instruments such as rating, multiple choice, and interview tasks can be utilized. In production methods, instruments such as discourse completion, closed role play, open role play, and observation of authentic discourse are placed (Kasper & Dahl, 1991). Furthermore, methods can be categorized according to an elicited/observational continuum. In the elicited end, methods such as rating, multiple choice, interview tasks, discourse completion, closed role play, and open role play are placed. In the observational end, observation of authentic discourse is used. This study is useful for those novice researchers who are interested in conducting pragmatic studies and may not be familiar which instrument they should use in particular situation.

Keywords: Pragmatics, Methodological Issues, Instrument, Speech Act Theory

1. Theoretical Background

In the past, on the basis of Grammar Translation Method (GTM), language was taught as a string of linguistic structures, grammatical rules, translation exercises and list of words to memorize (Richards & Rogers, 2001). Although grammatical and lexical meaning of a sentence is taken into consideration in GTM, it has not been accounted for the way in which language is used in daily communications. Later on, with the emergence of Communicative Language Teaching, however, learners were engaged in the pragmatic, authentic and functional use of language for meaningful purposes (Brown, 2007). Pragmatics rising to prominence occurred with the emphasis put on the meaning and communicative aspect of language.

Pragmatics does not have a clear-cut definition (Ellis, 2008), however, according to Verschueren (1999, p. 1), pragmatics is “the study of linguistic phenomenon from the point of view of their usage properties and processes.” Richards and Schmidt (2002) defined pragmatics as “the study of the use of language in communication, particularly the relationships between sentences and the contexts and situations in which they are used” (p. 412). Clearly, pragmatics is simply the study of language which is used in daily communication. It is usually seen in the pertinent literature that a learner’s full knowledge about the grammar of the target language does not guarantee that that person is pragmatically competent too (Bardovi-Harlig, 1996; Bardovi-Harlig & Dörnyei, 1998; Kasper & Rose, 1999). They can produce grammatically correct but pragmatically inappropriate utterances. Therefore, it is no exaggeration to say that pragmatic aspects of utterances are of paramount importance.

As mentioned by Verschueren (1999, p. 18), one of the subsets lies in pragmatic is speech act. The theory of speech acts describes how one can use language to do things (Fromkin, Rodman & Hymes, 2003). Typically, a speech act is usually defined as a functional unit which plays an important role in communication. Moreover, it was reported that linguistic elements could be interpreted on the basis of speech acts (Verschueren, 1999). In dealing with speech acts, one thing that deserves special attention is that there are different ways for individuals to express their intention, requests, and apologizing. To make it clearer, one should consider which type of speech act is appropriate for which situation. For instance, is the act of...
apologizing in a restaurant similar to a classroom? Austin (1962) introduced speech act theory which includes the three categories, namely:

- Locutionary act
- Illocutionary act
- Perlocutionary act

A significant dilemma in pragmatics which has been of considerable debate is the instrument used to elicit and gather data (Hinkel, 1997). How to collect appropriate data is a crucial issue in pragmatic research because the data collection instrument and the methodological issues will determine whether the data gathered are reliable or not. Practically speaking, most methodological discussions concern to what extent the instrument is accurate to represent authentic performance (Kasper & Dahl, 1991; Billmyer & Varghese, 2000).

2. Discussion on Methodological Issues

The role of instruments in pragmatic research is of crucial importance to conduct a suitable study. One of the areas of pragmatics which has been of considerable debate is the instrument used to elicit and gather data (Hinkel, 1997). There are different types of data, validating each of which requires large-scale research. The pioneer studies on speech act used various instrument unlike pragmatic research instruments utilized in current studies. To have a general picture of the nature of instrument used in pragmatics, the following continuum can be used:

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Perception/Comprehension                  Production
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Walters (1980) investigated the politeness phenomenon in request strategies based on card paired comparison. The participants were to decide on the relative politeness of ‘shut up’ and ‘please be quiet’ irrespective of the context. Carrell and Konneker (1981) investigated non-native speakers’ (NNS) perceptions of politeness in request strategies. They presented eight request strategies written on cards and the participants were asked to sort the strategies according to politeness. Among the strategies, native speakers (NS) referred to five and NNS mentioned seven request strategies as being polite. Tanaka and Kawade (1982) replicated the study conducted by Carrell and Konneker (1981) in which they analyzed politeness strategies based on social context. They prepared a questionnaire and asked the students to choose the politeness strategy that best represents the situation.

In another study, Olshtain and Blum-Kulka (1985) examined politeness in request and apology speech acts of NNS of Hebrew. They used a questionnaire of four request and four apology situations and these situations were accompanied by six different request and apology strategies. Participants were asked to decide which strategy is suitable for the situations described. Carrell (1979) used a questionnaire with twenty-seven short dialogues and a subsequent three multiple choice answers to investigate non-native comprehension of indirect answers. In the study done by Carrell (1981), the instrument was a multiple-choice questionnaire based on forty tape-recorded requests and the participants were asked to differentiate between positive and negative requests. The body of research which was described earlier, mostly tried to examine perception and comprehension. However, Kasper (1984) used the data based on conversational performance to investigate individuals’ pragmatic comprehension.
The concern of most methodological discussions is to what extent the instrument is capable to approximate authentic performance (Kasper & Dahl, 1991; Billmyer & Varghese, 2000). In the same vein, Manes and Wolfson (1981) argued that the most authentic information comes from sociolinguistic research which emphasizes ethnographic observation. However, Manes and Wolfson’s utopia was not appreciated by researchers and many criticisms were documented on the use of ethnographic observation (Blum-Kulka, House, & Kasper, 1989; Aston, 1995). Since observation did not satisfy the researchers, another instrument referred to as discourse completion test (DCT) was employed to analyze pragmatic knowledge. As it is cited in Kasper and Dahl (1991), “Discourse Completion Tasks have been a much used and a much beleaguered elicitation format in cross-cultural and interlanguage pragmatics.” Discourse completion tasks (or tests) are some prompts based on various situations in which individuals are required to write their reactions in each episode. Levenston and Blum (1978) were the first researchers who developed DCTs to study lexical simplification, and Blum-Kulka (1982) adapted it to investigate speech act. After these pioneering studies, a body of research accompanied the newly-developed DCT instrument for the realization of different speech acts (Blum-Kulka, 1982; Blum-Kulka & Olshtain, 1986; Faerch & Kasper, 1989; House & Kasper, 1987; Kasper, 1989; Olshtain & Weinbach, 1987).

However, the heydays of DCTs do not last for a long time. Some criticisms were leveled at DCTs too. Among the criticisms of DCTs, inability to gather authentic information and inconsistency with the state-of-the-art literature were more picturesque. As an attempt to improve the quality of DCTs, Billmyer and Varghese (2000) conducted a study on request speech act based on a modified DCT in which the improved situational prompts were given to native and non-native speakers of English. The modification included enhancing the situational prompts and more elaborated requests in native and non-native groups.

Hinkel (1997) tried to validate multiple choice and DCT instruments through a study done on Chinese speakers. In another similar study, Golato (2003) studied the differences among compliment response types with respect to two instruments. Golato used conversation analytic methodology and a discourse completion task to elicit data. After analyzing the data, Golato figured out that “these data collection procedures do not always yield data that speak equally well to given research questions” (p. 90). He further argued that naturally occurring talk is useful to reveal the organization of language but DCTs are beneficial to show prior experience with language. Johnston, Kasper, and Ross (1998) studied the effect of different types of rejoinders such as positive, negative, and absent on native and non-native informant choices of complaints, requests, and apologies. They advocated that there is a relationship between the type of rejoinder and the choice of strategies. Their study was mainly conducted to validate different data elicitation procedures—naturally occurring and production instruments.

Rose (1992) with emphasis on more cross-cultural studies on speech act, investigated two forms of DCTs based on the inclusion and exclusion of hearer response. Rose found out that “although responses on the non-hearer response (NoHR) DCT tended to be slightly longer and used slightly more supportive moves and downgraders, inclusion of hearer response did not have a significant effect on requests elicited” (p. 49).

Role play is another instrument used in pragmatic studies. Walters (1980) investigated children interlanguage speech act based on role play. He observed children while they were playing and interacting with puppets. He came to this realization that grammar and pragmatic knowledge are not related to each other; in other words, children were able to use the language with appropriate politeness but they were not able to produce grammatically sound sentences. Scarcella (1979) used videotaped open role plays to investigate developmental patterns of politeness. Kasper (1981) conducted a study on 48 dyads of German learners of English and recorded their role plays carried out on various speech acts such as requests, suggestions, offers, invitations, and complaints.

The findings of Kasper study show that the speech act pattern of participants were related to neither L1 nor L2. This means that the participants’ interlanguage were systematic and independent in performing speech act. However, the study is limited to two cultures. More studies are needed to investigate the interlanguage pragmatics. Tanaka (1988) was another author who employed role play in studying speech act.
Tanaka analyzed the request speech act of Japanese learners while they were interacting with friends or lecturers. The interactions were videotaped. The findings revealed that nonnative students used more direct strategies to perform requests. Trosborg’s (1987) study deals with Danish apology speech act with different proficiency levels while they were interacting with native speakers of English. Trosborg mentioned that politeness varies with respect to participants’ proficiency level.

Some studies have used observations to collect data on particular speech acts. Wolfson’s (1989) study which last about 2 years and examined compliment and compliment responses dealt with “ethnographic data collected through observation and recording of naturally occurring speech in everyday interactions in a wide variety of situations” (Wolfson, p. 227). In another study based on observation, Bardovi-Harlig and Hartford (1990) found that nonnative speakers offered fewer suggestions with respect to native speakers.

Hinkel points out that discourse completion tests (DCTs) have been largely used as a means of comparing native speakers and non-native speakers’ socio-pragmatic behaviors. She came to this realization that “DCTs may not be the best elicitation instrument for L1 and L2 data pertaining to ambiguous and situationally constrained pragmalinguistic acts” (p. 1). Hinkel further emphasized that:

The ideal data for speech act analysis would consist of a large number of carefully recorded observations of particular speech acts by representative subjects and control group subjects in similar natural situations when the subjects are unaware of the observation. (p. 2)

Huth and Taleghani-Nikazm (2006) came to this realization that the information obtained through conversation-analysis-based studies is strikingly different from the same data gathered through DCTs. They argued that when required to complete the DCTs, “native speakers overwhelmingly stated that they would accept compliments with ‘Danke’ which was in stark contrast to their actual interactional behaviour, where no ‘thank yous’ could be found at all” (p. 63). Rose (1992) studied the construction of DCTs in which two forms of a DCT were investigated. One form was gathered through hearer response and the other did not. The data gathered by the two forms were identical and the use of hearer response did not have significant effect on the elicited requests.

Billmyer and Varghese (2000) tried to find out the effect of systematic modification to the DCT for eliciting requests produced by native and non-native speakers of English. The findings of their study revealed the importance of external modification of production speech act.

Many other researchers tried to investigate speech acts based on a combination of different instruments some of which were mentioned before. For instance, many studies used combined production and metapragmatic assessment data (Einstein & Bodman, 1986; Fraser, Rintell, & Walters, 1980; Garcia, 1989; House, 1988; Olshtain & Cohen, 1983; Rintell, 1981; Takahashi & Dufon, 1989) while some employed different types of production data in their approach toward speech act investigation (Beebe & Cummings, 1985; Rintell & Mitchell, 1989). Hinkel (1997) investigated the responses of Chinese speakers to multiple choice questionnaires and discourse completion task (DCT). The results of the study showed that there is no difference between the DCT and naturally occurring data. Johnston, Kasper, and Ross (1998) conducted a study to validate the data collection of interlanguage pragmatics. The research emphasized the validation of production questionnaire (PQ) on non-native and native informants’ choices of complaints, requests, and apologies. The findings revealed that different PQ formats cannot be compared and further validation is needed.

Therefore, the foundation of basic instruments in speech act research can be placed in a two-polar continuum. At one end, there are the perception/comprehension methods and at the other end production methods are placed. As for the perception/comprehension methods, instruments such as rating, multiple choice, and interview tasks can be utilized. In production methods, instruments such as discourse
completion, closed role play, open role play, and observation of authentic discourse are placed (Kasper & Dahl, 1991). Furthermore, methods can be categorized according to an elicited/observational continuum. In the elicited end, methods such as rating, multiple choice, interview tasks, discourse completion, closed role play, and open role play are placed. In the observational end, observation of authentic discourse is used.

Bardovi-Harlig (1999) criticized that the nature of interlanguage is ignored in studies on interlanguage pragmatics. The main motive behind his research on interlanguage in interlanguage pragmatics was the study conducted by Kasper and Schmidt (1996) which stated that the main focus of interlanguage pragmatics is cross-cultural pragmatics. What Bardovi-Harlig tried to emphasize was the way individuals acquire pragmatics and mentioned that there is a great need for longitudinal research on acquisitional aspects of interlanguage pragmatics. His discontent of comparative nature of pragmatic studies and his interest in the idea of acquisitional pragmatics lay in the idea that “many articles from 1979 to 1996—with the exception of the explicitly acquisitional studies with cross-sectional and longitudinal designs—identify non-native speakers as ‘non-native speakers’ rather than learners, and they are described only by their first language” (p. 680). Maybe one of the concerns of Bardovi-Harlig is that scholars should pay attention to the procedure of gaining proficiency in pragmatics not just resorting to comparative studies. His concern is in line with the nature of second language acquisition studies in which the process of acquisition is of key importance.

Demeter (2007) stated that methodology and instrument used in gathering pragmatic knowledge of individuals are of key importance which can influence the outcome of the study. He further reveals that most of the studies conducted on pragmatics use “discourse completion tests, interviews, questionnaires, corpus linguistics, or natural interactions” (p. 83). Emphasizing the use of role plays in pragmatic studies, he compared two sets of results obtained through role play and a discourse completion test and came to this understanding that “although DCTs are more appropriate for studying the main types of strategies in speech act production, role-plays seem a better choice when the interaction between the speaker and hearer is also important for the study” (p. 88).

Grotjahn and Kasper (1991) investigated various methodologies used in second language acquisition in which speech act theory is also considered. Bonikowska (1988) brought a new perspective into the field of pragmatic study in that in this study the speaker’s decision not to perform a speech act is taken into consideration. Bonikowska came to this realization that it is not only the pragmatic choice that matters but opting out choice is important too.

In summary, some of the methodological issues regarding gathering results are mentioned below (Martinez-Flor, 2005; Martinez-Flor, 2006; Martinez-Flor & Fukuya, 2005; Martinez-Flor & Soler, 2004):

- **Hinkel (1997):**
  - DCTs may not be the best elicitation instrument for investigating pragmatic knowledge.
- **Bardovi-Harlig (1999):**
  - Lack of longitudinal research on pragmatics.
  - A need for more studies on acquisitional aspects of pragmatics.
  - Current studies on pragmatics have ignored the nature of interlanguage.
  - DCTs are not a good device to gauge interlanguage pragmatics of learners at all levels.
- **Golato (2003):**
  - Manifold advantages of DCTs.
  - The results obtained from DCTs are very different from naturalistically collected data.
  - In interactions, individuals use strategies different from what is obtained through DCTs.
- **Huth and Taleghani-Nikazm (2006):**
  - Conversation-analysis-based materials provide learners with socio-pragmatically appropriate verbal behavior.
  - The information obtained from DCTs is strikingly different from the same information gathered by conversation-analysis-based studies.
Demeter (2007):
- DCTs are appropriate for studying various strategies in speech acts and role-plays are good instruments to find out the nature of interactions between learner and speaker.
- Responses provided through DCTs are much longer than the ones provided by role-plays.

Therefore, it can be concluded that every social context may impose some limitations on the choice of words and sentences which is different across cultures. Another factor which renders the research on pragmatics cumbersome is the instrument itself. As it is mentioned by Kasper and Dahl (1991), the purpose of the study influences the choice of instruments. According to Kasper and Dahl (1991):
In pragmatics, we are dealing with a double layer of variability: (a) variability that reflects the social properties of the speech event, and the strategic, actional, and linguistic choices by which interlocutors attempt to reach their communicative goals; and (b) the variability induced by different instruments of data collection. (p. 215)

3. Conclusion

In this review article, it was tried to have an overview of various instruments in the realm of pragmatics. As it was discussed, each instrument has its own advantages as well as its flaws. To have a clear picture of current methodological issues and to provide novice researchers a general picture of what is going on in data elicitation and data gathering phase of pragmatic studies, which is one of the main concerns in pragmatic research, this review article is of great help. Most of the researchers who are going to conduct studies on pragmatics and speech act verbs are not familiar with different instruments in the field and they may have difficulties choosing a suitable instrument which best represent their purpose. The matter of validity is under question if the instrument fails to represent what the researcher tried to investigate. In this sense, we suggest that the researcher use different instruments and compare the results. Although this trend is time consuming and impractical, if conducted carefully, it can provide researchers with reassuring data since the utilization of various instruments will surely reduce the validity problems.

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A Study into Politeness Strategies and Politeness Markers in Advertisements as Persuasive Tools

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Abstract This study aimed to investigate the pragmatic function of politeness in a less-talked-about communicative act: advertising. Politeness theory being discussed by Leech (1983) and being analysed by the taxonomy of Brown and Levinson (1987), is known to be as one of the essential factors for a successful communication whose success is guaranteed by appropriate persuasive tools. The major focus of this study was to explore the politeness strategies adopted in English and Persian ads and finding their persuasive factors by comparing and contrasting them. To this end, a corpus of 100 Persian and English ads was collected. Their lines were first analysed to pinpoint the politeness strategy category and subcategory in both languages and then their frequencies were computed. Analysis of the results based on Brown and Levinson’s (1987) taxonomy of politeness functions indicated that English ads made more use of Positive politeness strategies while in Persian ads indirect Off-record strategies were more favoured. Exploring the findings according to Nisbett’s (2004) classification of Eastern and Western cultural system confirmed the collectivist in contrary to individualistic nature of culture in those countries respectively. Consequently, it was illustrated that the choices of psychological strategies made by advertisers to persuade customers were in line with their intended culture.

Keywords: advertisement, Persian, English, culture, politeness strategies

1. Introduction

Advertisement is some sort of a directive speech act (Searle, 1970) and an impositive one (Leech, 1983), whose aim is to persuade and encourage people to buy products. Advertisers generally employ different language techniques to achieve this aim, one of which can be using linguistic politeness strategies. These strategies are used to foster rapport and maintain social equilibrium (Fraser & Nolen, 1981).

People who encounter polite linguistic elements which display respect or consideration for others are more willing to pay attention to that polite language. Therefore, since it is of critical importance for advertisers to attract readers’ attention and to maintain social and emotional relationships with their customers, they are expected to employ politeness strategies with much care in their ads. Furthermore, based on the specific sets of politeness strategies being used in discourse, different cultures can be differentiated from one another and as Hughes (1984) pointed out one way of exploring the cultural notions is through analyzing newspapers or other media’s advertisements. Since those working in advertising try to change the buying behavior of customers by persuading them to follow their leads, there is no shade of doubt that advertises in every culture and language adopt different persuasive strategies which have to be in line with social politeness strategies of that culture in order to cultivate success.

Lakoff (1975) holds the view that politeness has been developed to reduce friction in communication and Hill, Ide, Ikuta, Kawasaki, and Ogino (1986, p. 349) define it as “one of the constraints on human interaction, whose purpose is to consider others’ feelings, establish levels of mutual comfort, and promote rapport”. Moreover, Ide (1989, p. 225) views it as ‘language usage associated with smooth communication’. All of
these definitions reveal the fact that politeness is an important factor in developing effective relationships with people, and any misuse of these strategies can hinder the effective communication, leading to individuals’ dissatisfaction and indifference.

Granted the fact that different cultures utilize different linguistic strategies to be polite, it seems that delving into the nature of these differences can be of great interest and help to researchers and practitioners. Thus in this study, we aim to investigate different linguistic politeness strategies which are used in Persian and English ads to persuade people to buy different products.

2. Theoretical Background

Politeness as a linguistic phenomenon has directed the attention of researchers (e.g. Brown & Levinson, 1987; Geis, 1982; Lakoff, 1982; Scollon & Scollon, 2001) in exploring the different areas of theoretical and practical issues related to it. Having the Grice’s Cooperative Principle and Speech Act Theory as its background (Watts & Mesthrie, 2003), politeness theory has turned to a cornerstone by which the socially correct and appropriate behavior can be analyzed. Due to its importance in characterizing the elements specific to polite discourse and behavior, many studies (e.g. Hardin, 2001; Matsumoto, 1989; Pishghadam, 2011; Schmidt, Shimura, Wang, & Jeong, 1995) related to politeness theory in pragmatic linguistics has opened the doors to familiarizing the audience with politeness strategies in different cultures.

In everyday interaction, a large extent of polite strategies is exchanged among people in order to maintain effective communication. As Johnstone (2008, p.145) observed, people in every culture can hire politeness markers to “use and interpret language appropriately in actual social interaction”. The crucial point in every interaction then can be studied by the amount and type of politeness strategies used by speaker(s) and hearer(s) in order to construct appropriate interpersonal relationships (Woods, 2006).

In the field of pragmatic linguistics, proponents like Lakoff (1973), Leech (1983) attempted to provide definitions of politeness theory along with their specific rules. Leech’s ideas, for instance, focused on the “goal-oriented speech situation in which speaker uses language in order to produce a particular effect in the mind of hearer” (p.15). Criticizing Leech’s (1983) politeness model as too abstract and theoretical and not a production model (cited in Watts & Mesthrie, 2003), Brown and Levinson (1987) proposed a politeness model which was built on social interaction and viewed the strategical choices of people in interactions to mirror the cross-cultural variability presenting in communication. In their theory which is widely known as the most comprehensive and influential model in pragmatic politeness, Brown and Levinson (1987) believed to base their notion of ‘face’ on that of Goffman (1955). For them, the two types of desires which are attributed by one interactant to the other, that is, “the desire to be unimpeded in one’s actions (negative face) and the desire to be approved of (positive face)” are the components which mainly compose the notion of face (cited in Johnstone, 2008, p.146).

In compliance with the idea that everyone tries to keep his face in the duration of social interaction as much as possible, it can be expected that all those involved in interactions try to reduce face-threatening acts (FTAs). Nevertheless, Brown and Levinson’s (1987) model presupposed that whenever a person is forced to perform a FTA as an action which poses a threat to the addressee’s positive or negative face, he would resort to some strategies that reduce or “redress” the coming threat. Woods (2006) reports a set of five “super-strategies” proposed by Brown and Levinson’s (1987) model from which the speakers use to minimize the FTAs. These super-strategies range from the one which increases the risk of losing face (Bald on-record strategy) bringing about FTA without any redressive action to the one which decreases the risk factor (Avoidance strategy).

One crucial factor that makes Brown and Levinson’s (1987) model as a reliable source for analyzing politeness strategies may be considered as its universality and the fact that almost all of our daily interactions are under their impact. Another significant point of this model is its emphasis on recognizing
the target cultures based on the three social variables that provoke FTAs in any interaction: the social distance between participants, their relative power, and the ranking of imposition in any specific culture. Analyzing culture in this model is facilitated by focusing on the amount of positive and negative strategies and weighing them against one another in each culture to find out in which one solidarity or imposition rule more. By a similar token, Scollon and Scollon (1981) pointed out that while in different cultures negative politeness determines the seriousness of the imposition, the positive one emphasizes the general nature of relationships among interactants.

Among different areas of research which have been conducted on politeness strategies, there exist many that focus on advertising on cross-cultural scales. Advertisement as one of the most accessible sources of written persuasive discourse has ‘persuaded’ many researchers (e.g. Geis, 1982; Hardin, 2001; Lakoff, 1982; Lin, 2005; Schmidt, et al. 1995) to carry out studies with respect to the special culture and society of use. Print advertisements or commercials as verbal interactions are categorized as persuasive discourse. Lakoff (1982) as a pioneer in the field of pragmatic study of persuasive discourse (cited in Lin, 2005, p.77) defines persuasive discourse as “the non-reciprocal attempt or intention of one party to change the behavior, feelings, intentions, or viewpoint of another by communicative means”.

Persuasive discourse according to Reardon (1991) can be divided into three types, ranging namely interpersonal persuasion, organization persuasion, and most commonly-used one, mass media persuasion such as advertisement. In 1982 Lakoff explored the elements of persuasive discourse and pointed out that some successful examples of advertising contained violations of Grice’s Cooperative Principle and Maxim of Manner.

Furthermore, Geis (1982) made a more comprehensive study on TV ads and concluded that apart from a set of special linguistic techniques, advertisers favor the indirect ways of claim-making for their products. Also, Pearson (1988) conducted a study to find out how speakers in church business meetings negotiate support for their opinions by making use of politeness strategies. He discovered that in such meetings ministers, who hold the first role, make more use of positive and negative politeness strategies in comparison to others resulting in their being more skilled, powerful and persuasive. Matsumoto (1989) attempted to emphasize the importance of Japanese culture in interpretation of politeness phenomenon, holding that the significance of social context should be highlighted in the politeness theories of non-western languages.

TV commercials also have been investigated by Schmidt et al. (1995) who had the aim of differentiating the realization of speech acts among cultures. In their study, they compared the commercials from the United States, Japan, the China, and South Korea and reported that consumer product ads in U.S. are more persuasive than the similar ones in the Asian countries in terms of frequency of suggestions to buy and the level of the related imperatives being used in them. In another study, Obeng (1997) studied politeness strategies utilized by some legal professionals in Akan and reported that these professionals hired some sort of politeness strategies like deferential modes of address and reference along with hedges and compliments with the aim of softening the “location of up-coming face threatening acts and thereby render them polite and persuasive” (p.50).

Moreover, exploring the pragmatic devices that are often used in TV commercials, Hardin (2001) analyzed a corpus of 214 ads taken from three countries: Chile, Spain, and United States. Politeness strategies among the other pragmatic devices in her study were compared and contrasted in three countries based on Brown and Levinson’s (1987) model and the results depict interesting differences in the use of positive and negative politeness in those cultures.

Benkendorf, Prince, Rose, De Fina, and Hamilton (2001) conducted a study in terms of politeness strategies over some indirect speech of medical consultants. In their study they found out that in transferring their ideas to the patients, counselors try to soften the direct imposition of their views “by choosing more impersonal and indirect language” (p.205). Yet in another study, Daly, Holmes, Newton, and Stubbe (2003) paid attention to the ways in which one form of ‘Expletive’ was used in two face-
threatening acts of ‘direct complaints’ and ‘refusals’ by the workers in a factory team work. By analyzing
the workers use of a certain form of expletive according to politeness theory, they observed that making
use of specific expletive expresses the socio-pragmatic function of that word and shows belonging to a
given community of practice.

In another study, Lin (2005) examined the realization of politeness strategies in Chinese sale talks by
introducing a new data collection method called: Natural Data Elicitation Technique. As a result of this
study, Lin (2005) concluded that salespersons make different use of politeness strategies and on top of
them positive strategies which emphasizes the collectivist-oriented nature of Chinese culture. By
analyzing the effects of impoliteness as an entertaining factor in a TV quiz show, Culpeper (2005)
illustrated how impoliteness can increase the possibility of face-damage. In this study he argued how
creative the nature of discourse is and how by analyzing prosody, valuable information about
impoliteness can be gathered. Another study in the context of medicine was undertaken by Brown and
Crawford (2009) in which they explained the importance of appropriate politeness markers in telephone
conversations between health advisors and callers in need for medical advice. They reported that the
medical advisors tried to minimize the imposition and increase rapport through using appropriate
politeness markers.

Analyzing the impact of impoliteness on American TV news hosts’ identity formation (Blitvich, 2009);
discussing the effects of uncertainty reduction theory and politeness theory on creating face threat
(Knobloch, Satterlee, & DiDomenico, 2010); comparison of the realization of politeness strategies in
Iranian and English official letters (Pishghadam, 2011) are some of the recent studies in the field of
politeness theory.

3. Purpose of the Study

Since there is no study done which has examined politeness strategies by Iranian advertisers, and one way
to recognize the politeness strategies used in one culture is by contrasting them with those of another culture,
the present study aims at comparing and contrasting the linguistic politeness strategies which are employed
by Iranian and English advertisers in their print ads.

Therefore, this study is seeking to answer the following questions:

a. Are there any significant differences between the uses of politeness strategies in the Persian ads?

b. Are there any significant differences between the uses of politeness strategies in the English ads?

c. Are there any significant differences between the uses of politeness strategies in Persian and English ads?

4. Methodology

4.1. Corpus

The corpus of this study is a collection of 150 written English and Persian advertisements from which a
sample of 100 was selected. Advertisements were collected from some of the most-read and popular
magazines in each language on particular topics of lifestyle, consumer, fashion, or home.

The adverts were mostly full-page ones featuring consumer products, food, fitness and beauty services
and also database contained some ads from the classified advertisement sections of the above mentioned
magazines. The reason behind selecting these types of ads was connected with their being published
repeatedly due to their high attraction and application which is a sign of their persuasive tool. The samples in
both languages did not vary in length and were mostly consisted of 2 to 3 lines and had an average of 32
words.

Furthermore, the sample ads were intended to be highly representative of the types of advertising which
are considered to be more persuasive and successful in each language. The rest of the corpus was thus
discarded. The English ads consisted of 50 written ones and the same number applied for the Persian database. We stopped adding more ads at time we got they are yielding similar information.

4.2. Procedure

The first step in analyzing the data in this study was to find out the politeness strategies proposed by Brown and Levinson (1987). According to their model of politeness, five super-strategies exist that individuals may choose when attempting to conduct a FTA.

These strategies which reduce or increase the level of face-threatening acts include: 1) bald-on-record: FTA performed bald-on-record, in a direct and concise way without redressive action. e.g. imperative form without any redress: ‘Wash your hands’; 2) positive politeness: FTA performed with redressive action. Positive strategies are oriented towards positive face of the hearer. e.g. strategies seeking common ground or co-operation, such as in jokes or offers: ‘Wash your hands, honey. 3) negative politeness: FTA performed with redressive action that is strategies oriented towards negative face of the hearer. e.g. indirect formulation: ‘Would you mind washing your hands?’; 4) off-record: FTA performed off-record, strategies that might allow the act to have more than one interpretation. They may consist of all types of hints, metaphors, tautologies, etc. ‘Gardening makes your hands dirty’; and 5) Avoidance: don’t do the FTA.

To analyze the advertisement lines, every strategy was explored based on its categories. At first, five strategies were labeled as groups 1-5. The categories of each group represented the different kinds that the politeness strategies are recognized with. After that the lines of the ads were read and analyzed by both of the researchers to improve the reliability of the data and to ensure their persuasiveness as the aim of this study. The second step included analyzing every line to find out its group of strategies and subcategories. Every ad was carefully scrutinized and the highlighted subcategories were codified. The subcategories of the politeness strategies according to Brown and Levinson’s (1987) model along with one example from database are sorted as follows:

**Category 1: Bald on record**

A1: disagreement (criticism); “No one makes your hair stronger” (EA#35)
A2: suggestion/advice; e.g. “Dress like a goddess and gods will flock to you!” (EA#2)
A3: request
A4: warning; threatening; e.g. “Don’t hide your body smell!” (PA#7)
A5: imperative form; e.g. “Go hi-polish! Get magnified shine!!” (EA#29)

**Category 2: Positive Politeness**

B1: show concern, interest, be optimistic; e.g. “Be a shade braver!” (EA#14)
B2: promise, guarantee, offer, give reasons; “We’ve got something for everyone!” (EA#31)
B3: solidarity/in-group talk
B4: compliment; e.g. “Have the hair that feels stronger...Because you’re worth it!” (EA#8)
B5: joke, humor; e.g. “Do you know that there’s a thin person inside any fat one?” (PA#23)
B6: exaggerate sympathy, approval; E.G “We want to protect your family and whole world from smoking” (PA#46)

**Category 3: Negative Politeness**

C1: question, hedges (lexical, syntactic, particles, prosody); e.g. “Tired of wispy, thin hair that never looks healthy?” (EA#40)

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C2: show deference; e.g. “Everyone has a diamond these days, darling!” (EA#41)
C3: indirect strategies; E.G. “Nobody here is a stranger” (PA#9)
C4: apologize
C5: impersonalize the speaker and hearer. Avoid the pronouns I and YOU
C6: stating FTA as an instance of a general rule

Category 4: Off-record strategies → indirect speech acts

D1: give hints → give association clues, presuppose; e.g. “To be fit has been man’s wish in all ages” (PA#8)
D2: contradictions, be ironic, metaphor, rhetorical questions; e.g. “When you march on like wind, you leave no room for chance” (PA#20)
D3: understate, overstate, use tautologies; e.g. “For the first time in the world, experience the good food without oil” (PA#27)
D4: be ambiguous, be vague, over generalize, be incomplete, use ellipsis; e.g. “Let the funky jewelry do the talking…” (EA#44)

Category 5: avoidance strategies

Note: PA (Persian ad), EA (English ad)

After coding the ads, the frequency of each politeness subcategory was displayed in tables and the total frequency for each group of strategies was calculated. Afterwards, the frequency of the politeness strategies used by English and Persian advertisements was compared. Next, in order to check the significance of frequencies in both sets of advertisements, the results of the tables were analyzed using a Chi Square test. And finally, the results were compared and contrasted with each other in order to explore the cultural differences for persuasion between the two cultures.

5. Results

As the results of Table 1 exhibit, almost the same number of strategies have been employed in both Persian and English ads (N=266, N=268), and Avoidance strategies were not employed by either groups. Moreover, the table shows that among Persian ads Off-record strategies (N=111) are the most frequently used ones while Positive politeness strategies (N=126) are employed more frequently by English ads.

Table 1. Frequency of Strategies Used in Persian and English Advertisements

<table>
<thead>
<tr>
<th>Ads</th>
<th>Bald on</th>
<th>Positive</th>
<th>Negative</th>
<th>Off-record</th>
<th>Avoidance</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Persian</td>
<td>43</td>
<td>104</td>
<td>8</td>
<td>111</td>
<td>0</td>
<td>266</td>
</tr>
<tr>
<td>English</td>
<td>58</td>
<td>126</td>
<td>15</td>
<td>69</td>
<td>0</td>
<td>268</td>
</tr>
</tbody>
</table>

As it is illustrated in Table 2, there was a significant difference between the advertisement strategies used by Persian speakers ($\chi^2=110.692, p<.05$). The table shows that both Off-record (N=111) and Positive politeness (N=104) strategies were utilized more often than expected (N=66.5). The results also revealed that Bold-on record (N=43) and Negative politeness (N=8) strategies were less than expected (N=66.5).
Table 2. Results of the Chi Square Test for the Advertisement Strategies Used by Iranian Community

<table>
<thead>
<tr>
<th>Strategies</th>
<th>Observed N</th>
<th>Expected N</th>
<th>df</th>
<th>X²</th>
<th>Sig.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Persian</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Bold on</td>
<td>43</td>
<td>66.5</td>
<td>3</td>
<td>110.692</td>
<td>.000</td>
</tr>
<tr>
<td>Positive</td>
<td>104</td>
<td>66.5</td>
<td>3</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Negative</td>
<td>8</td>
<td>66.5</td>
<td>3</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Off record</td>
<td>111</td>
<td>66.5</td>
<td>3</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

The results of the Chi Square test presented in Table 3 revealed a significant difference between the strategies used by the English community (χ² = 93.582, p<.05). Here, again both Off-record (N=69) and Positive politeness (N=126) strategies were utilized more often than expected (N=67), and Bold-on record (N=58) and Negative politeness (N=15) strategies were less than expected (N=66.5). In fact, the results show that unlike the Persian ads in which Off-record strategies were used more, in the English ads Positive politeness strategies were given more priority.

Table 3. Results of the Chi Square Test for the Advertisement Strategies Used by English Community

<table>
<thead>
<tr>
<th>Strategies</th>
<th>Observed N</th>
<th>Expected N</th>
<th>df</th>
<th>X²</th>
<th>Sig.</th>
</tr>
</thead>
<tbody>
<tr>
<td>English</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Bold on</td>
<td>58</td>
<td>67</td>
<td>3</td>
<td>93.582</td>
<td>.000</td>
</tr>
<tr>
<td>Positive</td>
<td>126</td>
<td>67</td>
<td>3</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Negative</td>
<td>15</td>
<td>67</td>
<td>3</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Off record</td>
<td>69</td>
<td>67</td>
<td>3</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

According to Table 4, there is a significant difference between Persian and English ads with respect to Off-record strategies (χ² = 9.8, p<.05). The table shows Off-record strategies have been employed more often than expected (N=90) by Persian speakers (N=111). It implies that Iranians opt for these strategies more than the English in their ads. Moreover, considering Bold-on (χ² = 2.22, p>.05), Positive politeness (χ² = 2.1, p>.05), and Negative strategies (χ² = 2.13, p>.05) strategies, no significant differences were found between Iranian and English ads.
Table 4. Results of the Chi Square Test for All Strategies between Persian and English

<table>
<thead>
<tr>
<th>Strategies</th>
<th>Observed N</th>
<th>Expected N</th>
<th>df</th>
<th>X²</th>
<th>Sig.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Persian</td>
<td>43</td>
<td>50.5</td>
<td>1</td>
<td>2.228</td>
<td>.136</td>
</tr>
<tr>
<td>English</td>
<td>58</td>
<td>50.5</td>
<td>1</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Positive</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Persian</td>
<td>126</td>
<td>115</td>
<td>1</td>
<td>2.104</td>
<td>.147</td>
</tr>
<tr>
<td>English</td>
<td>104</td>
<td>115</td>
<td>1</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Negative</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Persian</td>
<td>8</td>
<td>11.5</td>
<td>1</td>
<td>2.130</td>
<td>.144</td>
</tr>
<tr>
<td>English</td>
<td>15</td>
<td>11.5</td>
<td>1</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Off re</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Persian</td>
<td>111</td>
<td>90</td>
<td>1</td>
<td>9.800</td>
<td>.002</td>
</tr>
<tr>
<td>English</td>
<td>69</td>
<td>90</td>
<td>1</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

6. Discussion

This study aimed at first investigating the types of politesses strategies used in the Persian ads, second examining the types of politesse strategies employed in the English ads, and finally comparing and contrasting the linguistic politeness markers in Persian and English ads.

Regarding the first aim of the study, the results revealed that Iranian advertisers used Off-record and Positive politeness strategies more than Bold-on record and Negative strategies. Off-record strategies are indirect strategies, which mostly consist of giving hints, contradictions, overstating, understating, and being vague. Actually, while Off-record strategies invite the performance of FTA, they leave the actual interpretation of the act to the addressee. In other words, if a speaker employs an FTA but prefers to escape the responsibility of doing it, he can opt for an Off-record strategy and thereby makes the addressee responsible for interpreting it as a threat to face or not (Lin, 2005). The superior use of this type of strategy more than others by Persian advertisers thus may refer to their unwillingness to impose their will on the addressees by leaving it up to them to interpret it.

Furthermore, as Brown and Levinson (1987) believe, Off-record strategies enjoy the most polite way of performing an FTA by communicating indirectly to the audience. Indirect FTAs such as Off-record are classified as imposing the least threat in politeness theory, and as a result are ranked as the most polite verbal acts. Considering that the advertisements serve the two-fold function of communicating with their customers and at the same time persuading them to buy the product, use of indirect strategies and on top of which Off-record ones, provides more credibility for ads. Face saving theory is mostly relevant to indirect advertising language and the most effective persuasion in advertising design and promotion according to Gass and Seiter (1999) happens through the use of least redressive features available in indirect strategies.

A closer look at these indirect strategies suggests the existence of what Brown and Levinson (1987) refer to as ‘relational harmony’ which emphasizes a collectivist nature of eastern culture (Nisbett, 2004) in which a person prefers to be identified in harmony with a group in his community rather than gaining absolute identification as an individual. Actually, as Mao (1994, p.460) holds about the Chinese culture,
Persian interpretation of the notion of face comparing with that of the English may also be more of a relative one not just emphasizing the “accommodation of individual needs or desires, but more of the harmony of one’s conduct with the views or judgment of the community”.

Regarding the second aim of the study, the findings illustrated a major tendency of English advertisements towards Positive politeness strategies which include: show concern, interest, be optimistic, promise, guarantee, offer, give reasons, compliment, joke, humor, exaggerate sympathy. As the main purpose of positive politeness strategies, Brown and Levinson (1987) refer to shortening the social distance that is to make the advertiser and addressee closer to each other and thus build up an individualistic connection. Having positive feeling about oneself along with praising personal success in western culture is considered at the opposite of group-driven success in eastern culture (Nisbett, 2004) which is gained in most of English ads through the use of Positive politeness strategies. Moreover, in accord with Lin’s (2005) findings, positive strategies by minimizing the face threatening force of an act, try to save a person’s positive face and provide him with more feeling of personal success which can lead to stressing the more individualistic and self-motivated nature of western communities.

The findings related to the third aim of the study revealed that employing mostly Off-record politeness strategies by Persian advertisers as a sign of successful persuasive tool in comparison with using Positive politeness strategies at most by English advertisers offered some differences between these two cultures. To start, the notion of face and face-saving acts as proposed by Goffman (1967), as well as the notion of ‘self’ may not be as individualistically perceived in eastern cultures like in Persian ads as they are perceived in western ones. Following the classification of culture into individualistic and collectivist as a highly mentioned-topic of cross-cultural research, Ting-Toomey and Cocroft (1994) reported that in eastern communities the realization of ‘self’ is mainly gained through “personal achievements and self-actualization processes”, whereas in western communities the realization of ‘self’ happens by more “role relationships, family reputation, workgroup reputation” (p. 514).

Moreover, according to Allami and Naeimi (2010) in a high-context culture such as Iran, people tend to use indirect, symbolic, vague, and implicit style of communication whereas low-context culture is generally represented by direct and explicit communication approach. As a result of the above mentioned classifications of culture in eastern and western communities, more use of indirect and Off-record politeness strategies which are supposed to be one of the least FTAs, creates an atmosphere in which the addressee feels in-group membership and can enjoy the feeling of group-driven success. Our findings can also be consistent with those of Pishghadam (2011) who stated on the basis of Scollon and Scollon’s (2001) categorization, Iranian culture is a hierarchal one in which social hierarchy is assumed as a natural structure, whereas American culture works on the basis of a deference politeness system in which the interlocutors share the equal social level and rights. Undoubtedly, indirect way of talking is more prevalent in hierarchical cultures whole cultures based on deference favor for more direct way of dealing with issues.

Furthermore, that Persian advertisers’ endeavor to build a relationship with customers via indirect strategies is probably in line with Nisbett’s (2004) classification of Asian and western cultures. To put it another way, in Asian countries people are more favored to construct relationships in the community by any possible way. Moreover, as Miracle (1987) claims, unlike western advertisers who use learn-do-feel strategies, advertisers in Asian countries generally use feel-do-learn strategies to entertain and establish feelings. Even if the Persian advertisement lines lack the essential factors to offer adequate reasons for their claims (like the repeated use of overstate strategy: the best, the first, the only…), yet; their close-circle connection making with the customers is one remarkable success they have proved to gain as an effective persuasive tool. Thus, Persian advertisers should constantly keep in mind that however appealing their ads may seem, they must never ignore the fundamental notions underlying the collectivist concept which comes with indirectness in their polite realizations of ads.

To wrap up, one should not ignore the role of culture in analyzing the words stated by speakers of a given language. Culture and cultural norms, among other things, can create major impact on the language through
which people communicate. Therefore, it is believed that the findings of this study can ensure compliance with the findings of Nilsen and Nilsen (1978); and Brown (1980), that the influence of language on thought and behavior can probably best be depicted in the world of advertising. Considering the “reciprocal influence of culture and thought on advertising” (Valdes, 1986, p.3), the differences in politeness strategies adopted by advertisers in Persian and English contexts seem adequately representative of the cultural norms existing in them.

Finally, considering the limited number of studies on Persian advertisement as a type of speech act especially at cross-cultural level, it is thereby recommended that further studies explore other forms of advertisements such as commercials. Moreover, highlighting the types of politeness strategies applied in the ads of one culture can facilitate the grasp of norms of that culture. At the end, it is believed that comparing the politeness strategies available in Persian ads with those other Asian countries can yield more opportunities of finding similarities and differences at a closer cultural background.

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Abstract: This study investigated the online reading strategies used by Iranian EFL students and the differences between male and female learners in terms of online reading strategy use. It also made an attempt to answer the question of whether skilled strategy users in the offline environment are skilled strategy users in the online environment. Participants in this study were 30 students (15 males and 15 females) selected from among 50 MA students at IAU University of Shahreza, Iran. The Survey of Reading Strategies (SORS) and Online Survey of Reading Strategies (OSORS) were adapted to the purposes of this study. The results indicated that participants used online reading strategies moderately. Problem-solving strategies and global reading strategies were used the most. The findings revealed while there were no overall significant differences between males and females in terms of online reading strategy use, they did differ significantly on a number of individual strategies. The findings also indicated that active strategy users in the offline environment were active strategy users in the online environment. The findings hold implications for EFL teachers, students, material developers, and for researchers.

Keywords: Reading skill; Online reading strategies; Learning strategies; English proficiency

1. Introduction

Reading is one of the main four skills that a learner needs to master in order to ensure success in learning. According to Anderson (2003), reading is the interaction of four things: the reader, the text, the fluent reading, and strategic reading. Today, texts, especially academic texts, can be found in either print or online environments. Nowadays, educational institutions such as universities and schools provide their students with more online classes; news corporations provide online newspapers; and publishers release more online books and journals. Therefore, a large amount of reading is carried out in the online environment. As a result, reading in the online environment is becoming more popular for most people, especially teachers and students.

Over the last three decades, the focus of a great deal of research studies has been on the role of strategies in the second language learning (Anderson, 1991; Cohen, 1990; Karbalaei, 2010; Mokhtari, & Reichard 2004; Malcolm, 2009; O’Malley, & Chamot, 1990; Oxford, 1990; Rubin, 1975). The findings of these studies indicate that language learners utilize strategies in an active way to fulfill their learning goals. In the context of reading, Garner (1987) defined reading strategies as “generally deliberate, planful activities undertaken by active learners, many times to remedy perceived cognitive failure” (p. 50). She claimed that these strategies help language learners in building meaning and facilitating reading comprehension. However, the strategies to use for reading online are not necessarily the same as those used for reading in print. Thus, this study set itself the goal of answering the following research questions:

1. What online reading strategies do the participants use when reading English texts online?
2. Are there any significant differences between male and female participants in terms of online reading strategy use?
3. Are active strategy users in the print environment active strategy users in the online environment?

2. Literature Review

Over the last three decades there has been a great focus on learners and learning rather than teachers and teaching. Much of the research conducted in this area has been influenced by developments in cognitive psychology (Williams, & Burden, 1997). The focus of most of such studies has been on the process of new information by learners, the strategies used by learners to understand, learn, or remember the new information, and the variables influencing learners’ choice of strategies. O’Malley and Chamot (1990), Oxford (1990), Oxford and Cohen (1992), Cohen (2007), and many others studied strategies used by language learners during the process of foreign language learning. Wenden and Rubin (1987) defined learning strategies as "... any sets of operations, steps, plans, routines used by the learner to facilitate the obtaining, storage, retrieval, and use of information." (p. 19). Cohen (2007) holds that language learner strategies are “conscious or semi- conscious thoughts and behaviors employed by learners, often with the intention of enhancing their knowledge about and performance in a second language (L2)” (p. 57).

As for reading, there are three subcategories in the categorization of reading strategies. Global reading strategies are those strategies that language learners utilize to plan, regulate, and evaluate their reading (Pookcharoen, 2009). Setting a purpose for reading, activating prior knowledge, and verifying whether the content fits the purpose are examples of global reading strategies. Problem-solving strategies contain strategies or steps that language learners take to enhance and improve comprehension difficulties. Adjusting reading speed, paying closer attention to reading, and pausing to reflect on reading are examples of problem solving strategies. Support strategies are techniques or materials that second language readers use when problem-solving strategies are not sufficient in achieving comprehension. Taking notes, paraphrasing text information, and using a dictionary are examples of support reading strategies.

2.1 Gender and Second Language Reading Strategies

Unlike the research on language learning and second language learning studies, there have been few studies on the subject of gender and reading strategies. The findings of such studies do not show greater strategy use for either males or females. Phakiti (2003) in his study explored male and female differences in reading strategy utilization. He found that while there were no significant differences between males and females in terms of the cognitive strategies, males used significantly more metacognitive strategies than females did. Sheorey and Mokhtari (2001) examined the metacognitive, cognitive, and support strategies of second language readers. The findings revealed no significant overall differences between males and females. Finally, Young and Oxford (1993), interested in the strategies used while reading passages in both English and Spanish, found insignificant differences between males and females. Although the data gathered from such studies cast light on gender differences and strategy use, more and more research needs to be conducted to draw general conclusions about gender and strategy use.

2.2 Research on Online Reading Strategy Use

In comparison with the abundant research conducted in the area of reading strategies in the print environment, relatively few studies have investigated the online reading strategies in the online environment. Zaki, Hassan, and Razali (2008) investigated the difference between online and offline reading strategies used by second language readers. According to the results, global, support and problem-solving strategies lead to better reading comprehension.
The type of online reading strategies and their classifications in the online reading environment have been the focus of recent studies. Elshair (2002) conducted a qualitative study and used think-aloud while Anderson (2003) conducted a quantitative study and used questionnaires. Elshair (2002) pointed out that it was important to include both text-related and web-related strategies when reading online texts. To compare ESL and EFL students’ different use of online reading strategies, Anderson (2003) created the Online Survey Of Reading Strategies (OSORS). This questionnaire was adapted from Survey Of Reading Strategies (SORS) (Sheorey & Mokhtari, 2001). He found no differences between the subjects in the study and in the use of global and support reading strategies between the two groups.

Chang (2005) investigated the effects of self-regulated and self-monitoring strategies to ease learning in web-based environment. According to the findings of this study, self-regulated strategies made the students more responsible for their learning and self-monitoring strategies had a positive effect on academic achievement among both more proficient and less proficient learners. Poole (2008-2009) investigated the relationship between the utilization of online reading strategies and the overall reading proficiency. The results demonstrated a significant relationship between strategy use and reading proficiency. Hsieh and Dwyer (2009) found that different reading strategies had different instructional structures and functions in facilitating student achievement of different types of learning objectives. Huang, Chen, and Lin (2009) examined EFL learners’ online reading strategy use and the effects of online reading strategy use on comprehension. According to the findings, global strategies played the most significant role and led to better comprehension.

3. Methodology

3.1 Participants

The participants in this study were 30 students (15 males and 15 females) were selected from 50 MA students majoring in Teaching English as a Foreign Language (TEFL) and English Language Translation in IAU University of Shahreza, Iran. They were selected based on their Oxford Placement Test scores. Those students who scored above 75 were selected for the purposes of the study. They were all in their first or second year of study. From these 30 students, 16 students were chosen to answer the third research question.

3.2 Research Instruments

The Oxford Placement Test (OPT) was administered to ensure the selected participants were linguistically homogeneous. To collect information about the participants’ offline and online strategy use an adapted version of the Survey Of Reading Strategies (SORS), developed by Mokhtari and Sheorey (2002), and an adapted version of the Online Survey Of Reading Strategies (OSORS) (Anderson, 2003) were used. Finally, an Internet Use Questionnaire (IUQ) was used to elicit general information about the participants’ personal background and their ability and experience with reading on the Internet.

3.3 Data Collection

An OPT was administered to 50 MA students as mentioned above. Then, an IUQ was administered. Finally, for the purpose of the current research, 30 students were chosen from the participating students based on their OPT scores and their responses to the IUQ. Participants were divided into two male and female groups, 15 each. For the sake of answering the third research question another group, called strategic readers group, was formed. The members of this group were selected from among those participants who indicated a high level of strategy use when answering the
questionnaire (OSORS). In order to answer the first and second questions of the study, the participants (male and female groups) were asked to read three online passages in the computer laboratory of the university (available online at http://onlinereading.mihanblog.com/post/author/437814). After reading the text, an Online Survey Of Reading Strategies (OSORS) was administered to identify the online reading strategies used by participants. In order to answer the third question, the participants of the strategic reader group read the print version of the above-mentioned passages and were asked to fill in the SORS to recognize the offline reading strategies. Finally, the results were compared.

3.4 Data Analysis

Descriptive statistics and t-tests were used for data analysis. The mean and the standard deviation of each SORS and OSORS item were calculated and interpreted using score interpretation suggested by Oxford and Burry-Stock (1995):

Mean of 3.5 or higher = High
Mean of 2.5 to 3.4 = Medium
Mean of 2.4 or lower = Low

To see whether the difference between male and female learners in terms of online reading strategy use was significant an independent-samples t-test was used. Moreover, to examine whether active strategy users in the print environment were active strategy users in the online environment a paired-samples t-test was applied.

4. Results

4.1 The Results for the First Research Question

The first research question aimed to identify the online reading strategies reported to be used by Iranian EFL students who participated in this study.

As depicted in Table 1 (see Appendix), the participants used each item with varying degrees of frequency. The means of OSORS items range from 1.63 to 4.13. According to the results, the mean for the overall strategy use was 3.08. The most frequently used strategies were no. 16 Paying closer attention to reading (M= 4.13) followed by no. 32 Guessing meaning of unknown words (M= 3.96) and no. 1 having a purpose in mind (M= 3.86). The least frequently used strategies were no. 4 Taking notes while reading (M= 1.63), no. 7 Live chatting with native speakers (M= 1.90) and no. 7 Reading aloud when text is hard (M= 1.96).

Table 1 reveals that the learners utilized problem-solving strategies the most (M= 3.50), global reading strategies the second most (M= 3.19), and support reading strategies the least (M= 2.35). Based on Oxford and Burry-Stock's (1995) score interpretation explained before, 6 items from global reading subcategory (15.38%) and 6 items from problem-solving subcategory (15.38%) fell in the high usage group, while there was no item from support strategies subcategory in the high usage group. There were 12 items from global reading subcategory (31%), 4 items from problem-solving subcategory (10.25%), and 4 items from support reading subcategory (10.25%) in the medium usage group. Lastly, for the low usage group, there were 2 items from global reading subcategory (5.12%), 5 items from support reading subcategory (12.82%), and no item from problem-solving subcategory. Of all 39 strategies, 12 strategies (31%) were used at the high level, 20 strategies (51%) were used at medium level, while only 7 strategies (18%) were used at low level. Therefore, the majority of the strategies used by participants fell in the medium level, which indicates that they used these strategies on a relatively regular base.
4.2 The Results for the Second Research Question

The second research question was related to the differences between Iranian male and female EFL students' online reading strategy use and the significance of such differences. To determine statistically if there were significant differences between male and female readers in terms of overall strategy use, a t-test was administered.

Table 2. T-test for Males and Females’ Overall Strategy Use

<table>
<thead>
<tr>
<th></th>
<th>Levene’s Test for Equality of Variances</th>
<th>t-test for Equality of Means</th>
<th>95% Confidence Interval of the Difference</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>F</td>
<td>Sig.</td>
<td>t</td>
</tr>
<tr>
<td>Equal variance not assumed</td>
<td>-.550</td>
<td>27.356</td>
<td>.587</td>
</tr>
</tbody>
</table>

As indicated in the table above, the Significance (2-tailed) value is .587. The magnitude of the differences in the means (mean difference = -3.06, 95% C1: 14.49 to 8.36) was small (eta squared = .01). According to the results, there is no a significant difference in the mean scores for males and females. Thus, males and females did not significantly differ in their overall strategy use.

In order to determine whether the difference between males and females was significant in terms of individual strategy use, an independent-sample-t-test was conducted for each item. Table 3 (see Appendix) shows that males and females only differed significantly on four individual strategies: one global strategy (2. Live chatting with other learners), two problem-solving strategies (13. Adjusting reading speed, and 19. Pausing and thinking about reading) and one support strategy (21. Paraphrasing for better understanding). On the strategies no. 2 (global), no. 19 (problem-solving), and no. 21 (support) females indicated higher strategy use, while males did on the strategy no. 13 (problem-solving).

4.3 The Results for the Third Research Question

The third research question aimed to answer whether strategic readers in the offline environment were strategic readers in the online environment. The data for analysis were gathered from two questionnaires: SORS and OSORS. A paired-samples-t-test was conducted to determine whether there was a statistically significant difference in the mean scores for strategic readers group in both environments. Table 4 provides paired samples statistics for strategic readers group.

Table 4. Paired Samples Statistics for Strategic Reader Group

<table>
<thead>
<tr>
<th>Pair</th>
<th>Zscore(Online)</th>
<th>Mean</th>
<th>N</th>
<th>Std. Deviation</th>
<th>Std. Error Mean</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>-3.02400</td>
<td>16</td>
<td>1.000000000</td>
<td>25000000</td>
<td></td>
</tr>
<tr>
<td>1</td>
<td>-1.01300</td>
<td>16</td>
<td>1.000000000</td>
<td>25000000</td>
<td></td>
</tr>
</tbody>
</table>
Table 4 provides the mean scores for each of the two sets of scores. There was an increase in strategic readers mean scores from offline environment (M= -1.01, SD= 1) to online environment (M= -3.02, SD= 1), t (15) = -5.104, p > .05 (two-tailed). Therefore, we can conclude that there was a significant increase in strategic readers test scores from offline environment to online environment.

Table 5. Paired-Samples T-test for Strategic Reader Group

<table>
<thead>
<tr>
<th>Pair</th>
<th>Zscore(Online) - Zscore(Offline)</th>
<th>Mean</th>
<th>Std. Deviation</th>
<th>Std. Error Mean</th>
<th>95% Confidence Interval of the Difference</th>
<th>t</th>
<th>df</th>
<th>Sig. (2-tailed)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td></td>
<td>-2.01097</td>
<td>1.57588899</td>
<td>39397225</td>
<td>-0.839732 - 0.83973197</td>
<td>-5.104</td>
<td>15</td>
<td>1.000</td>
</tr>
</tbody>
</table>

In Table 5, the significance level (2-tailed) is 1.00. The mean increase in both scores was -2.01 with a 95% confidence interval ranging from -.83 to .83. The eta squared statistic (.53) indicated a moderate effect size. Therefore, we can conclude that there is not a significant difference in the strategic readers' scores in offline environment and online environment.

5. Discussion and Conclusions

The first research question has to do with the online reading strategies that Iranian EFL students use when reading online. The findings revealed that the participants were moderate strategy users. Of the three subclasses included in the OSORS, problem-solving subclass was used with the highest frequency followed by global-reading strategies and support reading strategies. Therefore, problem-solving strategies are the most important strategies for the participants followed by global reading strategies.

These findings are consistent with the findings of other previous studies (Anderson, 2003; Mokhtari & Reichard, 2004; Pookcharoen et al., 2009) which indicated the highest frequency of use for problem-solving strategies. The results also support Motallebzadeh and Ghaemi’s (2009) study which indicated that problem-solving strategies were used most frequently followed by global reading strategies and support reading strategies.

As for the overall strategy use, a medium frequency was observed. This reveals the participants' high degree of awareness while reading in English. These findings support the findings of Poole's (2008) study using relatively the same version of OSORS.

Interestingly, the students seldom took notes, although this strategy has been found to be beneficial in increasing comprehension. Even though readers in the print environment often take notes to better understand what is read, the participants in this study indicated a low mean for this strategy and found it mentally taxing. At the same time, the low means attached to the strategies of translating from English into Persian, using reference materials, reading aloud when text is hard, and taking notes can imply that students avoid using time-consuming strategies. Because utilizing such strategies requires using additional materials and opening extra web pages. Therefore, the factors of time and effort could be significant factors that affect the participants' strategy use. On the other hand, the low frequency attributed to the strategy reading aloud when text is hard could be because of the awkward feeling that the students may have when reading aloud. In addition, as Eskey (2005) maintained, reading words out loud is a characteristic of bottom-up unskilled readers.

Another interesting point is that neither of the strategies related to the live chatting with native (global) or non-native (global) speakers were highly used by the participants. This may be because of the fact that
students in Iran study English as a foreign language as well as the limited opportunities to interact with native speakers may explain the low mean of live chatting with native speakers.

It is noteworthy that strategies used more frequently or with a high frequency may not require using outside materials and taking relatively little time and efforts to execute than those requiring such elements. As an example, participating in live chat, besides being time-consuming, requires using extra devices and sometimes opening extra web pages. In addition, this strategy may not be an option for many students, except for those that their course work included a course website containing features such as discussion boards, live chat, etc.

One possible conclusion is that the learners use the same types of strategies while reading online. Perhaps another conclusion is that in the context of Iran problem-solving strategies play a more important role in EFL reading instruction than global reading and support reading strategies. EFL teachers can have their students pay more attention to problem-solving reading strategies to help them improve their online reading ability. Furthermore, the findings of this study maintain that a relatively equal and important position should be considered for the teaching of different online reading strategies in the classroom.

The second research question explored the differences between male and female students in terms of online reading strategy application. The participants of both groups reported using more than half of the strategies with a high or medium frequency. One possible reason for such a frequency can be the relationship between reading proficiency and active strategy use that has been thoroughly studied and documented for second language readers (Anderson, 1991; Cabral & Tavares, 2002; Upton, 1997; Yang, 2002; Zhang, 2001).

As for the differences between males and females, a negligible difference was observed between them, though it was not statistically significant. All in all, no significant differences were found between males and females in terms of overall strategy use. The amount of instruction received by both sexes can account for such negligible differences. In other words, a similar level of strategy application may indicate a similar amount of instruction. Language proficiency and years of study are other factors that can affect the perceived strategy use.

The findings of this study provide further support for previous studies conducted on the topic in the print environment (Phakiti, 2003; Poole, 2005; Sheorey & Mokhtari, 2001) which indicated that males and females did not differ significantly on overall strategy use and on any of the three subscales. In the context of online reading, these findings are in line with Amer et al. (2010) findings. Furthermore, as Sheorey and Mokhtari (2001) claim, such results are in contrast with previous strategy research (Poole, 2009; Sheorey, 2006; Sheorey & Boboczky, 2008) in which females reported using more strategies than males. In fact, according to Oxford (1993), females are higher L2 Achievers not because of their innate gender differences but because of their higher level of strategy use. This claim was supported by Sheorey and Mokhtari’s (2001) study in which more proficient L2 readers utilized more strategies than less proficient ones. Furthermore, Brantmeier (2001) found that passage content is pertinent to reading success. In other words, the type of passage affects students’ performance—i.e. males do better on science-oriented passages, while females score higher on humanities-related topics. Therefore, one conclusion that can be drawn is that, as Ehrlich (1997) claimed, it is possible that gender differences are more related to task demands and contextual motivation than biology.

The participants differed significantly on four individual strategies: one global strategy, two problem-solving strategies, and one support reading strategy. The results found in this study in the context of online reading are relatively consistent with Sheorey and Mokhtari’s (2001) results, which indicate that male and female college ESL students only differed in one individual strategy. The findings are also in line with Poole’s (2005) study which showed that both genders differed in two of the 30 individual strategies. They are also in line with Poole’s (2009) study in which females scored higher than males on eight individual strategies. As mentioned before, proficiency and the years of study may explain such differences. It could be that females had studied English for longer amounts of time than males.
All in all, the findings revealed that there was a relatively similar pattern of strategy use among males and females. No statistically significant differences were found between both genders in terms of three OSORS subscales.

The third research question sought to investigate the strategic readers in the offline and online environment. The results of the paired sample t-test indicate that strategic readers in the offline environment were strategic in the online environment. One explanation for this result is the connection between reading strategy use and overall reading proficiency. In other words, highly proficient readers may be more active strategy users than less proficient readers, as they are in both offline and online environments.

An important finding pertaining to the results of this research question is that the participants utilized all 30 strategies listed on SORS in the online environment. This shows that strategic readers transfer many of the strategies that they use in the print environment to the online environment. In this regard, the reading strategy instruction received by the participants can play an important role in their transfer of such strategies to the online environment. By considering the fact that the great majority of reading in Iran takes place in the print environment this is not entirely surprising.

Another finding is that strategic readers in the offline environment are not struggling readers in the online environment. This finding is in contrast with Coiro’s (2007) findings which indicated that lower-performing offline readers can be higher-performing online readers.

In conclusion, the results demonstrated that strategic readers in the offline environment were strategic readers in the online environment. Thus, good readers are active strategy users in both print and online contexts. Furthermore, the findings demonstrated that strategic readers transferred strategies used in the print environment to the online environment.

Reference


### Appendix

**Table 1. Participants’ Level of Strategy Use**

<table>
<thead>
<tr>
<th>Types Of Reading Strategies</th>
<th>Reading Strategies</th>
<th>M</th>
<th>SD</th>
<th>Level of Use</th>
</tr>
</thead>
<tbody>
<tr>
<td>Global Reading Strategies</td>
<td>1. Having a purpose in mind</td>
<td>3.86</td>
<td>.86</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>2. Live chatting with other learners</td>
<td>2.16</td>
<td>.79</td>
<td>Low</td>
</tr>
<tr>
<td></td>
<td>3. Live chatting with native speakers</td>
<td>1.90</td>
<td>.96</td>
<td>Low</td>
</tr>
<tr>
<td></td>
<td>5. Using prior knowledge</td>
<td>3.33</td>
<td>1.91</td>
<td>Medium</td>
</tr>
<tr>
<td></td>
<td>6. Scrolling through text</td>
<td>3.56</td>
<td>1.16</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>---</td>
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<td>---</td>
<td>---</td>
<td></td>
</tr>
<tr>
<td>8. Analyzing if the content fits purpose</td>
<td>3.63</td>
<td>1.06</td>
<td>High</td>
<td></td>
</tr>
<tr>
<td>10. Noting length and organization</td>
<td>2.66</td>
<td>1.03</td>
<td>Medium</td>
<td></td>
</tr>
<tr>
<td>14. Deciding what to read closely and what to ignore</td>
<td>3.66</td>
<td>.96</td>
<td>High</td>
<td></td>
</tr>
<tr>
<td>17. Clicking on links to other sites</td>
<td>3.03</td>
<td>1.06</td>
<td>Medium</td>
<td></td>
</tr>
<tr>
<td>18. Using tables, figures, and pictures</td>
<td>2.73</td>
<td>1.18</td>
<td>Medium</td>
<td></td>
</tr>
<tr>
<td>20. Using context clues</td>
<td>3.50</td>
<td>1.18</td>
<td>High</td>
<td></td>
</tr>
<tr>
<td>23. Using typographical features (e.g., italics)</td>
<td>3.26</td>
<td>.90</td>
<td>Medium</td>
<td></td>
</tr>
<tr>
<td>24. Evaluating and analyzing the information presented in the text</td>
<td>3.13</td>
<td>.81</td>
<td>Medium</td>
<td></td>
</tr>
<tr>
<td>26. Checking my understanding</td>
<td>3.40</td>
<td>1.14</td>
<td>Medium</td>
<td></td>
</tr>
<tr>
<td>27. Reading for academic purposes</td>
<td>3.23</td>
<td>1.05</td>
<td>Medium</td>
<td></td>
</tr>
<tr>
<td>28. Guessing what the content is about</td>
<td>3.60</td>
<td>1.00</td>
<td>High</td>
<td></td>
</tr>
<tr>
<td>31. Confirming predictions</td>
<td>3.16</td>
<td>1.02</td>
<td>Medium</td>
<td></td>
</tr>
<tr>
<td>33. Scanning the text before reading</td>
<td>3.46</td>
<td>1.09</td>
<td>Medium</td>
<td></td>
</tr>
<tr>
<td>34. Reading for fun</td>
<td>3.40</td>
<td>1.06</td>
<td>Medium</td>
<td></td>
</tr>
<tr>
<td>37. Looking for both sides of an issue</td>
<td>3.26</td>
<td>.93</td>
<td>Medium</td>
<td></td>
</tr>
<tr>
<td>Overall</td>
<td>3.19</td>
<td>1.05</td>
<td>Medium</td>
<td></td>
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<thead>
<tr>
<th></th>
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<tbody>
<tr>
<td>9. Reading slowly and carefully</td>
<td>3.66</td>
<td>1.07</td>
<td>High</td>
</tr>
<tr>
<td>11. Trying to stay focused on reading</td>
<td>3.66</td>
<td>.96</td>
<td>High</td>
</tr>
<tr>
<td>13. Adjusting reading speed</td>
<td>3.26</td>
<td>.82</td>
<td>Medium</td>
</tr>
<tr>
<td>16. Paying closer attention to reading</td>
<td>4.13</td>
<td>.91</td>
<td>High</td>
</tr>
<tr>
<td>19. Pausing and thinking about reading</td>
<td>2.76</td>
<td>.79</td>
<td>Medium</td>
</tr>
<tr>
<td>22. Visualizing information read</td>
<td>2.93</td>
<td>.99</td>
<td>Medium</td>
</tr>
<tr>
<td>29. Rereading for better understanding</td>
<td>3.86</td>
<td>1.04</td>
<td>High</td>
</tr>
<tr>
<td>32. Guessing meaning of unknown words</td>
<td>3.96</td>
<td>.80</td>
<td>High</td>
</tr>
<tr>
<td>35. Evaluating text before using it</td>
<td>3.26</td>
<td>1.08</td>
<td>Medium</td>
</tr>
<tr>
<td>36. Distinguishing fact from opinion</td>
<td>3.53</td>
<td>.90</td>
<td>High</td>
</tr>
<tr>
<td>Overall</td>
<td>3.50</td>
<td>.93</td>
<td>High</td>
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<tr>
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<tbody>
<tr>
<td>4. Taking notes while reading</td>
<td>1.63</td>
<td>.9</td>
<td>Low</td>
</tr>
<tr>
<td>7. Reading aloud when text is hard</td>
<td>1.96</td>
<td>1.05</td>
<td>Low</td>
</tr>
<tr>
<td>12. Printing out a hard copy of text</td>
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<td>1.00</td>
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<td>15. Using reference materials</td>
<td>2.33</td>
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</tr>
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<td>21. Paraphrasing for better understanding</td>
<td>2.56</td>
<td>.93</td>
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<td>25. Going back and forth in text</td>
<td>3.13</td>
<td>1.04</td>
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<td>38. Translating from English into Persian</td>
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<td>39. Thinking in both English and Persian</td>
<td>2.40</td>
<td>1.10</td>
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<td>Low</td>
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<td>Strategy</td>
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<td>Female (n = 15)</td>
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</tr>
<tr>
<td>1.</td>
<td>Having a purpose in mind</td>
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<tr>
<td>2.</td>
<td>Live chatting with other learners</td>
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<td>0.91</td>
</tr>
<tr>
<td>3.</td>
<td>Live chatting with natives</td>
<td>1.60</td>
<td>0.91</td>
</tr>
<tr>
<td>5.</td>
<td>Using prior knowledge</td>
<td>3.46</td>
<td>1.18</td>
</tr>
<tr>
<td>6.</td>
<td>Scrolling through text</td>
<td>3.40</td>
<td>1.05</td>
</tr>
<tr>
<td>8.</td>
<td>Analyzing if the content fits purpose</td>
<td>3.80</td>
<td>1.01</td>
</tr>
<tr>
<td>10.</td>
<td>Noting length and organization</td>
<td>2.53</td>
<td>1.06</td>
</tr>
<tr>
<td>14.</td>
<td>Deciding what to read closely and what to ignore</td>
<td>3.60</td>
<td>0.89</td>
</tr>
<tr>
<td>17.</td>
<td>Clicking on links to other sites</td>
<td>2.93</td>
<td>1.13</td>
</tr>
<tr>
<td>18.</td>
<td>Using tables, figures, pictures</td>
<td>2.93</td>
<td>0.96</td>
</tr>
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<td>20.</td>
<td>Using context clues</td>
<td>3.33</td>
<td>0.97</td>
</tr>
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<td>23.</td>
<td>Using typographical features</td>
<td>3.13</td>
<td>0.83</td>
</tr>
<tr>
<td>24.</td>
<td>Evaluating and analyzing the information presented in the text</td>
<td>3.26</td>
<td>0.96</td>
</tr>
<tr>
<td>26.</td>
<td>Checking my understanding</td>
<td>3.13</td>
<td>1.06</td>
</tr>
<tr>
<td>27.</td>
<td>Reading for academic purposes</td>
<td>3.06</td>
<td>1.16</td>
</tr>
<tr>
<td>28.</td>
<td>Guessing what the content is about</td>
<td>3.66</td>
<td>1.17</td>
</tr>
<tr>
<td>31.</td>
<td>Confirming predictions</td>
<td>3.26</td>
<td>1.27</td>
</tr>
<tr>
<td>33.</td>
<td>Scanning the text before reading</td>
<td>3.13</td>
<td>1.33</td>
</tr>
<tr>
<td>34.</td>
<td>Reading for fun</td>
<td>3.26</td>
<td>1.06</td>
</tr>
<tr>
<td>37.</td>
<td>Looking for both sides of an issue</td>
<td>3.20</td>
<td>1.37</td>
</tr>
<tr>
<td>9.</td>
<td>Reading slowly and carefully</td>
<td>3.46</td>
<td>0.74</td>
</tr>
<tr>
<td>11.</td>
<td>Staying focused on reading</td>
<td>3.80</td>
<td>0.86</td>
</tr>
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<td>13.</td>
<td>Adjusting reading speed</td>
<td>3.73</td>
<td>0.88</td>
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<tr>
<td>16.</td>
<td>Paying closer attention to reading</td>
<td>4.26</td>
<td>0.70</td>
</tr>
<tr>
<td>19.</td>
<td>Pausing and thinking about reading</td>
<td>2.33</td>
<td>0.81</td>
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<tr>
<td>22.</td>
<td>Visualizing information read</td>
<td>2.93</td>
<td>1.09</td>
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<tr>
<td>29.</td>
<td>Rereading for better understanding</td>
<td>4.13</td>
<td>1.35</td>
</tr>
<tr>
<td>32.</td>
<td>Guessing meaning of unknown words</td>
<td>4.00</td>
<td>0.65</td>
</tr>
<tr>
<td>35.</td>
<td>Evaluating text before using it</td>
<td>3.33</td>
<td>0.89</td>
</tr>
<tr>
<td>36.</td>
<td>Distinguishing fact from opinion</td>
<td>3.60</td>
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<td>0.91</td>
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</tr>
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<td>1.29</td>
<td>2.40</td>
</tr>
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</table>
Ageing and Employment Prospects: The Case of Slovenian Unemployed Workers

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Abstract: The paper analyzes the perceptions of older unemployed in Slovenian labour market. The empirical results are based on a survey, which was conducted in April 2009. The results show that even 52 % of older unemployed workers believe that they have been victims of age discrimination. They believe that age is a disadvantage when seeking work. The consequences of perceived discrimination are most often that the individuals do not apply for a job, because they feel that they would not be chosen, a highly undesirable result in an ageing population. The analysis is one of the few of its kind in the region. It also offers important policy conclusions and potential for future research.

Keywords: age discrimination, unemployed, demographic change, empirical analysis

1. Introduction

Sargeant (2006) claims that age defines numerous aspects of our everyday lives: the right to drive, to vote, to marry, to retire, to use public transport for free, to have children, to take on a leading post in a company and many other. Some age limits are very clearly defined by law, others exist as a norm, an accepted standard, something considered as ‘normal’. Therefore, as Sargeant (2006) says, the society at large constantly judges, whether someone is old, too old, or just old enough to do something.

When discussing age discrimination, it is important to distinguish ageism and age discrimination. Ageism is considered as attributing some general qualities that are understood as characteristic of older to a specific individual. Discrimination based on age, on the other hand, refers to the use of such generalizations as decision-making tools in employment process, promotion, additional on-the-job training and other. But ageism as such is closely related to discrimination (Macnicol, 2006).

Age discrimination and ageism (stereotyping) are especially problematic in the labour market. Many studies and data (discussed later on) report of the problems of older employed and unemployed in the labour market. Those employed have less chances of getting promoted, get less opportunities to receive additional training. They are perceived as a less productive, but expensive burden (OECD, 2006, pp. 63-64). Those unemployed on the other hand are less likely to find a job, have higher chance of becoming long-term unemployed; they feel discouraged and are prone to leaving the labour market as soon as possible (Age counts, 2009, Johnson and Park, 2011, Johnson, 2009).

1 An earlier version of this paper was presented at the conference "An Enterprise Odyssey: From Crisis to Prosperity - Challenges for Government and Business", held in Opatija, Croatia, May 26-29, 2010. We are grateful to the participants for their useful comments and suggestions.
The problem of old age discrimination in Europe is especially fierce in view of the demographic change. By 2060 European population (EU27) will change significantly in size and structure. Those, aged 65 or more, will represent 30% of total population compared to ‘just’ 17.1% in 2008. Dependency ratios are expected to deteriorate dramatically. By 2060 the ratio between old and those aged 15 to 64 will be 1 to 2. In 2008 four people aged 15 to 64 lived for every person aged 65 or more (Eurostat, 2011). Changing demographics is feared to have a detrimental impact on economic growth due to lack of (productive) workers (e.g. Prskawetz et al., 2008). But, at the moment the employment of older people is far from desirable Stockholm and Barcelona targets. In view of coming change, such a situation seems unreasonable and should be analyzed.

Partially, the low employment of older workers can be explained also by (perceived) discrimination. We believe that ageism as a tool for discrimination in the labour market is not specific just for the employers. The unemployed also perceive themselves partially as society does. As old. And feel thus more discouraged, which contributes to their comparatively poor position on the labour market.

The aim of the paper is to analyze the perceptions of older unemployed in comparison with the younger in the labour market in Slovenia about the importance of age. Our main hypothesis is that the old are much more pessimistic than the rest (the younger) about their situation, which is reflected also in the consequences of (perceived) discrimination and their actions to improve their situation. The analysis is based on survey results, conducted in April 2009.

The structure of the paper is as follows. First, we discuss the problem of ageism and age discrimination and the problem of age discrimination in the context of the demographic change, then we provide a brief analysis of causes of discrimination, followed by the analysis of the perceptions of age discrimination among Slovenian unemployed.

The paper makes several contributions to the existing literature. It is to the best of our knowledge one of the few empirical analyses of such kind among the unemployed in the region, adding to the understanding of the perception of discrimination in the discriminated group itself and allowing the study of its consequences in the region. The analysis is relevant also because of its policy implications. The results also show the differences between the two groups in the labour market: old and young, allowing the interested institutions to make educated and differentiated policy proposals.

2. Age discrimination in the context of demographic change

European future is one of demographic ageing (Eurostat, 2011). Current situation in the labour market, problems in employing older workers along with the attitudes towards older could be detrimental to future economic success. Primarily because ageing directly impacts the availability of human capital and also indirectly by impacting the supply.

2.1 Definition of age discrimination

Discrimination is a social phenomenon, leading to less favourable treatment of individuals because of their sex, nationality, skin colour, age, religion and other factors. Although discrimination is forbidden in many countries, it is nonetheless present and can significantly impact the relative position and self-confidence of an individual. Age discrimination is just one aspect of discrimination (Discrimination in the EU, 2009, Equality and human rights commission, 2011).

According to the International Longevity Centre (2009) Robert N. Butler coined the term ‘ageism’ in 1968. Since then, the term has been widely used, but, as ‘isms’ usually do, it continues to denote something negative. According to Traxler (1980, 4, in Woolf, 1998) ageism is ‘any attitude, action, or institutional

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2 Throughout the text we use ‘old’ and ‘young(er)’. We use ‘old’ to capture those aged above 49 years of age. The rest are referred to as young(er). 49 years is also the delimiting age normally used in the literature and statistical tables (for example, see Eurostat).
structure which subordinates a person or group because of age or any assignment of roles in society purely on the basis of age'. Several other definitions relate the problem of stereotyping the older population. Ageism is less acknowledged than racism or sexism, but it is nonetheless a harmful prejudice resulting in widespread mistreatment, such as stereotypic, even degrading media images, physical and financial abuse, unequal treatment in the labour market, lack of appropriate medical care and services and other (Promoting active ageing – capitalising on older people’s working potential, 2010).

Although ageism is not itself already age discrimination, it does serve as a foundation for it. According to Macnicol (2006) ageism is stereotyping, an attribution of generally perceived qualities to an individual without any solid base. Age discrimination is the use of these generalizations to make decisions about an individual. In case of the labour market, ageism or stereotyping of older is used to decide whether to employ, to promote, to provide extra training or education, to sack etc. Buesch et al. (2004) define age discrimination as fewer opportunities for older workers, which are not a result of lower productivity.

Data also show that discrimination is something to worry about, even if it is banned by law (see Ellis, 2005 on EU anti-discrimination law) and very clear guidelines on how to solve potentially questionable situations (e.g. dress codes, pregnancy, etc.) are prepared (for example see British Equality and human rights commission, 2010). Public opinion polls conducted by Eurobarometer (for example Discrimination in the EU 2007 and 2009) show that a large share of Europeans believe that discrimination based on age is widespread (46% in 2007, 58% in 2009). In 2009 Hungary was at the top with 79 % of respondents saying that age discrimination is widespread in their country, followed by citizens of the Czech Republic (74 %), France (68 %), Latvia (67 %) and The Netherlands (66 %). Slovenia is with 52 % ranked 19th. Age is also perceived by Europeans as an important disadvantage when seeking employment. In 2007 49% of respondents saw age as a disadvantage if companies had two equally qualified and skilled choices (a tie with disability). Interestingly, lookism won with 51%. In 2009 age discrimination was considered to be widespread by 58%. And people believed that financial crisis would actually increase discrimination, primarily based on age (64% of people), followed by ethnic origin (57%) and disability (56%).

2.2 Age and employment in the EU

Age is obviously perceived as disadvantage in public opinion polls. Unfortunately, employment data do not oppose this (we are not claiming any causality at this moment). The employment rate and activity rate of older population are lower than the averages in both Slovenia and EU and the rate of long-term unemployment among older is higher than among younger (Eurostat, 2011). What do these data imply for an ageing society?

By 2060 European population (EU27) will change significantly in both size and structure. Median age is expected to rise from 40.4 years (2008) to 47.9 years (2060). Those, aged 65 or more, will represent 30 % of total population compared to ‘just’ 17.1 % in 2008. Dependency ratios are expected to deteriorate dramatically. By 2060 the ratio between old (65+) and those aged between 15 and 64 will be 1 to 2. In 2008 four people aged 15 to 64 lived for every person aged 65 or more (Eurostat, 2011). This will increase the pressure on social welfare networks.

Ageing will affect macroeconomic performance and long term growth (Prskawetz et al., 2008), especially due to the changes in the labour force, which is still the most important production factor. The size and structure of the labour force will change. Domadenik et al. (2008) calculate that by 2040 the share of the workforce aged 50 or more in the total working age population (15-64) in Slovenia will reach 37 %, compared to roughly 27 % in 2005. Similar trends are also noticeable in other EU economies (Perlitz et al., 2010). In order to maintain macroeconomic dynamics, it is very important to ensure the participation of those aged 50 or more in the labour market.

Momentarily, the situation is rather grim. The EU Stockholm and Lisbon strategies’ goals stress that the employment of those aged 55 to 65 should increase to 50 % by 2010 (Stockholm target) and that the
retirement is expected to be delayed by 5 years (Barcelona target) (Report requested by Stockholm European Council: "Increasing labour force participation and promoting active ageing", 2002). But Eurostat (2011) data show that both in the EU and in Slovenia, the retirement age has been increasing very slowly, from 2001 till 2009 it increased by roughly a year in the EU-27 (from 59.9 to 61.4) and for about 3 years in Slovenia (from 56.6 in 2002 to 59.8 in 2006, the data for 2001, 2007-2009 were not available for Slovenia).

The employment rates of older workers (55 to 64 years) in the EU and in Slovenia are with the overall employment rate of 46.3 years in the EU in 2010 and 35.0 % for Slovenia also below the desired targets. Employment rates for men are with 54.6 % in 2010 above the 50 % target in the EU on average, but Slovenia lags well behind with 44.5 %. The problem is even deeper among women with only 38.6 % employment in the EU and very low 24.5 % in Slovenia. Although the situation has been generally improving since 1999 both in the EU and in Slovenia, the data is still worrying (Eurostat, 2011).

The unemployment data are also very unfavourable for the older workers. The older represent slightly less than a third of total number of unemployed since 2000 on (Table 1). But there are differences within this group: while the share of those aged 50-59 remained relatively stable between 2000 and 2009, the number of those aged 60 or more increased by 72% (Data: Employment service of Slovenia, 2010).

### Table 1. Structural characteristics of registered unemployment in Slovenia: endangered groups in % of total unemployed, 2000-2010

<table>
<thead>
<tr>
<th>Year</th>
<th>Average number of registered unemployed</th>
<th>26 years old or less</th>
<th>First time job seekers</th>
<th>Women</th>
<th>Long term unemployed</th>
<th>No formal education</th>
<th>+50</th>
<th>Disabled</th>
</tr>
</thead>
<tbody>
<tr>
<td>2000</td>
<td>106,601</td>
<td>23.4</td>
<td>17.9</td>
<td>50.7</td>
<td>62.9</td>
<td>47.2</td>
<td>27.5</td>
<td>16.1</td>
</tr>
<tr>
<td>2001</td>
<td>101,857</td>
<td>24.1</td>
<td>18.8</td>
<td>50.8</td>
<td>58.9</td>
<td>47.0</td>
<td>27.0</td>
<td>18.3</td>
</tr>
<tr>
<td>2002</td>
<td>102,635</td>
<td>24.0</td>
<td>19.6</td>
<td>51.2</td>
<td>54.4</td>
<td>47.0</td>
<td>25.4</td>
<td>18.3</td>
</tr>
<tr>
<td>2003</td>
<td>97,674</td>
<td>26.1</td>
<td>23.2</td>
<td>52.8</td>
<td>48.6</td>
<td>44.2</td>
<td>21.4</td>
<td>10.7</td>
</tr>
<tr>
<td>2004</td>
<td>92,826</td>
<td>26.2</td>
<td>25.2</td>
<td>53.1</td>
<td>46.2</td>
<td>41.6</td>
<td>21.0</td>
<td>9.2</td>
</tr>
<tr>
<td>2005</td>
<td>91,889</td>
<td>24.2</td>
<td>24.3</td>
<td>53.8</td>
<td>47.3</td>
<td>40.8</td>
<td>22.7</td>
<td>9.9</td>
</tr>
<tr>
<td>2006</td>
<td>85,636</td>
<td>21.2</td>
<td>22.3</td>
<td>54.8</td>
<td>48.8</td>
<td>39.3</td>
<td>25.4</td>
<td>10.9</td>
</tr>
<tr>
<td>2007</td>
<td>71,336</td>
<td>16.7</td>
<td>19.4</td>
<td>54.9</td>
<td>51.2</td>
<td>39.3</td>
<td>31.1</td>
<td>13.8</td>
</tr>
<tr>
<td>2008</td>
<td>63,216</td>
<td>14.4</td>
<td>16.9</td>
<td>52.8</td>
<td>51.1</td>
<td>40.1</td>
<td>30.6</td>
<td>16.8</td>
</tr>
<tr>
<td>2009</td>
<td>86,354</td>
<td>15.4</td>
<td>14.3</td>
<td>49.1</td>
<td>36.5</td>
<td>39.4</td>
<td>30.3</td>
<td>14.1</td>
</tr>
<tr>
<td>Dec. 2010</td>
<td>110,021</td>
<td>16.5</td>
<td>14.6</td>
<td>50.9</td>
<td>39.4</td>
<td>36.3</td>
<td>30.0</td>
<td>17.3</td>
</tr>
</tbody>
</table>

Data: Employment service of Slovenia, 2010-2012.

Older are also much more endangered to become long term unemployed. The data for the duration of unemployment between 2001 and 2010 shows that on average, the duration of unemployment was deceasing in this period, and fell by approximately 1 year from 2 years 7 months to 1 year and 8 months in 2010. But the duration of unemployment depended on age. Already the 40-50 year-olds could expect to stay unemployed longer, only by 3 months in 2010, but the difference increases with age. Those aged between 50 and 60 stayed unemployed longer by about 9 months in 2010, while those aged 60 or more by a year and 3 months longer. The difference is systematic, very obvious both in men and women. Data definitely confirm the unfavourable position of older workers in the labour market in Slovenia (Table 2).
Table 2. Unemployment duration by age between 2010 and 2010 (May)*

<table>
<thead>
<tr>
<th>Year</th>
<th>Total</th>
<th>Up to 18</th>
<th>Over 18 to 25</th>
<th>Over 25 to 30</th>
<th>Over 30 to 40</th>
<th>Over 40 to 50</th>
<th>Over 50 to 60</th>
<th>Over 60</th>
</tr>
</thead>
<tbody>
<tr>
<td>2001</td>
<td></td>
<td>2y 7m 6d</td>
<td>0y 5m 27d</td>
<td>0y 10m 14d</td>
<td>1y 6m 1d</td>
<td>2y 4m 26d</td>
<td>3y 4m 21d</td>
<td>3y 11m 11d</td>
</tr>
<tr>
<td>2002</td>
<td></td>
<td>2y 4m 11d</td>
<td>0y 6m 30d</td>
<td>0y 10m 18d</td>
<td>1y 5m 0d</td>
<td>2y 2m 13d</td>
<td>3y 0m 15d</td>
<td>3y 8m 8d</td>
</tr>
<tr>
<td>2003</td>
<td></td>
<td>1y 10m 22d</td>
<td>0y 5m 1d</td>
<td>0y 9m 22d</td>
<td>1y 3m 15d</td>
<td>1y 11m 26d</td>
<td>2y 5m 29d</td>
<td>2y 9m 10</td>
</tr>
<tr>
<td>2004</td>
<td></td>
<td>1y 9m 8d</td>
<td>0y 5m 3d</td>
<td>0y 9m 0d</td>
<td>1y 2m 10d</td>
<td>1y 10m 5d</td>
<td>2y 5m 6d</td>
<td>2y 6m 20d</td>
</tr>
<tr>
<td>2005</td>
<td></td>
<td>1y 10m 21d</td>
<td>5m 16d</td>
<td>9m 10d</td>
<td>1y 3m 4d</td>
<td>2y 0m 4d</td>
<td>2y 7m 2d</td>
<td>2y 7m 15d</td>
</tr>
<tr>
<td>2006</td>
<td></td>
<td>2y 0m 16d</td>
<td>5m 28d</td>
<td>9m 16d</td>
<td>1y 2m 17d</td>
<td>2y 1m 13d</td>
<td>2y 9m 7d</td>
<td>2y 8m 0d</td>
</tr>
<tr>
<td>2007</td>
<td></td>
<td>2y 2m 2d</td>
<td>5m 15d</td>
<td>7m 19d</td>
<td>1y 1m 19d</td>
<td>2y 1m 25d</td>
<td>2y 11m 23d</td>
<td>2y 9m 4d</td>
</tr>
<tr>
<td>2008</td>
<td></td>
<td>2y 0m 25d</td>
<td>4m 16d</td>
<td>6m 3d</td>
<td>11m 3d</td>
<td>1y 9m 26d</td>
<td>2y 8m 25d</td>
<td>2y 10m 8d</td>
</tr>
<tr>
<td>2009</td>
<td></td>
<td>1y 6m 25d</td>
<td>4m 27d</td>
<td>6m 14d</td>
<td>9m 13d</td>
<td>1y 3m 23d</td>
<td>1y 11m 20d</td>
<td>2y 3m 3d</td>
</tr>
<tr>
<td>2010</td>
<td></td>
<td>1y 7m 27d</td>
<td>6m 19d</td>
<td>8m 14d</td>
<td>10m 12d</td>
<td>1y 4m 11d</td>
<td>2y 0m 23d</td>
<td>2y 3m 10d</td>
</tr>
</tbody>
</table>

* Y denotes years, m denotes months and d denotes days.

Data: Employment service of Slovenia, 2011.

The position of older workers in Slovenia is grim. On the other hand, 'The 2009 ageing report' stresses that the labour market participation is expected to increase in the future, especially among older, those aged 55 to 64: by 20 percentage points for women and 10 for men. For now, the trends are not favourable. In the context of these changes, it is very important to examine and understand the motivation of all parties in the labour market. It is important to understand how and why the firms employ and what the logic of individual labour supply is and his motivation and drive to seek work at an older age. And potential discrimination is very important in this context. Will only the lack of labour solve the problem of discrimination or will just the barrier be moved to an older age?

3. Age and employment: employer and (potential) employee perspective

The obstacles for older workers in the labour market can be identified both on the side of companies as well as among workers themselves. Grossman (2005, p.72) stresses that despite the legal protection against age
discrimination; the general notion among the companies is still that ‘it is hard to teach an old dog new tricks’. The workers inevitably feel this general attitude and can consequently become even more unmotivated to work, invest into training or seek work. The two phenomena can result in a negative spiral leading to low employment among old and worse results in comparison with the young.

This is similar to the opinion of Berger (2006), who stresses that the existing literature mistakenly links individual’s identity to age and individual’s identity to work. All three elements should be considered together, especially in cases when individuals seek work. Such an approach is also the starting point of our analysis. Therefore, we first analyze the position of the employers, followed by the attitudes of the workers.

Why are companies more prone to employing the young? According to many authors, the causes are in the perceived economic benefits of employing the young. According to Hutchens (1988) the young have the comparative advantage of being able to stay in the company longer, which is a rational cause for employing younger. Thus the company is more motivated to employ and invest into the training of younger workers, especially in those industries and jobs where specific knowledge and training is required. Consequently Hutchens (1988) claims that ageing leads to fewer job opportunities. Similarly, also Roscigno et al. (2007) claim that age discrimination is becoming more evident with ageing, and is most evident once a person is close to retirement age. Exclusion is the most common form and the primary causes are the standard stereotypes that older are less flexible, have a lower learning ability, are less productive and also simply the fact that clients might prefer younger employees.

Schwarz-Woelzl et al. (2008) claim that many managers believe that younger candidates are more energetic, flexible and have more desire for training. Also, they claim, that in many cases the organizational culture is such that younger workers are the yardstick. Consequently, authors stress, that mature job seekers get caught in a discrimination cycle, which stresses limited ability to benefit from training, thus to actual exclusion from training, outdated skills. Downsizing also comes as a greater expense for older, according to Schwarz-Woelzl et al. (2008).

But, as Schwarz-Woelzl et al. (2008) stress, ageing is an individual process, which includes both a decrease in certain functions but also an increase. And regardless of age, everyone faces the problems of adapting, learning, adjusting the behaviour and developing new perspectives in life, as a result of individual ageing process. The authors (2008, p. 6) thus emphasize that ‘the decisive factors for a person’s individual ageing process are to be found in his or her specific life and job history’.

The relatively bad comparative position of the older workers is in part caused also by the beliefs and attitudes of the workers themselves. Berger (2006) stresses the triangular linkage among identity, work and age. Usually, theory linked identity and age and separately also identity and work. But the three elements should be analyzed together in order to understand fully the individual’s motives, attitudes and motivation in the process of seeking work.

Kooij et al. (2008) claim that there are a number of reasons that stem from the individual’s attitudes and could explain, at least in part, why old age discrimination appears:
1. When a person is approaching the retirement age, often work becomes perceived as a burden and people become less involved with the job processes;
2. Older workers might feel less capable and more dependent on others, which has a negative impact on motivation;
3. Older workers are less productive due to rusted skills and knowledge, which can also be caused by the inability or the lack of desire to learn;
4. Age has also negative consequences on personal strength, reactions, abilities to learn, memory;
5. Older people appreciate leisure more, therefore their work drive and motivation are lower.

The analyses show that the causes of discrimination can be identified on both the supply and the demand side. In order to raise the employment of older workers, the understanding of these problems is crucial.
4. The case of unemployed in Slovenia

In Slovenia, the employment rate of older workers is below the desired targets, the unemployment rate is higher and the duration of unemployment is significantly higher than on average. One of the potential causes could be discrimination.

The purpose of the analysis is to identify whether older unemployed feel (perceive) that age discrimination is actually present and presents the nature and consequences of perceived discrimination.

The study is based on survey data, carried out in April 2009 with the assistance of ‘Employment service of Slovenia’³, the national unemployment agency among the unemployed in all Slovenian regions. The response rate was 37.1 %.

4.1 Sample description

The sample of unemployed consisted of 371 people, 127 men and 241 women (3 did not provide information on their sex). The average age of the respondents was 37.36 years, 37.55 for men and 37.32 for women. 84 respondents were aged 50 or more, the average age of the older group was 54.33 years. 283 respondents were aged 49 or less, the average age in this age group was 32.34 years.

The majority of the respondents finished secondary schooling (41.8 %), followed by those with a ‘vocational degree’ (14.3 %), those with the university degree (13.2 %) and those with only primary degree or even less (11.6 %). The differences in educational attainment among the two age groups are only slight; the biggest difference is in the share of those with secondary diploma, which is bigger among the younger group (43.1 %) than the old (38.1 %). But cumulatively in both age groups around 75 % of the respondents have secondary schooling or less.

4.2 Results

As we continue, we present the results of the survey. We show that there is a strong feeling among the older that age is a disadvantage.

The respondents were directly asked, whether they feel that they have been already victims of age discrimination. 52 % of older unemployed workers believe that they have been, while only 24 % of those younger than 50 (denoted as the rest in the Figure 1) feel so, while on average 30.5 % of respondents feel that they have been discriminated⁴. The average value of the binomial variable is quite informative: for older unemployed it is 0.58, while for the rest only 0.25. The differences between both groups (old and the rest) are highly statistically significant with p=0.000.

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³ The Employment Service of Slovenia helped the survey by asking their regional offices for assisting us in distributing the questionnaires and returning them to us. Without their support such an analysis would be much harder. In total, 1000 questionnaires were distributed randomly.

⁴ The percentage generally might not be as high as expected given the Eurobarometer study, but our survey asked ‘Whether you believe that you have already been discriminated’, which is much different than the Eurobarometer (2009), where the question focuses on ‘how widespread do the respondents believe that a certain type of discrimination is’.

191
Figure 1. Do you feel that you have been already victims of age discrimination? Average answer *

<table>
<thead>
<tr>
<th></th>
<th>Average Answer</th>
</tr>
</thead>
<tbody>
<tr>
<td>Rest</td>
<td>0.25</td>
</tr>
<tr>
<td>Rest women</td>
<td>0.31</td>
</tr>
<tr>
<td>Rest men</td>
<td>0.13</td>
</tr>
<tr>
<td>Old</td>
<td>0.58</td>
</tr>
<tr>
<td>Old men</td>
<td>0.63</td>
</tr>
<tr>
<td>Old women</td>
<td>0.55</td>
</tr>
</tbody>
</table>

* Answers were either 0 (No) or 1 (Yes).

Gender differences are also highly interesting. The percentage of those who believe that they have been discriminated is also significantly higher among older men with 60.6% than among older women (47.1%). The differences are not statistically significant (p = 0.186). It must also be noted that the minimum retirement age for men is higher than for women (56.75 years for women and 58 for men in 2010), which can influence the result given that men must be active longer and are therefore also longer exposed to this problem. Within the younger than 50 group (the rest) the differences are also quite notable with men being less affected as perceived by age discrimination. The differences between the two gender groups in this case are statistically significant (p = 0.0005).

In order to further examine the perceived status of older in the labour market, a series of questions was asked. The perception of age discrimination existence is also confirmed by the fact that the respondents believe that age is a disadvantage when seeking work and they report of mistreatment. Respondents were asked (on a scale from 1 to 5), whether they agree that the companies prefer to employ younger people. In the group of older respondents, the mode was even 5 and the average was 4.23. The younger group was indecisive with a mode of 3 and an average of 3.65 (Table 3).

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5 It is very interesting that the gender differences within the group of older are much less notable than in the group of the rest. The average age of younger than 50 women was 33 years (median 31), while the average age of men in the group was 31.4 years (median 30). Given that in both cases, the majority of respondents were on the left side of the age distribution, the perceived age discrimination could be linked to the problem of motherhood (potential motherhood) in young women. Data shows that 58.9% of those younger women that claim to feel discriminated also have children (only 44.1% of those that did not feel discriminated).
**Table 3.** To what extent do you agree with the following statements? Average answer.*

<table>
<thead>
<tr>
<th>Statement</th>
<th>Group</th>
<th>N</th>
<th>Mean</th>
<th>t</th>
<th>Sig. (2-tailed)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Companies always choose the younger of the two otherwise comparable</td>
<td>Old</td>
<td>84</td>
<td>4.23</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td>candidates.</td>
<td>Rest</td>
<td>281</td>
<td>3.65</td>
<td>4.394</td>
<td>.000</td>
</tr>
<tr>
<td>Older workers are in worse shape, have poorer health, therefore the</td>
<td>Old</td>
<td>83</td>
<td>3.66</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td>employers rather don’t employ them.</td>
<td>Rest</td>
<td>280</td>
<td>3.69</td>
<td>-1.73</td>
<td>.086</td>
</tr>
<tr>
<td>The older are not prepared to learn, therefore the employers rather do not</td>
<td>Old</td>
<td>83</td>
<td>3.16</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td>employ them.</td>
<td>Rest</td>
<td>278</td>
<td>3.22</td>
<td>-3.87</td>
<td>.000</td>
</tr>
<tr>
<td>The older are less flexible and have problems adjusting to change, which</td>
<td>Old</td>
<td>83</td>
<td>3.24</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td>is also an obstacle.</td>
<td>Rest</td>
<td>281</td>
<td>3.31</td>
<td>-4.26</td>
<td>.000</td>
</tr>
<tr>
<td>The younger are less loyal to the company, if a good opportunity arises,</td>
<td>Old</td>
<td>83</td>
<td>4.01</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td>they change job.</td>
<td>Rest</td>
<td>275</td>
<td>3.90</td>
<td>.763</td>
<td>.447</td>
</tr>
<tr>
<td>The younger are more productive.</td>
<td>Old</td>
<td>80</td>
<td>3.18</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Rest</td>
<td>279</td>
<td>3.44</td>
<td>-1.63</td>
<td>.104</td>
</tr>
<tr>
<td>The younger are prepared to work overtime.</td>
<td>Old</td>
<td>81</td>
<td>2.84</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Rest</td>
<td>270</td>
<td>3.20</td>
<td>-2.21</td>
<td>.029</td>
</tr>
<tr>
<td>The younger are prepared to work overtime in order to be promoted.</td>
<td>Old</td>
<td>83</td>
<td>3.08</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Rest</td>
<td>277</td>
<td>3.42</td>
<td>-2.26</td>
<td>.029</td>
</tr>
<tr>
<td>Parents with young children also have problems when seeking work.</td>
<td>Old</td>
<td>83</td>
<td>4.02</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Rest</td>
<td>281</td>
<td>3.84</td>
<td>1.338</td>
<td>.183</td>
</tr>
<tr>
<td>Young women are due to potential pregnancy and motherhood in a</td>
<td>Old</td>
<td>80</td>
<td>4.25</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td>My experience is that family is an obstacle for finding a job.</td>
<td>Old</td>
<td>80</td>
<td>3.09</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Rest</td>
<td>278</td>
<td>2.99</td>
<td>.650</td>
<td>.516</td>
</tr>
<tr>
<td>The older workers in higher positions are an obstacle for the promotion of</td>
<td>Old</td>
<td>82</td>
<td>3.59</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td>the young.</td>
<td>Rest</td>
<td>282</td>
<td>3.45</td>
<td>.923</td>
<td>.357</td>
</tr>
</tbody>
</table>

* Evaluated on a scale from 1 to 5 (1- strongly disagree, 2-do not agree, 3 – I do not know, 4 – agree, 5 – strongly agree).

Table 3 presents also some other stereotypical statements on age and labour market. Although the answer to the first claim on employers always choosing the young is very clear, the rest of the statements obtained much less ‘stereotypical’ support. It could be expected that those younger would claim older to be inflexible, not so eager to learn, but the differences are not as clear as expected. Although there is some indication that the young believe to be more productive (p=0.104) and clear indication that they believe to be more prepared to work overtime also in order to be promoted (p=0.002 in both cases).

Table 4 presents the personal experience of the unemployed in the labour market and in the companies. Importantly, there is again clear persuasion in the group of older workers that the companies prefer to employ the young (also differences significant with p=0.000). Consequently, the unemployed quite strongly agree to be consequently less motivated to seek work (again differences significant with p=0.000). Older also feel more pushed away than the younger, they feel that despite their education and experience, they do not get the appropriate decision-making power (with significant differences with the rest at p=0.000 in both cases). The results show that the older are less eager of attending additional training than the rest (p=0.16), although on average they agree more with the statement that they had opportunity in the past for it and also took it (p=0.000 and p=0.062).
Table 4. Answers to ‘what extent do you agree with the following statements? Please, evaluate on a scale from 1 to 5 (1- strongly disagree, 2-do not agree, 3 – I do not know, 4 – agree, 5 – strongly agree).’ Average answer value provided.

<table>
<thead>
<tr>
<th>Group</th>
<th>N</th>
<th>Mean</th>
<th>t</th>
<th>Sig. (2-tailed)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Old</td>
<td>83</td>
<td>3.82</td>
<td>-2,445</td>
<td>.016</td>
</tr>
<tr>
<td>Rest</td>
<td>279</td>
<td>4.15</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Old</td>
<td>83</td>
<td>3.45</td>
<td>4,784</td>
<td>.000</td>
</tr>
<tr>
<td>Rest</td>
<td>272</td>
<td>2.62</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Old</td>
<td>82</td>
<td>4.30</td>
<td>-2,445</td>
<td>.016</td>
</tr>
<tr>
<td>Rest</td>
<td>276</td>
<td>4.07</td>
<td>1,883</td>
<td>.062</td>
</tr>
<tr>
<td>Old</td>
<td>84</td>
<td>3.67</td>
<td>-2,81</td>
<td>.779</td>
</tr>
<tr>
<td>Rest</td>
<td>273</td>
<td>3.71</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Old</td>
<td>82</td>
<td>4.67</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Rest</td>
<td>274</td>
<td>4.73</td>
<td>-6,38</td>
<td>.524</td>
</tr>
<tr>
<td>Old</td>
<td>82</td>
<td>4.27</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Rest</td>
<td>275</td>
<td>3.69</td>
<td>4,855</td>
<td>.000</td>
</tr>
<tr>
<td>Old</td>
<td>82</td>
<td>3.60</td>
<td>6,683</td>
<td>.000</td>
</tr>
<tr>
<td>Rest</td>
<td>273</td>
<td>2.58</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Old</td>
<td>83</td>
<td>3.46</td>
<td>3,196</td>
<td>.002</td>
</tr>
<tr>
<td>Rest</td>
<td>275</td>
<td>2.99</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Old</td>
<td>82</td>
<td>3.55</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Rest</td>
<td>274</td>
<td>2.88</td>
<td>4,675</td>
<td>.000</td>
</tr>
<tr>
<td>Old</td>
<td>83</td>
<td>3.75</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Rest</td>
<td>276</td>
<td>2.79</td>
<td>7,172</td>
<td>.000</td>
</tr>
</tbody>
</table>

* Evaluated on a scale from 1 to 5 (1- strongly disagree, 2-do not agree, 3 – I do not know, 4 – agree, 5 – strongly agree).

These results are very important in terms of motivation of older unemployed to actively seek work, to be involved in life-long learning and to remain motivated and involved at work.

The analysis was based on a sample of unemployed. The unemployed are those according to ILO that actively seek work. Employment prospects depend on a series of factors, most importantly experience and education. But if discrimination is felt to be a problem, the perspective of relative importance of employment factors could become skewed with age obtaining more than needed attention. Namely, the results show that although the candidates are comparable in all aspects, except age, the belief is that the younger candidate will have an advantage over the old. In order to examine the position of the older workers vs. the young, the respondents were also asked to choose whether age is the most important factor for obtaining work and if not, which is (Figure 2).

Each respondent either chose age or multiple other factors. 18 % of the younger respondents feel that age is the most important factor when seeking work compared to 37 % of the older respondents. The differences between the two groups are statistically highly significant ($p=0.000$). Among those in the younger group, that do not agree that the age is the most important factor, the most commonly chosen factor was ‘work knowledge and experience’, which was chosen by 50.5 % of all young people (143 respondents), statistically significantly more than among the old, it was chosen by 27.4 % of all older respondents (23 people) ($p=0.000$). Also ‘work knowledge and experience’ is not the most common factor chosen by the older, namely the older believe that it is the networking that is most important next to age. This was chosen by 38 % of all older respondents (32 people).
Among other factors, formal education was very important (40 % of younger, 20 % of older), recommendations (26 % of older, 23.9 % of younger) and health (around 22 % in both age groups). This again reveals that the older feel that their age is important and that this feeling is stronger than it is among the younger respondents. It is also interesting that those, that did not choose age as most important, often chose ‘networking’ as an important factor. This factor could also be understood in a manner that the older see ‘connections’ as their way out.

**Figure 2.** Do you believe that age is the most important factor when seeking a job? In % of all. *

* The respondents could choose Yes. If they chose 'not', they could circle multiple ‘Not’ answers and point to those that are more important than age according to their belief.

The respondents were also asked which of the listed events did, according to their belief, happen to them due to their age. Although the answers among the two age groups of respondents do not differ significantly, the results again indicate that age is a problem when seeking work. 51 % of older respondents (43 people) chose the answer ‘the problem of getting a job’, which was also chosen by 26 % of younger respondents (76 people). The older population also mentions getting a worse contract, which was chosen by 28.4 % of respondents (Figure 3).
Figure 3. Which of the following events did you, according to your belief, experience because of your age? Multiple answers were possible.

![Bar chart showing the distribution of events experienced by older and younger respondents.]

Usually, the older unemployed are the more problematic age group among the unemployed; the likelihood of becoming long-term unemployed is higher. Therefore it is even more important that the older group does not feel discriminated or that the feeling that age might be of importance does not change their motivation to seek work. Also, they might be more inclined towards trying to retire early, which is in the light of demographic change again an unfavourable consequence.

The consequences of perceived discrimination are just as important as the consequences of actual discrimination in terms of economic and social (individual) consequences. The analysis showed that the perception that age is important led to the most undesirable outcome – the individuals did not apply for a job, because they felt that they would not be chosen. 34.5 % of the older respondents claimed to have done so in comparison with 21.9 % of the younger.

An additional problem of feeling discriminated and having low chances for employment can lead also to other important consequences which further deteriorate personal self-perception and motivation to seek work. Therefore, it was also very important to examine the impact that the feeling of being discriminated had on the individuals (Figure 4). 32.5 % of younger respondents and 45.2 % of older (again, multiple answers were possible) chose the answer that this led to lower self-esteem. 31.1 % of younger and 46.4 % of older felt that they lost the hope for getting a job in the future. Similarly, a fear of when they would find work appeared in 34.2 % of younger respondents and 33.3 % of older. 24.0 % of younger respondents and 33.3 % of older also lost confidence in their skills, knowledge and abilities.
Overall, the results indicate that age is perceived to be a problem among the older population of unemployed. Indeed, the analysis was limited by the sample, both its size and structure, heavily skewed in size towards the younger. Nonetheless, the majority of results would most likely be confirmed also in a larger sample. This remains one of the key challenges in future work.

5. Future research challenges and conclusion

Age discrimination refers to less favourable treatment of those of certain age, usually young and old age discrimination appears. It affects decisions whether to employ, promote, provide extra training or education, sack etc.

The article focused on old age discrimination. Given the forthcoming dramatic demographic shift the problem of age discrimination should be considered very seriously since it affects the ability and the desire or motivation of older to work. In order to formulate suitable policy measures to stimulate the employment of older, it is very important to examine and understand the motivation of all parties in the labour market. The article contributes to the problem by providing an insight into the logic of individual labour supply, the motivation and drive to seek work at an older age. The existence of both actual as well as potential (perceived) discrimination is very important in this context.

The purpose of the article was to analyze the situation among the unemployed in Slovenia. Primarily, we wanted to understand their comparative position as perceived by themselves. The results show that 52% of older unemployed workers believe that they have been victims of age discrimination, and there is additional strong indication that they do believe that age is a disadvantage when seeking work. The older namely statistically significantly more often than the rest feel that age is the most important factor when seeking work, more important than education or experience. Also, they believe that it was harder due to age to get a job,
also a less favourable job contract and getting fired due to age are much more common beliefs among the older.

Unfortunately, the perceived worse position of the older in the labour market in the end as results show lead to the most undesirable outcome. Statistically significantly the older are less motivated to seek work as a consequence, even more, 34% report that they do not apply for a job, because they feel that they would not be chosen. They feel more pushed away than the younger, they feel that despite their education and experience, they do not get the appropriate decision-making power and show less desire for additional training. In perspective of an ageing population such results are highly undesirable and should be tackled by a set of policy measure to keep older workers motivated and engaged in life-long learning.

The topic is very relevant also for future research. First, an analysis of the employees in a similar manner would be useful to obtain the comparative position of individuals’ self-perception conditional on employment. Also, repeating the survey and increasing the sample would provide better and more reliable results and would also allow an important comparison in time and would also show the impact of the economic crisis. A similar analysis for the young, often mentioned as those in comparatively worse position in the labour market, presents an additional challenge. Merging these results with the views of the companies would provide a valuable input for the policy-makers.

References


Traffic Congestion at Road Intersections in Ilorin, Nigeria

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Abstract: The paper examined traffic congestion problems and their causes at selected road intersections in Ilorin, Nigeria. The characteristics of the intersections that predispose them to congestion problems and the spatial pattern of traffic congestion at the road intersections were also identified. In addition, traffic volume and delays were estimated and causes of delays identified. Data were collected through direct field survey on intersection characteristics, traffic volume and composition, traffic delay and causes and land use activities. Data were also collected from past research reports, journals, textbooks, maps and the Internet. The analysis of data collected revealed that spatio-temporal variations exist in traffic flows and delays at the studied intersections. Also, traffic wardens and parking problems were found to be the greatest causes of delays at the road intersections in the city. The study therefore recommends that the road intersections be signalized and vehicle parking be strictly prohibited at road intersections to reduce traffic congestion and delays at road intersections in the city.

Keywords: traffic congestion, road intersection, traffic volume, traffic delay, land use

1 Introduction

Cities and their transport systems are fully complementary. As defined by Rodrigue et al (2006), cities are locations with a high level of accumulation and concentration of economic activities, which form complex spatial structures that are supported by transport systems. The transportation systems according to Berry and Hurton (1970) are the veins and arteries of urban areas linking together social and functional zones. Urban productivity is highly dependent on the efficiency of its transport systems to move people and goods between multiple origins and destinations. Thus, the most important transport problems are often related to urban areas when transport systems, for a variety of reasons, cannot satisfy the numerous requirements of urban mobility (Rodrigue et al, 2006).

One of the most significant urban transport problems is traffic congestion. It is experienced when the supply of the urban transport networks can no longer meet the demand for them. Today nearly all cities in both developed and developing countries suffer from traffic congestion. It manifests itself predominantly in recurrent queues, delays and time wastage which commuters experience along major networks especially during rush hours. Due to incessant increase in population, increase in household incomes and its resultant increase in the level of car usage coupled with poor land-use planning, poor transport design and planning, traffic congestion has become an intractable problem in urban centres in Nigeria.

Traffic congestion is a major curse on urban movements. It is a plague that has become an integral part of normal life in almost all urban areas in the world. More seriously, traffic congestion causes unpredictability in journey times, thereby making urban commuters to plan for these problems by leaving home early just to avoid being late.

The problem of traffic congestion in urban areas is worse at road intersections. Indeed, there is no other point on cities roads that can be greatly congested as road intersections. As defined by O’Flaberty (1997), intersections (where two or more roads meet), are points of vehicle conflict. Similarly, Mchsare et al (1998)
noted that at no other location within the street and highway systems are so many potential and actual
collisions than at road intersections. This is because at intersections, vehicular flows from several different
approaches making either left-turn, through and right-turn movements seek to occupy the same physical
space at the same time. In addition to these vehicular flows, pedestrians also seek to use this space to cross
the street and thereby worsening the already bad traffic situation.

Urban traffic problems are further exacerbated by the concentration of most of the working places in the
same areas (usually in the city centres), so that traffic is essentially unidirectional during the morning and
evening peak periods (see Okpala, 1980; Onakomaiya and Ekanem, 1981). It is this latter problem which
results in spatial variation of congestion in urban areas that this study examines. The principal objective of
this study is to examine the spatial aspects of traffic congestion at road intersection in Ilorin, as well as
identify the possible causes and proffer solutions.

The issue of traffic congestion in Ilorin like many other state capitals in Nigeria draws significant attention
each day. Intra-urban movements to work, recreational centres, markets, shops and schools are becoming
more and more difficult and are characterized by discomfort, delays, waste of time, energy and resources.
The problem is more pronounced during the peak periods of morning and evening when vehicles stand still in
long queues resulting in stress and reduction in the productive hours of commuters. Although the situation in
Ilorin has not grown out of control, signs of potential bottlenecks are already emerging along some routes.

2. Traffic Flow Theories and Congestion Problems

Traffic congestion emanates from the problems encountered with traffic flow. Traffic flow is the movement
of individual drivers and vehicles between two points and the interactions they make with one another.
Unfortunately, studying traffic flow is difficult because driver behaviour is something that cannot be predicted
with one-hundred percent certainty. Fortunately, drivers tend to behave within a reasonably consistent range
and thus, traffic streams tend to have some reasonable consistency and can be roughly represented
mathematically. The three main characteristics among which relationships can be established mathematically
in traffic flow are: flow, density and velocity. These relationships help in planning, design and operation of
roadway facilities.

The speed is the space mean speed; the density or concentration is the number of vehicles per unit length
of the highway and the flow is the number of vehicles passing a given point on the highway per unit time.

The relationship between these parameters of the flow may be derived as follows: consider a short cross
section of highway length L in which N vehicles pass a point in this section during a time interval T, all
vehicles travelling in the same direction. (Salter, 1974).

The volume of flow \( Q = \frac{N}{T} \)

The density \( D = \frac{\text{average no. of vehicles travelling over } L}{L} \)

The average number of vehicles travelling over \( L \) is given by;

\[ D = \frac{\sum_{i=1}^{N} t_i}{L} \]

where \( t \) is the time of travel of the \( i^{th} \) vehicle over the length \( L \); then

\[ D = \frac{\sum_{i=1}^{N} t_i}{T} = \frac{N}{T} = \frac{L}{N \sum_{i=1}^{N} t_i} \]
Numerous observations have been carried out to determine the relationship between any two of these parameters for, with one relationship established the relationship between the three parameters is determined. Usually the experimenters have been interested in the relationship between speed and volume because of a desire to estimate the optimum speed for maximum flow (Salter, 1974; Pensaud and Hurdle, 1991; Hall and Banks, 1992; Disbro and Frame, 1992).

Geographical theories have also been used to explain traffic flow. A basic geographical interest in flow is to provide answer to the question – “why do people and goods move in space?” Ullman (1956) postulated three conditions for spatial interaction (flow), namely complementarity, intervening opportunity and transferability.

The first condition, according to Hagget (1972) is a function of areal differentiation of places. In order for two places to interact, there must be a supply or surplus in one place and a demand or deficit in another which must be specifically complementary. Complementarity will however generate flows between two places only if no intervening opportunity occurs. This means the absence of another location in-between the two places which may provide an alternative source of supply or demand. The third condition in Ullman’s principle, transferability refers to the possibility of moving a product. It is a function of distance measured in terms of time and monetary costs (Hagget, 1972).

Before Ullman’s principle, geographers were preoccupied with graphical presentation of statistics of traffic flow. Ullman’s principle introduced basic conceptual explanation for flow in space and since then, there has been an increasing awareness of the need for concept and method in flow studies (See Smith, 1970). However, all the concepts about flow can be summed up in a matrix-defined origin and destination with origin as rows and destination as columns. According to Smith (1970), there are three characteristics of interest in the matrix, namely, volume, structure and efficiency of flows.

The volume of flows is concerned with diagnostic statements on the magnitude of flows which can be expressed as “more than” or “less than”. It involves quantity of people and goods that move along a route. The structure of flow is concerned with the identification of generic locational characteristics of groups of origins or groups of destinations, or groups of origins and destinations – dyad (see Lowe and Moryadas, 1975). The third characteristic, efficiency of flows, is concerned with descriptive and normative characteristics of routing a flow. Transport networks only rarely link a set of nodes by the shortest distance and almost any movement over a given route involves a certain amount of distance inefficiency. The efficiency concept, therefore, aims at optimizing flows by minimizing distance, or transport costs, subject to certain constraints.

The geographical theory of traffic flow is most suitable for the study because it addresses the issue of pattern of flow. This theory has been applied by various scholars in urban transportation studies relating to movement of goods and of people. For instance, Goddard (1970) discerned the pattern of flows in central London and concluded that the Central Area contained a number of specialized sub-centres in which closely related activities aggregate and these districts are maintained by a clear pattern of internal circulation.

Also, Ogunsanya (1982) in his study on the Spatial pattern of urban freight transport in Lagos identified four patterns of flow. These are the metro-originating, metro-terminating, intra-metropolitan and through traffic. All these affect the general pattern of traffic flow in the city. Adenle (1977), writing on factors militating against the flow of traffic in metropolitan Lagos identified amongst others that the chief factors affecting the flow of traffic in metropolitan Lagos is the interface with or imbalance in the composition of the variables flow, density and space mean-speed.

Okoko (2008) studied the pattern of urban goods movement in various landuse typologies in Akure, Nigeria. The study identified through gravity modeling and linear programming, the urban landuse typologies that are major generators of urban goods transport and the landuses that are major attractors of urban goods movement in the city. Other studies include Aderamo (2000) who identified the spatial pattern of intra-urban trips in Ilorin using Factor Analysis and Nystuen and Dacey’s (1961) concept of flow structuring in urban.
centres. He found that the zonal pattern of intra-urban trips in cities is hierarchical in order because of the functional association between these zones (see also Ogunbodede, 1999; Galtima, 1999).

3. Materials and Methods

The data required for this study include information on intersection characteristics and road network; traffic volumes and characteristics. These were collected through primary and secondary sources. The primary sources which represent first hand information were collected through direct field observation and field data collection while the secondary data were collected from journals, textbooks, the internet and past research reports. The road network map of Ilorin with grid reference at one degree interval was used for identification of the studied intersections. As it is not possible to study all the intersections in the city, a sampling technique was employed and a ten per cent sample of the intersections in each four combined grid squares at 2 degrees intervals was selected at random (see also Aderamo, 1998). Some major intersections which were hitherto ignored by sampling were also included. Through this process, the following intersections were selected: (1) Saw-mill/Air Port; (2) Surulere/Agbo-oba; (3) Oloje/Mt. Carmel College; (4) Taiwo/Ita-Amodu; (5) Murtala/Amilegbe; (6) Tanke/Tipper Garage; (7) Gaa-Akanbi/Offa Garage (see figure 1).

A reconnaissance survey of the study area was first carried out at the selected intersections to identify the characteristics that predispose them to heavy traffic. This was followed by traffic census conducted manually using simple hand-tally method to estimate the volume and composition of traffic at the intersections. A continuous count of all vehicles by class/category that passed through the intersections was done by field assistants. The field assistants were instructed to concentrate on a single lane each, and count the vehicles as they depart the intersections. This is because turning movements cannot be fully resolved until vehicles depart the intersections. The number of field assistants at any intersection was determined by the number of legs or approaches to the intersection.

![Figure 1: Road Network Map of Ilorin showing the Studied Road Intersections](source: Kwara State Ministry of Lands and Housing, 2007)
The study was limited to off-peak periods because the peak hour traffic study is particularly useful in that it provides most important information concerning maximum traffic loads imposed upon the road network (and their intersections) and as such relates to the capacity analysis and the design of future facilities (Salter, 1974; Ogunsanya, 1984). Therefore, the peak hour periods of morning and evening peaks of 7.00a.m to 9.00a.m and 3.00p.m to 6.00p.m respectively were used. The data were collected for three consecutive days (i.e. Monday, Tuesday, Wednesday) of which the average was then used.

4. Results and Discussion

4.1 Characteristics of the Studied Intersections

The studied intersections are comprised of 4-legged and 3-legged road junctions selected from different locations on major roads in Ilorin. The intersections serve as links to major routes which connect different types of land use activities in the study area. All the studied intersections are unsignalized but traffic flows are controlled by traffic wardens. Also common to all the intersections is the presence of road-side hawkers and traders, and the location of retailing shops along the intersecting roads. These result in road-side obstructions and parking problems from customers who patronize the sold products and thereby impeding the free movements of vehicles. Associated with these problems are the problems of narrowness and poor or no channelization of the intersecting roads to separate the traffic streams. Table 1.0 shows the characteristics of the studied intersections.

Table 1. Intersection Characteristics and Associated Land-use

<table>
<thead>
<tr>
<th>S/N</th>
<th>Intersection Name</th>
<th>Intersection Types</th>
<th>Land-use Characteristics</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Sawmill/Airport</td>
<td>3-legged</td>
<td>Institutional, Sawmill industry, commercial motor parks, retailing shops.</td>
</tr>
<tr>
<td>2.</td>
<td>Surulere/Agbooba</td>
<td>4-legged</td>
<td>Markets, Commercial centres, Institutional, Residential estate, retailing shops.</td>
</tr>
<tr>
<td>3.</td>
<td>Oloje/Mt. Carmel College</td>
<td>3-legged</td>
<td>Market, commercial centres, motor park, Institutional, Residential estate, retailing shops.</td>
</tr>
<tr>
<td>4.</td>
<td>Taiwo/Ita Amodu</td>
<td>4-legged</td>
<td>Commercial centres, retailing shops, Institutional.</td>
</tr>
</tbody>
</table>

Source: The Authors

Table 1 shows that 3 of the intersections constituting 42.9% are 3-legged. These are Sawmill/Airport; Oloje/Mt. Carmel and Gaa Akanbi/Offa Garage. The 4-legged intersections which constitute 57.1% are Surulere/Agbooba, Taiwo/Ita Amodu, Murtala/Amilegbe and Tanke/Tipper Garage.

In terms of land use characteristics of the studied junctions, majority of them are located where institutional, commercial, markets, retailing shops, motor parks predominate. The intersecting arms also connect residential estates, public and private institutions and other major activity-centres in the city.

4.2 Pattern of Traffic Flow

Table 2. and Figure 2 show the average traffic volumes in vehicles per hour at the studied junctions for both morning and afternoon peaks.
Table 2. Average Volume of Traffic at Selected Junctions in Ilorin

<table>
<thead>
<tr>
<th>S/N</th>
<th>Intersection</th>
<th>Morning peak</th>
<th>Afternoon peak</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>VPH</td>
<td>% of Total</td>
</tr>
<tr>
<td>1.</td>
<td>Sawmill/Airport</td>
<td>4044</td>
<td>12.64</td>
</tr>
<tr>
<td>2.</td>
<td>Surulere/Agbooba</td>
<td>4959</td>
<td>15.49</td>
</tr>
<tr>
<td>3.</td>
<td>Oloje/Mt. Carmel</td>
<td>3680</td>
<td>11.50</td>
</tr>
<tr>
<td>4.</td>
<td>Taiwo/Ita Amodu</td>
<td>5419</td>
<td>16.93</td>
</tr>
<tr>
<td>5.</td>
<td>Murtala/Amilegbe</td>
<td>5619</td>
<td>17.56</td>
</tr>
<tr>
<td>6.</td>
<td>Tanke/Tipper Garage</td>
<td>4479</td>
<td>13.99</td>
</tr>
<tr>
<td>7.</td>
<td>Gaa-Akanbi/Offa Garage</td>
<td>3807</td>
<td>11.89</td>
</tr>
<tr>
<td></td>
<td>Total</td>
<td>32,007</td>
<td>100.00</td>
</tr>
</tbody>
</table>

Source: The Authors, 2008

Table 2 shows that for both morning and afternoon peaks, Murtala Mohammed/Amilegbe junction recorded the highest volume of traffic among the studied roads. These are 5619 vph (17.56%) and 5567 vph (17.23%) of total volume for morning and afternoon peaks respectively. This is followed by Taiwo/Ita Amodu junction with 5419 vph (16.93%) and 5401 vph (16.71%) for morning and afternoon peaks respectively. Surulere/Agbo-Oba junction ranks third recording 4959 vph (15.49%) and 4996 vph (15.46%) morning and afternoon peaks respectively while Tanke/Tipper Garage junction ranks fourth recording 4,479 vph (13.99%) morning peak and 4591 vph (14.21%) afternoon peak.

Sawmill/Airport junction ranks fifth recording 4,044 vph (12.64%) morning peak and 4,070 vph (12.59%) afternoon peak. Gaa-Akanbi/Offa Garage junction ranks sixth with 3,809 vph (11.89%) morning peak and 3829 vph (11.85%) afternoon peak while Oloje/Mt. Carmel junction ranks seventh with 3,680 vph (11.50%) morning peak and 3,861 vph (11.95%) afternoon peak respectively.

The average volume of flow at Murtala Mohammed/Amilegbe junction exemplifies the importance of the roads converging at this junction and the land use activities they serve. Murtala Mohammed Road services
Post Office and the commercial activities along it. The northern arm of the road services Maraba Motor Park, Kwara State Polytechnic main campus, Ilorin Government Secondary School and Federal Secretariat while Amilegbe road services Ipata Market, University of Ilorin Teaching Hospital Maternity Centre and many retailing shops. These activities account for the high volume of traffic at the junction.

Taiwo/Ita Amodu junction is another road experiencing high volume of traffic. Taiwo road is one of the busiest commercial belts in Ilorin with supermarkets, eateries, retailing shops along it. Ita Amodu road also services many commercial activities along it and links with Oja Oba market in the heart of the city. Adamu road directly opposite Ita Amodu road also contributes to the traffic volume at this junction resulting from commercial and institutional land use along it.

The volume of flow at Surulere/Agbo Oba junction also explains the importance of the roads converging at the junction. These are Abdulaziz Attah road which carries a lot of traffic from Oja-Oba, Baboko Market and the University of Ilorin Teaching Hospital, Agbo Oba road services the heavily populated residential area of Agbo-Oba and Adewole Housing Estate while Surulere road links the junction with Taiwo road with retailing shops along it.

Tanke/Tipper Garage junction is an emerging commercial centre with University of Ilorin permanent site road, Pipeline road and Tipper garage road radiating from it. The University of Ilorin road services University of Ilorin permanent site and an array of secondary and primary schools, residential and commercial uses along it. Pipeline road services a new Government Reservation Area and links with Ajasse-Ipo road to the South which also harbours residential and commercial land uses. Tipper garage road services predominantly residential areas to the north of the junction.

Sawmill/Airport junction services commercial, institutional and residential land uses. Sawmill garage road links with an important motor garage in the city. This garage caters for vehicles carrying passengers to Lagos, Ibadan, Abeokuta, and Ogbomoso. The road also accommodates commercial activities along it. Airport road is an extension of AbdulAziz Attah road and services the Ilorin international Airport with a lot of commercial activities along it.

Gaa-Akanbi/Offa garage junction is a convergence of predominantly residential and commercial land uses. Gaa-Akanbi road services Gaa-Akanbi residential quarters with some commercial activities along it while Offa road links with Offa garage to the South-east and some residential, commercial and institutional land uses along it.

Oloje/Mt. Carmel junction is to the western end of the city and services residential and institutional land uses. These include Oloje residential quarters, Ogidi village, Mt. Carmel College, Federal Government College and Oko Olowo quarters.

The distribution of traffic volume at the sampled junctions depicts the nature of the predominant land use activities the roads converging at the junction serve and their classification within the general road network pattern of the city. Three out of the four arms of Murtala Mohammed/Amilegbe junction are dual carriage ways while two out of the four arms of Taiwo/Ita Amodu junction are dual carriage way. Surulere/Agbo-Oba junction also has two out of its four arms as dual carriage ways while Tanke/Tipper garage junction has three out of its four arms as dual carriage ways. The Sawmill/Airport junction has two out of its three arms as dual carriage ways while Mt. Carmel/Oloje junction and Gaa-Akanbi/Offa garage junction each has two of its three arms as dual carriage ways. Consequently, they all carry significant volume of traffic within the city's road network pattern.

4.3 Pattern of Traffic Delays

Table 3. and Figure 3. show the average delay times in minutes at the studied intersections for both morning and afternoon peaks.
Table 3. Average Traffic Delay Time at Selected Junctions in Ilorin

<table>
<thead>
<tr>
<th>S/N</th>
<th>Intersection</th>
<th>Delay Time (Minutes)</th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Morning peak</td>
<td>% of Total</td>
<td>Afternoon peak</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Minutes</td>
<td></td>
<td>Minutes</td>
</tr>
<tr>
<td>1.</td>
<td>Sawmill/Airport</td>
<td>79</td>
<td>12.10</td>
<td>72</td>
</tr>
<tr>
<td>2.</td>
<td>Surulere/Agbooba</td>
<td>106</td>
<td>16.23</td>
<td>96</td>
</tr>
<tr>
<td>3.</td>
<td>Oloje/Mt. Carmel</td>
<td>59</td>
<td>9.04</td>
<td>62</td>
</tr>
<tr>
<td>4.</td>
<td>Taiwo/Ita Amodu</td>
<td>115</td>
<td>17.61</td>
<td>105</td>
</tr>
<tr>
<td>5.</td>
<td>Murtala/Amilegbe</td>
<td>123</td>
<td>18.84</td>
<td>116</td>
</tr>
<tr>
<td>6.</td>
<td>Tanke/Tipper Garage</td>
<td>84</td>
<td>12.86</td>
<td>91</td>
</tr>
<tr>
<td>7.</td>
<td>Gaa-Akanbi/Offa Garage</td>
<td>87</td>
<td>13.32</td>
<td>74</td>
</tr>
<tr>
<td></td>
<td>Total</td>
<td>653</td>
<td>100.00</td>
<td>616</td>
</tr>
</tbody>
</table>

Source: The Authors, 2008

Table 3 shows that in terms of distribution of peak-hour delay time during morning peak, Murtala Mohammed junction ranked first (18.84%) followed by Taiwo/Ita Amodu junction (17.61%) while Surulere/Agbo-Oba junction ranked third (16.23%). Gaa-Akanbi/Offa garage junction ranks fourth (13.32%) while Tanke/Tipper garage ranks fifth (12.86%). The sixth and seventh junctions in rank are Sawmill/Airport (12.15%) and Oloje/Mt. Carmel junction (9.04%) respectively.

During afternoon peak, delay time recorded at the junctions rank Murtala Mohammed/Amilegbe junction (18.83%) first followed by Taiwo/Ita Amodu junction (17.06%). Surulere/Agbo-Oba junction ranks third (15.58%) while Tanke/Tipper garage ranks fourth (14.77%). The fifth junction in rank is Gaa-Akanbi/Offa garage (12.01%) with Sawmill/Airport junction coming sixth (11.69%) while Oloje/Mt. Carmel junction attained the seventh position (10.06%).

Overall, the delay times are associated with the traffic volumes at the various junctions which ultimately translate to traffic congestion.
4.4 Pattern of Traffic Composition

Table 4. and Figure 4 show the average peak-hour traffic composition at the sampled intersections. The table shows that of all the vehicle types recorded at the sampled junctions, motorcycles had the highest numbers of an average of 1372 vehicles (29.87%) which is followed by taxis with an average of 1370 vehicles (29.83%). Private cars ranked third with 1143 vehicles (24.89%) while buses came fourth with 386 vehicles (8.40%). Other types of vehicles recorded at the sampled functions are delivery vans, 219 (4.77%) trucks/tractors/lorries/tankers/tippers 99 (21.6%) and other vehicles 4 (0.1%). The dominance of motorcycles among the types of vehicles recorded shows the emerging trend in the use of motorcycles for public transportation in the city. This mode is now becoming popular and it has helped a lot in reducing the transportation problem in the city. Taxis are a regular mode to use in meeting the needs of the inhabitants in terms of public transportation while there is now more private cars on the city’s roads due to improved income and better purchasing power of workers.

Table 4. Traffic Composition at the Studied Junctions

<table>
<thead>
<tr>
<th>S/N</th>
<th>Intersection</th>
<th>A</th>
<th>B</th>
<th>C</th>
<th>D</th>
<th>E</th>
<th>F</th>
<th>G</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Sawmill / Airport</td>
<td>1196</td>
<td>994</td>
<td>1187</td>
<td>319</td>
<td>199</td>
<td>102</td>
<td>4</td>
</tr>
<tr>
<td>2</td>
<td>Surulere/Agbooba</td>
<td>1492</td>
<td>1253</td>
<td>1463</td>
<td>400</td>
<td>262</td>
<td>108</td>
<td>5</td>
</tr>
<tr>
<td>3</td>
<td>Oloje/Mt. Carmel</td>
<td>1176</td>
<td>1007</td>
<td>1159</td>
<td>206</td>
<td>155</td>
<td>81</td>
<td>4</td>
</tr>
<tr>
<td>4</td>
<td>Taiwo/Ita Amodu</td>
<td>1629</td>
<td>1299</td>
<td>1644</td>
<td>463</td>
<td>260</td>
<td>113</td>
<td>4</td>
</tr>
<tr>
<td>5</td>
<td>Murtala/Amilegbe</td>
<td>1637</td>
<td>1340</td>
<td>1683</td>
<td>553</td>
<td>288</td>
<td>83</td>
<td>4</td>
</tr>
<tr>
<td>6</td>
<td>Tanke/Tipper Garage</td>
<td>1336</td>
<td>1202</td>
<td>1336</td>
<td>378</td>
<td>181</td>
<td>106</td>
<td>5</td>
</tr>
<tr>
<td>7</td>
<td>Gaa-Akanbi/Offa Garage</td>
<td>1136</td>
<td>906</td>
<td>1118</td>
<td>380</td>
<td>187</td>
<td>97</td>
<td>3</td>
</tr>
<tr>
<td></td>
<td>Total</td>
<td>9602</td>
<td>8001</td>
<td>9590</td>
<td>2699</td>
<td>1532</td>
<td>690</td>
<td>29</td>
</tr>
<tr>
<td></td>
<td>Average</td>
<td>1372</td>
<td>1143</td>
<td>1370</td>
<td>386</td>
<td>219</td>
<td>99</td>
<td>4</td>
</tr>
</tbody>
</table>

Source: The Authors, 2008
A = Motorcycle  C = Taxis  E = Delivery vans
B = Private cars  D = Buses  F = Trucks/Trailers/Lorries/Tankers/Tipper
G = Others
Buses provide services for the transportation of goods and people while delivery vans are used mainly for transporting goods in the city. Trucks, trailers, lorries, tankers and tippers are heavy-goods vehicles and they provide intra-city and inter-city services for the transportation of goods, materials for housing construction and petroleum products.

4.5 Time taken by Delay Causes

Table 5. and figure 5 show the pattern of time taken by delay causes in average daily peak-hour traffic delay. The table shows that of all the delay causes, traffic control by wardens ranks first, an average 42 minutes and constituting 46.7% of the total delay time. This is followed by parking problems with an average of 21 minutes and constituting 23.3% of total delay time. The parking problems experienced include on-sheet parking, double parking, parking to load and unload which reduce the road space thereby impeding the free movement of vehicles.

Table 5. Delay Causes at Studied Intersections

<table>
<thead>
<tr>
<th>S/N</th>
<th>Intersection</th>
<th>Delay Causes (minutes)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>A</td>
</tr>
<tr>
<td>1</td>
<td>Sawmill / Airport</td>
<td>37</td>
</tr>
<tr>
<td>2</td>
<td>Surulere/Agbooba</td>
<td>45</td>
</tr>
<tr>
<td>3</td>
<td>Oloje/Mt. Carmel</td>
<td>29</td>
</tr>
<tr>
<td>4</td>
<td>Taiwo/Ita Amodu</td>
<td>47</td>
</tr>
<tr>
<td>5</td>
<td>Murtala/Amliegbe</td>
<td>55</td>
</tr>
<tr>
<td>6</td>
<td>Tanke/Tipper Garage</td>
<td>40</td>
</tr>
<tr>
<td>7</td>
<td>Gaa-Akanbi/Offa Garage</td>
<td>42</td>
</tr>
</tbody>
</table>
Turning and maneuvering problems take an average of 8 minutes and constitute 8.9%. This can be attributed to the narrowness and the non-channelization of most of the intersecting roads. Vehicle breakdown and accidents take an average of 6 minutes and 5 minutes and accounting for 6.7% and 5.6% respectively of total delay time. Also road-side hawking and retailing account for an average of 4 minutes delay time constituting 4.4% of total delay time while pedestrian crossing accounts for only 2 minutes delay time and 2.2% of total delay time. Other causes of delay identified include conflicts, construction works and rainfall which also account for an average of 2 minutes constituting 2.2% of total delay time.

5. Implication for Urban Transportation Planning

Traffic congestion problems are manifesting in many of the major urban centres in Nigeria. They are indeed becoming a menace to free flow of traffic in these cities. These problems are caused by ineffective use of
road space and growth in the number of vehicles on our roads associated also with urban population growth. The study of congestion problems at sampled intersections in Ilorin revealed that there are significant spatio-temporal variations in traffic flows and delay times at the studied intersections during morning and afternoon peak periods. These variations can be attributed to the differences in land use characteristics at the intersections and the areas served by the roads.

The analysis of the causes of delays in Ilorin showed that delays at road intersections are mainly caused by traffic wardens and parking problems. The problem of traffic wardens can be attributed to the absence of modern traffic management techniques at the road intersections. Since human labour for traffic control is susceptible to failure due to fatigue and exhaustion, the traffic wardens are therefore not efficient or present to control the traffic when they are exhausted or during bad weather (like rainfall and in some cases, scorching sunshine).

The parking problems found can be attributed to narrowness of the intersecting roads which do not give room for side-kerb parking. In addition, there is no provision for off-street parking in the city and as such vehicles have no alternative than to use the roads as parking space. This therefore gives room for indiscriminate on-street parking and parking to load and unload.

The findings from this study have implication for urban transportation planning. The designs of the road intersections in the study area should be reviewed such that the approaches are broad for a distance of about 200 metres to avoid obstruction of side turning vehicles by the straight moving ones. All the approaches to the intersections should also be channelized to separate traffic streams. Also, road-side hawking and trading and all forms of commercial activities should be strictly restricted up to a distance of 200 metres from the intersections. Town planning control mechanism should be used to control developments around the intersections.

The public transportation system in the city should be improved by introducing high-capacity buses and tricycles to work alongside with taxis and motorcycles for the conveyance of people in the study area. This will reduce the number of vehicles on the road. Besides, there is the need to signalize the intersections by installing traffic lights and signals to serve as substitute for the ineffective human labour of traffic management.

In addition, there is the need for provision of off-street parking spaces in Ilorin and along the intersecting roads. Also on-street parking of whatever types should be strictly restricted up to a distance of 200 metres away from the intersections. This can be done by installing NO PARKING and NO WAITING signs at the intersections to discourage arbitrary parking.

Many of the problems identified at the studied junctions are common to other road intersections in the city. The recommendations made are therefore useful for solving traffic congestion problems at road intersections generally in the city.

6. Conclusion

The study examined traffic congestion problem at road intersections in Ilorin and has offered useful suggestions for improving traffic flow at the junctions.

Though the traffic flow problem in Ilorin has not yet assumed the dimension of those of Lagos, Ibadan, Port-Harcourt and other bigger urban centres in Nigeria, signs of potential bottlenecks are already emerging (Aderamo, 1998). There is therefore the need to evolve more effective traffic management method for the city. As population increases and people become more affluent, traffic congestion problem becomes worse. With the high rate of growth of Ilorin, traffic problem should not be left until it deteriorates to the level of larger urban centres in Nigeria. It is on this note that this study has suggested immediate solutions to traffic congestion and delay problems at road intersections in Ilorin.
References


A Proposal for Open Standard Based Legal Document Management System for the Parliament of Bangladesh

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Abstract  Purpose : A fast and progressive legislative system is necessary for Bangladesh in order to address pressing issue where regulatory solutions are required. In order to achieve efficiency and functionality of the working of the legislative body, information systems should be introduced for reliable creation, storage, retrieval and dissemination of legislative documents such as bills, discussions, committee reports, arguments, minutes of parliament and laws. In this paper we have explored the methods and challenges of developing a legislative Document Management System (DMS) for the Bangladesh Parliament.
Approach – This research outlines the need for a Document Management System for the Bangladesh Parliament and proposes strategies that can be followed in building process of such system especially in connection with the structuring of documents and following open standard. Findings – It can be concluded that A Document Management System based on XML standard will be ideal for the Bangladesh Parliament despite challenges and obstacles.  Limitation: This paper does not cover the technical side of the DMS. It is out of the scope of the paper to discuss all components of a Legislative Information System. Further research may be conducted on developing specific models of the Information System for the Parliament. Value – This paper has the potentials to inspire the e-government proponents of the developing countries to promote ICT in the Legislative Houses and will act as a primary guideline for the policy makers.

Keywords : Parliament, Parliamentary DMS, Open Standard, Legal Informatics, Bangladesh

1. Introduction

A Parliament is the center in running democratic affairs of a state. It is in the parliament where a country’s present policy is scrutinized and future stance is constructed by way of debates, deliberation and legislation. In almost all democratic states a parliament has played the central role to introduce legislation, taxes and allow expenditures for the government. It has been argued that the primacy of legislation is going to an end(Sartor G, 2008) and we are gradually moving from the era of legislation to the age of administration(Halvey E, 1983) (by special technical bodies), or jurisdiction (creation of law by judges, supported by jurists) or customs and soft regulations (as emerging especially from economic relation, contracts and decisions by arbitraries) or even computing code (enabling or constraining actions in virtual environments)(Lessig L, 2006). However, the emergence of other sources of law does not necessarily render legislation less important and less central and the parliament and its legislation will continue to be the major sources of laws and regulation in the foreseeable future especially in developing countries like Bangladesh. The inherent values that parliamentary legislation should address are as follows(Sartor G, 2008):

a) Legislation should provide regulation that will be capable of giving solution to the problem they address being supported by best available knowledge.
b) Legislation should provide regulation that will be a product of open and rational debate among lawmakers and stakeholders. In this process, relevant advantages, disadvantages and alternatives are considered.

c) Legislation should reflect opinion of the public in general and should be able to adapt to social changes.

d) Legislation should promote legal certainty by way of providing effective normative guideline to the people and decision makers and means to check arbitrary exercise of power.

e) Legislation should enable citizens to be aware of their rights so that in the event of default they are able to claim their rights.

Information and Communication Technology has the ability to contribute to achieve the above mentioned values in a modern parliament by providing:

a) ICT tools to monitor and evaluate the impact of present or new law on the administration and society.

b) Communication and Information retrieval tool to promote informed debate on legislative initiatives.

c) New platform for interaction between citizens and their representatives and voicing opinion i.e. social networking, online feedback, e-petition system.

d) Systems facilitating access to law and other legislative information, making law more understandable and common citizen friendly.

e) Making more accessible knowledge about rules and remedies, clarifying procedures and automation of repetitive tasks.

It is out of the scope of the paper to discuss all components of a Legislative Information System. However the main focus of this article is outlining a system for document management within parliament which will be a significant part of the whole information system in the Bangladesh Parliament.

2. The need for a Document Management System for the Bangladesh Parliament

Different Governments of Bangladesh who came to power failed to make the Parliament an effective forum for democratic process. The causes which are identified are inter alia, Lack of political will, conflict and disunity between the opposition and treasury in almost every matter, lack of education and awareness among members of parliament who mostly come from business community and an age old system of internal management of the Parliament. This is unrealistic to think that Introducing Information and Communication Technology in day to day activities of the Parliament will change the situation overnight. Nevertheless, it will definitely increase the productivity and efficiency of the house and citizens will be largely benefitted and this will set the ground for transforming the Parliament to concentrate on more citizen centric debate rather than making it a political war ground. A Document Management System in The Parliament is expected to bring the following benefit as it did for many Parliaments around the world:

I. The process of legislation takes up months and even years in the present system due a poor communication between different actors in the legislative process. The Proposed system has the potential to integrate all communication channels between the actors involved and makes it much quicker to establish communication and document transaction among them. This will certainly reduce time in different level of legislation.

II. Law makers need instant access to previous laws, regulation, meeting reports and committee reports to assess a current situation. An easy search and retrieval tool of such document will be a great help for them to decide and deliberate on important issues.

III. Cost is a big issue in the Parliament. Printing and storing volumes of report in paper format involves huge cost and traditional communication by letter is also not so cheap and highly inefficient. Members will be able to file their queries to the government through the system leading to speedy and paperless flow of information across the treasury and opposition benches. While investment in
Information Technology is one time and maintenance cost is quiet manageable as compared to the productivity and length and extent of service it has to offer.

IV. Since all proceedings, discussion and decisions will be recorded and protected by encryption, No one in the administration can alter any decision taken in a committee whimsically and this will ensure transparency and accountability. The opposition will have the opportunity to be more involved in the democratic process knowing their opinions will be valued.

V. The work flow of the legislature will be improved which may lead to efficiency and cost reduction.

VI. The most important benefit will be the online accessible publication of proceedings, laws and regulation. In the proposed system laws and regulation will be updated on regular basis and will be freely accessible by any citizen through various delivery channels i.e., World Wide Web, mobile device, community information center etc. The system can be instrumental in strengthening citizen engagement, providing innovative ways of interaction between citizen and legislature.

VII. The system will help connect parliamentarians and parliamentary institutions with their worldwide counterparts, thus sharing and strengthening their knowledge and information on the issues they confront.

VIII. Finally the whole system will be an important driving force to the countries aspiration for greater democracy and development.

ICT policy of Bangladesh clearly supports the objectives in general terms as ‘(the policy is intended to 1) promote use of ICT by providing special allocations for ICT project implementation in the public sector. Train the decision makers in ICT use and promote an ICT culture’.2

Introducing ICT in the Parliament and law making process in a developing country like Bangladesh is a tough challenge to undertake and the system will undoubtedly have some pitfalls too. Firstly, the history of system management in Bangladesh is somewhat disappointing. The DMS could be managed by inefficient people resulting in catastrophic information failure. Secondly, like most e-government projects digital divide will hamper in ripping the benefit of the parliamentary information system for the mass people. However, with the increasing awareness and literacy of ICT it is hope that this effect will get substantially reduced in future. Thirdly, it will be difficult to train the lawmakers to use the system because usually most lawmakers are not so ICT friendly. Fourthly, it will be difficult to resolve the issue of the status of originality and state of being official version of documents contained in the Database.

3. Strategies of Building a Document Management System

Before developing and introducing a DMS for the Bangladesh Parliament a thorough study should be made on the methods and ways to be adopted in such a system and strategies should be planned beforehand in order for the smooth development and deployment of the system.

Bengt Eriksson, a Swedish specialist who has long practical experience within the area of Legislative Informatics, explained the core strategy to be adopted while developing a document management system for parliaments,

‘Over the years, we have learned a few things. One is that standards come and standards go. Concretely , that could mean that instead of viewing today’s internet and today’ standards as the final answer to the document access and information exchange , you should ask yourself which of today’s standards are likely to survive long enough to establish themselves as standards of tomorrow. From that point of view, it is obvious that the solutions that you seek today must be as generic as possible, proprietary only to the extent that is deemed absolutely necessary. If such solutions are not found, you stand the risk that because of compatibility difficulties much of your

1 Words in parenthesis are added by Authors.
2 Section 2.2.3 of The ICT Policy of The Government of Bangladesh 2009.
work is rendered useless whenever a new software tools and software version is released.’(Ericsson B, 2009)

A particular solution developed today must be flexible enough to embrace future technology given the fact that ICT is growing and transforming at an exponential rate. Such system should not be complex and user friendliness should be given utmost priority as the users of the system are not supposed to have advanced user level of IT knowledge.

A Document Management Systems may contain the following elements –

a. Document Production  
b. Document Storage in Database  
c. Document Distribution and Retrieval  
d. Document archival

3.1 Document Production

The following strategies are to keep in mind while designing rational production system of documents-

a) Document should be structured.  
b) Metadata and Information about the structure should be entered as close to the source as possible.  
c) Information security should be ensured.

Structuring of Document

Numerous documents are produced during the working of a Parliament i.e. Bills, Committee Reports, Session Minutes, Committee hearings etc. These documents can be produced in raw and flat format or in structured format. Structuring of documents means breaking down of the documents in parts and marking them up so that they can be recognized by a system identification and retrieval. Every system development procedure within the field of legal document management requires a document analysis at the very outset and it is practically imperative when the docware 3 technique is applied(Sjöberg CM,2009). A document is structured when we can trace and identify different parts of it such as title, headings, paragraphs, articles and references etc. It is also possible to set rules as to what parts of the document may contain what kind of data.

A structured document is useful for various reasons. Firstly, it allows the search of document to be very efficient. Documents may be considerable in size and word matching search within the documents may not produce desired results. Search is more effective when documents are structured. Secondly, if the document is structured it will be much easier for a search engine to locate the exact kind of information a researcher wants. Structured document with better information retrieval technique has the potential to cater to the information need more efficiently. Thirdly, it is quite obvious that technology will evolve very fast in near future and structured documents will be more suited to adapt to the new technologies. Fourthly, rules can be set up with structure which will not allow wrong kind of data to be entered in a specific part of the document leading to the integrity and reliability of the documents. Finally, structured documents are easily manageable in respect to the version control and applications of amendments.

3 Standardized document markup language ie. XML
Information Standard

All those benefits of structuring document mentioned above can be achieved by document mark up. There are many markup standard or information standard out there such as HTML, SGML, XML, XHTML etc. The question is which standard will be appropriate for our system. A suitable standard should be open not limited by intellectual property, vendor independent, supported by a well accepted standardization Authority such as International Standardization Organization (ISO) and most importantly its definition should be publicly accessible and generally understandable. An appropriate standard for legislative document may contain a set of straightforward, technology neutral representation of Parliamentary documents and an enabling structure for the effective exchange of machine readable documents such as legislation, records and minutes (Vitali F, 2008). Machine readable means organizing document in a structured and systematic manner so that a software application may read it without any flaw.

In this era of globalization parliamentary information and experience exchange across the world is crucial to promote democracy and international cooperation. A good standard allows interlinking and web-enabling of Parliaments. Such standard will address policies and specifications for connecting Parliament information system across countries. Country Parliaments should use the guidance provided to supplement their national e-Government Interoperability Frameworks with an international dimension and thus enable international interoperability of Parliaments (Vitali F, 2008).

The choice of standard and XML solution

HTML (Hyper Text Markup Language) is one of the easiest and widespread mark up standard used to day.
However, it is designed largely to define how text and data will be presented to the user. Most of the text presentations we encounter in today’s website are defined by HTML. It has predefined mark up tags which seriously undermines the usability of it as information career. In view of this HTML will not be a good choice to structure Legal document although it will be used in the presentation and user interface part of the system. XML or eXtensible Markup Language is a popular information standard in the legal arena. XML does not DO anything in itself. XML was instead created to structure, store, and transport information. It is just pure information wrapped in tags. Someone must write a piece of software to send, receive or display it. It is a meta language that can be used to build different kind of information models. XML has elements and attributes. An XML element is everything from (including) the element’s start tag to (including) the element’s end tag. An element can contain other elements, simple text or a mixture of both. Elements can also have attributes. XML elements can have attributes in the start tag, just like HTML. Attributes provide additional information about elements. **XML based standards** means the standard in question uses XML to describe the information model that is the object of the standardization attempt (Lunblad N ,2009). XML is suitable for structuring the legislative documents because it offers the flexibility to the developers to invent their own tags, it is an open standard which means no royalty payment is required and most importantly it provides a system called schema or grammar which is a set of rules that describe the structure of a document and which could be used to validate a document.

```
<REPORT>
  <TITLE>………………..</TITLE>
  <MOTIONS>…………..</MOTIONS>
  <RECOMMENDATIONS>………………</RECOMMENDATIONS>
  <SUMMARY>……..</SUMMARY>
  <CONCLUSION>…….</CONCLUSION>
</REPORT>
```

**Figure 2**: A simple example of XML document with different elements.

**Document Type Definition and Schema**

Document Type Definitions and XML Schemas both provide descriptions of document structures. A Document Type Definition (DTD) defines the rules of an XML document. It defines the document structure with a list of legal elements and attributes. XML Schemas express shared vocabularies and allow machines to carry out rules made by people. They provide a means for defining the structure, content and semantics of XML documents. in more detail. XML Schema was approved as a W3C Recommendation on 2 May 2001. An XML Schema defines the elements, child elements and the attributes that can appear in a document. It can also define the order, the number of child elements, the data types for elements and attributes.

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4 [http://www.w3schools.com/xml/xml_whatis.asp](http://www.w3schools.com/xml/xml_whatis.asp) accessed on January 10,2011
5 [http://www.w3schools.com/xml/xml_attributes.asp](http://www.w3schools.com/xml/xml_attributes.asp) accessed on January 11,2011
Meta data

Meta data can be defined as ‘data about data’. Meta data is not included in the actual content of a document rather they are outside information which describes the content of the document. Metadata is structured data which describes the characteristics of a resource. It shares many similar characteristics to the cataloguing that takes place in libraries, museums and archives. The term "meta" derives from the Greek word denoting a nature of a higher order or more fundamental kind. A metadata record consists of a number of pre-defined elements representing specific attributes of a resource, and each element can have one or more values.7 Following is the example of meta data

<table>
<thead>
<tr>
<th>Element</th>
<th>Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>Title</td>
<td>The Document</td>
</tr>
<tr>
<td>Creator</td>
<td>Committee 1</td>
</tr>
<tr>
<td>Meeting No</td>
<td>1</td>
</tr>
<tr>
<td>Format</td>
<td>XML</td>
</tr>
<tr>
<td>Date of creation</td>
<td>12.02.2010</td>
</tr>
</tbody>
</table>

DDI, EAD, e-GMS are some examples of meta data standards (Bloom, J 2009).

Using controlled vocabulary such as taxonomies, thesauries and anthologies meta data could be created in a document in a more sophisticated manner. Taxonomies and thesauri are vocabulary terms arranged into a hierarchal structure where each term has one more vocabulary and grammar for using that vocabulary to express something meaningful within a specific domain of interest (Eriksson B, 2009). The Parliamentary Ontology needs to be designed to be extensible so that those Parliaments with different, or more specific, metadata needs may add extra elements and qualifiers to meet their own requirements (Vitali F, 2008). Meta

data facilitates more knowledge about the document in question and offers users many more possibilities of locating the specific data he or she wants.

Meta data could play an important role in the legal information management like our proposed Parliamentary Document Management System. Meta data in an information retrieval system greatly improves the recall and precision of a particular search. In a legal information retrieval system word matching searches are not always so efficient and effective. Adding meta data to the documents along with latest search technology enables field and semantic searches. The goal is to enhance user satisfaction on the IR system by providing useful search results. A particular legislation may be amended to address the need of time. In that case the facts behind amendment would be added with the document as meta data. The amendment information such as amendment date, amending bill submission authority, votes etc are just as important as the amendment text itself. So meta data could supplement new information.

**Ensuring Information Security**

Information Security is a crucial issue to be considered while developing the Document Management System. The system is required to be safe and reliable both from technical and information quality point of view. Information Security is the overarching concept that encompasses security of information whether the information is paper based or electronically stored. Internal and external vulnerabilities of the system should be considered and adopt measures to minimize risks and ensure greater confidence and trust. It is customary to discuss three concepts while discussion information security of particular system (Andersson H et all, 2010).

Confidentiality: prevention of unauthorized disclosure of information or information resources. The assets of the information system could only be accessed by authorized persons. Various level of access could be granted to persons with different responsibilities. This will be controlled by an information security policy. In our system some information may be sensitive and must be protected before it is right time to disclose them.

Integrity: prevention of unauthorized modification of information or information resources. Integrity is the most important issue to be ensured in our system. We must make sure that all legislative documents are stored exactly as they were produced and they do not also change when the documents are retrieved. Electronic signature using asymmetric cryptography could be used to achieve integrity.

Availability: prevention of unauthorized withholding of information or information resources. According to ISO 7498-2 availability is the property of being accessible and useable upon demand by an authorized entity (Andersson H et all, 2010). This concept indicates under usual condition the system must be functional so that the stakeholder of the system could benefit from it.

**3.2 Document Storage**

Adequate storage and efficient access methods are crucial elements in any document administration (Sjöberg CM, 2009). Documents with its structure and meta information has to be stored in a Database for reference and retrieval through various delivery channels. A database is crucial element for our system to organize and store the documents produced in manner described above. In designing the database and choosing a database solution we have to keep in mind that it should support structured document format; it will be better to choose an open source solution to minimize cost and most importantly it must be reliable and secured.

**3.3 Document Distribution and Retrieval**

**Intranet and Extranet**

Our proposed document management system will be composed of intranet and extranet. An intranet is a
private computer network that uses Internet Protocol technologies such as HTTP to securely share any part of an organization's information or operational systems within that organization. Intranet is the private network connecting different ministries, parliamentary secretariat, and legislative drafting wing and law commission. The intranet will facilitate synchronized work flow among different agencies above involved in law making process through highly secured and closed network. Through the system a particular ministry can initiate a legislative proposal and the proposal can see it life cycle of transforming into law by work flow defined and established in the system.

An extranet is a computer network that allows controlled access from the outside for specific purpose. The public documents can be viewed through extranet. The extranet is the extension of internet to ensure accessibility off site. Some part of the parliamentary web site will be part of extranet.

The Website

Websites have become an indispensable publishing media due to proliferation of internet in every sphere of life. Almost every parliament around the world has a website providing the viewers from basic information to sophisticated e-citizens consultation service. The official website of parliament should be a one stop center for all information regarding the legislature. It should be authoritative and non-partisan and must be easily understandable, user friendly and freely accessible to anyone. The website has to provide information in timely, accurate and comprehensive manner. It is required to be well managed and supported so that it could meet the growing needs of citizens and members, keep pace with new technology and help ensure transparency and accountability of the Parliament.

Objectives of the website

In general the parliamentary websites started with the principle aim of a web presence providing basic information. Over the years parliamentary websites are developed and improved to offer a very diverse range of information in a more complex and challenging way. The following are the objectives of a modern parliamentary website-

a) To provide basic information about the history, functions and members of the parliament.
b) To provide copies of official texts of proposed legislation.
c) To provide a code of law for the country containing all laws and rules in force in the country.
d) To provide accounts of debate and summaries and plenary actions and copies and committee documents.
e) Two way communication between members and citizens and engaging citizens in the policy process.
f) To provide improved methods of access through better search engines for retrieving documents.
g) To provide alerting service to enable citizens to be notified of the introduction and changes in the proposed legislation.
h) To provide audio and video streaming of sessions live or from archive.
i) To provide an easy and user-friendly interface for citizens.
j) To provide download facilities of authoritative parliamentary documents.

The website has to be designed and developed keeping in mind the above objectives. In addition the website should be designed such a way that in one hand it ensures the access to information of all who interested, on the other hand it protects persons and their personal data from unauthorized access and processing. A privacy policy should be incorporated in the website to achieve the above goal.

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8 http://compnetworking.about.com/cs/intranets/g/bldef_intranet.htm accessed on June 08, 2011
9 Id.
3.4 Document Archival

Due to advancement in technology electronic archiving has become more common place and serves as affordable as well as reliable solution for preserving documents. Through electronic archiving it is now possible to easily archive different forms of data such as images and videos. All the data created and preserved in Document Management System should be delivered to the national archive where they will be preserved for future use. Suitable technological solution is to be explored for such archives as they are meant to last many years to come. Standardized methods of archiving are being developed. There should be rules and regulation to describe the procedure to be followed for delivering data to electronic archiving. Information standard could be suggested as the required delivery formats in this regard(Sjöberg CM,2009).

4. Conclusion

A Document Management System based on XML standard offers many challenges and obstacles and some of them are quite formidable. Practical experience has suggested that it is really a time consuming and laborious task to fully realize the potential of XML standard in combination with available software. Once various tools are acquired, uncertainty still looms at the stage of information retrieval. It is quite challenging to establish proper establishment and updating of hypertext links in a frequently recurring environment of legal texts(Sjöberg CM,2009). A particular amendment may contain a lot of background report and information and it is difficult to fit all the information in and linking them appropriately.

XML require an investment of time and effort by key stakeholders to agree on the format of official documents and on the tags to be used to mark them up. This calls for a specialist team consisting legal experts, technical experts and interdisciplinary experts of Law and Information Technology. It will be quite difficult for Bangladesh to gather and maintain such a team due to unavailability of expert human resource and low compensation structure. The effort needed to reach agreement is also quiet overwhelming.

Adding meta data is also a challenging task. The question is who will add meta data. Meta data should be added by the document creator or meta data can be added by automatic means. In this regard, the drafters work will be significantly increased if meta data is to be added manually.

The system will need high degree of security and availability. It is quite imaginable the degree of chaos and confusion could be created if the system goes offline or malfunction without warning. The system is vulnerable to inside and outside threats and calls for various preventive and remedial measures. An Information security policy should be formulated which will describe the possible course of action that may be taken to deal with the emergency situation arising from time to time.

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Globalization is Good or Bad? Considering View of Next Generation Leaders

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Abstract Globalization has the effect on world business in this 21st century undoubtedly. Effects come through both positive and negative (dark) sides. This study aims to examine how future business leaders view globalization. 494 samples involved and were selected via nonrandom convenient sampling process. Results infer that business majors have a different attitude toward globalization compared with non-business majors. Next, students’ attitude toward globalization is also likely to be influenced by their family background, especially their parents’ occupations. Ultimately, business environments are going global, internal environments, including the mind-set of future managers, may change toward more globalization, resulting in potentially more globally oriented strategies. Managers need to be on guard against antiglobalization sentiments tendency experienced by large segments of the population for more “creeping globalization.”

Keywords: learning style; field of study; length of tertiary study; gender; age; learning language experience;

1. Introduction

Globalization has the effect on world business in this 21st century undoubtedly. Effects come through both positive and negative (dark) sides. However, it seems especially important to know how future generation view globalization if the future generations are to avoid more surprises on the road toward further globalization. But scholars actually know very little about how the present students view globalization. Do these future business leaders have a different attitude toward globalization compared with the general public and the current business leaders? If so, where do these differences come from? This aims to address these crucial but unanswered questions. Second, from a scholarly point of view, although there are numerous studies on the attitude of executives, policymakers, and academics toward globalization cited earlier and on the attitude of university students toward such issues as careers (Collins, 1996) and cooperation (Frank, Gilovich, & Regan, 1993), there has been no study of the attitude of students toward globalization. To the extent that the future of globalization will be shaped by the current generation of students, such a lack of understanding of their values and views is alarming. Given the importance and timeliness of this issue, as evidenced by the recent protests and debates, this study helps fill a crucial gap in knowledge about how future business leaders of Bangladesh view globalization.

2. Literature Review

Prior studies were researched among executives (Ball & McCullough, 1993; Beamish & Calof, 1989; Hoffman & Gopinath, 1994), policymakers (Czinkota & Ronkainen, 1997), and academics (Kwok, Arpan, & Folks, 1994) shows a great progress toward globalization was made during the 1990s. Fueled by advances in
technology, increases in global trade and investment, and improvements in standard of living, globalization was widely believed to be a positive force embraced by a majority of the global public. Yet, toward the end of the decade, massive antiglobalization protests, organized primarily by union members, environmentalists, and human rights activists designed to derail a World Trade Organization (WTO) meeting, suddenly broke out in Seattle in December 1999. Since then, similar antiglobalization protests have repeatedly broken out in places such as Washington (April 2000), Quebec City (April 2001), and Cancun (September 2003). As a result, executives, policymakers, and academics were caught off guard by the strong antiglobalization feelings expressed (sometimes violently, as in Seattle) in these protests. More importantly and alarmingly, antiglobalization feelings have recently moved from being minority views to more mainstream sentiments that enter political debates (Bhagwati, 2004; Stiglitz, 2002).

These protests and debates suggest that while most executives, policymakers, and academics—whom we collectively term “elites”—surveyed in the U.S. would embrace globalization, a substantial segment of the global public and certain politicians seem to have a strong backlash against globalization (“Backlash behind the Anxiety over Globalization,” 2000). Although it is long known that globalization carries both benefits and costs, business leaders, in their drive toward more globalization, may have failed to adequately take into account the social, political, and environmental costs associated with globalization (Clark & Knowles, 2003; Eden & Lenway, 2001). It is likely that during their formative years while they were in college and universities, these elites were not exposed to the “dark” side of globalization and would only embrace a “rosy” picture of globalization.

Given such a wide divide between the views of the elites and those of the public, it seems especially important to know how future generation view globalization if the world is to avoid more surprises on the road toward further globalization. Future business leaders are people who are currently being educated in business schools and who will influence the global economy in the future. Having been better exposed to both sides of the globalization debate compared with the current business leaders, these individuals may hopefully make more informed and balanced decisions when they assume leadership positions. Management educators have the mandate to train a new generation of business leaders who will be able to handle these difficult responsibilities.

2.1 The influence of Economics

Future business leaders have two characteristics. First, they are young enough to have more opportunities to assume important positions in the corporate world than the general public. Second, they are interested in economics and business. The sample consisted of undergraduate and graduate students who took at least one required; introductory-level economics class (Micro / Macroeconomics). Research suggests that the self-selection to study economics and the socialization within an economics curriculum are likely to lead to certain attitudinal changes in favor of more market competition (Frank et al., 1993). In economics, especially at the undergraduate and graduate introductory level, free trade is widely regarded as a positive force for all countries, whereas barriers to free trade would decrease its benefits. It follows, then, that the future business leaders, who had an opportunity to study economics, are more likely to be positive toward globalization than the general public, who may not have such knowledge of economics. Accordingly, the study hypothesizes that:

Hypothesis 1: Future business leaders are more positive toward globalization than the general public.

2.2 The Influence of Being a Business Major

Business majors may have a different attitude toward globalization compared with nonbusiness majors (Rynes & Trank, 1999). Business (and economics) students are often found to be more materialistic (Collins,
1996) and individualistic (Frank et al., 1993) than the rest of the student population. The reason may be either self-selection or socialization within the program. In either case, being a business major may shape a student’s worldview, including his or her attitude toward globalization. For example, business majors may focus more on the economic gains of globalization than nonbusiness students do. As a result, they may be less concerned with the social, environmental and political costs associated with globalization. Therefore, the study posits:

**Hypothesis 2**: Business majors are more positive toward globalization than nonbusiness majors.

### 2.3 The Influence of Family Background

During their formative years, students’ attitude toward globalization is also likely to be influenced by their family background, especially their parents’ occupations. In particular, parents who have blue-collar jobs are more likely to lose their jobs due to global competition. Conversely, white-collar employees tend to be better educated and may benefit more from globalization. Such a privileged position may influence their children’s view. Thus, the study hypothesizes that:

**Hypothesis 3**: Students who have white-collar parents are more positive toward globalization than students who have blue-collar parents.

### 3. Methodology

Using 494 undergraduate and graduate students who were taking a required, introductory-level international business class at public and private universities, it was replicated by the Business Week survey (see Appendix 1). The survey was administered in the middle of the term, after students were exposed to both sides of the globalization debate, including an explicit discussion of the antiglobalization protests in Seattle and elsewhere. With an enrollment of over 50,000, the university attracts students from all walks of life, thus representing tremendous diversity. Ranked by University Grants Commission (UGC) as among the top 15 in the country, the upper-division undergraduate and graduate business program is highly popular on campus, and generally requires a 3.0 GPA during the freshman and second years to enter. The city in which the university is located is regarded as solidly “center of Bangladesh,” with its racial distribution similar to that of the country and its cost of living index approaching 100% of the Bangladesh average. Dhaka is often used as a test marketing site for major consumer goods companies before they undertake nationwide product launches.

### 4. Data Analysis

Among the sampled students, 58% were male and 42% female. Their age ranged between 19 and 49, with a mean of 22. Approximately 90% of the sampled students majored in business. The research asked the students to characterize their parents’ background. Slightly less than 50% of the students came from a white-collar family. Students who were from urban areas would have more exposure to globalization compared with those from rural areas. Urban areas tend to be more cosmopolitan, with more abundant opportunities to sample flavors of international cultures, foods, and imports. These benefits may be hard to access from rural areas, which may be more parochial. Therefore, the students born and raised in urban areas may have a different attitude toward globalization than those from rural areas, thus calling for a control of this factor. Overall, 69% of the sample came from urban areas.

Although some students have jobs, not all hold regular, professional jobs. It is possible that students who have regular, professional jobs may be less affected by the winds of globalization than those who have
unstable, nonprofessional jobs. Therefore, the students had professional jobs when they took the course were also controlled. About 27% of the students reported to have professional jobs. Further, the substantial foreign student enrollment at the university (representing 7% of the student population), which has one of the largest international student contingents in the country, and in the class thus gave an opportunity to tease out the nationality effect as another control variable. It was found that 12% of the sampled students had non-Bangladeshi citizenships.

Table 1. Socio-demographic profile of respondents

<table>
<thead>
<tr>
<th>Variables</th>
<th>Category</th>
<th>Frequency</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sex</td>
<td>Male</td>
<td>281</td>
<td>488</td>
</tr>
<tr>
<td></td>
<td>Female</td>
<td>207</td>
<td></td>
</tr>
<tr>
<td>Age</td>
<td>Range</td>
<td>19-49</td>
<td>492</td>
</tr>
<tr>
<td></td>
<td>Average</td>
<td>22</td>
<td></td>
</tr>
<tr>
<td>Major</td>
<td>Business</td>
<td>450</td>
<td>494</td>
</tr>
<tr>
<td></td>
<td>Nonbusiness</td>
<td>44</td>
<td></td>
</tr>
<tr>
<td>Parents’ Background</td>
<td>White collar</td>
<td>235</td>
<td>494</td>
</tr>
<tr>
<td></td>
<td>Blue collar</td>
<td>259</td>
<td></td>
</tr>
<tr>
<td>Hometown</td>
<td>Urban</td>
<td>343</td>
<td>494</td>
</tr>
<tr>
<td></td>
<td>Rural</td>
<td>151</td>
<td></td>
</tr>
<tr>
<td>Current Employment</td>
<td>Professional</td>
<td>132</td>
<td>494</td>
</tr>
<tr>
<td></td>
<td>Nonprofessional</td>
<td>362</td>
<td></td>
</tr>
<tr>
<td>Students</td>
<td>Bangladeshi Citizen</td>
<td>430</td>
<td>490</td>
</tr>
<tr>
<td></td>
<td>Non-Bangladeshi Citizen</td>
<td>60</td>
<td></td>
</tr>
</tbody>
</table>

4.1 Correlation Analysis

The inter-relationships between the seven variables were examined using correlation analysis and it is summarised in the Table 2. All of the Pearson’s correlations between variables were greater than 0.3 and lesser than 1. Hence, there is no multicollinearity problem in this research and allowing to proceed with hypothesis testing.

Table 2. Correlation matrix

<table>
<thead>
<tr>
<th></th>
<th>Sex Male</th>
<th>Age</th>
<th>Business</th>
<th>White-Collar</th>
<th>Urban</th>
<th>Prof. Job</th>
<th>Non-Bangladeshi</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sex Male</td>
<td>1.000</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Age</td>
<td>-0.090</td>
<td>1.000</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Business</td>
<td>-0.028</td>
<td>0.148</td>
<td>1.000</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>White-Collar</td>
<td>0.006</td>
<td>0.007</td>
<td>0.013</td>
<td>1.000</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Urban/Sub</td>
<td>0.027</td>
<td>0.051</td>
<td>0.039</td>
<td>0.131</td>
<td>1.000</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Professional</td>
<td>0.099</td>
<td>-0.228</td>
<td>-0.116</td>
<td>0.039</td>
<td>-0.046</td>
<td>1.000</td>
<td></td>
</tr>
<tr>
<td>Non-Bangladeshi</td>
<td>0.036</td>
<td>-0.221</td>
<td>-0.064</td>
<td>0.031</td>
<td>0.139</td>
<td>-0.123</td>
<td>1.000</td>
</tr>
</tbody>
</table>

In Table 3, it was undertaken that a univariate analysis to test H1 through two-sample z tests. Specifically, nearly all of the students (96%) believed that globalization is good for global consumers, whereas only about two-thirds of the general public held a similar view. In terms of the percentage of respondents who believed that globalization is good for International companies, student sample outnumbed the general public by 14 percentage points (77% versus 63%). A significantly higher percentage of the students (88%) also believed that globalization is good for the world economy, whereas about one-quarter less of the general public (64%) shared a similar view. Moreover, 82% of the students supported the view that globalization benefits poor countries’ economies, whereas 75% of the public polled held such a view. Interestingly, students seemed to
have a more dismal view on globalization’s impact on Global jobs, with only 43% believing that globalization is good for creating global jobs—this was probably a reflection of the recent recession that resulted in a very poor job market. In contrast, half of the surveyed public believed so. Nevertheless, such a difference was not significant. In conclusion, it was compared with the general public, next generation leaders indeed have a significantly more positive view toward globalization. Therefore, H1 of future business leaders are more positive toward globalization than the general public was strongly supported.

Table 3. Next generation leaders versus the general public of those who answered “good”

<table>
<thead>
<tr>
<th>Questions: Overall, do you think globalization is good or bad for</th>
<th>Next Generation Leaders</th>
<th>General Public</th>
<th>z-Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. consumers like you</td>
<td>96%</td>
<td>68%</td>
<td>12.2**</td>
</tr>
<tr>
<td>2. international companies</td>
<td>77%</td>
<td>63%</td>
<td>5.5**</td>
</tr>
<tr>
<td>3. the world economy</td>
<td>88%</td>
<td>64%</td>
<td>9.8**</td>
</tr>
<tr>
<td>4. creating jobs in world market</td>
<td>43%</td>
<td>50%</td>
<td>-2.6</td>
</tr>
<tr>
<td>5. strengthening poor countries economies</td>
<td>82%</td>
<td>75%</td>
<td>3.1**</td>
</tr>
</tbody>
</table>

Notes: *p<0.05; **p<0.01.

4.2. Logistic Regression

Binary logistic regression was undertaken for H2 and H3. Specifically, “business major,” “white-collar parents,” “urban origin,” “professional job,” and “non-Bangladeshi citizenship” were coded 1, and others 0. For H2, it was found that business majors in Models 1 and 5 showed significantly positive results toward globalization than nonbusiness majors (Table 4). In Models 2, 3, and 4, although the signs of the coefficients were all positive, it was unable to find a significant association. Thus, H2 was partially supported.

Table 4. Business majors, parental background, and attitude toward globalization

<table>
<thead>
<tr>
<th>Models</th>
<th>(1)</th>
<th>(2)</th>
<th>(3)</th>
<th>(4)</th>
<th>(5)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Constant</td>
<td>17.91</td>
<td>-1.86</td>
<td>-0.77</td>
<td>-1.16</td>
<td>0.45</td>
</tr>
<tr>
<td>Controls</td>
<td>(12.58)</td>
<td>(3.81)</td>
<td>(4.66)</td>
<td>(3.47)</td>
<td>(4.14)</td>
</tr>
<tr>
<td>Sex Male</td>
<td>-0.55</td>
<td>0.21</td>
<td>-0.47</td>
<td>0.32*</td>
<td>0.03</td>
</tr>
<tr>
<td>Age</td>
<td>-0.20</td>
<td>0.03</td>
<td>0.04</td>
<td>0.01</td>
<td>0.01</td>
</tr>
<tr>
<td>Urban</td>
<td>0.37</td>
<td>-0.18</td>
<td>-0.27</td>
<td>-0.31</td>
<td>-0.17</td>
</tr>
<tr>
<td>Professional Job</td>
<td>-0.55</td>
<td>-0.27</td>
<td>-0.21</td>
<td>-0.12</td>
<td>0.03</td>
</tr>
<tr>
<td>Non Bangladeshi Students</td>
<td>-0.69</td>
<td>-0.24</td>
<td>0.71</td>
<td>0.15</td>
<td>-1.07**</td>
</tr>
<tr>
<td>Predictors</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Business major</td>
<td>1.29*</td>
<td>0.49</td>
<td>0.36</td>
<td>0.14</td>
<td>0.75*</td>
</tr>
<tr>
<td>White-collar parents</td>
<td>0.04</td>
<td>0.21</td>
<td>0.07</td>
<td>0.38*</td>
<td>-0.14</td>
</tr>
<tr>
<td>Log-likelihood</td>
<td>-76.080</td>
<td>-257.599</td>
<td>-167.057</td>
<td>-320.465</td>
<td>-232.976</td>
</tr>
<tr>
<td>G</td>
<td>7.468</td>
<td>6.553</td>
<td>6.660</td>
<td>8.615</td>
<td>18.093</td>
</tr>
<tr>
<td>p-value</td>
<td>0.382</td>
<td>0.477</td>
<td>0.465</td>
<td>0.282</td>
<td>0.012</td>
</tr>
</tbody>
</table>

Notes: *p<0.1; *p<0.05; **p<0.01.
Testing H3, in four out of five models, the result found, as predicted, that students with white-collar parents had positive signs toward globalization than students who have blue-collar parents. However, only the coefficient for Model 4 was significant, implying that students from white-collar households were more likely to believe that globalization is good for creating global jobs. At least for the job creation, potential of globalization for the world, this finding is especially strong, in light of the results reported in Table 3 that students in general are less likely than the general public to have a positive view on such potential. As a result, H3 was also partially supported.

5. Discussion

This study aims to examine how future business leaders view globalization. Results enumerates that compared with the general public, business students, though at a relatively young age (on average 22 years old), already hold a substantially more positive view toward globalization. While not surprising, this finding is significant, because it establishes a baseline difference during these next generation leaders’ formative years. It is possible that as these individuals progress in their business career, their positive view toward globalization may strengthen, thus increasingly converging with the view held by current executives. Business majors and/or students with white-collar parents are especially likely to have a positive attitude toward globalization. Because of possible self-selection, it is difficult to establish a causal link between majoring in business and such an attitude. It is, however, plausible to argue that socialization in a white-collar household may lead to a more positive attitude toward globalization.

Further investigation of the study revealed that foreign students had a mixed view toward globalization in Models 1 through 4 in Table 4, in Model 5 they were significantly less likely to agree with the position, often embraced by Bangladeshis such as those surveyed by the research, that globalization is good for strengthening poor countries’ economies. Given that some of these foreign students are likely to assume leadership positions in their own countries, such a finding implies that some future foreign business leaders may not be as enthusiastic about globalization as their non-native colleagues are. Therefore, it is not surprising that international proposals for more globalization in international forums such as the WTO often meet resistance. The data and information of this research, at a very micro level, hint at why this may be the case.

6. Conclusion and Recommendations

In a nutshell, business majors have a different attitude toward globalization compared with non-business majors. Next, students’ attitude toward globalization is also likely to be influenced by their family background, especially their parents’ occupations. Based on an exploratory study, the findings need to be interpreted with at least three limitations in mind. First, this research was relied on a nonrandom, convenient sample. The sample size, nearly 500 people, is not necessarily small, given that the presumably nationwide Business Week survey only included slightly over 1,000 people. However, it remains to be seen whether similar findings would emerge if more business students in a wide variety of universities are surveyed. Second, attitudes toward globalization may be changing more recently, as more white-collar jobs in world market are reportedly threatened by low-cost countries. Whether business students will continue to hold a “rosy” picture of globalization while some of their (future) jobs may be threatened remains to be seen in future research. Finally, globalization, by definition, is not a country based phenomenon, and antiglobalization protests also erupted in Asia, America and Europe recently. Therefore, global validation of the research findings is called for.

For managers who are working at global enterprises, the message from this study has some implications for action. First, the finding that young student are more positive toward globalization than the general public may imply that globalization strategies will become more and more popular in the near future.
when these students become business leaders. This means that as business environments are going global, internal environments, including the mind-set of future managers, may change toward more globalization, resulting in potentially more globally oriented strategies. Thus, given the large antiglobalization sentiments experienced by large segments of the population, managers need to be on guard against this tendency for more “creeping globalization.”

Second, this study may have an important implication for global firms’ internal staffing. The empirical result that business majors are likely to have a positive attitude toward globalization suggests that relative to other majors, business majors can be more motivated if they are assigned to internationally oriented positions. Better motivation of employees is obviously more likely to lead to better firm performance. As a result, managers may need to recognize different attitudes toward globalization between business majors and nonbusiness majors and take advantage of business majors’ stronger interest in and more positive attitudes toward globalization.

Although this study helps fill a gap in scholarly knowledge about next generation leaders, its implications for the people as management educators are profound, rewarding, or unsettling—depending on one’s point of view. On the one hand, perhaps researchers should congratulate themselves because the students, even at a relatively young age, are already found to exhibit similar values shared by their more accomplished seniors. Despite the possible self-selection in their major selection and the probable family influence, there is no denying that their values are shaped, at least in part, by the educational experience educators provide. To the extent that business schools aspire to train next generation leaders by providing them with the dominant values practitioners hold, educators seem to have succeeded in this mission.

On the other hand, a more unsettling question, in light of the sudden outburst of antiglobalization protests in Seattle and elsewhere, is: Have researchers been too successful? Since it is increasingly clear that globalization has two sides and that its “dark” side carries substantial social, political, and environmental costs, how can (or should) researchers intervene to correct business students’ seemingly one-sided view toward globalization? In other words, given the usual compulsion among textbook authors to praise globalization, should researchers devote more time in the classroom on the “dark” side of globalization so as to sensitize students about its potentially devastating consequences? Moreover, should researchers tell students that the problem is not with globalization itself but with how it has been managed, as Stiglitz (2002) suggested?

On this crucial issue, it seems that management educators need to strike a very delicate balance. Although the findings imply that a heavier emphasis in the teaching on the more negative aspects of globalization may be called for, an influential recent book by Bhagwati (2004) argued that the positive effects of globalization on the social, political, and environmental conditions— the so-called human face of globalization need to be emphasized more. It certainly makes sense that in the teaching, educators should avoid overemphasizing any one side—either negative or positive of globalization. The challenge for researchers as concerned management educators is how to strike such a balance (Peng, 2006; Ricks, 2003). If as a consequence of this article more professors (as well as students, executives, and policymakers) become interested in exploring the two-sidedness of globalization and endeavoring to establish a more informed and balanced understanding, then the purposes will have been well served.

References

Appendix 1. Key questions in the survey

Goods and services produced in different regions of the world are distributed worldwide through export / import. Most of the goods and services of different nations are imported from elsewhere. Overall, do you think globalization is good or bad for

<table>
<thead>
<tr>
<th></th>
<th>Good</th>
<th>Bad</th>
<th>Don’t know</th>
<th>Refuse to answer</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Consumers’ like you</td>
<td>a</td>
<td>b</td>
<td>c</td>
<td>d</td>
</tr>
<tr>
<td>2. International companies</td>
<td>a</td>
<td>b</td>
<td>c</td>
<td>d</td>
</tr>
<tr>
<td>3. The world economy</td>
<td>a</td>
<td>b</td>
<td>c</td>
<td>d</td>
</tr>
<tr>
<td>4. Creating jobs in world market</td>
<td>a</td>
<td>b</td>
<td>c</td>
<td>d</td>
</tr>
<tr>
<td>5. Strengthening poor countries’ economy</td>
<td>a</td>
<td>b</td>
<td>c</td>
<td>d</td>
</tr>
</tbody>
</table>
Different Backgrounds and English Learning Styles of Bangkok University Student

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Abstract: The purpose of this research was to investigate the influence of demographics, gender, faculty, and level of general English has on students’ learning styles. Subjects were 410 students representing Accounting, Business Administration, and Economics faculties and studying Business English courses at Bangkok University. A Perceptual Learning Style Preference Questionnaire: PLSPQ (Reid, 1987) was used for collecting data via a five point Likert scale. Data were analyzed and calculated in percentage, mean, standard deviation and Chi-squared test at the level of 0.05. The results show that Bangkok University students do not have a specific style of learning English. The three main forms of learning English are: study in a group, learning and practicing in different situations, and listening respectively. Some results varied based on gender, faculty and levels of academic performance in general English variables. However, the styles of learning English did not.

Keywords: different backgrounds, learning styles, PLSPQ,

1. Introduction

The growth of business and advancement of communication technology have made the role of English an increasingly important tool for expanding international competitiveness. Approximately 80 percent of the information available via Electronic Media is in the English language (Kluver, 2000). This information shows the importance of the English language in today’s world. Therefore, Thailand should accelerate students’ development and preparation of the English language skills to a level where they can communicate, collaborate, negotiate and build international business relationships effectively.

Developing and preparing students to communicate using their English language skills has a direct impact on the development and evolution of design styles for learning and teaching English in higher education institutions in Thailand. This paper argues that the development of teaching General English alone is not sufficient for development and preparation of personnel for international business. Therefore, the educators should focus on English skills that emphasis English language communication skills for the workplace in order to respond to the needs of learners more effectively.

Teaching English for the workplace should aid learners’ achieve important career goals by preparing the learner to use English for communication in workplace situations such as significant vocabulary terms (Robinson, 1980).

Therefore, it is important to prepare lessons, teaching activities and teaching materials that correspond to the instructional model of learning in order to develop skills in English language learners effectively. Currently the development of teaching English for careers is focused on several issues such as development in curriculum and content, education environment and using technology media to assist in teaching. However, this overlooks the several key issues in the process of learning English, for example developing the students’ ability to have a direct role in communication and building the students’ confidence in their use of English for the workplace.

The key point that has been ignored is learning English in a practical way, therefore the author believes the development of learning and teaching English needs to change and become more learner focused. This concept idea is consistent with Cohen’s (1990) studies of the process of teaching a foreign language is that...
attention must be redirected from the instructors to the students and not aim to improve the teaching method alone.

So English for business purposes is an important subject for people in broadly diversified employment situations, ranging from employee to executive. Businesses are staffed by accountants, management, marketing, public relations, research and development so each employee and each position may be required to use English in performing their job. Each student will use a different style of learning to gain the most benefit from a course in English for the workplace, the success of each student comes from the ability to provide for a variety of learning styles. The learning style does not mean the direct abilities but it is the way that each person uses their abilities for thinking and learning. This suggests that there not a best or worst form of learning but that the method of providing knowledge must be flexible enough to accommodate a range of learning styles. The success of learning thus relies on the nature and style of learning of the learner themselves, and providing for the most suitable style to allow the learner develop that style of learning and allow the best performance.

Learning styles and the effectiveness of teaching and learning in the classroom have become the focus of a considerable number of studies by educators and psychologists. According to the Merriam Webster dictionary, the word “style” refers to the a particular manner or technique by which something is done, created, or performed, so ‘learning style’ may be defined as the physical characteristics, idea and feeling that person use in recognition and response interacted with the learning environment as relatively constant (Keefe, 1979, Hong & Suh, 1995).

Learners need a learning style that builds confidence in using English, therefore encouraging students to participate and develop the ability to communicate in English corresponds with the philosophy of teaching and learning. An important issue is that teacher needs to understand the learning styles of students because currently most of the management of learning and teaching English in universities focuses on demographic points such as gender, age and ability level in learning the instructional documents, variety and styles of activities, and interests of students. However, the instructor may be negligent by not focusing on other student related issues, because instructors have different teaching styles. Thus, if the instructor knows the learning style of the learner it will be very helpful because the instructor can manage the learning environment. Instructors can understand the behavior and problems of individual learners, there by assisting students to gain the confidence to use English in the real work situation without the need for further English language study. This, in turn, offers students a competitive advantage in achieving suitable employment opportunities after graduation.

Bangkok University wants to develop a program that produces graduates that have the abilities to use English communication skills that offer a clear response to the labor market demand.

The purpose of the research

1. To study Bangkok University student’ English language learning styles.
2. To investigate Bangkok University student’ English language learning styles according to demographics, gender and levels of academic performance of general English.

2. Scope of research

1. The population is Bangkok University undergraduate enrolled in Business English in the first semester of the academic year 2010. All data were collected in English classes during the month of August 2010.
2. The variables of the study
2.1) Variables such as different backgrounds of students include:
- Gender divided into Male and Female
- Faculty divided into Accounting, Business Administration and Economics.
- Levels of academic performance in general English are divided into four levels: very good, good, moderate and not satisfactory.

2.2) Dependent variables are styles of Learning English divided into 6 types; using visual (VLS - Visual Learning Style), listening (ALS - Auditory Learning Style), practices in different situations (KLS - Kinesthetic Learning Style), performance (TLS - Tactile Learning Style), learning alone (ILS - Individual Learning Style) and study in group (GLS - Group Learning Style)

3. Theory and Related Research

3.1 Conceptual studies of learning by PLSPQ

PLSPQ is a tool to survey patterns of English language specific to those learning English as a second language (ESL) or foreign languages (EFL). It is a questionnaire that surveys a pattern of learning from channel of perception data that can be divided into the following six types; using visual (VLS - Visual Learning Style), listening (ALS - Auditory Learning Style), practices in different situations (KLS - Kinesthetic Learning Style), performance (TLS - Tactile Learning Style), learning alone (ILS - Individual Learning Style) and study in a group (GLS - Group Learning Style) (Reid, 1984)

1. Learning through visual (Visual Major Learning Style Preference) includes visual reading and studying charts and media composed of other images such as image, signboard, video and movies. This type of learner has the ability to view information from text books, on the (white) board or via exercises and be able to memorize the information more effectively than if memorizing via the teaching of the instructor. This type of learner does not need to listen to the explanation of others but rather rely on reading and self understanding of messages to aid in recognition. This type of learner prefers to study alone with books rather than interacting with the others.

2. Listening (Auditory Learning Style Preference) means learners learn from listening activities such as listening to a lecture, conversation, or cassette. These learners learn and remember from the explanations of other people and they may like to read aloud for recognition of the content of courses.

3. Learning by practicing in different situations (Kinesthetic Learning Style Preference) means learning from practicing scenarios that require motion in the learning situation such as role play like drama, interviews and learning from real experiences. Learning by participating in activities (Total physical involvement in learning) the learner is able to remember the knowledge obtained by participating in class, having outdoor activities, role play or learning by mixing auditory and kinesthetic methods.

4. Learning through performing (Tactile Learning Style Preference) means learning by doing (hands-on) for example, creating a model, experimentation in a laboratory and learning from tangible objects such as photo book or card. This type of learner likes learning by doing things by themselves, reading, listening to other people or observation.

5. Learning individually (Individual Learning Style Preference) means the way that the learner does self study both in and out of the classroom in order to achieve the goal of learning. This type of learner prefers learning by them self and will be able to solve various problems as well as understanding more about the facts when they perform self study.

6. Studying in a group (Group Learning Style Preference) means the situation where learners work together with friends or classmates either in pairs or groups. They prefer solving the new problems as part of a group rather than by themselves. Motivation in learning new things comes from the support and help of the group. Learners can be further segmented into 3 types being; Major (main), Minor (secondary) and Negative (do not have). Each learner will have either a major, minor or negative style of learning, learners with major style tend to have a very good study characteristics, while learners that have minor style can receive and remember the information at a good level. Those who do not have a style of learning will have difficulties in learning

4. Research Methodology

4.1 Population and samples

1. Bangkok University undergraduate students enrolled in Business English courses in the first semester of the academic year 2010 made up the population (1,347 people).
2. Subjects were 410 students representing Accounting, Business Administration, and Economics faculties and studying Business English courses at Bangkok University. This is from a stratified random sampling. The size of the sample is calculated from the formula of Yamane that the movement equal 0.05 (Yamane, 1973) that got a sample of at least 309 people. However, the researcher consider using the sample of 410 people that mostly are women with 277 people and the remaining are 67.6 percent are male. The number of 133 people where 32.4 percent study in the faculty of Accounting and faculty of Business administration with 43.9 percent per 180 people and faculty of Economics with 50 people were 12.2 percent having results of levels of academic performance of general English in average and at the highest level were with 152 people by 37.1 percent, moderate level were 32.0 percent, not at a satisfactory level were 25.4 percent and 5.6 percent were at very good level.

4.2 Data Collection

Data were collected in class during the month of August 2010.

4.3 Research Tool

Tool used in this research can be divided into 2 parts.
Part 1: Data base of respondents gender, faculty and level of academic English skills.
Part 2: Perceptual Style Preference Questionnaire (PLSPQ) (Reid, 1987), designed to explore the patterns of learning English language as a second language (ESL) and foreign language (EFL) in higher education. PLSPQ was used to assess participants' Perceptual Learning Styles, which took 25 minutes to complete and score. The PLSPQ required students to write down a numerical value at the end of each of 30 questions. A Likert rating scale was used to assess the level of performances and the scoring criteria (strongly agree = 5 marks, agree = 4 marks, no decision = 3 marks, disagree = 2 marks, strongly Disagree = 1 mark). They were instructed to complete all the values, to add the numbers, and finally, multiply the answer by two. Their major, minor, and negligible styles were determined by analyzing the separate scores on the six perceptual categories. Major learning style preference scores ranged from 38 to 50 minor ranged from 25 to 37, and negligible ranged from 0 to 24.

Scoring and interpretation are as follows.

Scoring: Score format = Total score of the question in each model x 2
Interpretation: The learning model is divided into three groups.

<table>
<thead>
<tr>
<th>Scaling score model</th>
<th>Meaning</th>
</tr>
</thead>
<tbody>
<tr>
<td>38-50 marks</td>
<td>Major Learning Style Preference</td>
</tr>
<tr>
<td>25-37 marks</td>
<td>Minor Learning Style Preference</td>
</tr>
<tr>
<td>0-24 marks</td>
<td>Negligible Learning Style Preference</td>
</tr>
</tbody>
</table>

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Statistical data analysis

1. Basic statistics are percentage frequency, mean and standard deviation.
2. The statistic used to test assumptions is Chi-square test.

5. Results

The participants have a main learning style as follows; VLS at 22.1 percent (93 students); TLS at 26.6 percent (109 students); ALS at 29.8 percent (122 students); GLS is 42.9 percent (176 students); KLS at 39.0 percent (160 students) and ILS at 13.7 percent (56 students). Learning English in the Minor style results are as follows; VLS at 64.4 percent (264 students); TLS at 63.7 percent (261 students); ALS at 62.0 percent (254 students); GLS at (48.8 percent) (200 students); KLS at 52.0 percent (213 students); ILS at 57.1 percent (234 students). Learning English in the negligible style results are as follows; VLS at 12.9 percent (53 students); TLS at 9.8 percent (40 students); ALS at 8.3 percent (34 students); GLS at (9.0 percent) (37 students); KLS at 29.3 percent (120 students); ILS at 57.1 percent (234 students).

Figure 1

Figure 1 shows that the most of Bangkok university students do not have major learning styles at the 35.4 percent followed by 1 major style is at 19.3 percent, 3 major styles is at 14.6 percent, 2 major styles is at 12.9 percent, 4 major styles is at 8.8 percent and 6 major styles is at 5.4 percent respectively and the lowest is 3.7 percent for 5 major styles.
Figure 2 shows the English learning styles of Bangkok University’s student. GLS is at 24.5 percent of female students and 24.7 percent of male students, KLS is at 25.1 percent of male students and 21.1 percent of female students, ALS is at 17.7 percent of female and 15.5 percent of male students, TLS 15.7 percent of female and 14.2 percent of male students, VLS of male students is at 12.3 percent and 13.3 percent of female students, ILS is at 7.6 percent of female student and 8.2 percent of male students.

When testing the relationship between English learning styles of BU student by gender, results were statistically significant at 0.05. Where the learning styles of BU student do not have relationship with gender of the student ($\chi^2=1.913, \ p=0.861$).

Figure 3 shows that 24.5 percent of students in the Business Administration faculty, 27.7 percent of students in Economics faculty and 23.6 percent of students in the Accounting faculty. KLS students in the faculty of Accounting 19.9 percent, students in the faculty of Business Administration 23.5 percent and 25.7 percent of students in the Economics faculty. ALS students in the faculty of Business Administration 15.7 percent, students in the faculty of Economics 15.8 percent and 18.9 percent of students in the faculty of Accounting. TLS students in the faculty of Business 15.7 percent, students in the faculty of Economics 15.8 percent and 14.5 percent of students in the faculty of Accounting. VLS students in the faculty of Accounting 14.2 percent, students in the faculty of Business Administration 13.2 percent and 8.9 percent of students in the faculty of

$\chi^2=5.682, \ p=0.841$
Economics. ILS students in the faculty of Accounting 8.8 percent, students in the faculty of Business Administration 7.5 percent and 5.9 percent of students in the faculty of Economics.

When testing the relationship between learning styles of Bangkok University students classified by faculty of the students, results were statistically significant at 0.05. Where the learning styles of Bangkok University students do not have relationship with student faculties ($\chi^2=5.682$, $p=0.841$).

Figure 4

Bangkok University students at each level of academic performance of general English have common styles of learning English, these are GLS, where students have very good academic performance is at 22.2 percent, level of good performance is at 23.2 percent, moderate level of academic performance is at 28.1 and not satisfactory level is at 30.4 percent. KLS, where students have very good at academic performance is at 21.3 percent, good performance is at 22.8 percent, moderate level is at 23.0 and not satisfactory academic performance is at 21.7 percent. VSL, students with very good academic performance is at 15.7 percent, level of good performance is at 13.4 percent, moderate level of academic performance is at 10.1 and not satisfactory in academic performance is at 8.7 percent. TLS, students with very good at academic performance is at 14.8 percent, good performance is at 14.2 percent, moderate level is at 17.1 percent and not satisfactory academic performance is at 13.0 percent. ALS, students with very good at academic performance is at 16.5 percent, good performance is at 18.3 percent, moderate level is at 16.1 and not satisfactory academic performance is at 17.4 percent. ILS, students with very good at academic performance is at 9.6 percent, good performance is at 8.1 percent, moderate is at 5.5 and not satisfactory academic performance is at 8.7 percent.

When testing the relationship between learning styles of Bangkok University students according to their level of general English, the results were statistically significant at 0.05, ($\chi^2=8.829$, $p=0.886$).

6. Summary and discussion of the results

The results show that most of the Bangkok University students who participated in this study do not have a main style for learning English, this suggests that these students may have difficulties in the recognition of English language information. This may be due to the time allocated to English as a foreign language for Thai students to practice the four skills, (listening, speaking, reading and writing) is relatively limited which requires the learners to use a variety learning styles at the same time. For example students like to study with friends.
in a group but do not like to help each other to answer questions because they want their own individual score.

When considering students who have a main learning style, we found that the style preferred by most of the Bangkok University students who participated in this study is learning in a group. Students like to learn with a group rather than thinking and solving problems by themselves when learning new things, thus they learn by interacting as a member of a group. Motivation to learn new things comes from the help of a group (Reid, 1987) because the habit of Thai students is to rely on each other, helping each other, which is one of the outstanding characteristics of Asian students and this is consistent with studies of Wintergerst et al. (2002).

When considering the main style used by students, the top three styles are, learning as a group (GLS), learning by practicing in the different situations (KLS) and listening (ALS), respectively. This corresponds withWasanasomsithi (2542) research which studied the styles of learning of Chulalongkorn University students in Thailand. That study found that the top three styles were learning as a group (GLS), learning by practicing in different situations (KLS) and listening (ALS), respectively. While according to Nimmansut (1994) study of the styles of learning English language in a vocational education department in Thailand, students used listening style (ALS) and learning with a group (GLS) as the second and third preference respectively.

These results support research undertaken in a range of countries, for example Mulalic, et al. (2009) studied the style of learning English of Malaysian university students and found that students prefer learning through practice in the different situations (KLS), while Peacock (2001) found that Chinese students who learn English as a foreign language at The City University of Hong Kong like to learn by practicing in different situations (KLS) and the listening style (ALS). Wintergerst, et al. (2003) found that Russian university students who study English as a second language like to learn by practicing in different situations (KLS), followed with the listening style (ALS). Jones (1997) found that Chinese university students in Taiwan prefer the learning through practicing in the different situations (KLS). Chu, Kitchen and Chew (1997) found that Singaporean university students prefer practicing in the different situations (KLS) and the research of Melton (1990) that studied Chinese university students’ style of learning English as a foreign language prefer to learn by practicing in the different situation (KLS) as the second style.

However, Bangkok University student’ learning styles are different from international students who prefer not to learn in a group (GLS) (Reid1987, Melton 1990, Hyland 1993, Mulalic, et al. 2009), this might be due to culture differences because Thai’s are Asian and have characteristics different from Westerners (Hofstede 2001). Hofstede describes general characteristics of Asians as shy, lacking of confidence, fear of losing face, and do not like confrontation which consistent with studies of Wintergerst, et al. (2003) which concluded that Asian students have group-oriented style characteristics which is different from Russian students.

Furthermore this research’s results are not consistent with studies regarding university students studying in the business field’s style of learning English, for example marketing students have a style of learning by improving and like to learn from direct experience (Jaju, et al. 2000). While accounting, marketing management and general business students have an absorption style of learning, they prefer not to learn by action or practicing but rather they have the ability to summarize the principles or rules and prefer to work with objects more than people (Novin A. and Jordan 2003, Nijoroge and Senteza, 2006).

Although the three majors (Economics, Accounting and Business Administration) of Bangkok University students are Business for Professionals, they do not have a main style of learning but each student used a variety of learning styles. This is consistent with the research of many studies about the style of learning English for the university students, Reid (1987) said students have a different style of learning (Mulalic, et al., 2009; Wintergerst, et all., 2003; Jones, 1997; Hyland, 1993; Melton, 1990).

The relationship of pattern of learning English by Bangkok University students comparing their different backgrounds including gender, faculty and levels of academic performance in general English. For both male and female students of Bangkok University at all levels of general English and in each faculty and the styles of learning English is not different from each other. This means that students will learn in a group followed by
practice in different situations and listening respectively in accordance with Mulalic, et all (2009), who studied the styles of learning English by Malaysian University students and found that male students prefer learning styles by practicing in different situation (KLS) and learning by listening (ALS). This is because learning with others creates confidence while doing activities to practice the language skills. Learning as part of a group allows brainstorming with others, to express one’s opinion as some comments may be consistent with majority. This is necessary because learners have people to help in supporting the ideas of the learner rather than making them lose confidence and not participate in activities for fear of losing face (as observed in class by the researcher). In addition, learning with others creates opportunities to support the interdependent learning such as when the learner cannot answer nor do exercises. Other learners in the group may be able to find the answer on behalf of the learner. The learner will have the confidence to learn and develop more of their English skills (as observed in class by the researcher). Learning as a member of a group also reduces the pressure and stress in competitive situations because learning in groups emphasizes the unity of collaboration between the members of the group. Therefore, this can lead to competitive situations to rarely occur (Wintergert, et al., 2003).

In addition to this, learning in groups is a driving force for the learner to have enthusiasm for learning and practicing their language skills better. So participating and creating group activities can make the learner perceive their level of abilities and other members in the group all the time. If the learner is the weakness of the group, the learner must find the way to develop their abilities. At the same time, the learners who are the strength of the group have to maintain and increase their abilities in order to be a refuge of the group (as observed in class by the researcher). Although, Wintergert has said that the pattern of learning in group has a less competitive situation involved.

The result of this study is not consistent with the studies of Milgram (2007) which found that female students prefer learning by cooperating and not competition. While the male student prefer, learning by doing. Apart from this, male student has skills to use equipment and solve problems during learning by doing or action more than by female students in learning STEM (Science, Technology, Engineering and Mathematics).

Where the learning pattern does not focus on doing experiments in accordance with the nature of boys that have a basic characteristic of learning and playing (Play and Learn) which is different from girls. Students in the faculties of Accounting, Business Administration and Economics have a pattern of learning English which is not different from each other. Probably because from the faculties of Accounting, Business Administration, and Economics are liberal art faculties that have to focus on the participation of the student and learning from direct experience in real situations regarding actual occupations. This is consistent with research of Jaju and Knak (2000), which found that the marketing subject has a learning pattern where the learner prefers to learn from experience and performing a real experiment.

Students with academic performance at level of very good, good, moderate and not satisfactory use learning styles that are not different, perhaps because the university student are not yet aware with the learning styles of learning English. Therefore, Bangkok University students may be have random characteristics of learning patterns and other ways of instinct learning learned from when they born and as a learner may use the various patterns of learning one thing also according to the study of Mackeracher (2004) that summarizes a brief fact about the learning pattern with nine questions and one of the facts said that there is no best pattern of learning.

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Relative Impact of Infrastructural Provision by CBOs in Akure South LGA of Ondo State, Nigeria: Application of Facility Contributory Index

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Abstract: Infrastructural provision is a catalyst for economic development at various levels. The influence on local economic development and the alleviation of poverty is unquantifiable. In some instances, CBOs embark on physical development projects to provide facilities in their communities. This paper exposes the relative impact of facilities provided by CBOs in Akure South Local Government Area of Ondo State, Nigeria on the economy of residents. 262 respondents of the LGA which were selected by stratified random sampling provided information through a questionnaire to reveal the degree of contribution of certain 10 facilities to their personal economy. Facility Contributory Index (FCI) model was developed using likert’s scale to determine various levels of contribution of the facilities. It was discovered among other things that Health related facilities ranked highest on the FCI Table of assessment while recreational facilities remain the least contributor due to low provision coupled with degree of contribution. Recommendations include a policy overhaul to establish partnership between government and NPOs in order to stimulate efforts of CBOs in local communities.

Keywords: local economic development, poverty, community-based organisations, infrastructure, facility contributory index.

1. Introduction

Local Economic Development (LED) is multi-dimensional in its approach. According to Emmanuel (2003), growth of economic or business ventures in rural areas is impeded by lack of or inefficient infrastructure. LED involves partnerships between local governments, community-based groups and the private sector in which resources are managed to create jobs and stimulate the economy of a well-defined territory. Hence, Community Based Organisations (CBOs) have roles to play in economic development of individuals and local communities. One of three broad categories of LED initiatives is the community-based economic development. This involves a kind of what Town Planners refer to as disjointed incrementalist approach in the planning of communities but with a tendency towards economic improvement. It is the most direct of categories of LED initiatives. The involvement of CBOs in this context cannot be ignored.

Nden (2004) sees CBOs as those organisations which are involved in various developmental activities that enhance the living standard of their communities. They are non-profit oriented organisations, which help to promote economic activities and provide infrastructural facilities. CBOs act as facilitators or avenues through which initiatives are executed within or diffused into communities. They exist in form of cooperative societies, user associations, workers’ unions or producers associations (Helmsing, 2001; Bingen, 2003). Despite this, the main focus has always been to reduce poverty and improve the economy of individuals and well-being of households in a local setting.

One of the “tools” employed by CBOs to assist the development of local economies or alleviate the poverty of the people in their communities is the provision of basic infrastructure. At times, such provision could be as essential and common as water for cottage industry and domestic consumption. At other times, it could include the capital intensive construction of roads within or linking communities.
This paper focuses on the activities of CBOs in an urban-dominated Local Government Area (LGA) of Ondo State, Nigeria. It employs the application of Facility Contributory Index (FCI) model, which was developed using Likert’s Scale, to determine the extent to which infrastructural provision in the hands of CBOs have contributed towards improving the economy of the residents in the study area.

2. Summary of Literature Review

The concepts of Poverty and Local Economic Development (LED) have linkages in welfare discourse. The latter attempts to find a solution to the former. Hence, Poverty is viewed as a problem requiring suggested solutions. Poverty studies date back to the end of the nineteenth century when researchers like Charles Booth and Seehom Rowntree worked to determine minimum requirements for human survival in terms of food, clothing and certain household sundries in order to fix poverty lines for an individual or family (Booth, 1889 and Rowntree, 1901). Despite certain criticisms, the works of Booth and Rowntree formed the basis for modern poverty studies.

Relatively recent studies have considered poverty as a function of education, health, life expectancy and child mortality among other things. In the process of measuring human development, the United Nations makes use of four basic indices one of which is the Human Poverty Index (HPI). The HPI employs major dimensions which measure poverty in terms of education, longevity and income (UNDP, 2001). This implies a merger of the initial and basic measure of poverty using poverty line (income) and the recently derived measure using dimensions such as education and life expectancy.

The concept of LED involves several multi-actors and approaches. It involves a framework whereby the local government, private sector and several non-profit organisations (NPOs) engage in measures to assist individuals and communities to improve their economy while making use of resources in their immediate environment (World Bank, 2001). Measures are taken to boost the local economy through investment in hard infrastructure, support for small and medium-scale enterprises, capacity building, supporting the growth of new enterprises and supporting growth of particular clusters of businesses. The Multi-actors involved in this process are usually governments (especially local government), International Organisations, Non-Governmental Organisations (NGOs), Community-Based Organisations (CBOs) and private organisations.

Yankson (2000) says local NGOs and CBOs constitute important groups within civil society. At times, they are used interchangeably to represent private, voluntary, non-profit organisations independent of any government, which are funded through individual and corporate donations, levies imposed on members and grants from international agencies and governments (Jegede, 2000). CBOs have existed for long as major survival strategists for the common man, giving immediate support to their economic challenges. However, in most cases, they have been limited by lack of sufficient funds. The commonest expressions are in form of Cooperative Societies and Community Development Associations (CDAs).

Mandela (1995) emphasized the fact that the participation of CBOs and NGOs had enriched the evolution of the Reconstruction and Development Programme (RDP) into a concrete policy document in South Africa. Participatory Rural Appraisal (PRA) is an approach used by NGOs and other agencies involved in international development. The approach aims to incorporate the knowledge and opinions of rural people in the planning and management of development projects and programmes (Wikipedia, 2010). PRA involves rural people examining their own problems, setting their own goals, and monitoring their own achievements.

Community-Driven Development (CDD) is an approach that gives control of development decisions and resources to community groups. Poor communities receive funds, decide on their use, plan and execute the chosen local projects, and monitor the provision of services that result. It improves not just incomes but also people’s empowerment, the lack of which is a form of poverty as well (International Development Association, 2009).

Ibem (2009) worked on community-led infrastructural provision in low-income communities in Ohaifa, Nigeria and discovered that local organisations were addressing infrastructural challenges in their
communities. Identified organisations were able to harness local resources. Also, the fact that mobilisation of resources in project initiation, design, implementation and funding influenced the type of infrastructural projects embarked upon by these organisations was established. Findings equally exposed conceptual and policy implications for integrating community-based approaches into urban development process in developing countries.

Francis et al (1996) examined local organisations in 36 rural and urban communities of Nigeria. A significant discovery was the fact that CBOs were after the communal benefit as a whole and not particular about individuals or the poorest “per se”. In essence, CBOs are highly valuable in the improvement of individual and local economies through such things as provision of infrastructural facilities and local projects which are solely or jointly funded in partnership with several international organizations. At times, CBOs’ contribution may come in form of manpower mobilization and involvement.

This paper focuses on the people’s assessment of the impact of the contributions of CBOs to their economic development through the provision of certain infrastructural facilities in their communities in Akure South LGA of Ondo State, Nigeria.

3. The Study Area: Akure South LGA

Akure South LGA is located in Ondo State in the South-western geopolitical zone of Nigeria. It was carved out of Akure LGA on 1st October, 1996. It occupies a land area of 2,303 square kilometres and lies within 6°9' - 7°25'N and 5°05' - 5°40'E. The headquarters of the LGA is Akure city which doubles as the capital city of the State. The LGA is 346km from Lagos and accommodates less than 400,000 people (Federal Government of Nigeria, 2007). The area is dominated by Yorubas who form the major tribe in southwestern Nigeria. Major settlements in the LGA are Akure and Oda while some of the minor settlements are Aponmu, Ipinsa, Iwoye, Igbaro, and Isagba. Akure, the state capital, is a university town which boasts of resources such as kolanut, cocoa, oil palm, and rocks which are converted into useful stones for various construction works. The LGA is divided into 11 political wards.

4. Methodology

Akure South LGA was selected for this study based on the multi-dimensional cultural, professional and business characteristics being exhibited. Akure South LGA is a landlocked area dominated by an urban setting (characteristic of a state capital which Akure town is) and accommodates most of the highest income earners in the state. Its population has divergent cultural background though dominated by the Yoruba tribe. The LGA was divided into strata using the existing 11 geopolitical wards out which 10% of the districts or settlements in each ward were randomly selected as sample for investigation. Certain wards which exist within the city of Akure have districts or streets while some wards outside the city had distinct settlements from which selection was made.

Both open and close ended questions were employed to elicit data from household-heads in the respective settlements or districts. A total of 262 copies of the survey questionnaire were retrieved out of the 275 distributed to respondents (representing 95.3% response rate). The Survey was conducted by trained field assistants on a weekend to allow for easy and maximum access to respondents. Data processing involved uni-variate analysis resulting in the generation of tables and charts which were later employed in the development of the Facility Contributory Index (FCI) model. The model was further developed using Likert's Scale (such that weights were assigned to the people’s perception of the level of each facility contribution) in order to obtain the contribution of the facilities provided by CBOs to the respondents' economy.
5. Research Outcome

This section highlights the results from the FCI model employed in the analysis of collated response from the residents of Akure South LGA on CBOs-provided facility.

5.1 Facility Contribution for Akure South LGA: Sum of Frequencies for Levels of Contribution

To arrive at the output on Table 1 (see Appendix), respondents were required to indicate whether the listed facilities had been provided or not by CBOs in their community. Also, for those who responded positively, they were to indicate the perceived level of contribution of each facility to their personal economy. However, it is important to inform that not all the listed facilities were found in every community investigated. Therefore, Table 1 shows the number of respondents who responded affirmatively to the enquiry on facility provision and also the disaggregation of those respondents according to the perceived level of contribution of each facility to their personal economy.

For each facility, it is easily inferred from the Table that most respondents indicated non-provision or did not respond at all; since the total number of respondents is 262. This confirmed an earlier finding that Government had performed far better than CBOs and NGOs in providing facilities in communities.

5.2 Facility Contribution for Akure South LGA: Sum of Weighted Value and Facility Contributory Index Computation

Table 2 (see Appendix) gives the calculated values for Sum of Weighted Values (SWV) and the FCI for each facility in a ranked manner. The weighted values were first calculated by multiplying the weights attached to each level of contribution with the number of respondents for that level of contribution. The SWV is the addition of all weighted values for a particular facility while the FCI was obtained by dividing the SWV by the total number of respondents (n) for that facility. Afterwards, the mean, variance and standard deviation of the FCIs were equally obtained.

The rankings (on Table 2) show that Health Facility has the greatest contribution to personal economy of households with FCI of 3.13 while the presence of recreational centres/ playgrond contributed the least with FCI of 1.33. The mean FCI is 2.69. Also, 7 of the 10 facilities are found above the mean. This reveals facilities with positive and negative deviations about the mean. The facilities with positive deviations are Health Facility, Waste Collection Facility, Community Hall, Secondary School facilities, Primary School facilities, Market and Water Supply. This implies that these facilities are perceived to have contributed more than the average contribution of all the 10 assessed facilities. The facilities with negative deviation about the mean are Road, Electricity and Recreational facilities. These are the facilities with low level of contribution.

It is necessary to emphasize again that this assessment is for only those facilities provided by CBOs and does not include those provided by the government. The Health Facility has attracted attention as a strong “indirect” contributor to improved economy. The cliché that “health is wealth” cannot be ignored. The availability of dispensaries, clinics and chemist’s shops were facilitated by access to land, building or labour mobilisation through the CDA.

For a waste disposal facility, a high and positive FCI from as many as 75 individuals (which is the highest response rate) may be unexpected. However, when CBOs such as CDAs provide such facility, it is a way of reducing expenses on refuse disposal and consequently reducing running cost of businesses which in the long run helps to maximise business profit. In Akure metropolis, where residents are expected to pay for such service to be rendered at their homes, a major facility provided by the CDA at certain locations, if properly managed, reduces expenses on waste disposal. The Waste Disposal Board functions adequately well in the city and is always ready to deal with erring residents while the Board provides large refuse containers around
markets. Furthermore, this scenario cannot be disconnected from health reasons which are linked with the ranking of provision of Health Facility as highlighted earlier.

Community hall ranks 3 on the Table with FCI of 3.06. These are venues for meetings and other social and political engagements. Additionally, such halls are rented for functions and ceremonies. Therefore, the community generates income from them. Also, individuals in the community have spill-over benefits in form of sales and services to users of such community halls who may want to rent canopies and chairs, buy water and drinks, and obtain catering services among others. When Halls are provided by private individuals, the community halls tend to be cheaper and more affordable though with less quality and quantity of facilities. Community halls are not common place in Akure metropolis except at the central slums like Odo-Ikoyi. Rather, they are found in the outskirt settlements of the LGA like Oda and Igbatoro towns.

The provision of community secondary and primary schools provide not only jobs for teachers and other staff working in the school premises but also persons living within and around such schools who trade in stationery, confectionery, food, snacks and drinks in and around the premises of such schools. At times, these include the approved food and stationery vendors within the school premises. The CBOs may not have built the schools especially as in the case of Akure South LGA but have assisted in the provision of furniture and other learning facilities for these schools. These come in form of donations to the schools.

However, the FCI for the secondary and primary schools are 3.06 and 2.86 respectively while they rank third (secondary school and community hall share same position) and fifth on the Table. This implies that secondary schools were perceived to have contributed more to individual economy in the LGA than the primary schools. Despite a higher number of respondents for primary school (64) than that of the secondary school (31), the secondary school attracted a higher rating for economic benefits; an important factor being that they posses more matured students (compared with the primary school pupils) which include those who do part time work to make money to cater for their school needs.

Market has a FCI of 2.76 (ranking 6) with a deviation of 0.07 about the mean. This implies a slightly above-average contribution to the economy of the people. The respondents are wide spread. Most importantly, CBOs hardly provide markets for communities in Akure South LGA. Consequently, the influence of markets on the economy may not have come as such from those provided by CBOs. For this reason, contrary to expectations, the FCI (2.76) is not very high as it has a deviation of 0.07.

Water Supply is ranked 7 with a FCI of 2.74. This is low enough as its potentials had not been harnessed by the CBOs. Also, the fact that it serves as raw material in the production process of many small businesses in addition to packaging as bottled and sachet water has not been appreciated. Community boreholes exist in some places though most are sunk and solar-powered by the government. Also, public water taps run in few places at certain times of the week. Therefore the influence of the CBOs is minimal.

In Akure South LGA, it is not surprising to discover that road and electricity have negative deviations of -0.11 and -0.46 about the mean of the FCI. In a rural environment, the impact of road construction to the rural economy is considerably high since the road serves as means of communication between the villages and market centres. Road construction plays a major role in individual’s economy. However, though roads are essential to the development and life of urban dwellers too, the provision of roads by CBOs has a low FCI. The best the CBOs had done was to fill up potholes with broken bricks and laterite at desperate moments. They have no economic power to provide such good roads that will contribute to the economy of even those who live in slightly rural areas of Akure South LGA. The best that could be done was to clear a stretch of road or grade without overlaying macadam.

Electricity is hardly provided by CBOs. Except in few cases where limited supply is in form of generator provisions for individuals with small-scale businesses. This can come from cooperative society purchase or by loans obtained from such cooperative societies. In some other cases, people in the community are told to contribute money towards repairs of transformers or extension of lines or replacement of damaged poles after rain storm. The CDAs in some situations provide cash support from the community purse and
coordinate donations towards such ventures. Electricity provision is highly germane to the economy of the people but the contributions of the community or CBOs are limited to the above; hence, the low FCI.

Recreational centres and playgrounds are lowest on the FCI Table with a value of 1.33 and a -1.36 deviation about the mean. These hardly provide income for the people except in few cases as provided by private individuals where certain Television viewing points have been established for watching international football matches and premiership matches. More importantly is the fact that CBOs hardly get involved in provision of such facilities.

6. Recommendations and Conclusion

The clear need for generation or review of policies to favour or promote the contributions of CBOs to the development of communities cannot overemphasized. Such policies provide legal and administrative environments for CBOs to operate. To address this concern, certain recommendations are necessary.

First, there is great need for partnership between government and CBOs in order to facilitate the efforts of CBOs towards infrastructural development of communities to ultimately catalyse poverty alleviation and local economic development. This starts with initiation of a periodic forum for interaction between the government and the NPOs. Organised interactions of this sort will generate memoranda of understanding to spring up partnership between governments and the NPOs especially the CBOs.

Also, since, provision of stable power supply is a sine qua non in the process of improving both micro and macro economy of a nation, the power sector will need both policy and infrastructural overhaul. At the micro level, many businesses are negatively affected as traders in perishable goods have problems running their business without regular power supply. The cost of purchase and maintenance of a good and high KVA power generator to run businesses actually shoots up the running cost for such businesses. The general noise and air pollution aggravate environmental degradation; not to mention the danger posed by powering generators with Premium Motor Spirit (PMS). Hence, Public-Private Partnership (PPP) is suggested within a decentralised power generation system which puts power supply in the hands of state government; coupled with an Environmental Management Plan to tackle pollution problem. CDAs are to provide security of power installations and facilities in their communities as part of the contribution to stable power supply.

Participatory Monitoring and Evaluation approach should be introduced by CBOs to monitor projects while adequate feedback mechanism should be put in place. For CBOs such as cooperatives, the awareness of the performance of help-initiatives will assist in improving the contributions of CBOs to the economic welfare of the people. Furthermore, there is need for CBOs to invest more in recreational facilities in order to promote the culture of rest and relaxation among the people. The provision of parks and gardens with various attractions and incentives will encourage people in communities to visit such centres and also improve their health. This will further increase their appreciation of good health as vital to wealth as already implied in the high FCI values for health and waste disposal facilities.

Local groups and expressions in the area of community development and self empowerment will continue to aid the bottom-up approach to infrastructural and economic development. The need to continue exploring this aspect of the society will ever remain germane to the welfare of the human race and the development of the developing nations.

References


Acknowledgement

The Author acknowledges the support of the Federal University of Technology, Akure, Nigeria through the University Research Grant awarded to carry out the above research.

Appendix

Table 1: Facility Contribution for AKURE SOUTH LGA – Frequencies for Levels of Contribution

<table>
<thead>
<tr>
<th>S/N</th>
<th>Facility</th>
<th>Provided/ No. of Respondents</th>
<th>Very Little Contribution</th>
<th>Little Contribution</th>
<th>Fair Contribution</th>
<th>High Contribution</th>
<th>Very High Contribution</th>
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<tr>
<td>1.</td>
<td>Waste Collection Facility</td>
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<td>3.</td>
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<td>18</td>
<td>7</td>
<td>18</td>
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<td>4.</td>
<td>Road (untarred)</td>
<td>65</td>
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<td>17</td>
<td>19</td>
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<td>3</td>
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<tr>
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<td>18</td>
<td>21</td>
<td>17</td>
<td>8</td>
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</tr>
<tr>
<td>6.</td>
<td>Primary School Classrooms and Furniture</td>
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<td>16</td>
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<td>Secondary school Classrooms and Furniture</td>
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<td>3</td>
</tr>
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<td>Community Hall</td>
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<td>5</td>
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<td>8</td>
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<td>4</td>
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<td>9.</td>
<td>Health Facility</td>
<td>30</td>
<td>1</td>
<td>10</td>
<td>7</td>
<td>8</td>
<td>4</td>
</tr>
<tr>
<td>10.</td>
<td>Recreational Centre /Playground</td>
<td>27</td>
<td>21</td>
<td>4</td>
<td>1</td>
<td>1</td>
<td>0</td>
</tr>
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</table>

Source: Author’s Computation, January 2008
## Table 2: Facility Contribution for AKURE SOUTH LGA – Sum of Weighted Value and FCI Computation

<table>
<thead>
<tr>
<th>S/N</th>
<th>Facility</th>
<th>Provided/ no. of respondents</th>
<th>Freq. for Very Little Contribution x1</th>
<th>Freq. for Little Contribution x2</th>
<th>Freq. for Fair Contribution x3</th>
<th>Freq. for High Contribution x4</th>
<th>Freq. for Very High Contribution x5</th>
<th>SWV</th>
<th>FCI</th>
<th>FCI – Mean</th>
<th>(FCI – Mean)²</th>
<th>Ranking</th>
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<td>1.</td>
<td>Health Facility</td>
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<td>0.37</td>
<td>0.1369</td>
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<tr>
<td>4.</td>
<td>Secondary School (Classrooms &amp; Furniture)</td>
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<td>4</td>
<td>12</td>
<td>56</td>
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<td>95</td>
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<td>0.1369</td>
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<tr>
<td>5.</td>
<td>Primary School (Classrooms &amp; Furniture)</td>
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<td>6.</td>
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<td>42</td>
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<td>7.</td>
<td>Water Supply</td>
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<td>21</td>
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<td>8.</td>
<td>Road (un tarred)</td>
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<td>42</td>
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<td>Recreational Centre/ Playground</td>
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\[ \sum_{FCI} = 26.86 \]

Mean = 26.86/10 = 2.69  
Variance = 2.7534/10 = 0.2753  
SD = (0.2753)⁰⁵ = 0.5247  
Source: Author’s Computation, January 2008.
Correlates of Alcohol Consumption among Adolescents in Ibadan North Local Government Area of Oyo State, Nigeria

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Doi:10.5901/mjss.2012.v3n2.251

Abstract: Alcohol consumption is a behavioural problem defined relative to age and is considered problematic below a certain age or stage in life. Young people by virtue of their stage in development are likely to engage in drinking alcohol. The aim of the paper is to examine the correlate of alcohol consumption among adolescents in Ibadan North Local Government area of Oyo State, Nigeria. The paper was based on the social action theory and it adopted the survey design and multi-stage sampling procedure to elicit information from 313 adolescents. Some of the findings revealed that males were more predisposed to alcohol consumption. 71.9% of males had drunk alcohol compared to 32.5% females’ counterparts. Males who still drink alcohol prior to the study were higher than females (47.2% compared to 15.8%). The hypothesis revealed that there was no significant relationship between peer pressure and alcohol consumption. Another hypothesis revealed that marital status, high level of education mother’s occupation, father’s highest education and father’s occupation had positive correlation with alcohol consumption. Ethnicity, religious affiliation, occupation, persons living with and type of house showed a negative correlation toward alcohol consumption with only religion having a significant relationship. This shows that socioeconomic status will jointly and independently affect alcohol consumption. The paper concludes that males should be warned about the implications of alcohol consumption since they are likely to be more predisposed to alcohol than females, career counselors must encourage students to abstain from high levels of alcohol consumption so that they may be focused in life.

Keywords: Adolescents, alcohol consumption, peer influence, socio-economic status and correlates.

1. Introduction

Adolescence is a period of many transitions, which involves a process of confrontation with diverse tasks of development and with demands on development. It is a time of change, exploration, exuberance and youthful searching. Adolescents show marked changes in their social relationships sometimes leading to the breaking away from the family. During adolescence, there is a sharp increase in the amount of behavior that exposes a child to danger. Many adolescents prove resilient in the face of these challenges and demands; on the other hand, many engage in risky health behavior and, for a minority, this risk-taking can have serious adverse consequences. One of such behavior often initiated during adolescence is experimentation with alcohol. Alcohol consumption, however, appears to be far from innocuous behavior and may have extensive ramifications, affecting users’ physical, psychological, social, financial and economic well-being. Young people, by virtue of their developmental status and their varied emotional and social needs, are less adept at contending with these substances and are, therefore, more liable to experience a range of negative outcomes.
The prevalent rate of alcohol consumption among adolescents in different parts of the world gives room for concern. For instance, in the United States of America according to the National Youth Violence Prevention (2000), it was reported that 52% of the eighth graders and 80% of the high school seniors have taken alcohol at sometimes, 25% of the eight graders and 62% of high school seniors have been drunk. As pointed out by Eastand (1990) cited in Adeyemo (2004), there are about 5 million habitual alcohol drinkers in France. The situation in Nigeria shows that there is high prevalence of alcohol consumption among adolescents and there is a high probability that the frequency of alcohol drinking will continue to increase (Ogunremi and Rotimi, 1989 cited in Adeyemo, 2004) coupled with the fact that there is no legal minimum age for drinking in the country.

Data on the long-term implications of such alcohol consumption are emerging while intoxication, memory loss, violence and sexual risk-taking are associated with current patterns of adolescent alcohol consumption. The sociological implications of alcohol abuse among the Nigerian adolescents have been a major threat to the peaceful co-existence of all and sundry in this contemporary society, thereby destroying the socio-political dignity, personality and integrity of dependence on life. The pertinent issue to raise therefore is- what is it that is sustaining or reinforcing the consumption of alcohol among adolescents despite the awareness of the potential dangers it constitutes to healthy living? The purpose of the present study is to examine the likely determinants of the consumption of alcohol among adolescents by answering the following research questions:

1. What are the key determinants of alcohol consumption among adolescents?
2. How do adolescents perceive alcohol?
3. Why do adolescents agree or refuse to drink alcohol?
4. What do adolescents understand about the implications of alcohol consumption?
5. How can adolescents' knowledge of alcohol be managed?

2. Brief Literature Review

2.1 Determinants of alcohol consumption among adolescents

Steinberg (2002) argued that the high rate of alcohol consumption was due to changes in the family. Earlier studies by Horton and Hunt (1980) mentioned the family as the basic social institution from which other institutions have grown as increasing cultural complexity made them necessary. In light of these scholarly studies, alcohol consumption can be understood in the context of the family. For Coon (1995), the quality of mothering and fathering is of prime importance. Other scholars have shown that living in a family where family members consume alcohol increases the chance that an adolescent has friends who drink alcohol (Bahr, Marcos and Maughan, G, 1995). Perceived availability is commonly associated with adolescent alcohol use. Perceived availability and drinking volume appear to be shaped by the adolescents' social environment. Part of this social environment includes having siblings who drink. Based on the fact sheet of Institute of Alcohol Studies on adolescents and alcohol (2009:10) it indicated that among the youngest adolescents the usual drinking place was the home. As they grew older, they continued to drink at home, but the usual site of their drinking shifted, first to parties, then to clubs and discos and finally to pubs.

More generally, findings suggest that family structure has a moderate effect on youth substance use; that parental and peer relations are better predictors than family structure of levels of alcohol consumption; and that variations in parental attachment, parenting style, and peer relations across family types explain some, but not all, of the effects of family structure on adolescents' substance use behaviours (Crawford, 2008). Family bonding has been repeatedly shown to be negatively related to adolescent drinking (Kuendig and Kuntschi, 2006). This is reflected in perceived monitoring, communication, involvement and joint activities in the family. Family bonding can be defined as a feeling of closeness and intimacy towards one's parents (Bahr et al., 1995, Zhang et al., 1999 cited in Kuendig and Kuntschi, 2006). Researchers suggest that strong family
bonding is reflected in the adolescent’s adoption of parental and societal norms and values, which in turn protect against involvement in risk behaviors (Bell et al., 2000 cited in Kuendig and Kuntschi, 2006). Studies have shown that parental death is associated with some negative attitudes in terms of alcohol consumption which could be measured as number of drinks (Umberson and Chen (1994) cited in Marks et al., 2007). Umberson and Chen (1994) cited in Mark’s et al (2007) found that a father’s death was associated with a greater increase in alcohol consumption over a period of 3 years than not experiencing a father’s death.

Many parents who drink excessively fail to establish strong family bonds as they tend to create high levels of stress and emotional harm among other family members. Therefore, strong family bonds are not easily developed, established and maintained in families where excessive drinking habits are common(Eurocare and COFACE, 1998 cited in Kuendig and Kuntsche, 2006). Individuals with distant, hostile, or conflicted family relationships are more likely to develop substance-abuse problems than their peers who grow up in close nurturing families (Steinberg, 2002). What differentiates children of alcoholics who develop substance-abuse problems from those who do not has to do with the extent to which parent’s alcoholism interferes with family functioning (Steinberg, 2002). Poor parenting increases the adolescents’ involvement in problem behavior overall which in turn is linked to alcohol consumption (Steinberg, 2002). Improving the quality of family relationships and parenting attitude has been shown to be beneficial in delaying the initiation of alcohol use (Spoth et al., 1999 cited in Kuendig and Kuntschi, 2006).

Studies have also shown that there is a substantial effect of socioeconomic background of adolescents on alcohol consumption. Adolescents from the lowest occupational group had almost twice the odds of being a large consumer than the highest occupational group (Droomers, et al 2003). The association between father’s occupation and high alcohol consumption during adolescences was explained by friends’ approval of alcohol consumption and lower parental attachment among adolescents from lower occupational groups (Droomers, et al 2003). The consumption of alcohol in Mexico for instance has been linked with higher socioeconomic status (SES); half of the alcohol consumed in the country is consumed by the 30% of the population with the highest SES (Medina-Mora & Rojas Guiot, 2003 cited in Marsiglia, et al, 2009). Higher SES, which often is associated with higher parental levels of education, also appears to have an effect on adolescent substance use. Higher level of education of the head of the house in Mexico are correlated with higher adolescent substance use, especially for alcohol and tobacco (Felix-Ortiz et al, 2001; Medina-Mora, Carrero, & De la Fuente, 1998; Medina-Mora & Rojas Guiot, 2003; Villatoro et al, 1998 cited in Marsiglia, et al, 2009). Because higher levels of education are often associated with higher SES, increased levels of alcohol use by adolescents may therefore be associated with easier access to the money needed to purchase those substances (Felix-Ortiz et al, 2001 cited in Marsiglia, et al 2009) and possibly with weaker anti-drug norms present among higher SES families.

Apart from influence of parents, adolescents’ drinking behaviors has been shown to be enhanced by peer groups, and their relationship with their peer groups (Yeh, 2006). It is primarily through interactions with peers that adolescents learn to define substance use as an acceptable and desirable activity (Crawford and Novak, 2008). Best friend’s alcohol use has been shown to be the most important predictor of adolescents’ own alcohol use in every sub-sample (Kempainen, et al., 2008). Friends are presumed to exert a substantial influence on young people’s drinking patterns. Schoor et al (2008) conducted a study to whether personality traits and peer drinking affect alcohol consumption in young adults. Data were analyzed from a study that was conducted in a ‘bar laboratory’ in which ad-lib drinking of peer groups was observed. The findings indicated that personality was not associated with young adults’ actual alcohol consumption. Further, peer drinking levels were strongly related to young adults’ drinking. They noticed that agreeableness interacted with the effects of peer drinking on young adults’ drinking in such a way that agreeable individuals adapted their actual alcohol consumption more easily than others when socializing in a high- or a low- drinking peer group. They therefore concluded that drinking in a peer context, irrespective of personality, played a major role in forming young adults’ drinking.
Adolescents who use alcohol are more likely to choose other alcohol users as friends but spending time with friends who use these substances increases adolescents’ own use as well (Curran et al., 1997; Urberg, Degirmenciglu, & Pilgrim, 1997 cited in Steinberg, 2002:186). It appears that to some extent when it comes to anti-social behaviours birds of the same feather flock together (Steinberg, 2002:186).

2.2 Adolescents’ perception of alcohol

How people view alcohol and its effects also influences their drinking behavior including whether they begin to drink and how much. An adolescent who expects drinking to be a pleasurable experience is more likely to drink than one who does not. Studies have shown that perceived benefits and risks, grade level and independence are directly associated with participation in alcohol-related activities (Hampson et al., 2001). According to the Institute of Alcohol Studies (2009) most adolescents under 18 years view drinking positively. They see it as a means of socializing with friends (62%) and increasing their confidence. The National Institute on Alcohol Abuse and Alcoholism (2006) indicated that beliefs about alcohol are established very early in life, even before the child begins elementary school (15). The institute also reported that before age 9, children generally viewed alcohol negatively and saw drinking as bad, with adverse effects. By about age 13, their expectancies shifted, becoming more positive. It also indicated that adolescents who drank the most, also placed the greatest emphasis on the positive and arousing effects of alcohol. This arousal effect could be in terms of enhancing sexual performance (Adeniyi, 2009). The perception that nothing would happen and that they had control over the situation is a common characteristic among adolescents, which has contributed to a reduced risk perception and increased the consumption of alcohol (Gil et al, 2008).

A study conducted by Anderson (1999) among male adolescents, participants indicated that most of their substance use was a natural, everyday activity, not requiring conscious thought or active decision making. They said, “the comments of one teen participant exemplified those of many others. In his remarks about beer he said “just mellow you out… Kick back; drink a beer after a hard day… or whatever.” The participants did not consider that drinking beer was a dangerous behavior requiring much thought or careful decision making. A study conducted by Onohwsafe et al (2008) on drug use among secondary school children in central Delta state, Nigeria, showed the students had little knowledge about the different drugs and their effects.

2.3 Adolescents’ reasons for the acceptance or rejection of alcohol consumption

Many researchers feel that the need to belong in a group is very strong in adolescence. The compelling need to fit into and belong to a group of friends may be motivating factors in alcohol use (Adeyemo, 2007:322). This need is what many feel leads adolescents to partake in such risky behaviours (Wolf et al 1995) such as alcohol use and abuse. Jessor and Jessor (1975) and Nash (1997) cited in Adeyemo D. A, (2007:321) found out that adolescents consumed alcohol because they were exposed to it by their friends and peers. Similar finding was made by Mcpherson (1997) cited in Adeyemo, 2007:322) who confirmed that peer pressure is one of the factors that encouraged students to drink alcoholic beverage. Research on preparing styles and alcohol use among non-Latinos also indicated that authoritative parenting was associated with less alcohol use (Ennett et al., 2001; Lilja et al., 2003 cited in Cristina, 2009). Qualitative research suggest that individual based reasons (such as changing mood, coping with stress and feeling happy), socially based reasons (such as developing trust with friends) and peer influence explain why adolescents drink alcohol (Institute of Alcohol Studies, 2009).

According to Percy (2008) adolescent substance use can be considered to be behavior that can be both intrinsically motivated (i.e. it is an activity undertaken for its own pleasure or reward, for example, intoxication) and extrinsically motivated (i.e it is not undertaken for it own pleasure but to attain some pleasure external to the activity such as peer approval or increased social status. These factors are generally related to the
curiosity to achieve pleasure and satisfaction, relaxation from psychological tensions, facilitate socialization, avoiding social pressure from a group, social isolation, family dynamics and low self-esteem (Gil et al, 2008). Van Hecke (1995) cited in Adeyemo (2007), pointed out that the use of alcoholic beverages by adolescents is often seen as a way to look more like adults. Many students use alcohol to establish status symbol and attract the attention of colleagues especially the female students. This behavior emanates from a society that seems helpless in the face of value decay that has engulfed the African traditional institution in the name of globalization (Odekina, 2207). In a study conducted by Odekina (2007), on alcohol use among junior secondary school students in Nigeria showed that 40% of the students have used alcohol at least once in their life 26% drank an alcoholic beverage to the point of intoxication, 32% had used their own money to buy an alcoholic drink for personal consumption in the past while 48% never had any contact with alcohol.

The influence of peer factor such as peer alcohol use, peer norms and susceptibility to peer pressure have been found to account for significant variance in adolescent alcohol consumption (Schwarzer, 1996 cited in Adeyemo, 2007:322). Harmful health consequences of alcohol use and religious injunction are the most prevalent reasons for abstinence among moslems (Moore and Weiss, 1994). Christians abstain mainly because of the harmful effects of alcohol on health and dislike of its taste and / or smell (Moore and Weiss, 1994). Other reasons for this type of risky behavior in adolescents include attaining social maturity and establishing identity (Benthin, et al 1993 cited in Adeyemo, 2007:322).

Lastly, explanation for the reasons why adolescents might refuse alcohol can be traced to their career aspiration. This is because it is believed that alcoholism can have other direct effects on wages and can affect career choices and stability (Macpherson, 1998). It has been shown that it is possible for alcoholic to self-select into jobs that are less demanding, and therefore low paying. Alcoholics are likely to be less concerned about their career. Therefore, alcoholics tend to gravitate towards jobs that require no great efforts or are not taxing. In fact, there is evidence to support the hypothesis that alcohol and earnings have a parabolic relationship (Macpherson, 1998). In other words, teetotaler and heavy drinkers both earn less than moderate drinkers. It has been estimated that wages peak for individuals consuming an average of 2.40 drinks per day, which is consistent with the medical literature (Macpherson, 1998).

2.4 Adolescents’ knowledge of implications of alcohol consumption

Research suggests that from the age of about 12 or 13 years, young people are similar to adults in their ability to identify and evaluate possible consequence of engaging in risky behavior (Fischoff et al, 1999 cited in Dworkin, 2006). When youth drink they tend to drink intensively, often consuming four to five at one time. The National Institute on Alcohol Abuse and Alcoholism (NIAAA) in 2006 defines “binge drinking as a pattern of drinking alcohol that brings blood alcohol concentration (BAC) to 0.08 grams percent or above”. The institute also indicated that people who reportedly started drinking before the age of 15 were four times more likely to have met the criteria for alcohol dependence at some point in their lives (9). In fact, new research shows that the serious drinking problems including what is called alcoholism) typically associated with middle age actually begin to appear much earlier, during young adulthood and even adolescence. Research shows that the brain keeps developing well into the twenties during which time it continues to establish important communication connections and further refines its function. Scientists believe that this lengthy developmental period may help explain some of the behavior which is characteristic of adolescence-such as their propensity to seek out new and potentially dangerous situations (NIAAA, 2006). For some teens, thrill-seeking might include experimenting with alcohol.

Developmental changes also offer a possible physiological explanation for why teens act so impulsively, often not recognizing that their actions--such as drinking--have consequences (NIAAA, 2006). Adolescents who drink the most also place the greatest emphasis on the positive and arousing effects of alcohol. The National Institute on Alcohol Abuse and Alcoholism (2006) showed that the differences between the adult brain and the brain of the maturing adolescent also may help to explain why many young drinkers are able to
consume much larger amounts of alcohol than adults by age 17 before experiencing the negative consequences of drinking, such as drowsiness, lack of coordination, and withdrawal/hangover effects. This unusual tolerance may help to explain the high rates of binge drinking among young adults. At the same time, adolescents appear to be particularly sensitive to the positive effects of drinking, such as feeling more at ease in social situations, and young people by ages 18 or 19 years may drink more than adults because of these positive social experiences (NIAAA, 2006).

However with the exception of beer, students incorrectly define the volumes of standard servings of alcohol, overestimating the appropriate volumes (White, 2005). They tend to overstate the appropriate volumes, leading them to over pour drinks and underreport levels of consumption. Adolescents are more likely than adults to list social consequences of engaging in or avoiding risky behavior. Teenager also report engaging in behavior that they describe as more likely to have positive than negative consequence. Research also shows that adolescents are more likely to see themselves as invulnerable (Fischoff, et al, 1999 cited in Dworkin, 2006). Adolescents’ involvement in risky behavior has often been attributed to the fact that they see themselves as invulnerable-to bad consequences will not happen to them.

2.5 Management of adolescents’ knowledge of alcohol

Alcohol is not only legal, but its use is socially acceptable in Nigeria (Dimah and Gire, 2004). For most cultures, alcohol is too engraved in the society to just get rid of it. So far there has not been any policy put in place to manage adolescents’ knowledge of alcohol. What had been done so far to manage their knowledge is basically a recommendation guiding policy formulation in relation to health. The Institute of Alcohol Studies (2001) indicated primary prevention as a means to curbing alcohol problems, which may be achieved by encouraging, through education and other means, a more healthy approach to the use of alcohol and its place in society. It also noted that alcohol use should be more effectively integrated into social and family life, so that it becomes an adjunct to other activities rather than an end in itself, and the mystique surrounding alcohol use is reduced. Restrictions on hours of sale, age of legal consumption and so on may be counter productive, as they are likely to act as impediments to integrated, healthy drinking attitudes and practices.

3. Theoretical Position

3.1 Social Learning Theory

This theory posits that people learn from one another, via observation, imitation, and modeling. People learn through observing others’ behavior, attitudes, and outcomes of those behaviors. Most human behavior is learned observationally through modeling: from observing others, one forms an idea of how new behaviors are performed, and on later occasions this coded information serves as a guide for action. Bandura suggested that the environment also reinforces modeling in different ways. First the observer is reinforced by the model. For example a student who changes his or her dress code to fit in with a certain group of students has a strong likelihood of being accepted and thus reinforced by that group. Secondly, the imitated behavior itself leads to reinforcing consequences. Many behaviors that we learn from others produce satisfying or reinforcing results. For example, a student in a multimedia class could observe how the extra work a classmate does is fun. This student in turn would do the same extra work and also receive enjoyment. Lastly, consequences of the model’s behavior affect the observer’s behavior vicariously. This is known as vicarious reinforcement. This is where the model is reinforced for a response and then the observer shows an increase in that same response. Bandura illustrated this by having students watch a film of a model hitting an inflated clown doll. A group of children saw the model being praised for such action. Without being reinforced, the group of children began to also hit the doll. The incidence of substance use among adolescents is high. It has been suggested that alcohol consumption during adolescence is almost always a
social experience and a learned behavior (Ench A. U and Stanley P.C, 2004) and which often times takes place in schools.

Relating Bandura’s postulation to the subject matter of this study, this theory can help explain why in order to gain information or access to opportunities that a peer group provides and enjoy social and emotional support, an adolescent who was never an alcohol user suddenly starts drinking so as to fit into a group of students who share the same characteristics in terms of age and the same sex. Also, receives enjoyment in drinking after observing how members of his peer group have fun when drinking socially. Lastly, drinks alcohol because the friends he is imitating are always being motivated for their drinking habits not minding the risk involved. This motivation could be in the form of shouting, hailing and praising or inviting such a person to chair a party.

Adolescents observe the drinking motives of their peer group observe the rewarding consequences obtained by their peer group and then model the motives displayed by their peers. For example, those who go out with friends who drink for social motives might also learn to drink for the same motives themselves due to observation and imitation of these peer motives. It is also important to note that reinforcement and punishment influences the extent to which an individual performs an action. In other words, it influences the rate at which youths drink. This means that an adolescent who is punished in school or at home for drinking alcohol will not stop that action but reduce the frequency at which he drinks. Nigeria is a country where millions of people do not have the usual or socially acceptable amount of money or material possession where only a few people are comfortable. As a result, adolescents who are inflicted by this crisis who have friends who drink and at the same time are rich, try to learn their behavior. The reason is to gain their approval and also have a portion of these resources from their friends.

4. Description of study area

Ibadan North Local Government Area of Oyo state was the area the research took place. It is one of the Local government area in Ibadan region, it was the founded by the Federal Military Government of Nigeria on 27th September 1991. It lies between longitude 4’53E and 4’55W. it is the largest local government in Ibadan with a land area of 145.58km² which is approximately 4.66% the total land area of the city. This geographic space is one of the local governments in Ibadan municipal. It is used to be a relatively dormant place but received more attention all of a sudden in terms of development because its location in the state capital of Oyo-state. This area is a host to many educational centers in Nigeria. It has over 100 secondary school, more than 300 primary school a polytechnic and the University of Ibadan (Filani, Akintola, and Ikporukpo, 1994:77)

5. Methodology

The Survey Research Design was adopted for this study while the questionnaire was the only instrument used in gathering data. The population comprised of entire adolescents (ages 10 – 19) in Ibadan North Local Government of Oyo State, Nigeria. The Sample size of 432 was drawn from the entire population of males and females from six (6) communities within the twelve (12) wards in the Local Government Area.

Two Sampling techniques were adopted for this study. The stratified sampling technique was used to group the local government into Wards and six (6) communities were randomly selected out of the twelve (12) Wards within the Local Government. Secondly, the purposive sampling technique was used in selecting the respondents based on their age. The Sample Size of four hundred and thirty (432) consisting of seventy – two (72) respondents from each of the six (6) selected communities. The samples were made up of two hundred and thirty – two males (232) and two hundred (200) females.

The instrument for data collection was the questionnaire and this was because the adolescents were not willing to discuss freely or openly their involvement in alcohol consumption. This ruled out the possibility of
using the interview method to elicit information on the study. However the data gathered from the use of questionnaires were analysed using the Statistical Package for the Social Sciences. The descriptive statistics of frequencies and percentages was used to analyze all sections of the questionnaire. The inferential statistics of multiple regression and chi-square were used to analyse variables on social and demographic characteristics and reasons for alcohol consumption. The decision criterion for accepting or rejecting the hypothesis was set at 0.05 level of significance. The chi-square statistics and regression were chosen for being appropriate because of its usefulness for establishing the degree of relationship among the test items and testing of the influence of the independent variables on the dependent variable (alcohol consumption).

6. Discussions and Presentation of Results

Four hundred and thirty two (432) copies of the study questionnaire were administered out of which three hundred and thirteen (313) were filled correctly. The data analysis was therefore based on this final figure.

6.1 Social and demographic characteristics of the respondents

This segment discusses the social and demographic characteristics of the respondents. Table 1 shows the frequency distribution of the respondents' social and demographic characteristics. It shows that 36.4% of the respondents are females while 63.6% are males. This shows that more males participated in the study probably due to the patriarchal dominance in the study area. Data on the respondents' marital status shows that 98.4% were not married and 0.3% were separated or divorced. This large proportion of the unmarried respondents is expected given the fact that only adolescents participated in the study area, where the average age for marriage is between 22-25 years for females and 25-30 years for males. This shows that because they are adolescents they are yet to acquire the basic necessities of life and might still be under parental control.

The mean age of the respondents was 17.2 years though their ages ranged from 13-20 years. This findings show that respondents in their late adolescence dominated the study. Concerning the respondents' ethnicity 72.8% were Yoruba and 1% were Hausas. The explanation for this could be due to the fact that they study area is largely dominated by the Yorubas. The respondents' religious affiliation shows that 55.9% are Christians and 0.3% claimed to be traditional worshippers. This implies that majority of this Christians are likely to abstain from alcohol consumption mainly because of its harmful effects on health and dislike of its taste and/or smell (Moore and Weiss, 1994). The respondents' occupation shows that 90.1% were students and 0.1% indicated they were farmers. This implies that people now know the worth of education. Also, the governments' policy on Universal Basic Education is a likely explanation for the predominance of the respondents who claimed to be students. Also, the respondents' education shows that majority which constitutes 51.9% are still in secondary school and 0.6% indicated others for whose education did not fall within the option stated. This implies that majority of the respondents' are not likely to be drinking alcohol. Data on the respondents' income shows that only 82 gave information about their monthly income. The reason for this could be that the parents, sponsors or self do not think there is any need for it and that they are capable of settling their expenses as they arise. The data also shows that 43.9% earned below N2,000 and 3.7% earned between N4,001 and N6,000 per month. This result could be because of the fact that majority of the respondents are students and parents/guardian do not believe in exposing their children to huge amount of money. Income in the context of this study refers to all money available to the respondents through their parents, sponsors or self. The data concerning the respondents' living arrangement shows that 71.9% lived with their mother and father and 0.65 lived with their spouse. This implies that majority of the respondents are still young to afford an apartment of their own. It also implies that the respondents' are unlikely to develop substance-abuse problems (Steinberg, 2002). However, some studies have recorded the
situation in which children indulge in delinquent act including alcoholism at young age despite their parental control. Family disorganization is likely to be a major cause of such situation.

Table 1: The Respondents’ Social and Demographic Characteristics

<table>
<thead>
<tr>
<th>CHARACTERISTICS</th>
<th>CATEGORIES</th>
<th>FREQUENCY</th>
<th>PERCENT</th>
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<td>7.7</td>
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<td></td>
<td>18</td>
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</tr>
<tr>
<td></td>
<td>19</td>
<td>74</td>
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<td></td>
<td>20</td>
<td>14</td>
<td>4.5</td>
</tr>
<tr>
<td></td>
<td>Total</td>
<td>313</td>
<td>100</td>
</tr>
<tr>
<td>Ethnicity</td>
<td>Hausa</td>
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<tr>
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<td>Igbo</td>
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<tr>
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<td>Yoruba</td>
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</tr>
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<td></td>
<td>Total</td>
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</tr>
<tr>
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<tr>
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<td>Islam</td>
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<tr>
<td>Occupation</td>
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<td></td>
<td>Self-employed</td>
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<tr>
<td></td>
<td>Private sector</td>
<td>4</td>
<td>1.3</td>
</tr>
<tr>
<td></td>
<td>Public sector/civil servant</td>
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</tr>
<tr>
<td></td>
<td>Secondary(Completed)</td>
<td>141</td>
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<tr>
<td></td>
<td>Other</td>
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<td>Monthly income(₦)</td>
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<tr>
<td></td>
<td>N2,001-N4,000</td>
<td>13</td>
<td>15.9</td>
</tr>
<tr>
<td></td>
<td>N4,001-N6,000</td>
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<td>&gt;N6,000</td>
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<td>Father</td>
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<td></td>
<td>Mother and father</td>
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<td></td>
<td>Spouse</td>
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<td>Relative</td>
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<td></td>
<td>Friends</td>
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<td>Self</td>
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<td>Others</td>
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<td>1.3</td>
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<tr>
<td></td>
<td>Total</td>
<td>313</td>
<td>100.0</td>
</tr>
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</table>
6.2 Respondents' parental background characteristics

This segment discusses the respondents' parental background. Table 2 shows the frequency distribution of the respondents' parental background characteristics. The data on respondents' mothers' highest education shows that 30.1% had been to the university and 6.4% which constituted the least had only primary education. This implies that majority of their mothers are educated. The finding on father's highest education shows that 42.8% had been to the university and 4.1% have had only primary education. This implies that their social status is likely to affect the respondents' type and frequency of alcohol consumption. The respondents' mother's occupation shows that 49.8% were self-employed and 0.6% indicated they were students. This implies that majority of them are not working for the government but engaging in an activity in order to earn income. It also means that they are able to monitor the activities of their children or wards thereby not exposing them to risky behavior. Considering respondents' father's occupation, 37.4% constitute the private sector and 0.7% constitutes the unemployed. This also implies that majority of them are not working for the government. The bar chart in figure 2 and figure 3 compares the father and mother status using their occupation. It shows that the fathers' status is higher than the mothers' status considering the fact that majority of the fathers work in private sector and therefore has stable income. The data also shows that 50.3% of the respondents which constituted the majority indicated they lived in a flat or duplex and 21.3% which constituted the least indicated they lived in a single room or room and parlour. This indicates that majority of the respondents' parent can afford to live in a flat or duplex taking into cognizance that such residences are more expensive than a single room and self contained house.

Table 2: Respondents' Parental Background Characteristics

<table>
<thead>
<tr>
<th>PARENTAL CHARACTERISTICS</th>
<th>CATEGORIES</th>
<th>FREQUENCY</th>
<th>PERCENT</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mothers' highest level of education</td>
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<td>4.1</td>
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<tr>
<td></td>
<td>Secondary</td>
<td>38</td>
<td>13.1</td>
</tr>
<tr>
<td></td>
<td>Polytechnic/College of Education</td>
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<td></td>
<td>University</td>
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<tr>
<td></td>
<td>Postgraduate</td>
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<td></td>
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<tr>
<td>Fathers' highest level of education</td>
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<tr>
<td></td>
<td>Secondary</td>
<td>38</td>
<td>13.1</td>
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<td></td>
<td>Polytechnic/College of Education</td>
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<td>University</td>
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<tr>
<td></td>
<td>Postgraduate</td>
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</tr>
<tr>
<td></td>
<td>Total</td>
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<td>100</td>
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<tr>
<td>Mothers' Occupation</td>
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<td>Self-employed</td>
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<tr>
<td></td>
<td>Others</td>
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<td></td>
<td>Total</td>
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<td>Fathers' Occupation</td>
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<td></td>
<td>Others</td>
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</tr>
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<td>Total</td>
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<td>Residence/dwelling unit</td>
<td>Single room/room</td>
<td>64</td>
<td>21.3</td>
</tr>
<tr>
<td></td>
<td>and parlour</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>self contained</td>
<td>85</td>
<td>28.3</td>
</tr>
<tr>
<td></td>
<td>Flat/duplex</td>
<td>151</td>
<td>50.3</td>
</tr>
<tr>
<td></td>
<td>Total</td>
<td>300</td>
<td>100.0</td>
</tr>
</tbody>
</table>
6.3 Respondents’ awareness and knowledge of alcohol consumption

The frequency table in this segment shows the awareness and knowledge of alcohol consumption among adolescents. It indicates that 57.5% have drunk alcohol while 42.5% have never drunk alcohol. Also, 37.2% indicated ‘yes’ to the question if they still drank alcohol while 62.8% indicated ‘no’ to the question. This drop in the percentage of those who have drunk alcohol to those who still drink could imply that the possible consequences of drinking alcohol have been identified and evaluated (Fischhoff et al., 1999 cited in Dworkin, 2006). Those who still adhered to alcohol consumption have defined the substance as desirable and acceptable through the interaction with their peers (Crawford and Novak, 2008). It also indicates that despite the fact that majority of the respondents live with their mother and father, some of them still drink alcohol. This could imply that it is either their parents are aware of it or alcohol is consumed without their knowledge.

The data on the respondents’ perception of the best age to drink alcohol shows that 67.6% of the respondents were of the view that drinking should start between 16 and 20 years and 9.6% were of the view that drinking should start from 26 years. This finding implies that majority of the respondents are of the view that the ability to exhibit self control when drinking alcohol starts from late adolescence (Blakemore & Choudhury, 2006; Posner & Rothbart, 2000; Wiers et al., 2007 cited in Percy, 2008).

Considering the respondents’ experience of place of first alcohol drink, 40.9% which constituted the largest proportion indicated that they first consumed alcohol at a party, while the least which constituted 1.2% indicated that they consumed it from a church. This means that adolescents can be exposed to alcohol at parties either through their peers or friends. The data on best time to drink alcohol shows that 51% believe that the best time to drink alcohol is in the evening while 4.3% believe in the morning. This implies that alcohol is viewed as a substance which has a sedative effect capable of making one feel less anxious or more relaxed.

<table>
<thead>
<tr>
<th>Category</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Ever drunk alcohol</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Yes</td>
<td>180</td>
<td>57.5</td>
</tr>
<tr>
<td>No</td>
<td>133</td>
<td>42.5</td>
</tr>
<tr>
<td>Total</td>
<td>313</td>
<td>100.0</td>
</tr>
<tr>
<td><strong>Still drinking alcohol</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Yes</td>
<td>112</td>
<td>37.2</td>
</tr>
<tr>
<td>No</td>
<td>189</td>
<td>62.8</td>
</tr>
<tr>
<td>Total</td>
<td>301</td>
<td>100.0</td>
</tr>
<tr>
<td><strong>Best age to start drinking alcohol</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>&lt;16 years</td>
<td>14</td>
<td>10.3</td>
</tr>
<tr>
<td>16-20 years</td>
<td>92</td>
<td>67.8</td>
</tr>
<tr>
<td>21-25 years</td>
<td>17</td>
<td>12.5</td>
</tr>
<tr>
<td>&gt;25 years</td>
<td>13</td>
<td>9.6</td>
</tr>
<tr>
<td>Total</td>
<td>136</td>
<td>100.0</td>
</tr>
<tr>
<td><strong>Place of first alcoholic drink</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Home</td>
<td>28</td>
<td>11.6</td>
</tr>
<tr>
<td>Party</td>
<td>99</td>
<td>40.9</td>
</tr>
<tr>
<td>Friends</td>
<td>39</td>
<td>16.1</td>
</tr>
<tr>
<td>Bought it</td>
<td>15</td>
<td>6.2</td>
</tr>
<tr>
<td>Church</td>
<td>3</td>
<td>1.2</td>
</tr>
<tr>
<td>Others</td>
<td>58</td>
<td>24.0</td>
</tr>
<tr>
<td>Total</td>
<td>242</td>
<td>100.0</td>
</tr>
<tr>
<td><strong>Best time to drink alcohol</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Morning</td>
<td>11</td>
<td>4.3</td>
</tr>
<tr>
<td>Afternoon</td>
<td>18</td>
<td>7.1</td>
</tr>
<tr>
<td>Evening</td>
<td>130</td>
<td>51.0</td>
</tr>
<tr>
<td>Anytime</td>
<td>41</td>
<td>16.1</td>
</tr>
<tr>
<td>Others</td>
<td>54</td>
<td>21.2</td>
</tr>
<tr>
<td>Total</td>
<td>254</td>
<td>100.0</td>
</tr>
</tbody>
</table>

Table 3: The respondents’ awareness and knowledge of alcohol consumption
6.4 The respondents’ predisposition to alcohol consumption

Table 4 below shows that 54.9% of the respondents are of the belief that one can be asked to drink alcohol against one’s desire while 45.1% are of the belief that one cannot be asked to drink alcohol against one’s desire. This implies that in order to fit into a group it is possible to accept an alcoholic drink against ones desire. This agrees with the findings of Adeyemo (2007) who indicated that the compelling need to fit into and belong to a group of friends may be a motivating factor in alcohol use. The data also shows that 60.9% of the respondents are of the belief that it is good to refuse alcohol from closest friends while 39.1% are of the belief that it is not good to refuse alcohol from closest friend. The implies that friends are presumed not to exert a substantial influence in young people’s drinking patterns. This finding is contrary to the study conducted by Kemppainen’s et al (2008). They indicated that best friend’s alcohol use has been shown to be the most important predictor of adolescents’ own alcohol use in every sub-sample (Kemppainen, et al., 2008). The data also shows that 54% of the respondents believe that one can be abused or laughed at if one refused alcohol while 46% believe that one cannot be abused or laughed at if one refused alcohol. This implies that an adolescent is likely to drink alcohol when pressure is exerted.

Furthermore, 67.2% of the respondents are of the belief that it is good not to drink alcohol even if one is the only one who is not drinking among friends while 32.8% believe that it is good to drink alcohol even if one is the only one who is not drinking among friends. The reason for the latter figure could be due to the perception ‘that everyone is drinking’ (Adeyemo, 2007) or might imply the need to attain peer approval or increased social status (Percy, 2008). The data also shows that 58.3% of the respondents believe that one cannot be discouraged by friends not to drink alcohol while 41.7% are of the belief that one can be discouraged by friends not to drink alcohol. This implies that majority of the respondents do not believe that an adolescent is not likely to be stopped by his friends from drinking alcohol.

Concerning the respondents’ data on belief that alcohol will not help one get along with close friends, 78.3% indicated that alcohol will not help one get along with close friends while 21.7% indicated that alcohol will help one get along with close friends. This implies that the compelling need to fit into and belong to a group of friends may not be a motivating factor in alcohol use. In addition, 78.4% were of the belief that alcohol will not make friends like you while 21.6% were of the belief that alcohol will make friends like you. This implies that majority of the respondents do not believe that alcohol consumption can be used to facilitate socialization. Also, 63.5% respondents believe that alcohol consumption will not make one look matured while 36.5% believe that alcohol consumption will make one look matured. This implies that majority of the respondents do not view drinking alcohol as a way of attaining maturity. This is contrary to the study conducted by Benthin, et al, (1993) cited in Adeyemo (2007) who indicated that one of the reasons adolescents engage in risky behavior is to attain social maturity. The data also shows that 85.8% of the respondents believe that alcohol drinking is not because of being shy while 14.2% believe that alcohol drinking is because of being shy. This implies that majority of the respondents view drinking alcohol as a natural or day to day activity, not requiring any conscious thought (Anderson, 1999). Lastly, 69.9% of the respondents believe that alcohol drinking is not because of being bold while 30.1% believe that alcohol drinking is because of being bold. This also implies that majority of the respondents believe that drinking alcohol is like a natural or day to day activity which requires no conscious thought.

Table 4: The respondents’ predisposition to alcohol consumption

<table>
<thead>
<tr>
<th>CATEGORIES</th>
<th>FREQUENCY</th>
<th>PERCENT</th>
</tr>
</thead>
<tbody>
<tr>
<td>Belief that one can be asked to drink alcohol against one’s desire</td>
<td>No</td>
<td>137</td>
</tr>
<tr>
<td></td>
<td>Yes</td>
<td>167</td>
</tr>
<tr>
<td></td>
<td>Total</td>
<td>304</td>
</tr>
<tr>
<td>Belief that it is good to refuse alcohol from closest friend</td>
<td>No</td>
<td>119</td>
</tr>
<tr>
<td></td>
<td>Yes</td>
<td>185</td>
</tr>
<tr>
<td></td>
<td>Total</td>
<td>304</td>
</tr>
</tbody>
</table>
Belief that one can be abused or laughed at if one refused alcohol  

<table>
<thead>
<tr>
<th></th>
<th>No</th>
<th>Yes</th>
<th>Total</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>138</td>
<td>162</td>
<td>300</td>
<td>100.0</td>
</tr>
</tbody>
</table>

Table 5: Gender and history of alcohol consumption

<table>
<thead>
<tr>
<th>have you ever drank alcohol *sex crosstabulation</th>
</tr>
</thead>
<tbody>
<tr>
<td>SEX</td>
</tr>
<tr>
<td>FEMALE</td>
</tr>
<tr>
<td>Ever drunk Alcohol</td>
</tr>
<tr>
<td>Yes</td>
</tr>
<tr>
<td>% with in sex</td>
</tr>
<tr>
<td>No</td>
</tr>
<tr>
<td>% with in sex</td>
</tr>
<tr>
<td>Total</td>
</tr>
<tr>
<td>% within sex</td>
</tr>
<tr>
<td>CHI-SQUARE TEST VALUE</td>
</tr>
<tr>
<td>Pearson Chi-Square</td>
</tr>
<tr>
<td>Contingency</td>
</tr>
<tr>
<td>Df</td>
</tr>
<tr>
<td>Asymp.sig (2-sided)</td>
</tr>
</tbody>
</table>

6.5 Gender and alcohol consumption

Table 5 below shows that 67.5% of the female respondents have not drunk alcohol while 71.9% of the male respondents have drunk alcohol. The chi-square tests show that there is a significant relationship between gender and alcohol consumption. Table 4.5.2 indicates that 79.8% of the females do not still drink alcohol while 47.2% of the male respondents still drink alcohol. It also shows that 4.4% of the female respondents and 3.5% of the male respondents did not respond probably due to the fact that they do not drink. The chi-square test result shows that there is significant relation between gender and adolescents who still drink alcohol. This means that the higher the population of males the higher the propensity to drink alcohol. The findings shown above imply that drinking alcohol is more acceptable among males than among females in the Nigerian society. This also implies that if the females are questioned on whether they drink alcohol, they are likely to report that they do not drink alcohol.
Table 5.1: Gender and regular alcohol consumption

do you still drink alcohol *sex crosstabulation

<table>
<thead>
<tr>
<th></th>
<th>GENDER</th>
<th>TOTAL</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>FEMALE</td>
<td>MALE</td>
</tr>
<tr>
<td>Still drinking</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Yes</td>
<td>18</td>
<td>94</td>
</tr>
<tr>
<td>% within sex</td>
<td>15.8%</td>
<td>47.2%</td>
</tr>
<tr>
<td>No</td>
<td>91</td>
<td>98</td>
</tr>
<tr>
<td>% within sex</td>
<td>79.8%</td>
<td>49.2%</td>
</tr>
<tr>
<td>Response</td>
<td></td>
<td></td>
</tr>
<tr>
<td>No</td>
<td>5</td>
<td>7</td>
</tr>
<tr>
<td>% within sex</td>
<td>4.4%</td>
<td>3.5%</td>
</tr>
<tr>
<td>Total</td>
<td>114</td>
<td>199</td>
</tr>
<tr>
<td>% within sex</td>
<td>100.0%</td>
<td>100.0%</td>
</tr>
</tbody>
</table>

CHI-SQUARE TESTS

<table>
<thead>
<tr>
<th></th>
<th>VALUE</th>
<th>DF</th>
<th>Asymp.sig (2-sided)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Pearson Chi-Square</td>
<td>31.396(b)</td>
<td>2</td>
<td>.000</td>
</tr>
<tr>
<td>Contingency coefficient</td>
<td>.302</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

6.6 The respondents’ understanding of the implication of alcohol consumption

Table 5.1 indicates that 19.3% of the respondents had experienced effects from drinking alcohol while 80.7% of the respondents had not experienced any effect from drinking alcohol. This implies that majority of the respondents have little knowledge of alcohol and its effect (Onohwosafe et al 2008). It also implies that even with these effects some of these respondents still drink alcohol. These effects could also help explain why some of the respondents who have drunk alcohol stop drinking. Some of these effects as indicated by the respondents as indicated in table 4.5 include unconsciousness (24.1%), unruly behavior (2.2%), and dizziness (22.2%) and body pain (13.0%).

6.7 Hypotheses Testing

HYPOTHESIS ONE: There is a significant association between peer influence and alcohol consumption.

Table 7 (A) shows that respondents who have ever drunk alcohol and who believe that one can be discouraged by friends from drinking alcohol constitute 69.6% while respondents who believe that one cannot be discouraged by friends from drinking alcohol and who have drunk alcohol constitute 50.3%. On the other hand, respondents who have never drunk alcohol and who believe that one can be discouraged by friends from drinking alcohol is higher (49.7%) compared to respondents who believe that one can be discouraged from drinking alcohol (30.4%). Explanations for this abstinence from alcohol could be due to strict parental control or ones religious affiliation. The table also tests the relationship between respondents who have ever drunk alcohol and peer influence. The table shows that there is a significant relationship between respondents who have ever drunk alcohol and peer influence ($X^2 = 11.191$, $p=0.001<0.05$). This implies that peer influence can encourage an adolescent from tasting or having drunk alcohol.

The findings above indicate that it is possible for an adolescent’s friend to initiate first alcoholic drink. This can be possible if there is absence of alcoholic drinks in the home and the need to have a taste of one or it could be due to the adolescent’s religion which might have prevented him or her from having a taste of this alcoholic drink. This is because certain religions do not accept one to drink alcohol. Also, it could be due to the advertisement of the alcoholic beverages that are displayed on the media such as the advertisement of Guinness that would have initiated the urge to drink alcohol. As a result peers or friends who might be celebrating their birthday and with the disposition of alcoholic beverages by the parents of the celebrant
would have been encouraged by the friend to have a taste of alcohol or just drink for once by the celebrant, considering the fact that majority of the respondents indicated getting their first drink from a party. Even within the party, the adolescent might have been referred to as a ‘baby’ which would have been embarrassing and in order to prove them wrong ends up engaging in this act.

Another explanation for this could be due to the imitation of close friends who are seen as role models. This means that to be like these role models one will tend to imitate there behavior or personality by drinking alcohol if they drink and not drinking if they do not.

Table 5.2 (b): The cross tabulation of respondents who still drink alcohol and peer influence

<table>
<thead>
<tr>
<th>Do you still drink alcohol</th>
<th>Belief that one can be discouraged by friends not to drinking alcohol</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Count</td>
<td>% within belief that one can be discouraged by friends not to drink alcohol</td>
</tr>
<tr>
<td>Yes</td>
<td>65</td>
<td>37.1%</td>
</tr>
<tr>
<td>No</td>
<td>105</td>
<td>60.0%</td>
</tr>
</tbody>
</table>

Total: Count % within belief that one can be discouraged by friends not to drink alcohol

<table>
<thead>
<tr>
<th>Count</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>175</td>
<td>100.0%</td>
<td>125</td>
</tr>
</tbody>
</table>

CHI-SQUARE TEST

<table>
<thead>
<tr>
<th>Value</th>
<th>DF</th>
<th>Asymp.Sig(2 - sided)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Pearson Chi-square</td>
<td>.312</td>
<td>2</td>
</tr>
<tr>
<td>Likelihood Ratio</td>
<td>.308</td>
<td>2</td>
</tr>
<tr>
<td>Linear-by-Linear Association</td>
<td>300</td>
<td>1</td>
</tr>
</tbody>
</table>

N of Valid Cases = 300

1 cell (16.7%) have expected count less than5. The minimum expected count is 4.17

6.8 Socio-economic background and alcohol consumption

HYPOTHESIS TWO: Socio-economic background will jointly and independently influence alcohol consumption among adolescent.

Using regression analysis, the P value (P=0.006)<0.05. This shows that socio-economic background (type of house, father’s occupation, sex, ethnic, marital status, occupation, living arrangement, mother’s highest education, religious affiliation, highest level of education, mother’s occupation, father’s highest education) jointly and independently influences the alcohol consumption. However in table using chi-square test it indicates that it is only religious affiliation that independently influences alcohol consumption. This is because P (0.03) <0.05. The relationship between these two variables is negative. This means that the more religious parents or guardians are the more they are likely to discourage their children or wards from drinking alcohol. This can account for the reason why some adolescents do not drink alcohol. One of the values preached by religion is obedience to parents/obedience. Therefore in order to abide by this and not be recognized as a deviant, most adolescent will want to obey particularly when they have been warned by their parents or wards or religious leaders from drinking alcohol.
Table 5.3: The determinant of alcohol consumption

<table>
<thead>
<tr>
<th>Model</th>
<th>Sum of Squares</th>
<th>Df</th>
<th>Mean Square</th>
<th>F</th>
<th>Sig.</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Regression</td>
<td>79.572</td>
<td>12</td>
<td>6.631</td>
<td>2.411</td>
<td>.006(a)</td>
</tr>
<tr>
<td>Residual</td>
<td>651.886</td>
<td>237</td>
<td>2.751</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total</td>
<td>731.457</td>
<td>249</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

A. Predictors: (constant), type of house, father’s occupation, sex ethnic, marital status, occupation, persons living with, mother’s highest education, religious affiliation, highest level of education, mother’s occupation, father’s highest education.

B. Dependent Variable: Alcohol Scale.

Coefficients (a)

<table>
<thead>
<tr>
<th>Model</th>
<th>Unstandardized Coefficients</th>
<th>Standardized Coefficients</th>
<th>t</th>
<th>Sig.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>B</td>
<td>Std.Error</td>
<td>Beta</td>
<td></td>
</tr>
<tr>
<td>1 (Constant)</td>
<td>7.109</td>
<td>1.444</td>
<td></td>
<td>4.923</td>
</tr>
<tr>
<td>Sex</td>
<td>-.379</td>
<td>.243</td>
<td>-.107</td>
<td>-1.560</td>
</tr>
<tr>
<td>Ethnic</td>
<td>-.198</td>
<td>.173</td>
<td>-.073</td>
<td>-1.138</td>
</tr>
<tr>
<td>Religious affiliation</td>
<td>-.498</td>
<td>.228</td>
<td>-.148</td>
<td>-2.185</td>
</tr>
<tr>
<td>Occupation</td>
<td>-.281</td>
<td>.210</td>
<td>-.087</td>
<td>-1.335</td>
</tr>
<tr>
<td>Marital status</td>
<td>.405</td>
<td>.733</td>
<td>.036</td>
<td>.553</td>
</tr>
<tr>
<td>Highest level of education</td>
<td>.351</td>
<td>.208</td>
<td>.116</td>
<td>1.684</td>
</tr>
<tr>
<td>Living arrangement</td>
<td>-.128</td>
<td>.078</td>
<td>-.108</td>
<td>1.642</td>
</tr>
<tr>
<td>Mother’s highest education</td>
<td>-.047</td>
<td>.121</td>
<td>-.032</td>
<td>-.389</td>
</tr>
<tr>
<td>Mother’s occupation</td>
<td>-.006</td>
<td>.109</td>
<td>.004</td>
<td>.054</td>
</tr>
<tr>
<td>Father’s highest education</td>
<td>.029</td>
<td>.123</td>
<td>.019</td>
<td>.232</td>
</tr>
<tr>
<td>Father’s occupation</td>
<td>.074</td>
<td>.094</td>
<td>.053</td>
<td>.788</td>
</tr>
<tr>
<td>Type of house</td>
<td>-.042</td>
<td>.078</td>
<td>-.035</td>
<td>-.539</td>
</tr>
</tbody>
</table>

HYPOTHESIS THREE: There is a positive correlation between volume of alcohol consumed and career aspiration

The table below shows the cross tabulation of maximum quantity that can be consumed by adolescents and career aspiration of respondents which has been categorized into professional and non-professional aspiration. It shows that respondent who drink less than one bottle of drink in a day and who have aspirations which are non-professional constitute 23.2% which is higher compared to those who desire to have aspirations within professional ambition, 33.3% compared to 17.7%. There are 12.1% respondents who indicated that they can drink between four to five bottles of alcohol and who desire to be non-professionals in life compared to 4.8% respondents who desire to be professionals in life. Lastly, 12.1% who can drink more than five bottles of drinks and who desire to be non-professionals in life is higher compared to 3.2% of the respondents who desire to be professionals in life. This is consistent with the findings indicated by MacPherson (1998), alcoholics tend to gravitate towards jobs that require no great efforts or are not taxing.
Table 5:4 The cross tabulation of ambition and alcohol consumption

<table>
<thead>
<tr>
<th>Ambition Quantity (Volumes in bottles)</th>
<th>Ambition</th>
<th>Professional</th>
<th>Non-Professional</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Maximum Count % within ambition</td>
<td>&lt;1 Count</td>
<td>46</td>
<td>14</td>
<td>60</td>
</tr>
<tr>
<td></td>
<td>% within ambition</td>
<td>74.2%</td>
<td>42.4%</td>
<td>63.2%</td>
</tr>
<tr>
<td>2-3 Count % within ambition</td>
<td>11</td>
<td>11</td>
<td>22</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>17.7%</td>
<td>33.3%</td>
<td>23.2%</td>
</tr>
<tr>
<td>4-5 Count % within ambition</td>
<td>3</td>
<td>4</td>
<td>7</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>4.8%</td>
<td>12.1%</td>
<td>7.4%</td>
</tr>
<tr>
<td>&gt;5 Count % within ambition</td>
<td>2</td>
<td>4</td>
<td>6</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>3.2%</td>
<td>12.1%</td>
<td>6.3%</td>
</tr>
<tr>
<td>Total Count % within ambition</td>
<td>62</td>
<td>33</td>
<td>95</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>100.0%</td>
<td>100.0%</td>
<td>100.0%</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>CHI-SQUARE</th>
<th>value</th>
<th>Df</th>
<th>Asmp.sig(2-sided)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Pearson Chi-square</td>
<td>9.951*</td>
<td>3</td>
<td>.019</td>
</tr>
<tr>
<td>Likelihood Ratio</td>
<td>9.812</td>
<td>3</td>
<td>.020</td>
</tr>
<tr>
<td>Linear-by-Linear Association</td>
<td>8.923</td>
<td>1</td>
<td>.003</td>
</tr>
<tr>
<td>N of Valid Cases</td>
<td>95</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

A. 4 cells (50.0%) have expected count less than 5. The minimum expected count is 2.08.

7 Conclusion

Adolescence is a transitional stage of physical and mental human development that occurs between childhood and adulthood. It is a period when every child look forward to and has the belief that they are no longer children. This predisposes them to certain risk behavior such as alcohol consumption which has been discussed above. The influence of socioeconomic status is very important in explaining why adolescents are predisposed to alcohol consumption which determine to a large extent who an adolescent would be or become in generations to come.

References


Effects of Computer Assisted Instruction (CAI) on Students’ Achievement in Social Studies in Osun State, Nigeria

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Abstract: The study investigated the effect of Computer Assisted Instruction (CAI) on Junior Secondary School Students’ achievement in Social Studies. The study equally examined the interaction effects of treatment of academic ability on students’ achievement in Social Studies. Simple random sampling was employed in selecting 160 students from four co-educational public secondary schools in Osogbo and Ife Central Local Government Areas of Osun State, Nigeria. The study used a 2 x 2 factorial analysis of ANOVA and three null hypotheses were tested. Four instruments were used namely: “Social Studies Achievement Test” (SSAT) “Computer Assisted Instruction Guide for Social Studies” (AIGSS), “Teacher Operational Guide for Social Studies Instruction” (TOGSSI) and “Students’ Academic Ability Test” (SAAT) with reliability coefficients of 0.87, 0.79, 0.71 and 0.78 respectively. Data Analysis was done by using Analysis of Covariance Procedure. The results indicated that there is no significant main effect of treatment (Computer Assisted Instruction and Conventional Methods) on student achievement in Social Studies ($F(1,153) = 0.415, P > 0.05$). The result also revealed that there is significant main effect of academic ability on students’ achievement in Social Studies ($F(1,153) = 7.852, P < 0.05$). The high academic ability students were significantly better than the low ability students in their achievement in Social Studies. The findings further revealed that there is no significant interaction effect of treatment and students’ academic ability in their achievement in Social Studies ($F(1,153) = 0.687, P > 0.05$).

Based on the findings of the study, recommendations were made among others, that conducive environment should be provided with adequate facilities for Computer Assisted Instruction (CAI) as a mode of instruction to be effectively utilized in schools.

Keywords: Computer Assisted Instruction, Conventional Teaching Method, Academic Ability, Social Studies and Achievement

1. Introduction

The recent changes in the world and within nations have brought about changes in educational goals. The schools are called not only to equip the learner with basic knowledge of Social Studies content as far as Social Studies Curriculum is concerned, but also with practical skills capable of enhancing self-development and continuous learning. This is to say that the quality of education in particular could not be compromised in the modern day of science and technology.

The pedagogical implication of the above statement centred on teachers and ways and methods employed in imparting facts and ideas to learners. According to NTI (2008), the old approach to teaching is teacher-centred which implies that teacher does all the talking, and the learners do all the listening. Cooper (1973) noted that the traditional or the conventional instruction method is characterized by:
1. Unspecified or vague objectives
2. Emphasis on instructor behaviour rather than student behaviour.
3. Use of lectures to provide critical information
4. A constant instruction – set pace for all students
5. Evaluation which is infrequent over large sections of materials, and for the purpose of assigning relative standing rather than for remediation.
6. Delayed feedback to student about his performance.
7. Minimal responses of students to the instructional materials.
8. Few faculty/student or teacher/student interactions.
Hess and Lehman (1976) noted that under the traditional system of instruction, the student is motivated primarily by the fear of receiving a poor grade, of losing a course credit or of being forced to leave the College (dropping out) for academic failure.

However, the new approach is learner centred, the learner is not treated as an empty vessel. He is credited with knowledge, skills and attitudes from the day he or she is born which requires development, through guidance, encouragement and motivation.

It is therefore not a gainsaying to say that the quality of education is largely dependent on the quality of instruction provided in the classroom. There is no doubt that technology has become incorporated into our school system. Computers are not only used as means of helping schools analyse data, they have become pervasive tools toward optimizing students’ learning. For example, students are regularly using the internet to gather and assimilate information for use in research assignments. According to Traynor (2003), computers are used in preparing “electronic” presentations using computer presentation programs and LCD projectors. He was also of the view that many schools have incorporated interacted computer-assisted-instruction into programme to provide students opportunities to master specific educational objectives or standards.

Computer Assisted Instruction (CAI) can be referred to as a self-learning technique usually offline/online, involving interaction of students with programmed instructional materials. CAI is an interactive instructional technique whereby a computer is used to present the instructional material and monitor the learning that takes place. CAI uses a combination of text, graphic sound and video in enhancing the learning process. The computer has many purposes in the classroom, and it can be utilized to help a student in all areas of the curriculum.

CAI refers to the use of the computer as a tool to facilitate and improve instruction. CAI programs use tutorials, drill and practice, simulation and problem solving approaches to present topics and they best test the students’ understanding.

Previous studies such as Kulik, Kulik and Bangert-Drowsn (1985), Wade (2006), Macaruso & Rodman (2009) have succeeded in examining typicality, types, advantages and limitation of CAI.

Typical CAI provides:
1. Text or multimedia content
2. Multiple-choice questions
3. Problems
4. Immediate feedback
5. Notes on incorrect responses
6. Summarized students’ performance
7. Exercises for practice
8. Worksheets and tests.

Types of CAI include:
1. Drill-and-practice. Drill and practice provide opportunities for students to repeatedly practice the skills that have been previously presented and further practice is necessary for mastery.
2. Tutorial: Tutorial activity includes both the presentation of information and its extension to different forms of work, including drill and practice, games and simulation.
3. Games: Game software often creates a content to achieve the highest score and either beat others or beat the computer.
4. Simulation: Simulation software can provide an approximation of reality that does not require the expense of real life or its risks.
5. Discovery: This provides a large database of information specific to a course or content area and challenges the learner to analyse, compare, infer and evaluate based on their explorations of data.
6. Problem-solving: The approach helps children develop specific problem skills and strategies.

Advantages of CAI include:
- One-to-one interaction
- Great motivator
- Freedom to experiment with different
- Instantaneous response/immediate feedback to the answer elicited
- Self pacing – allowing students to proceed at their own pace.
- Help teacher to devote more time to individual students
- Privacy helps the shy and slow learner to learn
- Individual attention
- Learn more and more rapidly
- Multimedia helps to understand difficult concepts through multi-sensory approach
- Self directed learning – students can decide when, where and what to learn.

Limitations of CAI include:
- May feel overwhelmed by the information and resources available.
- Over use of multimedia may divert the attention from the content
- Learning becomes too mechanical
- Non availability of good CAI packages.
- Lack of infrastructure

In the light of all the above, it is considered appropriate to examine the extent to which CAI method of teaching will affect students’ achievement in Social Studies. Therefore, this study examines the effect of CAI on students’ achievement in Social Studies through an experimental study.

2. Hypotheses

Ho1: There is no significant main effect of treatment on students’ achievement in Social Studies.
Ho2: There is no significant main effect of academic ability on students’ achievement in Social Studies.
Ho3: There is no significant interaction effect of treatment and academic ability on students’ achievement in Social Studies.

3. Research Design

The study makes use of 2 x 2 randomized pre-test, post-test factorial design in a quasi-experimental setting.

4. Variables in the study

The design crossed the independent and moderator variable to provide for a 2 x 2 factorial analysis of ANOVA.

5. Population

All the Junior Secondary School II students in Osun State constitute the population.

6. Sampling and Sample

Simple random sampling was employed in selecting four co-educational schools from Ife Central and Osogbo Local Government Areas which were also randomly selected. Simple random sampling was equally
employed in selecting 40 students in each of the schools selected. In all, 160 students constituted the sample for the study. Subjects were therefore classified into the experimental and control groups.

7. Instruments

Four major instruments were made use in their study. These include:
(i) Social Studies Achievement Test (SSAT). This is a 60-item multiple choice test. It covers three levels of cognitive domain i.e. knowledge comprehension and application. This instrument has a reliability estimate of 0.87.
   - The programmed Computer Assisted Instruction consists of a lesson plan for each lesson, and each of the lesson plan contains specifics such as:
     - The subject
     - The content (topic)
     - The objective to be achieved at the end of the instruction
     - The instructional materials; and
     - The assessment
   - The CAIGSS has a reliability value of 0.79
(iii) Teacher Operational Guide for Social Studies Instructional (TOGSSI)
   - The teacher Operational Guide for Social Studies is an instructional guide employed in teaching the control group by utilizing the conventional method of teaching. It consists of lesson plan written for each lesson. Each of the lesson plan contains specifics like:
     - The subject
     - The content (topic)
     - The objective to be achieved at the end of the instruction
     - The instructional materials
     - The specific activities; and
     - The assessment
   - The TOGSSI has reliability coefficient of 0.71
(iv) Students’ Academic Ability Test (SAAT)
   - This is a 30-item multiple choice achievement test with five options per item A to E which the students were to choose the correct option. It was adopted from Ugo (2008). The thirty questions were selected from a pool of verbal aptitude test on N.C.E.E. which were already standardized. However, the 30 items were still subjected to Kuder-Richardson formula 20 in order to establish the internal consistency of the items and this yielded the reliability coefficient of 0.78.

8. Treatment Procedure and Data Collection Strategy

Two research assistants were trained on how to use the instruments. SSAT and SAAT were administered on the experimental and control groups prior to the instruction. The scores obtained after administering SSAT
served as pre-test while the scores obtained from SAAT was used to classify the students into high and low ability groups. The students who scored below the mean score in SAAT are classified as low ability students while those whose score range between mean score and above were classified as high ability students. The students in the two groups were taught three topics (i) Leadership and followership (ii) Science and Technology and (iii) Transport and communication, the experimental group with the use of Computer Assisted Instruction (CAI) and the control group with the use of conventional method. At the end of the six weeks the post-test in Social Studies achievement was administered on the two groups. A two-way Analysis of Covariance (ANCOVA) was used to analyse the data obtained. Normally, one would have used a t-test analysis to compare the experimental and control group; and at the same time use t-test to compare low and high students’ academic ability, but the researcher is also interested in interaction effect which could only be carried out with the use of ANCOVA.

9. Result and Discussion

The findings of this study are presented in the following tables:

Table 1: Summary of Analysis of Covariance (ANCOVA) on Social Studies Achievement

<table>
<thead>
<tr>
<th>Source</th>
<th>Type III sum of squares</th>
<th>df</th>
<th>Mean square</th>
<th>F</th>
<th>Sig</th>
<th>Partial Eta squared</th>
</tr>
</thead>
<tbody>
<tr>
<td>Corrected model</td>
<td>10400.559</td>
<td>4</td>
<td>2600.140</td>
<td>90.027</td>
<td>.000</td>
<td>.699</td>
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<tr>
<td>Intercept</td>
<td>.649</td>
<td>1</td>
<td>.649</td>
<td>.022</td>
<td>.881</td>
<td>.000</td>
</tr>
<tr>
<td>Achievement pre-test</td>
<td>8042.212</td>
<td>1</td>
<td>8042.212</td>
<td>278.452</td>
<td>.000</td>
<td>.642</td>
</tr>
<tr>
<td>Method</td>
<td>11.999</td>
<td>1</td>
<td>11.999</td>
<td>.415</td>
<td>.520</td>
<td>.003</td>
</tr>
<tr>
<td>Level of ability</td>
<td>226.783</td>
<td>1</td>
<td>226.783</td>
<td>7.852</td>
<td>.006</td>
<td>.048</td>
</tr>
<tr>
<td>Method * level of ability</td>
<td>19.836</td>
<td>1</td>
<td>19.836</td>
<td>.687</td>
<td>.409</td>
<td>.004</td>
</tr>
<tr>
<td>Error</td>
<td>4476.685</td>
<td>155</td>
<td>28.882</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total</td>
<td>88365.000</td>
<td>160</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Corrected Total</td>
<td>14877.244</td>
<td>159</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

a R Squared = .699 (Adjusted R Squared = .691)

Table 2: Summary of level of Students’ Academic Ability

<table>
<thead>
<tr>
<th>Level of Academic Ability</th>
<th>Mean</th>
<th>Standard Error</th>
<th>Lower Bound</th>
<th>Upper Bound</th>
</tr>
</thead>
<tbody>
<tr>
<td>Low Ability</td>
<td>20.073a</td>
<td>.913</td>
<td>18.270</td>
<td>21.876</td>
</tr>
<tr>
<td>High Ability</td>
<td>23.229a</td>
<td>.671</td>
<td>21.904</td>
<td>24.555</td>
</tr>
</tbody>
</table>

a Covariates appearing in the model are evaluated at the following values: Achievement Pre-Test = 14.72
Table 3: Summary of Method of Teaching and Students’ Level of Academic Ability

<table>
<thead>
<tr>
<th>Method of Teaching</th>
<th>Level of Academic Ability</th>
<th>Mean</th>
<th>Standard Error</th>
<th>95% Confidence Interval</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Low Ability</td>
<td>20.915</td>
<td>.716</td>
<td>1.125</td>
</tr>
<tr>
<td></td>
<td>High Ability</td>
<td>23.138</td>
<td>1.148</td>
<td>20.870</td>
</tr>
<tr>
<td>Computer Assisted Instruction (CAI)</td>
<td>Low Ability</td>
<td>19.231</td>
<td>.696</td>
<td>17.911</td>
</tr>
<tr>
<td></td>
<td>High Ability</td>
<td>23.320</td>
<td>.694</td>
<td>21.950</td>
</tr>
</tbody>
</table>

Hypothesis 1

There is no significant main effect of treatment on students’ achievement in Social Studies. The ANOVA Table 1 shows that there was no significant main effect of treatment (Computer Assisted Instruction and Conventional Methods) on students’ achievement in Social Studies ($F_{(1,153)} = 0.415, P > 0.05$) since the value of “F” is not significant, it means that the hypothesis on the main effect of treatment (Computer Assisted Instruction and Conventional Methods) on students’ achievement in Social Studies is accepted. This shows clearly that the experimental group (Computer Assisted Instruction) is not significantly better than the control (Conventional method) with respect to students’ achievement in Social Studies.

Hypothesis II

There is no significant main effect of academic ability on students’ achievement in Social Studies. The ANOVA as presented in table 1, shows that there was significant main effect of students’ academic ability (high and low) on their achievement in Social Studies ($F_{(1,153)} = 7.852 < 0.05$) since the value of “F” is significant, it follows that the hypothesis on the main effect of students’ academic ability on achievement in Social Studies is rejected. Also, as shown in table 2; the high ability students had mean score of 23.229 while the low academic ability students had mean score of 20.073. Table 3 as well shows the level of academic ability of students based on the teaching methods. In Computer Assisted Instruction, high ability students had mean score of 23.138 as against low ability students who had mean score of 20.915, for conventional method, high ability students had mean score of 23.320 while low ability students had mean score of 19.231. These results clearly showed that the high academic ability students were significantly better than the low academic students with respect to students’ achievement in Social Studies.

Hypothesis III

There is no significant interaction effect of treatment and students’ academic ability on students’ achievement in Social Studies.

Analysis of ANOVA, as presented in table 1 revealed that there is no significant interaction effect of treatment and students’ academic ability on their achievement in Social Studies ($F_{(1,153)} = 0.687, P > 0.05$). Since the value of F is not significant, it follows that the hypothesis on the interaction effect of treatment and students’ academics ability on achievement in Social Studies is accepted.

10. Discussion of Result

According to the findings of this study, there was no significant main effect of treatment (Computer Assisted Instruction and Conventional Methods) on students’ achievement in Social Studies. This implies that students taught via Computer Assisted Instruction did not perform better in Social Studies achievement than...
those students taught with conventional method. This study contradicted most of the earlier studies such as Tabassum (2004) who was of the view that students taught through CAI as supplementary strategy performs significantly better than other students. Also Ford, Mazzone and Taylor (2005) were of the view that students exposed to Computer Assisted Instruction in the learning of Musculoskeletal Special Tests performed better than students exposed to traditional mode of instruction of the same task. Other similar studies that gave credence to the importance of Computer Assisted Instruction are Jamaison, Suppes and Butler (1970), Bialozor, Fine, McLaughlin (1991), Caryl and Noonan (2000), Soe, Koki and Chang (2000) Basturk (2005), Maitoned, DuPaul and Jitendra (2005), Liao (2007). The insignificant of result present study might be as a result of the fact that most of the students were used to conventional method of teaching, not only that, it was observed that most of the students in the course of this study find it difficult to quickly adjust to the use of Computer Assisted Instruction due to environmental problem. It was equally noticed that the procedures involved in the acquisition of skills needed by the students in the learning of the basic concepts are somehow difficult.

The findings of the effect of treatment on academic ability show that high academic ability students performed more significantly in Social Studies than the low academic students in both Computer Assisted Instruction and Conventional Methods. This result corroborated Abadzi (1985), Holmes and Ahr (1994), Emeke and Adegoke (2001), Condron, (2003), Falaye (2006), Adewale (2008), Denessen, Veenman, Dobbelsteen and Vanschilt (2008), Karademir (2009), who were all of the view that high ability students performed better than low ability students. Although it is not mandatory that there should be significant difference between higher and low students ability as pointed out by Muhfahroyin (2009) whose result indicated no difference between higher and lower students ability in the cognitive achievement of Biology, Critical thinking and process skills. Also, Holmes and Ahr (1994) were of the view that ability grouping has no effect on students' achievement.

Furthermore, this study found that there was no significant interaction effect of treatment as students' academic ability on their achievement in Social Studies. This implies that treatment (Computer Assisted Instruction and Conventional Methods) are not sensitive to students achievement in Social Studies. This finding is in line with the findings of Muhfahroyin (2009) who found out that there was no effect of interaction between learning strategy and academic ability towards the cognitive achievement of Biology, Critical and Process skills. Also, Ibode (2008) found that there was no interaction effect of treatment and students' academic ability on achievement in English language.

11. Conclusion

This study has shown that students exposed to Computer Assisted Instruction (CAI) did not perform significantly better in their achievement in Social Studies than those students exposed to conventional method of instruction. In the same vein, high academic ability as revealed by the study boosts students' achievement in Social Studies as against low academic ability. Also, the study revealed that no significant interaction effect existed in treatment of students' academic ability and achievement in Social Studies.

In conclusion therefore, the use of Computer Assisted Instruction should be seen as so germane in this present dispensation and students and teachers should be so equipped in the usage and conducive environment should be provided. Also, the influence of high academic ability on the achievement of students, which this study found, underscores the need for students to strive to improve their academic ability since it has proven to be an important factor in Social Studies achievement.

12. Recommendations

Based on the findings, the following are recommended:

(1) Conductive environment should be provided with adequate facilities for Computer Assisted Instruction to
be effectively utilized in schools.

(2) There is need for Social Studies teachers to update themselves through seminars, conferences and workshop that will enhance the teaching of Social Studies.

(3) Motivation is central to creativity students should be motivated to use Computer Assisted Instruction (CAI) so that its usage will not serve as a burden or waste of time.

(4) Concerted effort is required on the part of Ministry of Education to provide schools with enough funding for the purchase of necessary materials like ICT facilities for use of Computer Assisted Instruction.

(5) Computer Assisted Instruction strategy will go a long way to improve the attitude of both the students and teachers toward the use of this strategy in their future classroom interaction.

(6) There is need for Computer Assisted Instruction to be gradually introduced into the teaching and learning process in Nigeria to supplement the existing method of instruction.

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Frauds In Nigerian Banks: Nature, Deep-Seated Causes, Aftermaths And Probable Remedies

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Abstract: This paper is descriptive in nature and it examines the nature, causes, effects and remedy for bank frauds in Nigeria. In recent years, frauds in Nigeria banking sector seemed to have assumed a frightening dimension and to a large extent, the confidence the general public reposes in it, is put in jeopardy. The ability of banks to promote growth and development in any economy is a function of the extent to which financial transactions are carried out with trust, confidence and least risk. These no doubt require a safe and sound banking practice which many of the banks in Nigeria today have despised to their own peril. This study leaned heavily on the Nigerian Deposit Insurance Corporation (NDIC) annual reports for data relating to total amount involved in frauds and forgeries, ten banks with the highest fraud cases and categories of bank staff involved in frauds and forgeries. The paper concludes that the battle for the preclusion, uncovering and retribution of fraud offenders must be fought on two extensive fronts: First is to reduce the temptation to commit fraud and second to increase the chances of detection. While a positive work environment will help to achieve the former, the latter can be achieved by sound internal control system.

Key words: Frauds, Banks, NDIC, Frauds Motivation model

1. Introduction

Among the Nigerian industrial sectors today, one can say that the banking industry is the most visible and arouses the most public interest. The importance of the banking sector in any economy stems from its role of financial intermediation, provision of an efficient payment system and facilitation of the implementation of monetary policies. In intermediation, banks mobilize savings from the surplus units of the economy and channel these funds to the deficit unit, particularly private business enterprises, for the purpose of expanding their productive capacity.

According to Olismbu (1991:20), the banking sector has become one of the most critical sectors and commanding heights of the economy with wide implications on the level and direction of economic growth and transformation and on such sensitive issues as the rate of unemployment and inflation which directly affect the lives of our people. Today, the very integrity and survivability of these laudable functions of Nigerian banks have been called into question in view of incessant frauds and accounting scandals. According to Oseni (2006:16), “the incessant frauds in the banking industry are getting to a level at which many stakeholders in the industry are losing their trust and confidence in the industry”. Corroborating the views of Oseni, Idolo (2010:63), stressed that the spate of fraud in Nigerian banking sector has lately become a source of embarrassment to the nation as apparent in the seeming attempts of the law enforcement agencies to successfully track down culprits.

Although the incidence of fraud is neither limited to the banking industry nor peculiar to Nigeria economy, however the high rate of fraud within the banking industry, calls for urgent attention with a view to finding solutions. Fraud in its effect reduces organizational assets and increases its liabilities. With regards to banking industry, it may engender crises of confidence among the banking public; impede the going concern

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status of the bank and ultimately lead to bank failure. The Central Bank of Nigeria (CBN) reported that cases of attempted fraud and forgery in banks, as at half-year 2007 exceeded what was recorded in the whole of 2006. For instance, the CBN half-year report for 2007, disclosed that a total of 741 cases of attempted fraud and forgery, involving N5.4 billion (US $34.8 million), were reported as at June, 2007. Whereas in 2006, the entire cases of fraud reported were 1,193, involving the sum of N4.8 billion (US $30.97). The CBN also maintained that the dwindling situation is occasioned by weaknesses in the internal control system of the affected banks. The foregoing statistics clearly unfolds the extent to which fraud had eaten deep into the financial strength of Nigeria banks.

Thus, the remaining part of this paper will be divided into four parts namely: Nature and classification of frauds, profound causes of frauds, effect of fraud and prevention and control of frauds, and conclusion.

2. Nature and Classification of Frauds

The term ‘Fraud’ has been defined in different ways by different authors. According to the Collins English Dictionary, fraud can be defined as: "deceit, trickery, sharp practice, or breach of confidence, perpetrated for profit or to gain some unfair or dishonest advantage". Also, the Association of Certified Fraud Examiners defines fraud as “any illegal acts characterized by deceit, concealment or violation of trust. These acts are not dependent on the application of threat of violence or of physical force”. Frauds are perpetrated by individuals and organizations to obtain money, property or services; to avoid payment or loss of services; or to secure personal or business advantage.

According to Boniface (1991), fraud is described as “any premeditated act of criminal deceit, trickery or falsification by a person or group of persons with the intention of altering facts in order to obtain undue personal monetary advantage”. Frauds usually involve the perpetration of some forgery or falsification of documents or illegal authorization of signature (Ojo, 2008: 91). It can be summarily concluded from the foregoing definitions that fraud arises when a person in a position of trust and responsibility digresses from agreed standards, breaks the rules to advance his personal interest at the expense of the interest of the public.

Fraud has been classified in various ways and using various parameters. However for the purpose of this paper, we shall employ the perpetrators criteria as follows:

a) Management of the banks (otherwise referred to as management fraud).

b) Insiders. These perpetrators are purely the employees of the banks.

c) Outsiders. These include customers and/or non-customers of the banks.

d) Outsiders/Insiders. This is a collaboration of the bank staff and outsiders as described in (b) and (c) above.

3. Management Fraud

Management fraud is frequently committed by management staff of a reporting entity, which comprises the director, general managers, and managing directors to mention but a few. The category of victims of management frauds are investors and creditors, and the medium for perpetrating the fraud is financial statement. The predilection for management fraud in most cases is to pull in more investment from both existing and potential shareholders to the organization. Another motivation for management fraud is to paint the bank in good light in the eyes of the regulatory authorities such as Central Bank of Nigeria (CBN), Nigerian Deposit Insurance Corporation (NDIC), Nigerian Accounting Standards Board (NASB) etc. Additionally management fraud can also be effectuated to secure tax advantage from tax authorities.

According to Fakunle (2006:173), management fraud is the manipulation of records and the accounts, typically by the enterprise’s senior staff with a view to benefiting in some indirect ways. Deception and
Deprivation are the two elements of fraud and management fraud meets the criteria. According to Ajisebutu
(2006:6), the key elements of management frauds are:

a) A material false statement;
b) Knowledge of its (statement) falsification;
c) Reliance on the false statement by victim; and
d) Damage suffered by victim.

Though management fraud manifests itself through overstatement of assets or revenues, and
understatement of liabilities and expenses, Association of Certified Fraud Examiners (ACFE) believes it is
carried out through the under listed five methods:

i) Fictitious Revenues
ii) Timing Differences
iii) Improper Asset Valuation
iv) Concealed Liabilities and Expenses
v) Improper and /or Inadequate Disclosure

4. Insiders or Employees Frauds

This is also known as non-management fraud and they are usually perpetrated by the employees of the
Banks or organizations. It is the application of fraudulent means to obtain money or other property from the
falsification of some kind, lying, exceeding authority, violation of employer’s policies, embezzlement of
compny’s funds, usually in form of cash or other assets. Boniface (1991:23), indentifies some of the typical
manifestations of employees frauds in the banks to include:

(I) Cash thefts from the tills by banks’ staff;
(II) Forgeries of customer’s signature with the intention of illegally withdrawing money from the account
with the bank;
(III) Use of forged cheques to withdraw money from the customer’s accounts;
(IV) Opening and operating of fictitious account to which illegal transfers could be made and false
balance credited;
(V) Lending to fictitious borrowers effected through fictitious account opened at a branch;
(VI) Claiming of overtime for hours not worked;
(VII) Suppression of cash / cheques.
(VIII)Fund Diversion: In this case, bank staff (for personal use), sometimes diverts customers’ deposits
and loan repayment. Another case of this is the tapping of funds from interest in suspense
accounts in the bank.
(IX) Computer Fraud: This type of fraud takes the form of alteration of the programmes or application
packages and even bursting into the system via remote sensors. Diskettes and flash drives can
also be tinkered with to gain access to unauthorized domains or even give credit to accounts for
which the funds were not ab initio intended. This kind of fraud can remain undetected for a long
time.

5. Outsiders Frauds

These are frauds perpetrated by customers and non-customers of banks. The primary function of a
commercial bank is to connect customers with capital deficit to customers with capital surplus in the financial
market. In implementing this function, banks and bank workers come in contact with both customers and non-
customers, and this contact engenders the risk of fraud. According to Onkagba, (1993), as sited in Idowu,
(2009:629), the most common methods of outsiders’ fraud are:
a. Advance Fee Fraud
This may involve an agent approaching a bank, a company or individual with another to access large funds at below market interest rates often for long term. This purported source of funds is not specifically identified as the only way to have access to it is through the agent who must receive a commission “in advance”. As soon as the agent collects the fee, he disappears and the facility never comes through. Any bank desperate for fund especially distressed banks and banks needing large funds to bid for foreign exchange can easily fall victim of this type of fraud. When the deal fails and the fees paid in advance are lost, these victims are not likely to report the losses to the police or to the authorities.

b. Forged Cheques
This is most likely the commonest method by which the customers and the bank are defrauded. They occur mainly in company’s accounts and are invariably perpetrated by staffs within the company who have access to the company’s cheque book.

c. Cheque Kitting
This occurs when a depositor utilizes the time required for a cheque to clear to obtain an authorized loan without interest charge. The goal of the cheque kitter may be to use these uncalled bank funds, interest fees for a short time to overcome a temporary cash shortage or to withdraw the funds permanently for personal use. Competition among banks in the era of deregulation encourages bank to make funds available before collection of customers’ cheque in order to attract special business accounts.

d. Account Opening Fraud
This involves the deposit and subsequent cashing of fraudulent cheques. It usually starts when a person not known to the bank asks to open a transaction account such as current and savings account with false identification but unknown to the bank.

e. Counterfeit Securities
Counterfeiting of commercial financial instruments is one of the oldest forms of crime. Modern photographic and printing equipment has greatly aided criminals in reproducing good quality forged instruments. The documents may be total counterfeit or may be genuine documents that are copied, forged or altered as to amount, payout date, pay or terms of payment. A common fraud is to present the counterfeit stocks or bonds as collateral for loan. The presenter would draw out the proceeds and disappear before the financial instruments are found to be counterfeit.

f. Money Transfer Fraud
Money transfer services are means of moving financial resources to or from a bank to beneficiary account at any bank point worldwide in accordance with the instructions from the banks’ customers. Some common means of money transfer are mail, telephone, over-the-counter, electronic process and telex. Fraudulent money transfer may result from a request created solely for the purpose of committing a fraud or altered by changing the beneficiary’s name or account number or changing the amount of the transfer.

g. Letter of Credit Fraud
This generally arises out of international trade and commerce. They stimulate trade across national borders by providing a vehicle for ensuring prompt payment by financially sound institutions. Overseas suppliers continue to receive spurious letters of credit, which are usually accompanied by spurious bank drafts with fake endorsements which guarantee payments.
h. Clearing Fraud
Most clearing frauds hinge on suppression of an instrument so that at the expiration of the clearing period applicable to the instrument, the collecting bank will give value as though the paying bank had confirmed the instrument good for payment. Clearing cheques can also be substituted to enable the fraudster divert the fund to a wrong beneficiary. Misrouting of clearing cheques can also assist fraudsters to complete a clearing fraud.

i. Duplicating or skimming card data, copying magnetic stripe information off a card for duplication.

6. Outsiders/Insiders Fraud

This involves a collaboration of bank staff and outsiders for the purpose of defrauding the bank. For bank’s outsider fraud to succeed, more often than not, there must be an insider who is providing information and other logistic support to the outsiders.

7. Causes of Frauds in Nigerian Banks

In the words of Ojo (2008:92), the causes of fraud and forgeries in banking transactions can be classified under two generic factors namely: the institutional or endogenous factor and the environmental or exogenous (social) factors.

7.1 Institutional Factors

The institutional factors or causes are those that are traceable to the in-house environment of the banks. Though the list of institutional factors is inexhaustible, the notable ones are:

A) Weak accounting and internal control system;
B) Inadequate supervision of subordinates;
C) Disregards for “know your customers (KNC)” rule;
D) Poor information technology and data base management;
E) Hapless personnel policies;
F) Poor salaries and conditions of services;
G) General frustrations occasioned by management unfulfilled promises;
H) Failure to engage in regular call-over;
I) Employees’ refusal to abide by laid-down procedures without any penalty or sanction;
J) Banks reluctance to report fraud due to the perceived negative publicity or image. This is capable of engendering more fraud;
K) Banking Experience of staff: frauds in banks occur with higher rate of recurrence among staff with little experience and knowledge in financial praxis. The more experience and knowledgeable a staff is, the less probability that frauds would pass such staff undetected unless with active support of that staff.
L) Inadequate Infrastructure: Poor communication systems and power failure, result to a buildup of unbalanced postings, overcrowded office space etc, these encourage the committal of fraud in banks.
M) Inadequate training and re-training;
N) Poor Book-Keeping
O) Genetic traits:- These are trans-generational (or inherited) attribute possessed by an individual that propels him to engage in frauds. For instance, a kleptomaniac who pathologically steals for the fun of it would naturally not do well as professional banker.
7.2 The Environmental or Social Factors

According to Idowu (2009:632), environmental factors are those that can be traced to the immediate and remote environment of the bank. These factors or causes according to Ogbunka (2002:188), are manifest in the following manner:
I) The penchant to get rich quick;
II) Slow and tortuous legal process;
III) Poverty and the widening gap between the rich and the poor;
IV) Job insecurity;
V) Peer group pressure;
VI) Societal expectations;
VII) Increased financial burden on individuals;
VIII) Stiff competition in the banking industry which saw many banks engaging in fraud so as to meet up in terms of liquidity and profitability.

Why People Commit Fraud

Classical fraud theory made plain and comprehensible, the propensities for fraud as a triangle of perceived opportunity, perceived pressure, and perceived rationalization. Every fraud executor is confronted with some kinds of pressures, which constitute the first component of fraud. More often than not, the pressure constitutes a financial want, although nonfinancial pressures—such as the need to report results that are better than actual performance and competitors, frustration with the nature of work, or even a challenge to beat the system—can also induce fraud. Research has shown that these pressures don't have to be authentic; they simply have to seem valid to the perpetrator.

![Classical Fraud Motivation Model](image)

The second constituent of the fraud triangle is perceived opportunity. The executor of fraud must believe that he or she can commit the fraud and not get caught (or, that if he or she does get caught, nothing grave will happen). Like perceived pressures, perceived opportunities don't have to be real; they only must be perceived as authentic by the executor.

The third driver of fraud is ability of the perpetrators to find a way to rationalize their actions as acceptable. The following are some familiar rationalizations: “its serves the bank right since the organization has not honour their obligations to me”, “I deserve it. I am only taking my share”, “the plot is only temporary. After this I’m done”, “we are not injuring anyone; the bank will blow their money anyway”. Some fraudsters may say that the bank has enough money and it won't affect them in a big way etc.

The three elements of the fraud triangle - perceived pressure, perceived opportunity, and perceived rationalizations are indispensable to every fraud. Whether the fraud is one that benefits the perpetrator
personally or one that benefits a perpetrator’s business. In the case of financial statement fraud, for example, the pressure could be the need to meet (or even surpass) analysts’ and regulatory authorities’ expectations or debt covenants, the opportunity could be a weak audit committee or pitiable internal controls, and the rationalization could be that you are only getting over a temporary slump in business.

8. Effects of Frauds on Nigerian Banks

Sections 35 and 36 of Nigerian Deposit Insurance Corporation (NDIC) Act 2006, mandates banks to render monthly returns of frauds and forgeries and also notify the corporation of any staff dismissed or whose appointment was terminated on accounts of frauds or financial irregularities.

Presented in this section are the reported cases of frauds and forgeries for a period of ten years (2000-2009), Table No 2, shows the ten banks with highest fraud cases between 2003 and 2009, and Table No 3, evinces the status and the number of bank staff involved in frauds and forgeries, within 7 years (i.e. 2003 to 2009). Table 1 below, shows the number of reported cases of frauds and forgeries, the amount involved, expected loss and number of staff involved, for 10 years (i.e. 2000 – 2009).

Table N. 1: Total Amount Involved in Fraud and Forgeries

<table>
<thead>
<tr>
<th>YEAR</th>
<th>Total No of Fraud Cases</th>
<th>Total Amount Involved (N' Million)</th>
<th>Total Expected Loss (N' Million)</th>
<th>Proportion of Expected Loss to Amount Involved (%)</th>
<th>Staff Involved</th>
</tr>
</thead>
<tbody>
<tr>
<td>2000</td>
<td>403</td>
<td>2,857.11</td>
<td>1,080.57</td>
<td>37.82</td>
<td>493</td>
</tr>
<tr>
<td>2001</td>
<td>943</td>
<td>11,243.94</td>
<td>906.30</td>
<td>8.06</td>
<td>152</td>
</tr>
<tr>
<td>2002</td>
<td>796</td>
<td>12,919.55</td>
<td>1,299.69</td>
<td>10.06</td>
<td>85</td>
</tr>
<tr>
<td>2003</td>
<td>850</td>
<td>9,383.67</td>
<td>857.46</td>
<td>9.14</td>
<td>106</td>
</tr>
<tr>
<td>2004</td>
<td>1,175</td>
<td>11,754.00</td>
<td>2,610.00</td>
<td>22.21</td>
<td>383</td>
</tr>
<tr>
<td>2005</td>
<td>1,229</td>
<td>10,606.18</td>
<td>5,602.05</td>
<td>52.82</td>
<td>378</td>
</tr>
<tr>
<td>2006</td>
<td>1,193</td>
<td>4,832.17</td>
<td>2,768.67</td>
<td>57.30</td>
<td>331</td>
</tr>
<tr>
<td>2007</td>
<td>1,553</td>
<td>10,005.81</td>
<td>2,870.85</td>
<td>28.69</td>
<td>273</td>
</tr>
<tr>
<td>2008</td>
<td>2,007</td>
<td>53,522.86</td>
<td>17,543.09</td>
<td>32.78</td>
<td>313</td>
</tr>
<tr>
<td>2009</td>
<td>1,764</td>
<td>41,265.50</td>
<td>7,549.23</td>
<td>18.29</td>
<td>656</td>
</tr>
<tr>
<td>Total</td>
<td>10,719</td>
<td>168,390.79</td>
<td>43,087.91</td>
<td></td>
<td>2,514</td>
</tr>
</tbody>
</table>

Source: Adapted from NDIC ANNUAL REPORTS (2000 – 2009)

As depicted in the table, a total of 10,719 cases of frauds and forgeries were reported during the period, involving N168.84 billion (that is, N168.84 billion, US $1.09 billion), and perpetrated by a total of 2,514 staff of various designates. It is noteworthy that the year 2008 witnessed the highest number of frauds and forgeries cases (i.e. 2,007 cases), and the highest total amount of frauds and forgeries of N53.52 billion, (i.e.US $345.31 million). The table also indicates that Nigerian banks had the highest number staff involved in frauds and forgeries in the year 2009 (i.e. 656 staff).
Table N. 2: Ten Banks With Highest Fraud Cases

<table>
<thead>
<tr>
<th>Group</th>
<th>2003</th>
<th>2004</th>
<th>2005</th>
<th>2006</th>
<th>2007</th>
<th>2008</th>
<th>2009</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Amount Involved (N’ Million)</td>
<td>% Share</td>
<td>Amount Involved (N’ Million)</td>
<td>% Share</td>
<td>Amount Involved (N’ Million)</td>
<td>% Share</td>
<td>Amount Involved (N’ Million)</td>
</tr>
<tr>
<td>Total for 10 Banks</td>
<td>8,635.38</td>
<td>92.02</td>
<td>10,024.00</td>
<td>85.88</td>
<td>9,373.74</td>
<td>88.38</td>
<td>2,512.73</td>
</tr>
<tr>
<td>Total for All Banks</td>
<td>9,383.67</td>
<td>100</td>
<td>11,754.00</td>
<td>100</td>
<td>10,606.18</td>
<td>100</td>
<td>4,832.17</td>
</tr>
</tbody>
</table>

Source: Adapted from NDIC ANNUAL REPORTS (2003 – 2009)

The 10 banks with the highest number of reported frauds and forgeries cases, as presented in Table 2 above, were responsible for 92.02%, 85.88%, 88.38%, 51.77%, 25.64%, 64.31%, and 90.10% of the total frauds and forgeries that were reported in the banking industry in the 7 seven years (i.e. 2003-2009) respectively. The year 2003 and 2009 were the most infamous for the fact that they comprise the highest proportions of 92.02% and 90.10% respectively. For instance, in 2003, of the total of N9.38 billion (US $60.54 million) cases of frauds and forgeries reported by the entire banking sector, N8.64 billion (US $55.71 million) were perpetrated by staff of 10 banks. Similarly in 2009, out of the N41.27 billion (US $266.23 million) cases of financial irregularities in the banking sector, 10 banks accounted for N37.18 billion (US $239.87 million). It is noteworthy that the rate of conversion was N155 to $1, i.e. the rate existing as at the time the paper was written.

Table N. 3: Categories of Bank Staff Involved in Frauds and Forgeries

<table>
<thead>
<tr>
<th>Rank</th>
<th>2003</th>
<th>2004</th>
<th>2005</th>
<th>2006</th>
<th>2007</th>
<th>2008</th>
<th>2009</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Number</td>
<td>%</td>
<td>Number</td>
<td>%</td>
<td>Number</td>
<td>%</td>
<td>Number</td>
</tr>
<tr>
<td>Supervisors &amp; Managers</td>
<td>25</td>
<td>23.58</td>
<td>157</td>
<td>40.99</td>
<td>169</td>
<td>44.70</td>
<td>118</td>
</tr>
<tr>
<td>Officers, Accountants &amp; Executive Assistants</td>
<td>41</td>
<td>38.68</td>
<td>129</td>
<td>33.68</td>
<td>124</td>
<td>32.80</td>
<td>90</td>
</tr>
<tr>
<td>Clerks &amp; Cashiers</td>
<td>25</td>
<td>23.58</td>
<td>61</td>
<td>15.93</td>
<td>54</td>
<td>14.28</td>
<td>60</td>
</tr>
<tr>
<td>Typists, Technicians &amp; Stenographers</td>
<td>-</td>
<td>-</td>
<td>18</td>
<td>4.70</td>
<td>16</td>
<td>4.23</td>
<td>16</td>
</tr>
<tr>
<td>Messengers, Drivers, Cleaners, Security Guards &amp; stewards</td>
<td>7</td>
<td>6.60</td>
<td>15</td>
<td>3.92</td>
<td>12</td>
<td>3.17</td>
<td>7</td>
</tr>
<tr>
<td>Temporary Staff</td>
<td>8</td>
<td>7.55</td>
<td>3</td>
<td>0.78</td>
<td>3</td>
<td>0.79</td>
<td>50</td>
</tr>
<tr>
<td>TOTAL</td>
<td>106</td>
<td>100.00</td>
<td>383</td>
<td>100.00</td>
<td>378</td>
<td>100.00</td>
<td>331</td>
</tr>
</tbody>
</table>

Source: Adapted from NDIC ANNUAL REPORTS (2003 – 2009)

Table 3 shows the status and number of banks’ staff involved in frauds and forgeries from 2003 to 2009. Within the seven years, a total of 2,440 were reported to have been involved in frauds and forgeries, while in
2009, a total of 656 members of bank staff were reported to have taken part in financial impropriety, this statistics accounted for an increase of 109.58% as against the 2008 figure of 313. Additionally, of the 656 number of staff reported to have engaged in fraud and forgeries in 2009, 431 of them were core operating staff such as supervisors, officers, accountants, managers, executive assistants, clerks and cashiers, thus accounting for 65.7%.

According to NDIC 2009 report, the banking industry performance and the level of soundness declined in 2009. Out of the 24 banks in the country, 13 were rated sound, one was marginal while 10 were rated unsound as against just one unsound in the previous year.

Undoubtedly, frauds lead to loss of money which belongs to either the bank or customers. This loss results in a decline of productive resources available to the bank. Adewunmi (1996), identified the under listed effects of bank frauds and forgeries:

a) It destroys the bank’s reputation
b) It discourages banking habit among the banking public.
c) The bank ceases to meet up with staff welfare
d) The trust and understanding among staff is reduced
e) The bank will lack the ability to compete favourably with its competitors
f) Fraud reduces bank’s profitability
g) It places emotional and psychological burdens on the fraud victims.

Others include:
Increased operating expenses, reduced operational efficiency, damage to credibility, public criticisms, endangered bank’s plans and strategies, bank’s liquidation, a decrease in foreign direct investments (FDI) and foreign investors, depletion of shareholders’ funds and banks’ capital base, and bad national image.

Summarily, it can be said that the Cost of Fraud in Banks = Instantaneous loss due to fraud + Cost of fraud preclusion and exposure + Cost of lost business + Opportunity cost of fraud avoidance and uncovering + deterrent effect on spread of e-commerce.

9. Prevention and Control of Bank Frauds and Forgeries

To guarantee effective strategies of fraud prevention and control, banks are to ensure that operational systems are designed with inbuilt control devises. Banks can reduce or better still eradicate frauds and forgeries if all control devices built into the system are uncompromisingly respected. Additionally, stakeholders in the banking industry can reduce the incidence of frauds by complying with the following recommendations.

1) Instauration of an encouraging work atmosphere

An encouraging work environment propels employees to follow established policies and procedures, and operate in the best interest of the organization. It opens line of communication between employees and management of the bank, and guarantees positive employees recognition and sound reward system. This kind of environment is likely to reduce the drive for internal fraud and forgeries.

2) Hire sincere people

The need to hire honest people cannot be over emphasized. Though it is the ambition of every organization, but it is easier said than done. Cost of hiring a dishonest employee is incalculable: a dishonest employee will undermine any attempt to create a positive work environment and constantly strive to defeat any internal control put in place. Pre-employment background checks that cover criminal history, educational history verification, previous employment verification, civil history for possible lawsuits etc, will be helpful in hiring honest people.
3) Perform expected- and unexpected- audits
Every bank should have regular assessments procedures which will be complemented with uncustomary, random, unannounced financial audits and frauds assessments. This can help to unearth any vulnerability and appraise the effectualness of the existing controls, and send the message to all employees that fraud prevention and control are of high priority to the bank.

4) Enforce internal controls
This should be designed to promote operational efficiency and effectiveness, provide reliable financial information, safeguard assets and records, encourage adherence to prescribed policies, and comply with regulatory agencies. A sound internal control will ensure that transactions are: Valid, properly authorized, recorded, properly valued, properly classified, reconciled to subsidiary records and not carried through by a single employee (i.e. ensure separation of duties)

5) Probe every unpleasant incident
A meticulous and timely investigation of any allegation of frauds, threat to internal control and warning signals of fraud, will give the indication that frauds and forgeries are not treated with kid-gloves by the organization.

6) Exemplary leadership
Top management of the bank must set the standard for other employees by their conduct. A cavalier approach to rules and regulations by senior management will soon be reflected in the stance of the employees. Every staff, no matter how highly placed, should be governed by the rules of the organization and not above it.

7) Adequate training and education most especially on frauds and forgeries should be organized from time to time for banks’ staff.

8) The judicial process should be reinforced to encourage speedy hearing of fraud cases brought before it.

10. Conclusion
To say that the banking sector of Nigerian economy has become a terrain for various appalling corrupt and fraudulent practices is to say the obvious. According to a US-based Global Financial Integrity group, Nigeria sits atop a list of African countries which have suffered a massive outflow of illicit funds in Africa between 1970 through 2008. The study, titled Illicit Financial Flows from Africa: Hidden Resource for Development, reveals that Nigeria lost $165.697 billion, about 19% of the total $854 billion outflows from Africa to other western countries. Queuing behind Nigeria are Egypt ($70.5 billion), Algeria ($25.7 billion), Morocco ($25 billion) and South Africa (24.9 billion).

Accomplishing greater triumph in the battle against Nigerian fraud will require continued interagency collaboration, public education and greater international cooperation. As for the banking industry, the detection and prevention of frauds are basically the responsibility of the management through the establishment of efficient and effective internal control System.

The battle for the prevention, detection and punishment of fraud offenders must be fought on two extensive fronts. First is to reduce the temptation to commit fraud and second to increase the chances of detection. While a positive work environment will help to achieve the former, the latter can be achieved by sound internal control system as earlier discussed.
References

Multiple Personality and the Dependence on an Intimate Ambience
( Between Luigi Pirandello and Ernest Koliqi)

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Abstract: The author of this article aims at analysing the motif of multiple personality which emerges as a consequence of the modern man crisis. By making a comparison with Luigi Pirandello and referring to short stories by Ernest Koliqi, she intends to make known the presence of this phenomenon even in the Albanian literature of the years '20-'30. This is no accidental comparison, for Ernest Koliqi was an Albanian writer who was educated from early age in the Italian colleges and later on in the Italian Universities. He worshiped Italian literature and believed in its educational power. With his philosophical way of thinking and deep psychological and spiritual analysis, Pirandello influenced Koliqi's work and it can be said that he elaborated Koliqi's way of reflecting and art making. This is best illustrated through the analysis of an individual's personality, who does not have a certain identity any more, but only a conflict with himself/herself and the ambience that surrounds him/her, which will inevitably push him/her toward a fatal solution.

Keywords: personality, ambience, psychological war, identity, drama, impuls

1. Introduzione

La personalità dell'individuo rimane uno degli argomenti più interessanti che ha continuamente attirato l’attenzione non solo degli psicologi e filosofi, ma anche e specialmente degli scrittori e letterati, i quali hanno sempre preferito giocare con i loro personaggi, trasformarli e renderli capaci di tutto. Però si sa che la personalità costituisce la ragione di essere di molti comportamenti e atteggiamenti, di molti pensieri e giudizi che caratterizzano tutti gli esseri umani, in tutte le loro forme, in quelle che sono realmente e in quelle che appaiono. Luigi Pirandello, il celebre scrittore e il grande erudito italiano riuscì a penetrare a fondo, meglio di chiunque altro, la psicologia dell'uomo e riuscì a capire prima di tutto che essa è mutabile. Uguale alla vita stessa che oltre l’essenza, porta anche una sua forma, che sarebbe come una veste esterna che si cambia continuamente a seconda del punto di vista degli altri. Questo rapporto è stato studiato da molto tempo, da grandi filosofi, cominciando da Aristotele, ma l'interpretazione di Pirandello, costituisce un'altra particolarità della sua arte, un'altra sua filosofia, un'altra linea di ragionamento e un'altra maniera di percepire le diverse situazioni e i diversi personaggi che ne partecipano. Questo significa che la personalità dell’individuo e la sua realtà psichica si mettono proprio al centro della sua narrativa, facendo svanire, in questo modo il ruolo della fabula. E così la fabula non ha più l’importanza di prima, la sua funzione rimane limitata, si serve solo per mettere più in evidenza e dare più importanza alla personalità del personaggio centrale dell’opera. In base al pensiero filosofico di Pirandello, questa personalità risulta composta di molti elementi, i quali nel momento in cui si scompongono, fanno sì che questa personalità non si riconosca più, perché l’individuo stesso può essere uno, ma può essere anche nessuno, o anche centomila, creando una realtà psichica problematica e in molti casi molto difficile a percepirla.

Questi importanti pensieri filosofici hanno sicuramente influenzato la narrativa del tempo e non solo quella italiana. Pirandello era un grande erudita e quindi un grande esempio a cui riferirsi, per molti altri scrittori

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1 Parole prese dal titolo dell’opera di Pirandello “Uno, nessuno e centomila”
Europei. Uno di quelli era anche lo scrittore albanese Ernest Koliqi (1903 – 1975), il quale visse per molti anni in Italia e lavorò come professore universitario a Roma, dove anche morì. Nutriva una grande ammirazione per la letteratura e la civiltà italiana, e questo lo dimostrava tramite le continue traduzioni di molte opere classiche e non solo di questa letteratura, in modo che anche il lettore albanese di quel tempo conoscesse e raffinasse i suoi gusti con le opere più famose di questa letteratura europea, dimostrando in questo modo anche una padronanza perfetta della lingua italiana.

Non sappiamo se Koliqi ha avuto dei contatti diretti con Pirandello, ma siamo certi di una cosa, che lui ha letto la sua opera e in modo consapevole o no ha ricevuto una certa influenza, specialmente per quanto riguarda la psicologia del personaggio e la scomposizione della personalità. È interessante come i personaggi di questi due autori, scoprono in un certo momento della loro vita il valore artificiale della forma e degli schemi che li rendono stranieri a loro stessi. E poi sicuramente, “... l’uomo che “ha capito il gioco”, per usare un’espressione pirandelliana, si rende conto della convenzionalità dei valori accettati, dei ruoli assunti e subiti, delle istituzioni – prima fra tutte la famiglia – che reggono la vita associata, ma questa scoperta lo porta a una solitudine e incomunicabilità con gli altri ancora maggiore, così che talvolta l’unico sbocco è la pazzia o il suicidio” (Guglielmino/Glosser: 771).

2. Analisi

Leggendo le novelle pirandelliane, si incontra una galleria eccezionale di personaggi tratti da uno sfondo severo siciliano, ai quali è stato imposto di muovere solo entro alcuni pregiudizi remoti, entro i canoni tramandati per secoli, da una generazione all’altra. Ed è proprio qui il punto dove nasce il conflitto, dove nasce in fin dei conti la crisi dell’uomo moderno. E infatti l’uomo è così preso dalla vita, dal lavoro che fa, dai rapporti intensi con la gente, tanto che spesso dimentica chi è veramente. E per questo Pirandello pensa che esiste un momento di tranquillità interiore “...in cui l’anima nostra si spoglia di tutte le finzioni abituali, e gli occhi nostri diventano più acuti e più penetranti, noi vediamo noi stessi nella vita, e in se stessa la vita, quasi in una nudità arida, inquietante; ci sentiamo assaltare da una strana impressione, come se in un baleno, ci si chiarisse una realtà diversa da quella che normalmente percepiamo, una realtà vivente oltre la vista umana, fuori delle forme dell’umana ragione” (Pirandello, 1993: 119). Questo modo di scrivere pieno di tensione sembra testimoniare l’esperienza della vita stessa di Pirandello, un aspetto molto importante che aiuta a capire bene la filosofia del suo pensiero. Una delle novelle che trasmette questo suo modo di ragionare è la Carriola, l’unico personaggio della quale, un avvocato – professore, rimasto davanti il nome scritto sulla porta della casa sua, sente un lampo di luce che gli percorre l’intero corpo e gli fa capire che è un’altra persona, diversa dalla forma che gli è dovuto assumere per servire ai bambini, alla moglie, agli studenti, e a tutte le persone che gli avevano fidato la proprietà, l’onore, la vita. Ma lui reagisce dal profondo dell’anima, contro questa forma imposta, con una grande rabbia: “E grido, l’anima mia grida dentro questa forma morta che mai non è stata mia... E ho nausea, orrore, odio di questo che non sono io... questa forma morta, in cui sono prigioniero e da cui non mi posso liberare” (Pirandello, 1993). E il professore continua a subire dei cambiamenti sotto questo flusso di coscienza che l’ha assorbito quasi tutto intero, continua a muoversi tra istinti e idee, tra pensieri e dubbi, e si rende conto che sotto questa forma data dalla società, c’è il vuoto, c’è

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la verità che lui non ha mai vissuto realmente, e così deve continuare ad accettare questa forma. “Serve così e non posso mutarla, non posso prenderla a calci e levarmela dai piedi... se non per un attimo solo, ogni giorno... cogliendo con trepidazione e circospezione infinita il momento opportuno, che nessuno mi veda” (Pirandello, 1159). Eppure il personaggio si rende conto che può essere un momento in cui si può vedere se stesso, si può sentire in un profondo silenzio la voce dell’anima, che rivelà chi è lui veramente e cos’altro può fare (giusto come il caso quando gioca con il cane, prende le due zampe di dietro e lo fa fare la carriola, proprio come fanno i bambini). La forma e il contenuto stanno come due parti inseparabili di un corpus intero, di una personalità che si trasforma. E tutte le volte che una mette capo, l’altra si rimpicciolisce e dorme in silenzio, per svegliarsi appunto quando uno lo stuzzica e lo irrita, oppure tutte le volte che trova il terreno giusto per svilupparsi, e dominare l’altra.

La novella “Gjaku” (Il sangue) di Ernest Koliqi è quella che ci offre la possibilità di vedere come si può trasformare una personalità anche nella letteratura albanese, come si può cambiare fino a diventare vittima di un dramma spietato senza nemmeno accorgersene. Dramma che è capace di sconvolgerlo e svestirlo dalla bella forma che aveva preso con così tanta fatica e dedizione. È una novella che va interpretata sotto un’ottica psicologica, più che artistica. Si tratta di uno studio profondo della psicologia del personaggio centrale chiamato Dodë, dei gravi conflitti che gli nascono dentro, in rapporto con se stesso e specialmente con la cultura dell’ambiente dov’è cresciuto. Dodë è un insegnante, preparato e istruito nelle scuole europee, è un intellettuale che vuole portare a termine una missione: portare la luce della civiltà a un popolo immerso nelle tenebre dell’ignoranza. Ma questa sua missione coraggiosa doveva avere delle forti fondamenta, per poter soppravivere e per poter penetrare la profonda realtà spirituale albanese, scolpita nei secoli, generazione dopo generazione. Ma in modo del tutto naturale subentra un elemento narrativo che impedirà la continuazione della missione e sconvolgerà dalla bella forma che aveva preso con così tanta fatica e dedizione. È un’elemento che mai avrebbe potuto pensare. Possiamo interpretare questa novella seguendo due linee principali, riferendoci in questo modo al ragionamento filosofico di Pirandello. La prima linea consiste nel rapporto tra Dodë e l’ambiente in cui vive quotidianamente e in cui ritorna dopo vent’anni di lunghi studi in Europa, cioè il rapporto con la società, con i genitori che non gli permettono di scordare neanche per un momento chi è veramente e qual’è il suo compito. Suo padre vuole che lui riprenda il sangue del fratello “... se la scuola non ti ha ancora tolto la “burrnija” non devi trascurare di compiere quel dovere che tu hai...” e anche il prete della montagna insiste nella vendetta del sangue “Il sangue non diventa acqua, caro signorino. Siamo albanesi e in noi agisce l’influsso dell’ambiente.” (Guzzetta, 1968: 44), ed anche la madre della sua fidanzata, Nusha, che gli voleva bene come ai propri occhi, “Io so che domani o dopodomani, tra un mese o tra un anno, sfogherai la tua giusta collera contro qualcuno di quelli che hanno verso di te un debito di sangue” (Guzzetta, 1968). Tutta la gente gli ricorda il suo dovere, la restituzione del debito. Sono quelle montagne, laddove è cresciuto, che gli ricordano che il suo sangue contiene la loro DNA, che per lui è proprio impossibile separarsi da quell’ambiente ovunque lui vada e qualunque forma lui prende. Questa prima linea, cioè questo rapporto elabora il suo carattere e lo rende un individuo dipendente da loro, una cosa difficilmente accettabile da lui. Ciò porta inevitabilmente un conflitto interno, che continuerà a svilupparsi durante tutta la novella e costituirà la sua essenza, offrendoci così da seguire la seconda linea di studio. Questa seconda linea consiste in un secondo rapporto, tra Dodë e la sua coscienza, come una continua lotta tra quello che lui desiderava fare e a quello che passo dopo passo verrà sottoposto a causa di una insostituibile pressione psicologica. Il flusso di coscienza è uno degli elementi
fondamentali che aiuta nell’esposizione di tutti i sentimenti, ricordi e dolori che prova questo personaggio, un flusso che divenne sempre più violento, tutte le volte che si sconvolgono le fondamenta della cultura “...gettata su una base malsicura, rose e urtate dalle correnti indomabili delle forze ataviche” (Guzzetta, 1968: 52). All’inizio lui sembra irremovibile e pieno di fiducia in quello che rappresenta, pensando di essere tanto abile e istruito da poter sopravvivere a qualunque attacco esterno “Tutti mi sono levati contro... Nessuno mi aiuta a tener duro contro la tentazione... Ebbene io, io resisterò a questo ambiente depravato... Io non mi abasserò davanti a questa coscienza bestiale e selvaggia... Io voglio essere un esempio vivo di coraggio civile a quanti per l’avvenire dichiarerà guerra alle malvagie usanze” (Guzzetta, 1968: 58). Ma non durerà a lungo e questa forte personalità, questa sana ragione comincerà a turbarsi e a sentire le inclinazioni pericolose dell’acre istinto, i pregiudizi morbosi che dormono nell’inconscio, i pensieri cupi che quella sana ragione non può nemmeno accettare. Ormai la vita di prima era troppo lontana, quasi estranea a lui; come se non fosse stato lui a viverla ma qualcun’altro. Doda ha già perso la forma con la quale aveva vissuto fino a quel momento, la forma che gli aveva dato la scuola, la cultura e la civiltà nella quale aveva vissuto per lunghi anni, e dalla quale pensava che non ci sarebbe stata nessuna ragione al mondo a separarlo. Ma, “egli sentiva che impercettibili fermenti cominciavano a muoversi e schiudersi... Mani invisibili l’afferravan dietro la schiena... Gli sembrò d’impazzire”

Koliqi è uno scrittore di rare virtù e di grande talento. Lui ha saputo conoscere bene la personalità umana, così come fece anche Pirandello, ma nel frattempo Koliqi ebbe il merito di conoscere profondamente la realtà psichica dell’albanese, una realtà più che difficile, a causa dell’indole stessa troppo chiusa del suo popolo. Koliqi si comporta da bravissimo analista che sa capire e penetrare mirabilmente la mente, è un novellista “che sa entrare nel profondo dei sentimenti secolari del popolo, sa come analizzarli e dipingerli; è unabile descrittore di emozioni e diversi stati d’animo” (Smaqi, 1998: 73). Così si scriveva di Koliqi fin dal 1930, un anno dopo in cui scrisse Hija e maleve (L’ombra delle montagne). Lui ci fece conoscere la pesante realtà interiore di una persona che soffre, che prova delle profonde confusioni, nel tentativo di mantenere vivo la forma da una parte e quella di indebolire il suo contenuto dall’altra. Questo principio morale della vendetta del sangue, questa usanza era ormai diventata un’istituzione radicata e tramandata per secoli, generazione dopo generazione. Doda non solo non può far pene per cambiarlo, ma si trasformerà in un assassino, in un criminale, che non avrebbe mai voluto essere, in una persona che pensava di averlo lasciato dietro per sempre, abbracciando una nuova visione per il suo avvenire e per quello della nazione albanese. Il personaggio di Doda analizzato in queste due linee di studio può trovare una sicura base teorica, in quella di Pirandello, secondo il quale “La vita è un flusso continuo che noi cerchiamo d’arrestare, di fissare in forme stabili e determinate, dentro e fuori di noi, ... Le forme... sono i concetti, sono gli ideali a cui vorremmo costruire una coscienza, costruendoci una personalità” (Pazzaglia, 1992: 305). Quella insistente e forte personalità che possedeva anche Doda, la quale lo fece resistere a lungo senza scuotersi di fronte ai pregiudizi pericolosi dell’ambiente esterno. Ma facendo avanti con lo schema filosofico di Pirandello giungeremmo la stessa conclusione di Koliqi, e avremmo lo stesso destino che subì anche il suo personaggio, Doda. Pirandello avverte la perdita della forma, l’intera trasformazione del personaggio, e il suo passaggio in un’altra fase di sviluppo esprimendosi in questo modo: “In certi momenti tempestosi, investite dal flusso, tutte quelle nostre forme fittizie crollano miseramente” (Pazzaglia, 1992). In egual modo come crollarono gli ideali di Doda e ogni altra forma che lui poté assumere faticosamente. Ne fu sufficiente questo primo confronto con il suo reale contenuto, con l’ambiente e la società, per capire che tutto quello in cui lui credeva era destinato a finire forse, ancora prima di cominciare. Ma questa insolita confusione di personalità, ci porta verso un’insolita conclusione della novella. L’omicidio compiuto da Doda non era il risultato di un’azione ben pensata oppure di un giudizio momentaneo a sangue caldo che può caratterizzare chiunque davanti un simile omicidio, ma venne come risultato di una giornata serena e di un’anima limpida, come se tutta quella lotta interiore fossa passata senza nessun rimorso, come se Doda finalmente avesse deciso di continuare la sua missione, perlomeno le
spalle il tormento dei pregiudizi e ogni altro influsso che spargeva solo buio e ignoranza. “La sua anima era calma come l’onda che dorme al sole, senza rughe e senza tremiti. Nessun pensiero triste più lo inquietava; nessuna traccia più, in lui, delle lotte terribili della vigilia... I suoi sentimenti erano limpidi come i raggi del sole. Anche la voce gli suonava più chiara per la via, nel rispondere ai saluti mattutini dei conoscenti.” (Guzzetta, 1968: 59). Sembra molto strano per una logica normale, provare una così grande serenità. Seguendo le azioni di Doda, sembra quasi seguire il ragionamento che continua e fare Pirandello durante lo sviluppo della sua filosofia, dando in questo modo anche una possibile spiegazione a quella strana serenità che aveva invaso la sua anima. “Con uno sforzo supremo cerchiamo allora di riacquistar la coscienza normale delle cose, di riallacciar con esse le consuete relazioni... Ma a questa coscienza normale... a questo sentimento solito della vita non possiamo più prestar fede, perché sappiamo ormai che sono un nostro inganno per vivere e che sotto c’è qualcos’altro, a cui l’uomo non può affacciarsi, se non a costo di morire o impazzire” (Pazzaglia, 1992: 306). Questo significa che tutta quella tranquillità che aveva avvolto il personaggio era falso, perché si trattava solo di un modo per nascondere quello che lo faceva soffrire e dal quale non aveva mai potuto staccarsi, neanche per un solo momento. Dopo quella finzione, dopo quel falso stato di tranquillità, dopo un ultimo sforzo per mantenere viva la normalità, avremmo per conseguenza una soluzione fatale, che deve avere per forza la novella di Koliqi, una morte che riuscirà a stabilizzare il rapporto del personaggio con l’ambiente (solo dopo aver realizzato l’omicidio la società sarà più soddisfatta da Doda “Il colpo t’apporti gloria... E fuggi , che noi t’apriamo la via”) e specialmente metterà in pace la sua anima (“Solo in fondo a quella sua povera anima tormentata c’era qualcosa di lieve: come un senso indefinito di liberazione”) anche se con un prezzo che lui aveva deciso di non accettare. Questa realizzazione artistica di questo stato d’animo, cioè quando Doda si trova di fronte all’assassino, lo troviamo in ugual modo anche nell’altra novella koliqiana Ke tre lisat (Dalle tre querce) ed è proprio il momento in cui Mrika prende la decisione di salvare il suo uomo amato prima di separarsi definitivamente da lui. Dopo una lunga notte in febbre “Tutta la debolezza del suo corpo, tutta la incertezza del suo animo che l’avevano fiaccata la sera prima, erano scomparse, come fugate dalla luce dell’alba” (Guzzetta, 1968: 74). Lei era completamente tranquilla, serena e pienamente chiara, così come anche Doda “Ella non pensava a nulla. Era padrona assoluta dei suoi nervi. Aveva la fredda calma di chi è risoluto a tutto. Immobile, una cosa sola con la roccia cui era appoggiata, gli occhi perduti in lontananza attendeva, paziente, calma, senza preoccuparsi del tempo che passava”. Mrika è un altro personaggio, tanto normale quanto Doda, con una stessa filosofia di azione, che lo porterà senza il minimo dubbio verso una morte quasi sicura. È proprio questo substrato filosofico nella concezione artistica delle novelle che dà a questa prosa koliqiana il sapore della modernità.

3. Conclusione

A questo punto noi possiamo ritenere che quello che congiunge Koliqi e Pirandello è la psicologia moderna e proprio quel suo punto in cui si mette in crisi l’identità dell’individuo, una tesi totalmente diversa da quella che sosteneva la psicologia tradizionale. Si sà ormai che la psicologia tradizionale sostiene chiaramente l’esistenza di una sola identità dell’uomo. Secondo questa tesi ognuno di noi si trova in continue relazioni con gli altri e quindi in situazioni dalle più diverse, e così di conseguenza è obbligato ad adattarsi e comportarsi in diversi modi. Ma dentro se stesso, l’individuo non cambia, cambiano solo gli atteggiamenti, così come si cambiano i vestiti tutte le volte che vogliamo mettere qualcos’altro, oppure i diversi ruoli che gioca l’attore, rimanendo sempre lo stesso individuo. Questa è la risposta della psicologia tradizionale, la quale non vuole e non può rinunciare a questa identità dell’individuo. In tanto che con Pirandello, e poi anche con Koliqi non succede la stessa cosa. È appunto questa identità personale che loro mettono in crisi, e con la quale si occupa la psicanalisi, un metodo della psicologia moderna. Per lo scrittore albanese questo non sarebbe stato per niente facile, perché subito dopo la pubblicazione delle novelle, si troverà davanti una troppa severa critica. “Per Koliqi – scrive il critico albanese S.Çapaliku (1995) – è già finita l’epoca degli eroi e ha cominciato a mettere capo l’epoca degli antieroi, come segno di una negatività sociale. Così la strada lo
porta verso i tabù, verso le cose che l’uomo albanese non aveva osato neanche pensarli, verso le categorie
dalle quali questo stesso uomo albanese provava una paura mortale”. E come risultato di questi punti di
vista, di questi pensieri controcorrente e contro tradizione, verrà criticato in un articolo del 1930, intitolato
“Volumi letterari – Ombra delle montagne” ( Criticus, 1930: 114) in questo modo “... un’opera per quanto
classica sia, se non corrisponde ai principi della ragione e dell’umanità, ... porta innumerevoli danni in tutti i
livelli della vita sociale e individuale ”. La stessa cosa si dirà anche in un altro articolo del 1935, intitolato
“L’arte letteraria e il morale”: “Se volete veramente educare il popolo albanese, e non volete ubriacarlo,
dovete tener presente la forza morale ed anche il potere spirituale dei lettori, misurateci bene quello che la
sua anima può sopportare e quello che non può”. Questa ci offre una ragione in più per pensare quanto
lontano sembra Koliqi per il lettore di quel tempo, e per di più per i letterati e i critici, i quali non volevano
vedere la nudità della vita e della mente. Si tratta di un altro punto di vista, da dove abbiamo cercato non solo
di fare un riscontro possibile tra questi due scrittori, ma anche di capire il perché di quest’arte di Koliqi.
Perché era proprio lui a impadronirsi di questo particolare modo di fare arte, creando una rottura con la
tradizione dei predecessori e scrivendo una letteratura moderna di stampo europeo.

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More than Fabric Motifs: Changed Meaning of Nsibidi on the Efik Ukara Cloth

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Abstract: Among the Ejagham people of the Cross River, extending from the Cameroon to Nigeria’s Cross River State, the ukara cloth and nsibidi visual signs are very critical aspects of history, religion and general cultural worldviews. While the ukara cloth is prominent among initiates of the Ejagham’s many Leopard Societies, the nsibidi is a visual language, unspoken but forming the main body of motifs on the ukara fabric design. As a traditional African written language peculiar to the Ejagham peoples, Carlson (2003: 225) has suggested that nsibidi can “adapt to new historical circumstances and culture” when transmitted to non-Ejagham societies. Using evidence from fieldwork in villages in five local government areas where Efik clans are located in Cross River State, this study sort to find out if the meanings of key nsibidi signs have changed or adapted when transmitted into a non-Ejagham cultural space in Calabar. The study found out that the transmission from the Ejagham culture to that of the Efik has brought on adaptations and changes in the meaning of nsibidi. And, that through its use in the design of the ukara fabric of the Ekpe society, nsibidi has maintained its relevance among the Efik for many centuries because of its ability to adapt to new social and cultural situations, while remaining true to its original identity.

Keywords: Ejagham, Calabar, Efik, ukara cloth, nsibidi, visual language, cultural space, change,

1. Introduction

Nigeria’s Cross River State is one of 36 states. It is situated southeast of the country and shares boarder with Cameroon, close to the Atlantic Ocean. The state derives its name from Cross River, a river that traverses Cross River and Akwa Ibom states and empties into the Atlantic Ocean from its rise in the Cameroon Mountain. According to Röshenthaler (1996:10), Cross River “curves from the Cameroon grasslands to the Atlantic ocean”. Geographically, the river is usually divided into the ‘upper Cross River’ and ‘lower Cross River’. While the lower Cross River includes the whole of Akwa Ibom State, Calabar, Odukpani, and Akamkpa local government areas in Cross River State, the upper Cross River consists of Obubra, Ikom, Ogoja, Obudu and Ugep. Along with ethnic groups that flow across to the Cameroon, these Nigerian ethnicities are called the Ejagham group, whose “territory is concentrated within the large southwest bend of the Cross River” (Röshenthaler 1996:10). According to estimates, the Ejagham language is spoken by about 70,000 speakers in Nigeria (Languages of the World 2010).

Efik, Qua and Efut are the three ethnic groups in Calabar, the southernmost part of Cross River State, near the Atlantic Ocean. Of the three ethnicities, the Qua are Ejagham. With a population of about 1.2 million, Calabar is also the capital city of Cross River state. Whereas each of the three ethnic groups in Calabar has
its own different language, they nonetheless share certain cultural patterns such as occupation, food, dressing, architecture, arts, crafts and rich cultural enactments like masquerading – of which the Ekpe is the most prominent. The Ekpe masquerade is owned and enacted by a cult of the same name among the Efik. While literature suggests that the Ekpe institution diffused from Ejagham to Efik land, it appears that the ukara cloth (the Ekpe’s official fabric) with its nsibidi designs, came along in the diffusion.

2. Statement of the Problem

Carlson writes that nsibidi should not be apprehended as a static thing of the past. Rather, nsibidi needs be seen to provide an intellectual tradition that has “relevance today” and can “adapt to new historical circumstances and culture” (2003: 225). Therefore, if as Carlson insists, the nsibidi can change meaning as it adapts to new cultural contexts, is there evidence to suggest that its transmission from the Ejagham culture to that of the Efik has brought on adaptations and changes in meaning? Using evidence from fieldwork in seven clans of the Efik, this study sort to find out if the meanings of key nsibidi signs have changed or adapted when transmitted into a non-Ejagham cultural space in Calabar.

3. Methodology

In terms of methodology, the authors had personal interviews with initiates, elders, priests and shrine attendants of the Ekpe society using enlarged and tabulated nsibidi visuals to which respondents offered the contemporary meanings associated with particular nsibidi signs among the Efik. To get the broadest view, the authors went to villages in Odukpani, Calabar Municipality, Calabar South, Akpabuyo and Bakassi (five local government areas of Cross River State where Efik clans are located), collated and harmonized the responses in a tabular form. Since most of the respondents are not literate in the (written) English language, the Efik language was used in most personal interviews and the authors recorded interviewees’ responses. The results of this visual survey among the Efik of Calabar were then tabulated and compared to that encountered by Carlson (2003) among the Bakor-Ejagham people.

4. Ekpe, Nsibidi and Ukara among the Efik of Calabar

While ‘Ekpe’ is the name of a masquerade among the Efik of Calabar, the term is also the name of the leopard and of the traditional sacred institution that owns the masque. The Ekpe (sometimes called Mgbe) society is also called the ‘leopard’ society because the Ekpe masquerade is a visual cultural reference to a leopard – its costume, makeup and props define it as such. The link between the Ejagham peoples, the Ekpe society and the leopard goes back in time. Koloss (1985) narrates a story that links the fear of the leopard to Ejagham people in 1904. At the time the Ejagham and their neighbours rebelled and the German colonial administration had to resettle the population into larger villages, for easier control. However, much social tension prevailed among the people, which resulted in witchcraft accusations in which many suspected witches were murdered. Coincidentally, at the same time witches were said to be killing people, man-eating leopards were also mauling people in the communities. The killer leopards were not deemed culpable. Rather, the communities interpreted the fearsome man-eating leopard as the witches’ preferred form. It does seem, as Marwick (1965) suggests, that witchcraft accusations are indices of social tension and accusing others of witchcraft enables accusers to sever relationships with the accused, using real or imagined episodes. In this case the leopard and the fear of it has remained among the Ejagham generally and has been appropriated as part of the corporate ambience of the Ekpe cult. The Ekpe society is the most renowned traditional institution in Efik history not just because of its spiritual or cultic functions but also for the fact that the institution was a pre-colonial police and judiciary system. The Ekpe was vested with the powers of policing and bringing justice to the Efik kingdom. In a Personal Interview (2011) with Chief Edem Okon, a
long standing initiate of Ekpe, he made it very clear: “In the olden days before the white man came into contact with the Efik people, Ekpe was government. Ekpe was in control of everything. The white man even used Ekpe to organize and push people to attend church services. Nothing was possible in Efik society without Ekpe”. In essence, the Ekpe society was the law before the advent of colonialism and western democracy. Today, however the Ekpe cult is still strong among the Efik. But it has no function within the postcolonial democratic frameworks of governance. Membership is still very strong and masquerading and other cultic performances are very visible in the society.

One of the most prominent paraphernalia of the Ekpe society is the ukara cloth, a fabric that is used by members of the cult. As the official and traditional apparel of the Ekpe society, the ukara is a blue and white fabric inscribed with two dimensional motifs called nsibidi (it is called nsibiri among the Ejagham). While initiates wear the ukara fabric as a wrapper, the cloth may also become a wall hanging of sort in the personal spaces of individual initiates or at a venue for the cult’s activities. Nsibidi motifs also form a good part of the visuality of the Ekpe masquerade’s costume.

While scholars have written bout the Ejagham generally (Thompson 1974, Kubik 1986, Onor 1994, Röschenthaler 1996, and Ojong 2008), the most comprehensive work done about the nsibidi is Amanda Carlson’s Nsibidi, Gender, and Literacy: the Art of the Bakor-Ejagham, Cross River State (2003). Carlson’s extensive fieldwork among the Bakor Ejagham people dealt with funerary sculptures, monoliths, masquerades, body and calabash decorations employing nsibidi motifs in the broader context of sign-use. To Carlson, nsibidi is performance, object and graphic communication. Based on her interactions with producers of ukara cloth in Aro Chukwu (Abia State) and merchants in Calabar who sell the fabric, the author insists that the ukara cloth is both a trade good and a contemporary channel for transmitting nsibidi.

In another light, Carlson underscores the fact that unlike men’s use of it, Ejagham women use nsibidi visual forms without “overt emphasis on secrecy or the mediation of power” (216). As women paint both their bodies and that of ancestral representations like monoliths, they “are actively involved in a discourse that creates meaning in relation to the body, one of the most potent and powerful symbols within Ejagham culture” (217). Thus, as an African writing system, nsibidi, be it on the body, fabric or other cultural spaces “provides a language that is not dependent on verbal communication” as “it allowed for linkages between the numerous peoples of the Cross River region” (217).

Whereas the term nsibidi is popularly known as the visual motifs or writings on Ejagham cultural artifacts like the Ikom monoliths, the ukara cloth and as body decorations among the Efiks, it is also the name of a special team of seven virgin young men (members of the Ekpe society) who are sent to make arrests for serious crimes that usually attract the death penalty. On this trip the nsibidi are masked with multicolour body painting. Pre-outing preparations take 7 days in the forest until they become ‘spiritual’ entities. Only second sons (and never first sons) of initiates are permitted to become nsibidi. A first son must go into hiding when nsibidi is passing, else the nsibidi will literally extract flesh from his body. While on an arrest mission, the nsibidi boys do not talk but hold fresh palm fronds in their mouths and can only make a humming sound. They come topless and wear only a skirt made from palm fronds also. As far as the Efik tradition goes, it is forbidden for women to gaze upon the nsibidi except women that are initiates of the Ekpe (Chief Edem Okon, Personal Interview). At the end of the assignment, the nsibidi must go back into the forest to be debriefed and neutralised before it becomes safe for them to re-enter the society. As a distinguishing feature of the broad Ejagham cultural group spread across Nigeria and Cameroon (Thompson, 1974), the nsibidi motifs inscribed in the ukara textile’s surface function as both ideograms and pictograms (Onor, 1994, Kubik, 1986). In fact, Ojong (2008) has compared the Ejagham nsibidi to the Egyptian hieroglyphics. To the Efik people, the pictographic and ideographic nsibidi is in fact a ‘language’ rather than a mere system of motifs. Chief Edem Okon puts it succinctly:

Whereas the ukara cloth produced today are on white fabric, the olden days types were made on thicker brownish calico. The scripts on the ukara cloth are nsibidi. But nsibidi is not limited to the symbols on the ukara cloth. Nsibidi is more than that. Nsibidi includes a whole range of verbal and non-verbal sign
systems, including body movement, eye language, drawing in the air, or on the floor with the feet and many more. It is with the nsibidi that initiates talk among themselves and with the Ekpe. Right under the nose of non-initiates, an initiate can hold a conversation with the Ekpe using only eye movements. Nsibidi is the language of Ekpe and nsibidi is Ekpe.

Nsibidi sign system is used among initiates of the Ekpe society in Efik land to communicate with one another and with the Ekpe. While individuals may inscribe it as tattoos or on walls at home or the cult’s spaces, the ukara cloth, which is the official apparel of the Ekpe society, is the most prominent surface on which nsibidi is utilized and circulated among the Efik of Calabar. Members of the Ekpe society tie the cloth during the cult’s activities and meetings. Larger versions of the ukara fabric are sometimes hung on one wall of the leopard society’s meeting place as backdrop for ritual and other social occasions to which only initiates are in attendance.

The ukara is dyed only in indigo and nsibidi signs are embedded on the fabric by stitching and tie-dyeing the fabric. After dyeing, the stitches and ties are removed to reveal the white designs that appear against the deep blue background. The production process is essentially a resist dyeing method which, as Boser (1985) notes, may be the oldest method of producing non-woven patterns on dyed fabric. The finished ukara cloth is a patchwork of signs that uniformly cover the surface of the fabric. Besides functioning as a symbol of membership in the Leopard Society the ukara cloth acts as a summary of the Ekpe cult, its social reputation and its principles. There are several nsibidi signs such as leopard, snake, turtle, birds etc that appear on ukara cloths and may signify multiple levels of meaning beyond the representation of the actual subject (see Figures 2 and 3). However, there may be deeper more esoteric meanings associated with some symbols that may only be known to certain category of initiates. According to Elder Etok from Calabar municipality, a member of the cult, ukara cloth serves several functions to the members of the Ekpe society including the following:

1. Ukara cloth is used by Ekpe members of sufficient rank and wealth, and these men are its designers.
2. Most ukara cloths are custom-made for specific individuals or ritual uses. A good many are personalized these days with their owner’s names “written” in one corner.
3. Patterns are drawn from the Ukara cloth by Ekpe society members, incorporating both common Ekpe designs and symbols with personal meanings for the prospective owner. (*Personal Interview, 2011*)

In a Personal Interview with Mr. Nsa Efangha, a native of Nsidung and an initiate of the Ekpe Society, he reveals that while there is a newer form of ukara produced on white cotton fabric, there was an older version that was made of very thick calico (Plates 1 and 2). This older version is difficult to come by these days and is available only in the Ekpe cult’s shrine and other spaces belonging to the confraternity.

Plate 1: An older form of ukara cloth made with calico fabric, which is brownish.

Plate 2: Contemporary ukara cloth made with white cotton fabric. Notice the better clarity and fidelity of lines and forms.
Figure 1: Map loosely indicating the Ejagham territory, from where the Ekpe and nsibidi are thought to diffuse to the Efik who live in Calabar.

Figure 2: Some Nsibidi Symbols from the Ejagham people

<table>
<thead>
<tr>
<th>Nsibidi</th>
<th>Meaning</th>
<th>Nsibidi</th>
<th>Meaning</th>
</tr>
</thead>
<tbody>
<tr>
<td><img src="image1" alt="Symbol" /></td>
<td>Dead friend/relative</td>
<td><img src="image2" alt="Symbol" /></td>
<td>Pregnant woman</td>
</tr>
<tr>
<td><img src="image3" alt="Symbol" /></td>
<td>Captive</td>
<td><img src="image4" alt="Symbol" /></td>
<td>Harlot</td>
</tr>
<tr>
<td><img src="image5" alt="Symbol" /></td>
<td>Stranger</td>
<td><img src="image6" alt="Symbol" /></td>
<td>Snake</td>
</tr>
<tr>
<td><img src="image7" alt="Symbol" /></td>
<td>Sexual intercourse</td>
<td><img src="image8" alt="Symbol" /></td>
<td>Palaver, Court case</td>
</tr>
</tbody>
</table>

Source: Adapted from Carlson 2003.
Figure 3: Some *Nsibidi* Symbols from the Efik people of Calabar

<table>
<thead>
<tr>
<th><em>Nsibidi</em></th>
<th>Names</th>
<th>Meaning</th>
</tr>
</thead>
<tbody>
<tr>
<td><img src="image" alt="Ekpe" /></td>
<td><em>Ekpe</em> (Usime-Ekpe)</td>
<td>Indicating the Ekpe’s strength and potential for anger and violence against anything when provoked.</td>
</tr>
<tr>
<td><img src="image" alt="Uden" /></td>
<td><em>Uden</em></td>
<td>This is a harmless object of peace. It goes around pecking at food.</td>
</tr>
<tr>
<td><img src="image" alt="Ubok" /></td>
<td><em>Ubok</em></td>
<td>This outspread palm is a representation of the pioneers of the Ekpe society, as well as departed prominent members. It is for remembering important personages such as King James Eyo Honesty from Creek Town.</td>
</tr>
<tr>
<td><img src="image" alt="Nkongho Inua Akpa" /></td>
<td><em>Nkongho Inua Akpa</em> (Crab)</td>
<td>This crustacean stays in the river and only comes out when the river is calm. It reflects the Ekpe’s ability to adapt to its environment, and to be calm and peaceful, in response to the immediate environment.</td>
</tr>
<tr>
<td><img src="image" alt="Okposong Eto" /></td>
<td><em>Okposong Eto</em></td>
<td>The Efik being a riverside people, the fish is a prominent symbol. The image indicates four fishes coming to the centre from the proverbial 4 corners of the earth. It shows Ekpe’s centrality in the affairs of man.</td>
</tr>
<tr>
<td><img src="image" alt="Ufok Ekpe" /></td>
<td><em>Ufok Ekpe</em> (Ekpe’s house)</td>
<td>This set of concentric rectangles represents the inner house of the Ekpe, which initiates are under oath not to reveal.</td>
</tr>
</tbody>
</table>

5. Results

Figure 2 shows some *nsibidi* symbols identified by Carlson (2003) among the Ejagham people, while Figure 3 shows that from the Efik of Calabar. In Figure 2 the images are a lot simpler, and made up of lines in an alphabetic sort of way. In Figure 3, however, the images are much more developed, in a pictographic way. Whereas the Ejagham symbols are grossly abstracted, restricting understanding to the “enlightened” or initiates, those of the Efik are much less so, providing easier insights into the meanings of the symbols for
everyday people. However, there are also highly complex nsibidi signs known only to initiates. While Efik nsibidi is generally visually elaborate, those from the Ejagham are very simplified forms. The meaning of the symbols also contributes to the differential in both forms of nsibidi. The Ejagham versions are straight meanings representing a word or phrase (Figure 2). In contrast, however, the nsibidi of the Efik of Calabar have elaborate and narrative meanings (Figure 2). On another note, most of the Efik nsibidi are reproduced in indigo colour, while the Ejagham versions are often represented in neat, black lines. Thus, in terms of scripting or reproduction, the Ejagham nsibidi may be faster, as against most of the Efik versions that need more creative efforts in drawing and colour application.

6. Conclusion

If, as literature suggests, the Ekpe and its cultural nuances like the nsibidi writing system evolved from the Ejagham and diffused elsewhere to neighboring peoples like the Efik of Calabar, then data from this study seems to support the view. For, the Efik of Calabar are a much smaller culture residing south of Ejagham territory, making it most probable for the Ekpe and nsibidi to diffuse through processes like inter-marriages, migrations, trade and cultural cooperation generally. However, whereas the nsibidi may have diffused from the Ejagham to the Efik of Calabar, Figures 2 and 3 suggest that nsibidi tradition has not been static but has adapted to historical circumstances of the newer culture. As the differences in visual representation, style of rendering and development of meaning in Figures 2 and 3 show, nsibidi can and does change meaning as it adapts to new cultural contexts. Therefore, it is evident that the transmission from the Ejagham culture to that of the Efik has brought on adaptations and changes in the meaning of nsibidi. Through its use in the design of the ukara fabric of the Ekpe society, nsibidi has maintained its relevance among the Efik for many centuries because of its ability to adapt to new social and cultural situations, while remaining true to its original identity.

References

The Usage of Information and Communication Technology in Nigeria Primary Schools: Problems and Prospects

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Abstract: The paper investigated the usage of Information and Communication Technology (ICT) in Osun State Primary Schools. Questionnaires were administered to 100 primary school teachers. The questionnaires were designed to find out the roles of ICT in teaching and learning and problems associated with its usage in the primary schools. Results showed that majority of the primary school teachers in Osun State lack the basic skills required for the usage of computer. In addition, the teachers support the implementation of ICT in the primary schools. The results also revealed that the ICT is facing with problems in Osun State Primary Schools.

Key Words: Primary schools, skills, impact.

1. Introduction

Information Technology (IT) is conceived with the use of technology in managing and processing of information. In particular, Information Technology deals with the use of electronic computers and computer software to convert, store, protect, process, transmit and retrieve information. However, The Oxford Advanced Learner’s Dictionary defines information as facts or details about something or somebody. Chambers compact Dictionary defined information as knowledge gained or given. Technology has been defined as scientific knowledge used in practical ways in the industry. Cambridge international Dictionary of English defined technology as the study and knowledge of the practical use of scientific discoveries. The above definitions show that there is a close relationship between “information” and technology. Communication on its own part is an indispensable tool in all human Endeavour’s and it has been defined by Akanbi (1988) as the process of transmitting and exchanging ideas, knowledge, information and skills through symbol, writing to create mutual understanding between the communicator and the communicate. Adekomi (2004) also defined communication as the flow of information from a source to the receiver. Thus, information communication Technology is concerned with the transfer of information through scientific means. Information technology was formally integrated into the school curriculum when the national curriculum was first devised in United Kingdom (Forman 1987). It was quickly realized that the work covered was useful in all subjects. With the arrival of internet and the broadband connections to all schools, the application of information technology knowledge, skills and understanding in all subjects became a reality. According to Pringiles (2002) this change in emphasis has resulted in a change of name from Information Technology to Information and Communication Technology (ICT). ICT in education can be understood as the application of digital equipment to all aspects of teaching and learning Winglet (2002). The growth of use of ICT and its tools in the field of education has seen tremendous growth in the recent past; technology has
entered the classroom in a big way to become part of the teaching and learning process. According to Carison, (1995), the roles of ICT in teaching and learning process cannot be underestimated. He therefore summarized the roles thus:
(a) It makes education more child-centered by providing many alternative paths with a variety of resources so that learning can take place in accordant to the learner’s study performance.
(b) It makes learning more immediate by bridging the gap between the worlds inside and outside, the classrooms by means of the experience that educational resource materials can provide.
(c) It supplements the teacher through enhancing his effectiveness in the classroom.
(d) It checks the provision of limited facilities like classroom, study halls, and library for learners.
(e) It provides learning guidance through individualized learning study package system thus removing the much dependence on teachers for learning their own without coming in contact with the teacher.

The objective of this paper therefore is to address the usage of ICTs in relation to primary education and relate it to sustainable development of education in Nigeria and Osun State in particular. In addition, to examine the problems and prospects associated with the usage of ICT in Osun State primary schools and to find out the effectiveness of ICT on Osun State Primary school education.

2. Research Questions

For this study, the following research questions were put forward.
(i) How often is computer being used in teaching and learning in your school?
(ii) Are there problems with implementing the use of computer as a medium for effective teaching in Nigeria primary schools?
(iii) What are the factors that may hinder the implementation of the usage of computer in primary schools?
(iv) Can other aspects of information Technology like slide, clip art, etc be used apart from computer in the primary school?

3. Methodology

(i) Subjects.
The sample for the study consisted of one hundred primary school teachers. 20 teachers each were randomly selected from 5 primary schools making up One hundred (100) teachers altogether. The schools were all from Ife Central Local Government Area of Osun State, Nigeria.
(ii) Instrumentation
The instrument used for this study was questionnaire. The questionnaire was all about the usage of Information and Communication Technology (ICT) in Osun State primary schools. The questionnaire was divided into three sections. Section A focused on obtaining information on age, sex, position and years of service.
Section B focused on finding out the usage of Information Communication and Technology in primary school while section C was about the problems encountered while using computer.
100 copies of questionnaire were administered on the teachers. The validation of the instrument was established by applying content sampling technique.
(iii) Treatment
One hundred copies of questionnaire were administered to the teachers by the researcher. The respondents reacted to the items of the questionnaire as either Yes or No. The responses of the teachers were analyzed and converted to simple percentage.
(iv) Results
Research Question 1: How often is computer being used in your school?
Table 1: Presents results on the first research question

<table>
<thead>
<tr>
<th>S/N</th>
<th>ITEMS</th>
<th>YES</th>
<th>%</th>
<th>NO</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Do you use computer in your school as complement to chalking and talking?</td>
<td>68</td>
<td>68%</td>
<td>32</td>
<td>32%</td>
</tr>
<tr>
<td>2</td>
<td>Is computer being used in teaching and learning in primary school?</td>
<td>72</td>
<td>72%</td>
<td>28</td>
<td>28%</td>
</tr>
<tr>
<td>3</td>
<td>Do you agree with the introduction of computer into primary school curriculum?</td>
<td>100</td>
<td>100%</td>
<td>-</td>
<td>-</td>
</tr>
</tbody>
</table>

Table 1 above showed that 68% of the respondents used computer in their school while 32% do not use computer in their school. It is also indicated that 72% of the respondents agreed that computer is used for teaching and learning in their schools while 28 which represents 28% of the respondents do not use computer for teaching and learning in their schools.

Lastly, 100% of the teachers agreed with the introduction of computer into the primary schools curriculum. From the above result, it is clear that computer package is not being used by majority of the teachers. Even though a very large number of them support the introduction into the school curriculum.

Research Question 2: Are there problems with the implementing the usage of computer as a medium for effective teaching in primary schools?

Table 2. Presents results on the second research question

<table>
<thead>
<tr>
<th>S/N</th>
<th>ITEMS</th>
<th>YES</th>
<th>%</th>
<th>NO</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Are there problems with implementing of usage of computer as a medium for effective teaching?</td>
<td>89</td>
<td>89%</td>
<td>11</td>
<td>11%</td>
</tr>
</tbody>
</table>

From the table 2 above, 89 teachers which represent 89% of the respondents agreed that there are problems while 11 teachers that is 20% disagreed that there were no problems in the implementation. This result is in line with Bada and Bamidele (2005) who were of the opinion that computer education is faced by a lot of problems in Osun State.

Research Question 3: What are the factors that may hinder the implementation of the usage of computer as a medium for effective teaching?

The factors are itemized below and the responses to choice were graded as agree, strongly agree, undecided, disagree and strongly disagree.

Table 3: Presents results on the third research question

<table>
<thead>
<tr>
<th>S/N</th>
<th>FACTORS</th>
<th>A</th>
<th>%</th>
<th>SA</th>
<th>%</th>
<th>U</th>
<th>%</th>
<th>D</th>
<th>%</th>
<th>SD</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Power Failure</td>
<td>78</td>
<td>78%</td>
<td>22</td>
<td>22%</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>2</td>
<td>Disturbance from friends</td>
<td>66</td>
<td>66%</td>
<td>-</td>
<td>-</td>
<td>10</td>
<td>10%</td>
<td>24</td>
<td>24%</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>3</td>
<td>Lack of computer skills by teachers</td>
<td>66</td>
<td>66%</td>
<td>34</td>
<td>34%</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>Lack of Funds</td>
<td>85</td>
<td>85%</td>
<td>10</td>
<td>10%</td>
<td>5</td>
<td>5%</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Lack of information about the use/impact it may have on teaching and learning.</td>
<td>62</td>
<td>62%</td>
<td>38</td>
<td>38%</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
The above table reveals that there are lots of problems with implementation of computer usage as a medium for effective teaching in primary schools. The implication of the above results is that the above listed factors would have contributed to non-effective and utilization of computer in Osun-State primary schools. Although the teachers agreed that the package is available in their schools in addition they support the introduction of computer usage into the school curriculum.

Research Question 4: Can other areas of Information Technology like slides, clip arts etc be used in primary schools apart from the usage of computer?

Table 4. Presents results on the fourth research question

<table>
<thead>
<tr>
<th>Respondents</th>
<th>Number of Respondents</th>
<th>Percentages</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>85</td>
<td>85%</td>
</tr>
<tr>
<td>No</td>
<td>15</td>
<td>15%</td>
</tr>
<tr>
<td>Total</td>
<td>100</td>
<td>100%</td>
</tr>
</tbody>
</table>

The table 4 above shows that 85% of the teachers agreed that other areas of information technology like slide, videos, clip art can be used in primary school apart from the use of computer while 15% disagreed.

4. Discussion

From the results obtained, it may be inferred that computer package is not being used by majority of the teacher in Osun State primary school even though a large number of teachers support the introduction of computer usage into the Primary schools' curriculum. It is also revealed that there are factors that have hindered the effective utilization of computer in Nigeria primary schools even though some of these schools have the package. Some of these factors include among others constant power failure, lack of funds, lack of computer skills on the part of teachers, and lack of information about the impact of ICT on teaching and learning.

5. Conclusion

The conclusion of this study based on the finding is that there is no doubt that teachers in primary schools in Osun State have incredible resources available if they have access to the internet. By integrating information and communication technology into primary school curriculum a fundamental shift in the way teacher teaches and students learn will evolve. However, to integrate computer into teaching and learning in primary school in Osun State, there must be proper and adequate funding of education. Nigeria and Osun state in particular need to invest heavily on the internet business by creating enable environment for primary school students to participate in downloading available and useful knowledge on internet.

Finally, constant training in form of seminars, lectures and workshops should be organized for the teachers to enhance their efficiency in the use of ICT.

References

Community Parenting and the Concept of Child Abuse in Yoruba Culture

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Abstract: The study investigated whether or not child abuse existed in the traditional Yoruba culture. The population consisted of all the secondary students and their parents in Ile-Ife metropolis. Purposive random techniques was employed in selecting 241 male and 259 female that made up of three sets of people (non-literate parents, literate parents and students) which comprises of 66 males and 84 females non-literate parents and 75 males and 75 females literate parents as well as 100 males and 100 females students that were selected from 10 secondary schools in Ile-Ife using purposive sampling technique. A questionnaire titled “Parenting and Child Abuse Questionnaire” (PCAQ) was developed by the investigator to elicit information from both students and parents on the issue related to child abuse. The non-literate parents that could not read the questionnaire were made to respond as the investigator read in native language. The questionnaire was validated before use and the reliability coefficient yielded 0.85 which is significant at 0.05 level of significance. Data were analysed statistically using percentages. Findings showed students do not see the type of training giving to them in the traditional setting as child abuse. Non-literate parents do not see fostering children as child abuse. Also the literate parents see child abuse as a fruit of western civilization. The paper concluded that child abuse should be examined within the context of culture. Practices with cultural undertones should not be condemned.

1. Introduction

Culture according to Akinjogbin (2002) consists of all the items in the life of a group of a human beings which make them feel belong to one another and distinct from any other group around them. It comprises of their social system, economic system, their dresses and so on. It is therefore necessary to look at what parenting in traditional Yoruba cultural practice entails before justice could be done to the issue of child abuse in Yoruba culture.

Africans especially Yoruba are gregarious hence they dwell in a collection of apartments for individual families. This is known as “Agbo-ilé” (compounds). These families may be monogamous or polygynous. This is the smallest social unit, known as “Ebí” (relations). Akinjogbin (2002) asserts that the concept of “Ebí” does not stop at only a man and his wife or wives and children but extended to anybody with whom one could trace his affinity by blood to. Whether a family is monogamous or polygynous, the husband, wife or wives and children live under the same roof.

The peaceful co-existence within the “Ebí” sees the husband as the “Baálé”, the first wife as the “Ìyáálé” while the second wife is the “Ìyàwó” The position of the second wife is not static; it will change as soon as her husband marries another wife. She then becomes “Ìyáálé” and the new wife is called “Ìyàwó”. This arrangement follows the principle of first come first serve otherwise known as the principle or concept of “Àgbà” (elder). Within the extended family, the oldest wife is the overall “Ìyáálé” who had authority over all other wives and children in the families.

In African setting especially among the Yoruba, the “Ìyáálé” takes charge of all the children and ate with them from the same plate. It was generally believed that “Ã kíí fómo kémo”, “that is, people do not pamper their child at the expense of other children”. Therefore, whatever power or authority wielded over any child by the “Ìyáálé” is never questioned or queried, not even the mother of the child. It is believed that all the children belong to her hence equal treatment is given to them all. Apart from blood relations, slaves are also acquired and live under the same roof with their masters. A person either male or female may be enslaved.
due to debt, crime, capture in battle or in conquered towns, capture in raids, kidnapping for sale, being born by slave parents and self-condemnation.

With this background in our mind, parenting in African setting, Yoruba land in particular, is the concern of everybody in the family. If any of the wives resents criticism and kindly correction, people will ignore her and her children. This is disastrous because the training due to her children will not be given. In fact, Fadipe,(1970) confirms that such a woman asserts her independence at the price of foregoing the assistance, the cooperation and even the protection of the member of the “Ebi” except in critical situations.

2. Concept of Child Rearing in Yoruba Culture

According to McGehee (1984), discovering and becoming concerned with behaviours termed abusive of children is a function of how people understand the nature of children in the parent-child relationship, the goals and values of the society and the condition under which that society has to live. The African people especially the Yoruba, have their own views about existence, social arrangements, political values and judgements within the context of which their actions are taken. Therefore, the kind of education given to the children in Yoruba culture is an immediate induction into the social and a preparation for adulthood. This showed that African education emphasizes social responsibility, job orientation, political participation, spiritual and moral values (Fagunwa, 1974). Yoruba tradition stresses that parents are the first teacher of their children, instructing them in the proper way of relating to their elders and people of the same age group.

A young child is expected to obey the orders of his elders as soon as he/she is past the infant stage. There is the practice of handling of whip to the older and instructing him/her to use it on his/her junior whenever the latter first becomes offensive and insubordinate towards him/her to instil the lesson of respect and obedience into the heart of a rebellious junior (Fadipe, 1974). In the communal atmosphere of the traditional family, parents of children who behave in approved ways are equally approved as successful. In the same vein parents whose children misbehave are shamed and advised to put their houses in order (Babatunde, 1992).

Parents as the primary agents in the socialization of children make and enforce rules in the home and made clear to the children. Children are expected to behave in conformity with these rules. Hence children are punished appropriately if the rules are violated (Owolabi, 1999). The most usual form of punishment was flogging accompanied by a severe warning against recurrence. A recurrence of the offence was sometimes punished by flogging and rubbing of ground pepper into the weals left by the flogging. In some community according to Fadipe (1970), such a child had the back of his/her hand slashed with a knife after which pepper was rubbed into the wound.

Also, Adewale (1986) confirmed that parents in Yoruba tradition brought up their children ethically and in the knowledge of God. Children are therefore made to believe in reward and punishment potency of blessing and the efficacy of curses of spiritual beings. It then becomes the duty of adults in the society to take that child and create out of him/her a useful social being. The kind of person a child would be is determined by adults’ interest and goals especially by parents and other adults in the family and the community.

It is a fact that the well-being of today’s children is inseparable from the peace, progress and prosperity of tomorrow’s world. It is therefore imperative that children be nurtured in an environmentally sustainable pattern to promote national and global peace and progress as well as the image of their family. Hence parents strive to train their children to become good ambassadors of their family wherever they find themselves. An age-long injunction says “Train a child in the way he should go and when he is old, he will not depart from it” (proverbs 22:6). Parenting in African context is autocracy, not democracy especially during the formative years of a child (Owolabi, 1999).
3. Parenting and Yoruba Culture

Parents are the primary agents in the socialization of children. Hence the importance of guidance and counseling from parents to children cannot be overemphasized. As the child grows into adulthood, which involved the total attempt to adjust to new socio-psychological condition, absence of adequate guidance and counseling could be disastrous. Inappropriate counseling could lead to fatal destruction of a child’s life that no one could be able to rectify again. In a general sense, one could say that since charity begins at home, home sets the pattern for the attitude of children towards people, things and instructions. The Yoruba have great overall principles of how to raise their children. These principles include the child having someone he/she sees as enforcer (onìbèrù), emphasize on respect for elders, the belief that it takes a village to raise a child and the importance of education. In training the children, the Yoruba want their children to be upright, honest, kind and helpful to others (Awodele, 2006). The saying, ‘spare the rod and spoil the child’, is very much relative in Yoruba culture. Parents prefer to remain childless rather than have children who will bring shame and dishonor to the family. Hence, severe physical punishments e.g. spanking is generally mated out to young offenders in the hope that it will serve as a deterrent to others. According to Babatunde (1992, 91), the flogging/spanking is seen as an act of kindness aimed at preventing the child from becoming a difficult person, or at protecting them from true danger. This attitude is expressed in the proverb, “omọ ọ gbọn à ní kó mà kú ú, kí ní n pa omọ bi kò se agó”. (When the child behaves foolishly, one prays that he may not die; what kills more quickly than foolishness?). Parenting in Yoruba culture also includes parents deliberately putting temptation in the way of the child to test honesty, perseverance and truthfulness to mention but a few. If any child falls into the trap, severe punishment is meted out to him/her. These type of training given to children they belief was functional and relevant to the needs of their society.

Parents especially the father pursues that desire with single-mindedness that his own father or grandfather married several wives who will produce many children to help him out at the farm. Hence, a farmer’s sons from the age of six up to marriage assist their father in productive operations on the farm; girls on the other hand assist their mothers at whatever occupation they do (Fadipe, 1970). This is to stimulate them to industry. In fact a father allots a small part to a son while he is still young to work on during his spare time. It is after a son is married that his father allots him sufficient land for the needs of his own family.

For effective training, parents always apprenticed their children to the relatives, friends or competent craftsmen or mistress, if girls, to learn one form of trade or another since they are not free to choose trade on their own. The psychological reasons for sending children to be trained by other hands are: (i) to avoid sentiment in the training of the children (ii) to employ sterner measures to make the children more serious on their job (Fafunwa 1974). It was observed that those children who are trained by other people different from their parents did better and it was therefore regarded as the most successful form of education. In Yoruba culture, children remind parents of their lost opportunities. Hence, they see in their children the chance to relive their lives by ensuring that their children better their achievement (Obiagwu, 1997).

Problem of unemployment did not arise in Yoruba land. This is because there was no question of existence without means of subsistence. Practically everyone was engaged in agriculture. Even craftsmen, who were first and foremost townspeople, had farms tended by slaves, peons and their sons as well. The Yoruba were not left out of the western civilization. They send their children to school and when they come back they run errand for their parents. It is not easy to dissociate completely from one’s culture. Children were never regarded as parents’ mere properties in Yoruba culture as Fawole (2003) pointed out, but they are cherished and given the best of training that could make them functional themselves and in the society at large. This study was therefore designed to examine the concept of child abuse within the context of Yoruba culture.
4. Purpose of the Study

The purpose of this study is to examine whether or not there is child abuse in the traditional Yoruba culture.

5. Research Questions

1. Did students believe that child abuse exist in the type of training given to children in the traditional Yoruba setting?
2. Did non-literate parents believe that sending out children for apprenticeship in traditional Yoruba setting connotes child abuse?
3. Did the literate parents believe that child abuse is a fruit of western civilization?

6. Methodology

The population consisted of all the secondary students and their parents in Ile-Ife metropolis. Purposive random techniques was employed in selecting 241 male and 259 female that made up of three sets of people (non-literate parents, literate parents and students) which comprises of 66 males and 84 females non-literate parents and 75 males and 75 females literate parents as well as 100 males and 100 females students that were selected from 10 secondary schools in Ile-Ife. A questionnaire titled “Parenting and Child Abuse Questionnaire” (PCAQ) was developed by the investigator to elicit information from both students and parents on the issue related to child abuse. The non-literate parents that could not read the questionnaire were made to respond as the investigator read in native language. The questionnaire was pre-tested for validity using a random sample of 20 non-literate people from Sekona market in Osun State, 15 students from Ife Oluwa Girls Grammar School, Osogbo and 20 literate people from Federal Polytechnic Ede. The test retest reliability co-efficient was 0.85 which is significant at 0.05 level of significance. Data were collected, analyzed and findings reported in percentages as reflected in tables below:

Table 1. Educational Background of the Respondents

<table>
<thead>
<tr>
<th>Items</th>
<th>Male</th>
<th></th>
<th>Female</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>No</td>
<td>%</td>
<td>No</td>
<td>%</td>
</tr>
<tr>
<td>Non-literate</td>
<td>66</td>
<td>44</td>
<td>84</td>
<td>56</td>
</tr>
<tr>
<td>Literate</td>
<td>75</td>
<td>50</td>
<td>75</td>
<td>50</td>
</tr>
<tr>
<td>Students</td>
<td>100</td>
<td>50</td>
<td>100</td>
<td>50</td>
</tr>
</tbody>
</table>

7. Results and Discussion

The following were the results of the data analyzed.

7.1 Research Questions 1

Did students believe that child abuse exist in the type of training given to children in the traditional Yoruba setting?
Table 2. Students view on Child Abuse in Yoruba Culture

<table>
<thead>
<tr>
<th>S/N</th>
<th>ITEMS</th>
<th>Yes</th>
<th>%</th>
<th>No</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Do you hawk for your parents?</td>
<td>160</td>
<td>80</td>
<td>40</td>
<td>20</td>
</tr>
<tr>
<td>2.</td>
<td>Do you hawk in order to sustain the family?</td>
<td>60</td>
<td>30</td>
<td>140</td>
<td>70</td>
</tr>
<tr>
<td>3.</td>
<td>Do your parents provide for your needs?</td>
<td>180</td>
<td>90</td>
<td>20</td>
<td>10</td>
</tr>
<tr>
<td>4.</td>
<td>Do you leave school for hawking?</td>
<td>10</td>
<td>5</td>
<td>190</td>
<td>95</td>
</tr>
<tr>
<td>5.</td>
<td>Are you sent to hawk by your parents out of hatred?</td>
<td>-</td>
<td>-</td>
<td>200</td>
<td>100</td>
</tr>
<tr>
<td>6.</td>
<td>Is running errand for your parents’ child abuse?</td>
<td>-</td>
<td>-</td>
<td>200</td>
<td>100</td>
</tr>
<tr>
<td>7.</td>
<td>Do you suffer any injury for running errand for your parents?</td>
<td>-</td>
<td>-</td>
<td>200</td>
<td>100</td>
</tr>
<tr>
<td>8.</td>
<td>Is learning a trade in pre-colonial period child abuse?</td>
<td>-</td>
<td>-</td>
<td>200</td>
<td>100</td>
</tr>
</tbody>
</table>

Table 2 shows that majority of the respondent 80% confirmed that they hawk for their parents while, 20% of them responded negatively. For item 2, a large number 70% of the respondents revealed that they hawk as a way of training them to be responsible. Only 30% said they hawk to sustain the family. It was revealed that parents provide the needs of about 90% of the respondents while the needs of only 10% were not met. Majority of the respondents (95%) confirmed that they did not leave school for hawking while only 5% responded otherwise. All the respondents (100%) revealed that they were not sent out to hawk out of hatred; they did not see running errands for their parents as child abuse; they did not suffer any injury whether they run errands or not for their parents and that learning a full time trade in pre-colonial era was not a child abuse. From the above, it could be concluded that students did not believe that child abuse exists in Yoruba culture.

7.2 Research Questions 2

Did non-literate parents believe that sending out children for apprenticeship in traditional Yoruba setting connotes child abuse?

Table 3. Views of non-Literate Parents on Child Abuse

<table>
<thead>
<tr>
<th>S/N</th>
<th>ITEMS</th>
<th>Yes</th>
<th>%</th>
<th>No</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Sending children to hawk in traditional Yoruba setting is not child abuse</td>
<td>140</td>
<td>93</td>
<td>10</td>
<td>7</td>
</tr>
<tr>
<td>2.</td>
<td>Parents do not send their children for apprenticeship out of cruelty?</td>
<td>120</td>
<td>80</td>
<td>130</td>
<td>20</td>
</tr>
<tr>
<td>3.</td>
<td>Parents leave their responsibilities for their children to bear in Yoruba culture</td>
<td>150</td>
<td>100</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.</td>
<td>Parents spank or cane their young children out of cruelty?</td>
<td>120</td>
<td>14</td>
<td>130</td>
<td>86</td>
</tr>
<tr>
<td>5.</td>
<td>Is sending children out for apprenticeship normal in Yoruba tradition?</td>
<td>145</td>
<td>97</td>
<td>5</td>
<td>3</td>
</tr>
<tr>
<td>6.</td>
<td>Parent inflict bodily injury on their children for not running errand</td>
<td>50</td>
<td>33</td>
<td>100</td>
<td>67</td>
</tr>
<tr>
<td>7.</td>
<td>Parents send their children for apprenticeship to boost the family’s economy?</td>
<td>5</td>
<td>3</td>
<td>145</td>
<td>97</td>
</tr>
<tr>
<td>8.</td>
<td>The training given to children in Yoruba culture does not mount to child abuse.</td>
<td>130</td>
<td>86</td>
<td>20</td>
<td>14</td>
</tr>
</tbody>
</table>

Table 3 reveals that majority (93%) of the respondents confirmed that sending children to hawk is not child abuse in the traditional Yoruba setting. They also said that they did not inflict bodily injury on their children...
and also that they did not send their children to learn a trade in order to boost family’s economy. In fact all the respondents agreed that they did not leave their responsibilities to their children.

Based on this finding, it could be concluded that the non-literate parents do not see sending out children for apprenticeship with other people in the traditional Yoruba setting as child abuse.

7.3 Research Question 3

Did the literate parents believe that child abuse is the fruit of western civilization?

Table 4. views of literate parents on child abuse in yoruba culture

<table>
<thead>
<tr>
<th>S/N</th>
<th>ITEMS</th>
<th>Yes</th>
<th>%</th>
<th>No</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Taking male children to work on their fathers’ farm in Yoruba setting is child abuse?</td>
<td>20</td>
<td>14</td>
<td>130</td>
<td>86</td>
</tr>
<tr>
<td>2.</td>
<td>Is there any difference in the cultural settings of the Yoruba people and that of the western people?</td>
<td>150</td>
<td>100</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>3.</td>
<td>Unemployment that causes child abuse today exists in Yoruba culture?</td>
<td>50</td>
<td>33</td>
<td>100</td>
<td>67</td>
</tr>
<tr>
<td>4.</td>
<td>Does the traditional Yoruba culture allow the type of freedom children have today?</td>
<td>120</td>
<td>80</td>
<td>30</td>
<td>20</td>
</tr>
<tr>
<td>5.</td>
<td>Children in the Yoruba traditional set up are morally sound than children of today?</td>
<td>135</td>
<td>90</td>
<td>5</td>
<td>10</td>
</tr>
<tr>
<td>6.</td>
<td>Do we enjoy the type of peaceful society we have today in the traditional Yoruba culture?</td>
<td>125</td>
<td>83</td>
<td>25</td>
<td>17</td>
</tr>
<tr>
<td>7.</td>
<td>Do you think western civilization brings child abuse to Yoruba culture</td>
<td>130</td>
<td>86</td>
<td>20</td>
<td>14</td>
</tr>
</tbody>
</table>

As shown in table 4, majority of the respondents 86% affirmed that taking children to work on the fathers’ farms in Yoruba setting was not child abuse. All the respondents agreed to differences in Yoruba and western cultures. 86% of the respondents confirmed that western civilization brought the wave of child abuse into Yoruba culture. 90% of the respondents affirmed that children in the traditional Yoruba setting were as morally sound as children of today.

Based on these findings, it was concluded that literate parents were of the opinion that western civilization brought child abuse to Yoruba culture.

8. Discussion

The results of the study showed that the students did not believe that child abuse existed in Yoruba culture, considering the type of training given to them. According to McGehee (1984) ways by which children may be raised are legion. In spite of the fact that children are not always raised or trained in the same way does not make them vagabonds. In fact, countless number of children grows up every day and become productive members of the society.

The findings of research question two shows that non-literate parents do not see the practice of sending out children to another person for apprenticeship as a form of child abuse. This finding corroborated the assertion of LeVine & LeVine (1981) that fostering children with other families facilitate training the child for family economic roles and also developing a sense of responsibility. This finding also debunked the submission of Fawole (2003) that children were sent to other members of the extended family to face hardship.

Research question three indicates that the literate parents believed that child abuse is one of the fruits of western civilization. To support this view, Fraser & Kilbride, (1980); Haditono, (1981); and Okeahialam (1984)
confirmed that child abuse pointed to the consequences of the disruption and decline of the family in the face of modernization, urbanization and industrialization.

9. Conclusion

The issue of child abuse borders on the method by which a child is to be socialized. The question of how children should be raised becomes imperative. According to Kobrin, (1981), three levels of considerations are suggested. They are (1) practices which are viewed by one culture as abusive and by another as acceptable; (2) detrimental environmental and economic conditions not related to cultural practices and (3) idiosyncratic abuse which falls outside all social definitions to understand child rearing as opposed to child abuse, there should be a distinction between seeing an act from participants point of view and the broader trans-societal point of view.

An adage says, one man’s meat is another man’s poison. Some practices that reflect cultural value may be harmful in another culture, for example a Nigerian father resident in the United States might be afraid to cane his child for the child can phone the police or relevant authorities to complain of being abused. But here in Yoruba land, the police will wave it off by saying that the father is teaching the boy a lesson so as to behave well in future. Child abuse should be examined within the context of cultures. Several works on child abuse like (Fawole, 2003; Kempe, Shierman, Steele, Droje, & Silva (1962; Keep Kid Healthy, (1999)) have contributed in no small measure in bringing to lime light many important facts regarding the African perception of child rearing. Moreover, the centre piece of these scholarly writings in many instances is totally out of harmony with the African reality of child rearing as it has been subjected to Eurocentric interpretations (Moloye, 1999). Punishing a child mildly in an honest way sets him/her on the right path. This is part of Yoruba culture which should not be misunderstood by people from other cultures.

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Women in Military in India: The Cry for Parity

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Abstract: Gunnar Myrdal in his “Asian Drama” argued that the traditional societies cannot modernize themselves, unless they recast their traditional institutions, beliefs and values, to suit the demands of development. But, India has proved that it is not necessarily true, particularly, in the restructuring of gender relations in the workplace. Women have proved their worth, not to the exclusion of their male counterparts. But, Indian women have distinguished themselves by working shoulder to shoulder with men. Yet, the women made their own mark and proved a cut above the rest in so many areas of performance. The Indian State has also supported them. In the final document of the Vienna Conference, States formally recognized the human rights of women to be an integral, inalienable and indivisible part of universal human rights. They further demanded that the equal status of women and the human rights of women…be integrated into the mainstream of….the United Nations human rights activities.

The World Bank had observed that empowerment stands for expansion of assets and capacities of the marginalized groups, especially women, to participate and control institutions, regulating their life. There are four elements in this process, namely, a) access to information, b) inclusion and participation, c) accountability and d) networking with other social groups, to mount pressure on power. Empowerment implies providing freedom of choice, voice and the public space, so that the women can develop their latent talent. Women in the workplace require room for ventilating their merit and occupying spaces on that basis.

Indian Constitution has protected rights of Indian women along with the male counterpart. Article 14 in the Indian Constitution ensures equality in political, economic and social spheres. Article 16 provides for equality of opportunities in matters of public appointment for all citizens. Article 15 prohibits discrimination against any citizen on the grounds of religion, race, caste, sex etc. Article 15 (3) of the Indian Constitution allows the State to make any special provision for women and children. Wife bashing is a favorite sport in India. Women are subject to physical and mental torture by their husbands and their families. Article 39(a) mentions that the State will direct its policies towards securing all citizens, men and women, the right to means of livelihood while Article 39 (c) ensures equal pay for equal work. Article 42 directs the State to ensure just and humane working conditions. The constitution imposes a fundamental duty on every citizen through Article 15 (A) (e) to renounce practices derogatory to the dignity of women. Another law that protects women against a seemingly milder crime is Section 509 of the IPC. This law punishes individuals who have insulted the modesty of a woman. Offensive language, sounds, gestures and intrusion of a woman's privacy are punishable under this law. Outraging the modesty of a woman is also punishable under Section 354 of the IPC. Under this law, an individual who has assaulted a woman, used criminal force on her or outraged her modesty in any other way can be punished with imprisonment of up to 2 years. Laws such as the Immoral Traffic (Prevention) Act, Sati Prevention Act, Dowry Prohibition Act and Indecent Representation of Women (Prevention) Act protect women from the more "traditional" crimes such as rape, abduction, dowry, torture, molestation, sexual harassment and selling of girls into slavery.2

Traditionally, Indian women had a dependency syndrome. (Seth 2001) They had to depend on male members of the family from birth to death. He could be the father, husband or son at each stage of her life. Women have always been misled by the imposed ideal of womanhood.(Devi 1995) The patriarchal society and the system forced her to believe that she had no place in the world of work, outside her home. Man was
the maker of that world. The woman’s duty was to make a home for him. The woman should never think of her own identity, independence or ambitions. In the traditional Indian society, the success of a man is expected to be celebrated by his wife, as her own success. However, very rarely, Indian men can appreciate the success of his wife, especially when her progress is more than his own. (Bhattacharyya 2010)

However, Indian women have proved that they can be manifestations of will power, grace, dedication, hard work, brilliance. They raise their bar and break untouched barriers. Innate intelligence and quickness of judgment have been instrumental not only at critical points in their career paths but in day-to-day business life. Closely, involved with this is the capacity for making rapid decisions based on further qualities of knowledge and experience, the ability to communicate, and the talent for persuasion and the ability to win the cooperation, loyalty and trust of colleagues, employees and clients. (Menon 1998)

Women in India have proved to be successful in all fields. They have contributed in the freedom struggle. During the struggle, both men and women took active part in it. Without the support of the men-folk, India's men would not have been successful in their attempt of freeing the country from the chains of bondage. Women who are mentally robust, physically fit and highly motivated resent preferential treatment being meted out to them. They want to be treated at par with their male colleagues so that they get a fair opportunity to prove their worth. They do not want to be treated as weaklings as it offends their sensitivities and self-respect.

In the Indian National Army, the contribution of Dr Lakshmi Sahgal in the Indian National Army has been applauded by all. She led around 1000 women soldiers recruited for the Rani of Jhansi regiment, against the British Raj.

Indian Experience After Independence Regarding Women in the Armed Forces

In India, entry of women into the armed forces was limited to the Army Medical Corps, the Army Dental Corps and the Military Nursing Service. It was in early 1990s that a decision was taken to induct them into the non-combat wings of the armed forces as short-service commissioned service officers. The maximum period of recruitment is 14 years. They are inducted into Engineers, Signals, Army Service Corps, Ordnance, Education, Intelligence, Legal Branch and EME (Corps of Electrical and Mechanical Engineers). Presently, the Indian Army counts 2.44 percent women in its ranks, the Indian Navy 3.0 percent and the Indian Air Force 6.7 percent. Apart from the medical corps, army has around 1100 women officers out of 35,000 officers; 700 out of 10,700 officers in the IAF; and 280 out of 8000 officers in the Navy. Women officers serve in non-combat arms (engineering, ordnance, signals, intelligence, education, law, air traffic control among others. IAF has 58 women copter & transport aircraft pilots. Women officers can serve upto 14 yrs only. In 2008, Government approved permanent commission in the legal and educational wings of the three Services. The 2009 batch can opt for permanent commission. Doctors, dentists, nurses get permanent commission. There are 800 women doctors, 90 dentists and 3200 nurses. Government does not admit combat duty for women in infantry, armored corps, mechanized infantry or artillery. Women cannot fly fighters or serve on warships or submarines. 

Storming Another Bastion

Recently, an important question has come up regarding providing permanent commission to women in the army. There has been a long-standing demand of the women in the army. The ‘glass ceiling’, is soon to be cracked. The ‘glass ceiling’ has been defined as ‘a barrier so subtle that it is transparent, yet so strong that it prevents women and minorities from moving up in the management hierarchy,’ Women encounter barriers on the way to occupational mobility. Such barriers serve to create and maintain a glass ceiling that restricts women’s career advancement and satisfaction. Many have stated that the ‘last bastion’ of patriarchal system in India will soon be conquered by the Indian women. The Indian army is really in the crossroads,
where a new era will soon begin. However, the matter should be taken seriously as it should be remembered
that the most important aim of the army is to defend the country. The security of the country cannot be risked
for any reason. The efficiency of the military should be the only criterion for recruitment.

Points of Discrimination

1. Sexual Harassment Cry- The Armed forces should ensure safety to the women officers. The acceptability
of the women officers among the male soldiers should improve. Most of the soldiers are from rural areas,
where the patriarchal mindset is internalized, since the childhood days. So, it is most necessary for the armed
forces to instill the changed mindset among them. Many times, sexual harassment cases are dismissed as
‘frivolous’ and blame ‘over-sensitivity’ of the women officers. However, there have been cases where sexual
harassment has taken place and punishment has been imposed. In one case, a colonel had to lose years
and was stripped of his stars and dignity in 2007.

2. Alleged Lack of Job Satisfaction & Low Acceptance - Women have complained, at times, that they are
marginalized and not involved in major decision making. Their minor faults are scrutinized. They have to work
twice as hard in order to prove their worth. Some of the women complain that in spite of their technical
qualification, they are given routine desk work or task organizing social occasions. Acceptance among the
male soldiers is low.

3. Alleged Poor Comfort Level- Most women accepted the fact that their presence amongst males tends to
make the environment ‘formal and stiff’. Mutual comfort level between men and women colleagues is low.
Men miss their light hearted banter which is considered essential to release work tensions and promote
group cohesion. They consider women to be intruding on their privacy. Male jokes can be sexist in nature,
which may make the women colleagues uncomfortable.

4. Doubts about Role Definition-Women, in some cases, were confused about the way they should conduct
themselves. If they behave lady-like, their acceptance amongst male colleagues is low. On the other hand,
their active participation in casual repartee carries the danger of their losing colleagues’ respect, at times.

Grievances Put Forward by Women Officers

The Army suffers from acute gender bias to deny permanent commission to women officers who work
shoulder to shoulder with male officers to assist and support troops in combat zones. The advocate for Major
Seema Singh, a complainant and others made a strong plea for permanent commission status. She stated
that the policies for women in the Army not only discriminate her against male officers but also lower her
status to that of a jawan/junior commissioned officer, whom she has been leading for 14 years.

Women officers work for the Army for 14 years, which is neither pensionable nor gives her any
retirement benefits. She is simply thrown out of the organization after 14 years and that too not on the basis
of poor performance but due to her gender and left to fend for herself. This is discriminatory in nature. Some
of the unfit gentlemen officers are absorbed in services like Ordnance Corps, Service Corps, Corps of
Electrical & Mechanical Engineers, Judge Advocate General, Education Corps, Medical Corps, Dental Corps,
Remount and Veterinary Corps, Corps of Engineers, Corps of Signals and Military Intelligence Corps.
However, women officers who endure identical job hazards for 14 years are thrown out at the end of 14
years.

4. Women officers and gentlemen officers commissioned into these services are performing similar jobs,
undergoing similar professional courses and are being posted to all field and peace postings. There is no
separate charter of duties for women officers or short service commissioned male officers and permanent commissioned male officers.

5. There are women officers commanding Army supply convoys single-handedly through the most militancy-affected areas and winning laurels for the country abroad during UN peace keeping operations in disturbed African countries. But, in India, they are being denied permanent commission.

Many of the applicants were single women supporting their families and facing serious financial hardship because of non-payment of salaries for a considerable period of time.

The bench also issued notice on another application filed by six more women officers whose discharge from the Army was stayed by the Supreme Court on March 4. They alleged that though they have not been released from the Army, they have not been paid salaries since March. They complained that the applicants are posted at various places and they are discharging their respective duties diligently. Despite stay of release order, the Army is not releasing salaries to the applicants with intention to harass the women officers.

Some of the women lady accused the Army of suffering from gender bias in not granting permanent commission to women who work shoulder to shoulder with similarly placed gentlemen officers in non-combat arms of armed forces.

Women army officers awaiting permanent commission have not received their salaries since February this year. In an application before the Supreme Court the officers claimed that non-payment of salary was violation of the Supreme Court order in March this year, which restrained the army from releasing women Short Service Commissioned (SSC) officers. The army had started relieving them although there was no stay order against the HC verdict on March 12, 2010, which directed the army to grant permanent commission to women officers, who joined between 1992 and 2006. A Bench headed by justice J.M. Panchal took the application filed by the ninth batch officers, and directed the army not to release any SSC women officer entitled for permanent commission.

Advocate Meenakshi Lekhi appearing for the women officers, apprised the Bench of justice Panchal and justice H.L. Gokhale of the Army’s “defiance”. She said the officers were working as per the SC order, but have not received their salaries. Additional Solicitor-General (ASG) Parag Tripathi promised that salaries would be released within a week. The Bench also asked the ASG to file the government's response on another application moved by 11 of the 22 women officers, who were petitioners before the Delhi HC, but had retired while the case was pending. These 11 have requested the Supreme Court to direct the army to reinstate them as per the HC order. Then the government told the SC that it was considering giving permanent commission to women officers in at least 7 branches of the army. The government has, however, failed to present a detailed proposal on this issue.

Standpoint of the Army Chief

Army Chief General V.K. Singh observed that as far as women officers in the Indian Army are concerned, whatever we have given them to do, they have fared pretty well. They have measured up to whatever work was given to them. He was sure that this is the reason why opportunities are opening up. It is a very gradual process. He added that we are not a country where women have been soldiers for a very long time. This has to evolve slowly. It cannot be done in one press of a switch. The army chief wanted the overall effect of permanent commission to both men and women officers to be studied further. However, he said the two issues should not be linked to each other, though the army had started recruiting women to bridge the
11,000-odd shortfall in the strength of the officer cadre. He also continued that the AV Singh committee’s premise has been that there should be smaller permanent commission and large short service commission officers. They are weighing in all aspects before taking action. Recently, the Delhi high court, after hearing the plea of serving women officers, ordered the armed forces to provide permanent commission.

**Grounds Against Inducting Women in Combat Roles**

There is certain logic in not utilizing them in direct ground combat roles. Israel has made it optional for their women officers. To a senior army officer, society is still not ready to face the prospect of our women, as Prisoners Of War or with terrorists. Another logic here is that Indian warships do not have separate facilities for women, in terms of cabins or washrooms. The Indian Air Force feels that it takes to spend Rs 11.66 crores to train a fighter pilot. It takes 13-14 years of active flying by fighter pilots to recover the huge investment, made on them. With woman fighter pilot, this may take a major hit, since they will get married and have children. This will cause disruption in fighter flying schedules. But many feel that these problems are not insurmountable. To a woman officer, all women officers do not go for combat roles, but if one opts in she should have the right to join. Technology is increasingly making attributes like physical toughness redundant. Nevertheless, women in technical fields such as meteorology, weapons development, cryptography, software development, ordnance, navigation, and so forth may be equally capable as men. Some will be superior. In an increasingly technological army, the light-switch phenomenon asserts itself: no special gender advantage for flipping a light switch on or off. This phenomenon — a product of modern technology — is the great equalizer of the sexes.

**Grounds for Justification of Denying Permanent Commission**

The reason was simple. Women officers are neither been trained for command nor given the responsibility so far, a senior officer observed. Women normally get commissioned at the age of 23 to 25 years. Soon, thereafter, family pressures start building up on them to get married. Many women confess that managing married life with military service is difficult, though marrying a service officer helps. Subsequent pregnancy and motherhood prove very demanding.

The forces are going in for a large Short Service Commission base and a lean permanent commission cadre. Granting permanent commission to existing women Short Service Commission officers will hit the entire restructuring process. This must be based on military needs and organizational requirements, not social factors, or pressure exerted by some groups. It has to be a gradual process. There are operational problems in women being deployed along the borders or in counter-insurgency operations.

**Course Correction**

In September 2010, fresh guidelines have been issued regarding recruitment of women officers. But these guidelines have excluded serving and retired women officers. The Delhi High Court has ruled that those who have approached the Court & those who are still serving, they should be extended full-term. Those women officers who have retired by 12th March, 2010 during the Court proceedings, they should be reinstated in service, if they are still within service age limits. That apart, they must be granted all financial facilities including pensions. Indian Parliamentary panel has also upheld the justification of awarding permanent commission and full retirement benefits for the women officers in the military service.

Women could become Lt-Colonels and their equivalents in IAF and Navy at the most in these 14 years. But now, women might well make it to one-or two-star general ranks (brigadiers and major-generals) in the years ahead. There have been women major-generals and Lt-Gens earlier but they all belonged to the medical stream. An officer stated that this is in accordance with the government decision in 2008 to grant
permanent commission to women officers in the legal and education wings of the 3 Services, as also the accounts branch of IAF and the ‘naval constructor’ department of the Navy. In line with this new policy, women being inducted into the armed forces from the 2009 batch onwards will be given the option, a year or two before they complete 10 years in these wings, to opt for permanent commission. The Army Educational Corps is planning to induct more women officers in future, by opening exclusive Sainik (military) schools for women.  

**Combat Role**

According to the news agency BBC, Cadet Divya Ajith Kumar surpassed almost 230 other cadets, including 70 female peers, to earn the coveted “Sword of Honour” at the Training Academy in Chennai in September 2010. Kumar became the first female cadet to receive the honour after 49 weeks of grueling training. The armed forces remain opposed to combat roles- where chances of physical contact with the enemy are high- for women officers. A senior officer observed that women officers need to be gradually exposed to more and more functions and trained for them progressively. So far, women officers have neither been trained for command nor given the responsibility. Permanent Commission cannot be given to them in a hurry. There has to be a sufficient gestation period.

As a 1st step, women cadets are now undergoing pre-commissioned training at par with male counterparts at the Officers’ Training Academy (OTA), Chennai. Earlier, it was 24 weeks for women cadets, but now it is 49 weeks like male cadets. At present, though women officers are inducted into armed forces, since the early 1990s, they can have for a maximum of 14 years only at SSC. Moreover, while they serve in engineering, ordnance, intelligence, signals, education, law, logistics, air traffic control and the like, they are not allowed to fight fighter jets, serve on warships or join “fighting” arms like infantry, armoured corps, and artillery. But, while many women officers are not asking for combat role, they certainly want Permanent Commission. After 14 years, a second career becomes difficult, felt a woman officer. There are just about 950 women officers in the Army out of a total of 35,377; 750 women out of 10,760 officers in the IAF; and 250 women out of 7,394 officers in Navy. Personnel below the officer rank, of course comprise only men.

According to the opinion of a particular group of people it is now commonly accepted that women should be encouraged to join the services only under the following circumstances:

1. When a country is short of men or there are not enough men volunteering to join the forces.
2. When the armed forces of a country are technologically very advanced and there is a huge requirement for highly qualified personnel for high-tech support functions, women can be gainfully employed for the same.
3. Where societal and cultural ethos have matured to the extent that barriers of gender prejudices have vanished and both sexes have adjusted to the desired level of mutual comfort.
4. Where militaries are not deployed on active combat duties and are generally assigned comparatively passive tasks. A number of countries like Canada and Australia induct women in their forces as they are aware that they will never be required to participate in an operation at home or abroad.

The above parameters act as a universally accepted benchmark to determine the need and extent of women’s’ employment in the forces.

**Scene Elsewhere**

- Belgium, Canada, Denmark, France, Germany, New Zealand, Norway, Portugal and Sweden allow ground combat roles for women.
- Australia, Belgium, Canada, Chile, Denmark, France, Germany, Israel, Italy, Portugal, Singapore, South Africa, Spain, Sweden, Tunisia, United Kingdom allow women to serve on combat ships.
• Women in Israel allow women in frontline combat units, but on a voluntary basis. Even the army of Israel, which is most gender neutral, goes by role considered suitability, rather than mere lip service to gender equality.
• Even in a conservative society like Afghanistan, women officers have been inducted. Twenty nine women graduated from the Afghanistan National Army Officer Candidate School in September 2010. They will work in finance, logistics and intelligence positions in the Ministry of Defense. There are around 300 Afghan women serving in the Army.
• Malaysia, Sri Lanka and Bangladesh deploy women on sea-faring warships. The US has deployed them on submarines.
• Even Pakistan has seven women fighter pilots. But India is reluctant.
• China graduated its first class of sixteen women fighter pilots in April 2009.

Suggested Remedies

At the entire training centre curriculum, the value of gender-parity should be internalized by series of achievements of women officers in the forces in other countries and also in India. The attitudes or biases of the male officers should be clearly debated and the myths may be busted. Joint teams of male and female officers may be formed in different training exercises, in order to form better rapport among the trainees. All women groups of lady officers may also be formed to go into theoretical and practical exercises. Their strengths and weaknesses may be analyzed closely. It may well be found that their strengths and weakness nearly resemble those of the male officers.

Not only the cadets but also the officers of the forces at all levels should be sensitized regarding the values of gender parity and gender contribution. Every workplace relies heavily on the quotient of job satisfaction. Any gender exclusion policy is leaving a major slice of women officers unhappy. No organization can afford to carry a baggage of discontent out of discrimination. The officers of the forces may be reminded the contributions of their mothers, wives and daughters in their family lives and such positive features if they are engaged in any public space activity, such as teaching, social service, functionaries in local bodies, like panchayats and municipalities, doctors, engineers, scientists etc. Indeed, right from the top brass, every male officer should be encouraged to motivate their women family members to join the forces. Supposing that one senior officer is exercising gender bias, he may also at the back of his mind be reminded of such fare of disparity to his own family members elsewhere in any other commanding unit.

Essential Prerequisites for Smooth Induction of Women

Change is often accompanied by a measure of initial chaos, which gradually settles down, after sometime. However, an organization like the army simply cannot afford, chaos, since the entire nation's security and honour is at stake. There have been teething problems but these are no more than in any other employment sector. In fact, it is to the credit of the Indian Army that its in-built mechanism of grievance redressal is sufficiently well equipped to deal with such issues. The lady officers seem to be quite happy with their chosen profession. An interaction with them clearly illustrates their professionalism and will to stand tall next to their male colleagues, in the discharge of their duties.

A spirit of comradeship has developed between the younger generation of officers of both genders, who have trained and grown together in service. They exhibit a rare comfort level, which has developed with time. Therefore, it can be safely presumed that the experiment has been a resounding success and there is no case to now look back on the issue. Research has shown that women are more perceptive and intuitive and endowed with organizational skills that help plan right down to minute detail. They have the ability to
empathize and understand. This makes them excel in all such fields that deal with interaction with human personnel. These are fields where women in the army can make a good contribution. On hindsight it seems that the entire debate that was ignited, when the idea was in its nascent stage was not unprecedented. Whenever, women have first stepped into essentially male worlds, the opposition has always been there. Such debates have had more to do with ideologies, principles, traditions and safety of the women. However now, almost two decades post the event, one can sit back and take a more rational view of things and feel that the idea of women in the Indian Army has finally arrived.

People often wonder as to why women would like to join the Army in the first case. After all it is a tough life with eternal questions of modesty and propriety coming to the fore. The thrill and pride of serving one's motherland is an additional attraction. All this comes along with a well laid down code of conduct that makes things far more orderly, disciplined and easy to adhere to. Some feel that women feel more safe within the Army than they do in other services of a similar genre' in the civil sector. They also have an attractive pay packet.

There is a lot at stake and such decisions should be taken only after careful consideration and gradually. So far, the induction of women into the Indian Army has been a successful experiment and the credit for this goes, both, to the organization as well as the women. In order to ensure that future experiments are just as successful, one must proceed with a measure of foresight and judicious contemplation. 25

The experience of the countries that have inducted women in their armed forces need to be studied. They have been certain adjustment problems even in societies that are developed and profess gender equality. Army life requires both mental and physical prowess. Many advanced countries have not inducted women in fighting units. They have been taking precautions to ensure followed by others. Every nation has to weigh its options against the backdrop of its own that women are neither pitched against enemy in face-to-face direct combat nor exposed to the risk of capture by the adversary. It is imprudent to replicate the model or path social and environmental mores. Every country has its own social/cultural moorings, type of hostilities encountered, level of technology and larger manpower issues.

Conclusion

There are some subjective and objective grounds, adduced for denial of permanent commission to the women officers in the armed forces. In the Indian Army and Air Force, permanent commission has already been granted to women officers. All of them have proved their worth; busting the myth that quality will go downwards. One subjective plea is that the rural based soldiers are not used to taking orders from a woman officer. But, this attitude can be overcome by the example of merit-based promotions and leadership roles of the women officers. The women officers can definitely be considered for pc, after case-to-case scrutiny by a selection committee. This committee should comprise of lady officers. The alleged cases of gender exploitation and harassment are a handful, compared to the total strength of the defense and military officers. In those cases, the law and the concept of human dignity, may take its own course. These are isolated instances, and should not be blown-up, out of proportions.

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Strategies Used in the Translation into Albanian of Allusions in Walt Whitman's Poetry

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Abstract: A translator who examines a text with a view to translate it will have a number of concerns. Among them, allusions are likely to become puzzles when they cross a cultural divide. Translating allusions can be a demanding task due to the fact that they simultaneously activate two texts and have specific meanings in the culture and language in which they arise but not necessarily in others. However, the use of allusions by an author shows an expectation that the reader is familiar with the references made, otherwise the effect is lost. Taking this into account, the present study focuses on personal proper noun and key phrase allusions in the poems of the famous American poet Walt Whitman and their translations into Albanian. It aims to investigate how translation strategies would provide the translators, in particular the novice ones, with useful insights concerning intertextual references in general and allusions in particular in order that the translators might find it no more challenging a task. In order to achieve the above mentioned purpose, the personal proper noun and key-phrase allusions in Leaves of Grass and their equivalents in the Albanian translation were first identified. Then, Leppihalme's (1997) proposed strategies for the translation of allusions were analyzed. The analysis revealed that the most common strategy for the translation of personal proper nouns was that of 'retention without any guidance' and for key-phrase allusions was that 'literal translation with minimum change'. This is indicative of the translator's wish to be as faithful as possible to the source texts to demonstrate that the allusive language of the original texts and connotations conveyed by them were largely ignored by the translator.

Key words: Intertextuality, allusion, proper noun allusion, key phrase allusion, translation strategies.

1. Introduction

The translation of poetry is known as a very hard and somehow impossible task; it is probably the subject in translation studies that triggers the strongest polemics. Even those who are not specialized in translation often have an opinion on the subject. Keeping the form and stylistic features of a poem from one language into another without distorting the meaning is really difficult to accomplish; moreover, the translator must be able to get the real message and convey it to the TT, he has to be fully aware of the capacity of language to make his message highly effective. The words of the poem surpass their textual denotations; they take new shades of meaning dictated by the poetic context. So the translator has to understand not only the basic elements of a poem such as rhyme, meter and figurative language, but also the allusions which bear connotations, are culture dependent. Abrams (1999) define allusion “as a passing reference, without explicit identification, to a literary or historical person, place or event or to another literary work or passage.” Allusion as a kind of intertextuality can be attributed as one of the most powerful figures of speech since it can refer to an external text. Therefore, it can be a rich source of meaning and connotation and can be added to the meaning wealth of a text. One term which is used to describe allusion is 'culture bump', which Leppihalme (1997) defines as follows: “Culture bump occurs when an individual finds himself or herself in different, strange, or uncomfortable situation when interacting with persons of a different culture”.

She agrees that when one wants to recognize and translate something rooted strongly in another nation’s culture, he/she needs to have much knowledge other than what is seen explicitly; in fact, the understanding of an allusion is prevented by culture unless the receivers are biculturalized, so this cultural barrier should be removed. Allusions are one type of cultural specific items. From this translators' point of view culture-bound or culture specific items are elements of the source text which refer to those elements in the source culture which are peculiar and pertinent to this community and not present in the culture of target community. As
culture specific elements, allusions resist translation rendering them successfully depends largely on the translator's familiarity with their references.

Snell-Hornby (1988) believes that in translation, a culture specific item does not exist of itself but due to nonexistence or the different values of an item in the target language culture; for example, the status of a CSI occurs as a translation problem when one wants to translate the image of "lamb" into a language in whose culture this animal is unknown or, if known, does not have connotations of innocence and helplessness. Snell-Hornby (1988) maintains that the translatability of a text depends on the extent to which the text is embedded in its own specific culture and also on how far apart, with regard to time and space, the ST and TT receivers are.

In the present study, the distance is great: the ST is a collection of American poems which allude to people and events specific to America only. Culturally, then, there is a great distance. Another term used to describe allusion is Intertextuality. Intertextuality is derived from the Latin „intertexto”, first introduced by French semiotician Julia Kristiva in 1966. It subverts the concept of the text as self-sufficient, highlighting the fact that all literary production takes place in the presence of other texts.

Every literary work consists of poetry is situated in the middle of a network of intertextual relations. For Barthes (1977, cited in Allen, 2000), who proclaimed the "death of the author", it is the fact of intertextuality that allows the text to come into being. He notes that any text is a new tissue of past citations which have passed into the text and are redistributed within it. In other words, a literary work is not simply the product of a single author, but of its relationship to other texts. However, based on Hatim and Mason (1997) one should be well aware of the fact that Intertextuality can operate at “any level of text organization” involving phonology, morphology, syntax or semantics and Hatim (1997a) believes that expressions ranges from single words or phrases that have special cultural significance in a given linguistic community at a certain time, to macro-textual conventions and constraints associated with genre, register and discourse.

Therefore, intertextuality encompasses any element (macro- or micro-) that enables readers to identify and derive meaning from the surface features of the text in question by reference to other texts or text features they have previously come across.

Over the past two decades, the theoretical interest in intertextuality has generated a great deal of interesting discussion of the device of literary allusion. Translating allusions can be very challenging due to the fact that the use of allusions presupposes a particular kind of participation on the part of the receivers. Allusions enrich the texts in which used since they are used as literary devices make the texts ambiguous or exaggerated and at the same time they are used to create ambiguity especially when it is not possible to speak directly because of social or political considerations.

It can rightly be said that allusion plays the most important role in persuading its readers to accept what the author says especially when they quote some parts from religious texts or famous literary works.

2. Types of Allusions

Based on Leppihalme (1997) allusions are divided into four thematic groups based on their sources; religious allusion, mythological, literary, and historical allusion. However, the present study is based on the main classification of allusions by Leppihalme.

Leppihalme (1997) makes a distinction between proper noun (PN) allusion (the one with a name in it) and key phrase (KP) allusion (the one without the name).

3. Translating Allusions

Based on Leppihalme (1997) translating allusions is a challenging task since: the translator has to identify any intertextual references and then judge the likelihood that the target language readership will be able to recognize them and cue in to the intended references. Moreover, allusions are considered as Cultural
specific items (CSI), so they are heavily and exclusively grounded in one culture which seem impossible to translate into the terms of another. Leppihalme agrees that a cultural barrier can prevent the understanding of an allusion, unless the receivers are sufficiently biculturized.

To cope with the aforementioned problems, a set of strategies are introduced by Leppihalme (1997); that a translator should decide what translation strategy will be appropriate for the allusion in question. Leppihalme (1997) proposes a set of strategies for translating the proper noun allusions:

i. **Retention of the name:**
   a. using the name as such; b. using the name, adding some guidance; c. using the name, adding a detailed explanation, for instance, a footnote.

ii. **Replacement of the name by another** (beyond the changes required by convention), with two subcategories:
   a. replacing the name by another SL name; b. replacing the name by a TL name.

iii. **Omission of the name:**
   a. omitting the name, but transferring the sense by other means, for instance by a common noun; b. omitting the name and the allusion altogether.

Potential strategies for translating Key Phrase (KP) allusions=allusions containing no proper noun are as follows:

A. Use standard translation;
B. Literal translation (minimum change);
C. Add extra-allusive guidance to the text;
D. Provide additional information via footnotes, endnotes;
E. Introduce textual features that indicate the presence of borrowed words;
F. Replace with a performed TL item;
G. Rephrase the allusion with an overt expression of its meaning;
H. Re-create the allusion by creatively constructing a passage that reproduces its effects;
I. Omit the allusion completely.

3.1. **Procedure**

This study is a comparative-descriptive research and its aim is to carry out an analysis of particular strategies applied to cope with allusions (Key-phrase and personal proper nouns) and to find which strategies are more frequent. The personal proper noun and key phrase allusions in Leaves of Grass and their equivalents in Albanian translation are identified. After categorizing Personal proper noun and key–phrase allusions (Historically, religiously, mythologically, and literally), they are entered into the chart respectively and their frequencies are calculated.

3.2. **Research questions**

1. What are the strategies used in translating proper noun and key phrase allusions from English to Albanian in Whitman’s poetry based on Leppihalme (1997)?

3.3. **Corpus**

The corpus of this study is a body of allusions which would be extracted from Leaves of Grass as translated by S. Luarasi. The collection covers a great deal of different proper noun and key phrase allusions which might prove challenging for the translator.

Luarasi has done the translation of a part of the book. His rendering has been described as accurate, erudite, accessible, faithful, and a much respected translation of Whitman into Albanian.
3.4. Words, proper nouns and key phrase allusions as translated into Albanian:

- Alleghanies – Alliganëve (Albanian version, the allusion not explained)
  The Alleghanies are the oldest mountain range in the United States. This is Whitman's own spelling of the word.
- Banner and Pennant
  A banner and pennant are flag shaped symbols of a nation, or army, often flown at patriotic occasions.
- Bugle Trills – altered in meaning
  A bugle trill is a short burst of notes from a bugle horn, often meant to signify military victory.
- Calamus
  In Greek mythology, Calamus is a figure who turned into a reed out of grief for the death of his young male lover. In Leaves of Grass, Whitman uses this imagery to describe the intense erotic love between men.
- Camerado – shok (Albanian version, the allusion not explained)
  A camerado is Whitman's own term for a friend, or comrade.
- Canuck – not rendered
  Canuck is a term for a person from Canada.
- Centenarian - qindvjecar
  A centenarian is a person who is 100 years old.
- Cuff – kufi (Albanian version, completely altered)
  "Cuff" is an African day-name for a male born on a Friday.
- Eidolons – hije, fantome, not exact
  An eidolon is the perfect form of an idea. For Whitman, this is the ideal of spiritual and intellectual enlightenment for which all humanity must strive.
- Jonathan – Xhonatan (Albanian version, the allusion not explained)
  Jonathan is a common name for a New England Yankee. Whitman uses the name to collectively describe all New England patriots.
- Mannahatta – Manahata (Albanian version, the allusion not explained)
  Mannahatta is Whitman's term for New York City's island of Manhattan. This is the original Algonquian word meaning "large island," which Whitman uses to invoke a historical and natural spirit to the city.
- Metaphysics - metafizike
  Metaphysics is a branch of philosophy devoted to explaining the basic nature of being.
- Paumanok – Paumanok (Albanian version, the allusion not explained)
  Paumanok is the original Native American term for Long Island, New York. Whitman uses this term to name his boyhood experiences in Long Island's natural surroundings.
- Wolverine – volverinasi
- It is the fourth of Seventh-month – eshte kater korriku
- Yankee – janki

4. Results and Discussions

To make a summary of the results, the most common strategy for the translation of these allusions was that of 'retention without any guidance' (1a). Therefore in most of the cases the connotational meaning is lost in the Albanian translation, and therefore some footnotes or explanations are needed. (Examples: Alleghanies; En-Masse; Mannahatta etc.)

The second strategy, 'The use of guidance' (1b) has been used successfully in some instances to clarify the concept. (Examples: Oconee- lumi Okoni; Fourth- month – prilli; Christ Divine- Krishtin Birin e Perendise etc.)
The strategy 'Omission' (3b); omitting the name and the allusion altogether was employed by Luarasi in few instances. (Example: carol, camerado)

Obviously, full comprehension of an allusive line of poetry is inevitably limited to those who recognize the name and its connotations.

As Leppihalme (1997) argues, the appropriateness of a strategy depends at least partly on the familiarity of the name. However, in the translation of Leaves of Grass by Luarasi, the retention of PPN was applied not merely to transcultural names, but also to names very likely to be unfamiliar to TT readers. This tends to reduce a TT reader’s chances of spotting such allusions, and comprehending the point the SL author intended to make.

4.1. Discussion of key phrase allusions

Results of Key Phrase allusions in “As I pondered in silence” are illustrated in the table:

<table>
<thead>
<tr>
<th>Original Poem</th>
<th>Albanian translated version 1</th>
<th>Albanian translated version 2</th>
</tr>
</thead>
<tbody>
<tr>
<td>Poems</td>
<td>Vjershat</td>
<td>Poemat</td>
</tr>
<tr>
<td>Considering, lingering long</td>
<td>Dhe rrjha ti shihja</td>
<td>Shqyrtoja, ndalja gjetë</td>
</tr>
<tr>
<td>With distressful aspect</td>
<td>Me ballin te vrenjtur</td>
<td>Me pamje të pabesë</td>
</tr>
<tr>
<td>Forever enduring bards</td>
<td>Për bardët që kërkojnë amshimin</td>
<td>Për bardët e përgjithshëm</td>
</tr>
<tr>
<td>The making of perfect soldiers</td>
<td>Ema e ushtarëve të përsosur</td>
<td>Bërje e ushtarëve të përkryer</td>
</tr>
<tr>
<td>Haughty Shade</td>
<td>Hije krenare</td>
<td>Hije mendjemadhe</td>
</tr>
<tr>
<td>Body and the eternal Soul</td>
<td>Trupin e Shpirtin e amshuar</td>
<td>Trupin e shpirtin e përgjithshëm</td>
</tr>
<tr>
<td>Promote brave soldiers</td>
<td>Nxjerr ushtarë trima</td>
<td>Përkrah ushtarë guximtarë</td>
</tr>
</tbody>
</table>

1. Strategy B: Literal translation with minimum change
Luarasi by rendering word by word didn’t convey the connotations and the alluding part, although, this verse may be unfamiliar to Albanian readers, too. In the earlier mentioned verse, the translator renders the allusion word by word without minimum change. But this strategy is not suggested by Leppihalm (1997), so strategy B is considered for the translations of such allusions.

2. Strategy C: Add extra-allusive guidance to the text: It seems the translator was aware of the alluding parts which he put in the quotation marks.

3. Strategy G: Rephrase the allusion with an overt expression of its meaning: The translator by explicating the meaning of tries to; somehow, conveys the meaning that brings the evoked text to the original text.

4. The last strategy applied is omission. By applying this strategy Luarasi changed the meaning of the alluding part, maybe, because he himself had been unfamiliar with that alluding part. Moreover, it is probable that the translator may omit elements s/he perceives as too difficult to translate which are to some extent culture bound and depend on translation norms in the target culture. Thus, the discussion of key-phrase allusions shows: Luarasi is faithful to the original text he preferred literal translation without having inclinations to change the structures to make a rhyming poems.

The percentage of strategy B indicates that this strategy is applied more with the Albanian translation which suggests that he is faithful to the original text. Luarasi preferred literal translation without having inclination to change the structures to make a rhyming poem (Strategy B). Although, the fact of not being restricted by rhyming patterns and music provided the translator with more freedom to be faithful to the source text and to give precise equivalents at word level. This limitation of the translation unit to word and turning a blind eye to factors beyond the text like intertextuality and potential purposes of application of a word or structure by text producer led to refusing to search the text for the existence of any allusion and; consequently, to removing potential connotations carried by those allusions. Moreover, some allusions are rendered word by word with no change. The second prevalent strategy used is the strategy C.
In the case of strategies like marking the alluding texts by the translator, demonstrates that he is aware of the connotations the text embodies. Strategy G was found in 7 instances: Although using strategy G tells nothing about the translator's attention to allusive language, it certainly asserts that, in such cases, the translator has reached a realization of the existence of connotative language and has seriously pursued ways of making those connotations and senses overt in the TT at the expense of radically changing the ST. Using this strategy also has the message that preserves just the sense and connotation, but deprives TT readers of the aesthetic aspect of alluding or referring to other texts, since they are left unaware of the author's application of the allusions. Moreover, the strategy I occurred when the translator didn't understand the alluding part and has removed the allusion completely; maybe unintentionally.

5. Conclusion

This article is concerned with the notion of intertextuality and embarks upon an analysis of allusions in Leaves of Grass. Intertextuality is a wide-ranging, omni-present textual phenomenon that is crucial to text processing both within and between languages. The problem for translators is to render intertextual references into the target language and culture such that the meanings invoked in the ST are preserved and made accessible to the maximum extent possible. However intertextuality eclipsed allusion as an object of literary study.

It is obvious that most of the proper nouns and phrases have allusions which refer to other texts. It seems necessary for an acceptable translation to produce the same (or at least similar) effects on the TT readers as those created by the original work on its readers. But most translators do not appear to be successful in their challenging tasks of efficiently rendering the allusions when they sacrifice, or at least minimize, the effect of allusions in favor of preserving graphical or lexical forms of source language allusions. In other words, a competent translator is well-advised not to deprive the TL reader of enjoying, or even recognizing, the allusions either in the name of fidelity or brevity. Hence, the translator carefully searches for strategies to cope with these problems. Consequently, the translator's choice of strategy for the translation of allusive elements may subtly result in preventing the TT readers from spotting and enjoying allusions and in failure to transfer the connotation the original author intended to evoke in his/her readers. Beyond a shadow of doubt the choice of strategy is related to the translator's fidelity or lack of fidelity to the ST author. The findings of this study suggest that a translator can be more faithful to the ST author when he uses 'retention' (1a) (95%) for PPN allusions and literal translation (68%) for key-phrase allusions. However, in many cases the translator failed to elaborate at length upon the allusions as well as the stories behind references. In other words, he could employ more extensive translation strategies so that the target text readers might understand the implied references. It is pertinent to mention that native speakers and readers who live in the same linguistic and cultural community as the author may fail to recognize the allusive nature of an element in a text. This difficulty is intensified when the receptor is not the native speaker of the source language and is from a culture different from that of the source one and; consequently, has more limitations in accessing to the source of allusions. However, it is necessary not only for competent readers (poets, authors) in SL but also for translators to grasp these allusions so that they can convey the connotations to competent TL readers. As to implications, translation teachers and student translators who are considered as competent ones, are expected to learn about the intertextual elements of the ST, that allusions are one type of them. Moreover, translation students and practicing translators need to consider the difficulty of translating allusions, recognizing the responsibility of the translators to TT readers.

The examples of various strategies discussed in this study can provide them with solutions to tackle these problems. Through discussing and evaluating these strategies, novice translators will learn that if they translate a text without spotting and understanding its allusions, the meanings of allusive terms and passages will be lost for most TT readers.
Although, some translators consider translation together with footnotes undesirable, in fact their uses can assist the TT readers to make better judgment of the ST contents. In general, it seems that the 'notes' would have a higher potential for conveying the concepts. It can be claimed that the best translation method seems to be the one which allows translator to utilize 'notes.' Furthermore, employing 'notes' in the translation, both as a translation strategy and a translation procedure, seems to be indispensable so that the foreign language readership could benefit from the text as much as the ST readers do.

References

Media Criticism: Class Fantasy and Ideology in the Movie Ganj-e Qaroon\(^1\)

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Abstract: Subjects due to their class position may construct specific fantasies. Class fantasy, one of the given fantasies, is constructed by lower-classes in the society. This study is to critically scrutinize this type of fantasy in media discourse data. Furthermore, as ideology is a means by which cinema apparatus sutures audience within movie narration, the movie ideology and its relation with the given fantasy will be discussed as well. Indeed, the paper presents an attempt to illustrate how movies, through the construction of the fantasy, serve to justify the prevailing ideologies at the time. A case in point is melodrama. The data are extracted from one the most popular movies in the history of Iranian cinema, Ganj-e Qaroon (meaning Qaroon's Treasure). Analysis of the data is done within the frameworks of Bordwell (1995); Cormack (1992); and Zizek (2008a). Findings show that the class fantasy is constructed through the movie. That is the hero, reaching the object-cause of desire namely the girl of narration, may fill the class gap; however, a change in his position causes the object to lose its significance. Concerning the movie ideology, results indicate that the movie ideology, i.e. the class ideology, proposes class coexistence in peace. Indeed, the movie not only represents class fantasy but also uses the end of fantasy in its favor.

Keywords: Subject, fantasy, ideology, desire

1. Introduction

In the present section, first, the concept of fantasy, in the words of Lacan, will be presented. Next, ideology, according to Marx, will be clarified.

1.1. Fantasy

Subject is generally defined as “the ‘I’ who experiences and interacts with the world” (Malpas, 2005, p.56). Subject, based on the given definition, was first originated from Descartes’ thoughts. Cartesian conception of the subject “pictures a conscious and unified individual marked by inherently rational capacities that allow one to experience and make sense of the world according to the properties of that world” (Barker & Galasinski, 2004, p.40).

\(^1\) Qaroon’s Treasure
Lacan, breaking up the subject into two parts of conscious and unconscious, rewrites Descartes’ proposition as “where I think ‘I think, therefore I am’ that is where I am not” (Weedon, 2004, p. 12). Accordingly, he conceptualized the subject, i.e. barred subject, according to his own view. Lacan believes that when a child is born he is named and allocated a room. That is, the symbolic of social constructions is vigorously presented in his life. In other words, subject confronted the symbolic2, “is trapped in the net of language, through a discourse and a social bond that are induced and commanded by the other” (Branstein, 2003, p.109).

Subject discovers that ‘there’ is a world (Being-in-the-world) and it is constantly in particular non-arbitrary situations, times, and places whose profitability, on a daily basis, is not justifiable. In the word of Heidegger (1962), this unwanted universal situation is defined as Gewerfenheit, i.e., ‘thrownness of one’s destiny into the particular place in the world (Hersch, 2003, p.393)’. This real situation, according to Heidegger (1962), at first is totally alienated for every entity. That is to say, subject, quite arbitrarily, is given a place in the inter-subjective network of symbolic relations, including a teacher, a clerk, a sales person, a king and so on.

The above situation is arbitrary and non-inherent in sense that ‘its nature is performative, it cannot be accounted for by reference to the ‘real’ properties and capacities of the subject (Zizek, 2008a, p. 170)’ One, who occupies the place of a ‘king’ within the inter-subjective network of symbolic relations, doesn’t deserve any characteristics of being a king. Hence, “the subject who possesses the quality of being a king is automatically confronted with a certain ‘Che vuoi?’, with the question of the Other. The Other is addressing him as if he himself possesses the answer to the question of why he has this mandate, but the question is, of course, unanswerable. The subject does not know why he is occupying this place in the symbolic network. His own answer to this ‘che vuoi!’ of the Other can only be the hysterical question: “Why am I what I’m supposed to be, why have I this mandate? Why am I [a teacher, a master, a king . . . or George Kaplan]?” Briefly: “Why! Am I what you [the big other] are saying that I am?” (Zizek, 2008a, p.170)

Fantasy is a scenario which provides an answer to the following questions (Fink, 1995, p.54). A fantasy constitutes our desire; provides its coordinates; that is, it literally ‘teaches us how to desire3; it provides a ‘schema’ according to which certain positive objects in reality can function as objects of desire4, filling in the empty places opened up by the formal symbolic structure (Zizek, 2008b, p.7).

For Lacan, the object is precisely that which is “in the subject more than the subject itself, which I fantasize that the Other (fascinated by me) sees in me”. Thus, it is no longer the object which serves as the mediator between my desire and the Other’s desire; rather, it is the Other’s desire itself which serves as the mediator between the ‘barred’ subject $ and the lost objea that the subjea ‘is’ - that provides the minimum of phantasmic identity to the subject (Zizek, 2008b, p.10).

Each fantasy consists of a number of characteristics. Some of the typical characteristics of a fantasy may include 1) a fantasy obfuscates the true horror of the real5 and let the subjects get away from the real of their subjects; 2) fantasy is the primordial form of narrative, which serves to occult some original deadlock; 3) fantasy, being in line with the law, supports it as well; 4) fantasy always encompasses an impossible gaze; 5)

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2 The symbolic in its most general definition is an arena of culture and society. For Lacan, this is related to language, metaphor, or function of a father who is sometime called ‘the Other’. The Other can hence be viewed as “the Other of language, of certain ideals, norms and ideology of a particular society or community and as a position, a presumed or posited point (or perspective) of authority, knowledge, validation” (Dashtipour, 2009, p. 323).

3 Desire is the nature of human as well as a social category. Subjects desire from the view of the other (Evans, 1996).

4 Object-cause of desire is defined as the object triggering the desire of subject. Object is, in essence, lacking, and is believed to be primordial lost form. For Lacan, fantasy determines unattainable relationship between subject and object-cause of desire. This object fills the existing split in the Other (Zizek, 1999, p.19; Boothby, 1991, p. 109).

5 In integrating social relations, there always remains a surplus sticking out from the frame of symbolic reality. Lacan calls this hole ‘the real’. Thus, the real is the universe itself before having been split in by language. This means that the real is non-descriptive and impossible. Indeed, the real is non-symbolized, unrepresented and uncrossable threshold for the subject (Bowie, 1991, p.109). Subjects, constructing fantasy, tries to get away from the real.
fantasy supports and strengthens the social realities of the subject life; 6) In order to be operative, fantasy has to remain ‘implicit’; it has to maintain a distance towards the explicit symbolic texture sustained by it, and to function as its inherent transgression (Zizek, 2008b, p.11-39). It is worth mentioning that fantasy may include some or all of the characteristics referred to.

1.2. Ideology

Presumably, a number of different theories have so far been proposed regarding ideology. However, in the present study, due to the influence class ideology, only the ideology as that of supporting the benefits of upper-classes will be focused on.

Marx clarifies ideology based on materialistic practices. According to him, what makes the system of beliefs ideological is the fact that the belief system, covering the real nature of social and economical relations up, helps out to justify the legitimacy of the uneven distribution of economical and social resources in the society. Accordingly, although all classes of the society, in particular the working class, are capable of creating an ideology, this creation will be considered as an ideology only if it leads to drive the benefits for the dominant class in the society (McLellan, 1995, p.16). By the end of Pahlavi period in Iran, bourgeoisie, as the most differentiated dominant class in the society, possessed, or in more specific terms occupied, the main economical resources of the society. Furthermore, having held and controlled the distribution network, consumption goods, credits, and the entire national budget, they set aside the chief positions in the dominant hierarchies of the state including the economical, financial, official, and military ones for themselves (Sodagar, 1999, P. 205).

Sodagar (1999) has segregated four dominant bourgeoisie strata of sixties and seventies in Iran. The given bourgeoisie strata include 1) great monarchy bourgeoisie; 2) traditional bourgeoisie; 3) liberal bourgeoisie; and lastly 4) leftist bourgeoisie (p. 206). The great monarchy bourgeoisie, as the most principal of the bourgeoisies, was shaped by the bureaucratic transformation namely civil and military elites, traditional landowners, and great merchants. This bourgeoisie was the only main support of the Pahlavi class authority. The greatest factories, the most prolific lands and gardens, the most profitable businesses, contractors, banks, and financial institutions, the top official and military positions, the highest-paid public posts, and the production command system were all occupied by and under the control of this great capitalist monarchy (Sodagar, 1999. P. 208). Hence, Mohammad Reza Pahlavi, the then King of Iran, can be considered as the chief of the Iran capitalist class who supported the ideology which not only justified the unevenness of the classes but also normalized it, as well.

1.3. The Current Study

“I mean it has happened to me several times that I’ve looked at rich girls regretfully, and it has happened several times that at nights, while falling asleep, I’ve imagined that a rich girl with a high-tech car has barked in front of me, picked me up, and fallen in love with me”. These statements which have been extracted from an interview with an Iranian youth indicate that some Iranian youth from the lower-classes of the society attempt to imaginarily associate their own life style with that of upper-classes. This study aims at bridging this kind of imagination with Lacan’s concept of fantasy and tracing the given imagination to one of the best-selling movies in the history of Iranian cinema at the time named Ganj-e Qaroon. Moreover, since cinema acts as an apparatus or technology which makes an attempt to normalize an imaginary reality and makes the audience be sutured within the movie narration due to indestructible nature of cinematic apparatus (Hivard, 2009, p.14), in order to clarify the relationship between fantasy and ideology, the main ideology within the movie will be discussed as well. In other words, regarding fantasy, this study was to address the following questions:

1. Who is the subject? Who is the big other the subject confronted with in the movie narration?
2. What desire does the subject have?
3. What actions and events was the fantasy of the subject made of?
4. Whose subject or entity is the object-cause of desire in the movie narration? What role does the object play in the subject’s fantasy?
5. What relationship does the object-cause of desire have with the big other?
6. Is the subject’s fantasy that of the subject or the big other’s?
7. Answering question 6, is the subject’s desire the same as the big other’s or not?

Also, concerning the ideology, this study addressed the following ones:
1. How were the characters represented within the movie? What actions and dialogues do the characters make use of?
2. Answering the previous question, what reality was offered by the movie? How was this reality shaped?
3. How are the complexification and resolution within the narrative structure?
4. Are the given complexification and resolution related to the specific ideology?
5. From which point must one look at the movie? What ideology is this point related with?
6. With reference to the background knowledge of the social-political conditions prevailing in the period of filmmaking, is the movie ideology along or in contrast with one of the on hand ideologies at the time?

2. Methodology

2.1. Materials

The data gathered for the purpose of this study were extracted from one of the most famous and popular Iranian movies at the time, *Ganj-e Qaroon*. The movie was aired in 1965. *Ganj-e Qaroon* was highly successful and visited by almost 870000 out of one million residents of Tehran, capital of Iran. As a result of its success, the movie had been on the screen for more than two successive years. To analyze the movie, it was initially segmented into distinct parts. Subsequently, the movie fantasy and ideology were investigated.

2.2. Coding and data analysis

Analysis of data was done within the framework of narrative analysis. Narrative analysis of the movie is the most recent branch of semiotic inquiry emerged from the critical initiatives which redefined film theory in the 1970s. Narrative analysis seeks to peel away the seemingly ‘motivated’ and ‘natural’ relationship between the signifier and the story-world in order to reveal the deeper system of cultural associations and relationships that are expressed through narrative form (Stam, Burgoyne, & Flitterman, 2005, p. 70). Presumably, a number of scholars have so far proposed a number of different approaches towards narrative analysis (cf. Propp, 1928; Barthes, 1977; Chatman, 1978). However, the present study was founded on Bordwell’s (1995) conception of narration; Cormack’s (1992) narrative analysis of ideology; and Zizek’s (2008a) notion of ideological ‘gaze’.

Bordwell (1995) regards ‘discourse’ and ‘story’ as the basic elements of narrative analysis. According to him, ‘story’ describes events that occur through specific time or place and are ‘related through a causal or thematic chain’. ‘Discourse’, on the other hand, refers to ‘order or potential presentation of film story’ (p.105). In his term, the principles which provide a link between story and discourse are the causal relations including time and place (Bordwell, 1995, p.9). Bordwell believes two elements namely characters and events can function as a cause in narration. In the present study, subject is equal to the character and events equal natural incidents or social actions (Bordwell & Thomson, 1998, p. 77). As said by Bordwell (1995), movie has a narration but no narrator (Lothe, 2000). Therefore, consistent with the aims of the study, a ‘covert narrator’ was considered for the movie. The ‘covert narrator’ is defined as an ideological system of values a text implicitly makes use through the combination of all sources (Lothe, 2000, 31).
Cormack (1992), in analyzing the ideology of narrative movie, considers the five elements including content, structure, absence, style, and modes of address significant in terms of methodology. This study only draws on content and structure to analyze the movie ideology. Hence, just the content and structure will be focused on. Following, is a brief account of the two.

I. Content: According to Cormack (1992), ideology can be traced within the explicit statements, vocabulary used, characters, and actions taken within a movie. These four subcategories “are used to express a view of reality – a view which the audience is asked to share” (p. 29).

II. Structure: the structure of a movie is the result of its events. In narrative movies, the events can be complexification and resolution. Thus, it may be possible to account them as a part of an ideology. Likewise, the kind of movie resolution may sometimes be consistent and sometimes inconsistent with the movie ideology as well.

The term ‘gaze’, another concept which was used in the analysis of the ideology, as Zizek accounts for it, refers to the point through which one may look at the movie. As an example, in Chaplin movies, the vicious, sadistic, humiliating attitude towards children is nothing but the gaze of the children themselves; or the Dickensian admiration of the poor but happy, close, unspoiled world of the ‘good common people’, free of the cruel struggle for power and money, is the view of aristocracy towards them (Zizek, 2008a, p.118-119).

In sum, in order to analyze the movie, first the movie was demarcated into distinct parts. Each part consisted of one or more scenes. Next, the data were extracted, transcribed, and subsequently modified. To describe and analyze the fantasy, this study draws on Bordwell’s (1995) conception of narration, without focusing on the aesthetics of the movie. Indeed, the movie was considered as a self-contained text, i.e., apart from its relation to cultural, cognitive, social and phenomenological conditions outside. In other words, only the theoretical model was followed within the movie. It is worth mentioning that within one movie the whole narration may be the fantasy of one character; however, within the other one, like the case under investigation, a number of actions, events, and characters may construct the fantasy of one character and the rest narrative part comprises the reality of the scenario. To analyze the ideology, the study resorts to Cormack’s (1992) narrative analysis of ideology; and Zizek’s (2008a) notion of ideological ‘gaze’.

Furthermore, the background knowledge from the ideological atmosphere within the period of filmmaking was employed as a presupposition.

Concerning the validity of the study, as said by Polkinghorne (2007), the validity of a narrative movie can be determined through the well-off details and clear descriptions. Besides, in a narrative analysis, an analyst must justify his own interpretations to his readers. Accordingly, this study made an attempt to offer a precise and detailed investigation of the movie narration. Hence, it was tried to present detailed explanations and provide the necessary references to the original movie dialogues if needed. Moreover, in order to assure the validity of the study through ‘theoretical triangulation’, a combination of different theoretical frameworks was applied in this study.

3. Findings

3.1. Situational context

_Ganj-e Qaroon_ is the story of a poor young man who was basically the son of a rich man. Indeed, his father, going after his own ambitions, left him and his wife many years ago. After many years, the son found his father through an incident. Having found the truth, the son didn’t want to see his father anymore. However, later on, his father convinced him that he had been changed and the movie ended with a family reunion. Three narrations could be traced within the movie discourse. The first one was about an old depressed man named Qaroon. Being trapped in the meaningless of life, Qaroon decided to kill himself. The next was about
a girl named Shirin. Shirin looked for a way to get rid of her suitor whom she didn’t like at all. The last was about a young man named Ali Bi-ghan. Along with his mother and his friend, Hasan Jeghjeghe, Ali had an ordinary life. The movie discourse, making use of two events, provided a link among the three narrations. The first event included Qaroon’s action in killing himself within Zayanderood. This event bridged the first and the third narration. Rescuing Qaroon, Ali and Hasan brought him to their home and accordingly Qaroon with the name of Esmal Bi-kale came into the narration. The second event happened when the tire of Shirin’s car dropped into a hole while she was driving and Ali helped her out. Making use of another event, this event provided a link between the second and the third narration. That is, Faramarz, the insistent suitor, decided to take her beloved away by force; however, Ali and Hasan rescued her. Following this scene, the three narrations were interwoven. Ali agreed to play the role of Qaroon’s son and help Shirin. Consequently, Ali paid a visit to Shirin’s family. Meanwhile, Faramarz, made an attempt to reveal Ali’s real identity. In a scene through which Faramarz was to succeed, Esmal who had earlier convinced Ali’s mother, his ex-wife, to reunite him once more, dressed up as the real Qaroon and prevented Faramarz to reveal the real identity of Ali.

In the last scene, Ali who had known his real father did not accept him as the father had left his family for many years; however, later on, while his father was being beaten, Ali addressing him as “father” saved his life.

3.2. Movie segmentation

To suit the research purposes, the movie was segmented into distinct parts. Following is the demarcation of the movie. It is worth mentioning that each part may be only one scene long or the summary of several scenes.

- Part 1: The movie discourse including many servants, a luxury house and a private airplane indicates that Qaroon is a man from the upper-class of the society. Qaroon is on the threshold of death and his physical condition only allows him to have the basics of living including partial amount of bread and water.
- Part 2: Travelling to Isfahan, a metropolis in Iran, Qaroon looks at the photos of his family regretfully.
- Part 3: Qaroon is to loan Faramarz who is to marry the daughter of Mr. Zarparast, Shirin, almost 800 $.10
- Part 4: Qaroon is desperately in a hotel in Isfahan. He feels regretful over making his family leave the house many years ago. Saying “this life is of no use”, he dismisses his servant and makes up his mind to go on a long trip.
- Part 5: Two passer-bys see a man throwing himself into the Zayanderood. The man is Qaroon. Ali, the younger passer-by, jumps into the river to rescue him. Addressing the older passer-by, Hasan, Ali says: “being unhappy with his miserable life, he decides to kill himself”.
- Part 6: Ali and Hasan bring the man into their house. Entering the house, Ali asks his mother to leave the room as their guest is a man. Putting his own clothes on the man, Ali sings to him. Qaroon conceals his real identity.
- Part 7: The Zarparast, a wealthy family, talks with Faramarz about his marriage with their daughter, Shirin. Entering the room, Shirin informs her family that in her trip to India, the son of Qaroon, falling in love with her, has made up his mind to marry her.

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6 Free from care or sorrow
7 Rattle; Hasan is in business of rattles
8 A famous river in Isfahan
9 Brainless; Esmal does things in unintelligent way including throwing himself in the river
10 Big money at the time
11 A cultural norm among some Iranians which, highly emphasizing piety, says women should leave the room when they have a guest who is a man and with whom they don’t have a relationship of blood, foster, or in-law.
Part 8: While Ali Bi-gham, Hasan Jeghjeghe, and Qaroon who from that moment on is called “Esmal Bi-kale” are crossing the street, Shirin’s car suddenly changes its course and drops into a hole. At first, Shirin finds Ali guilty and addresses him as “the street youth”; however, at last, she asks him for help and Ali helps get the car out of the hole.

Part 9: Ali with his father vilifies the father who had left them many years ago and says: “Like all my coevals who have a father, I wish I had a father who lovingly called me ‘my son’”.

Part 10: Ali, Hasan and Esmal are in a bar. Ali and Hasan are having beer. Ali in response to Esmal’s refusal to drink addresses him “that’s the way life goes on; to continue life, you should be healthy and happy”. Fighting breaks out in the bar.

Part 11: While Ali, Hasan and Esmal are walking on the street, Ali sings “I don’t wish for Qaroon’s13 treasure; I don’t wish for loads of treasure….”

Part 12: Faramarz is forcefully to take Shirin away; while crossing the street, Ali, Hasan and Esmal don’t allow this to happen.

Part 13: Ali, Hasan and Esmal bring Shirin into Ali’s house. Ali addresses his house “the poor house” and says “this poor house does not deserve this lady”. Telling them that she lied to her family about the son of Qaroon’s wooing her, Shirin asks for their help. They agree to help her. Ali says “we must always help people”.

Part 14: Ali, playing the role of the “son of Qaroon”, Hasan as his translator, and Esmal as their driver, leave for Royal Tehran Hilton Hotel to meet Shirin’s family. Shirin’s mother describes Ali as “a handsome wealthy educated gentleman”.

Part 15: Qaroon’s servant enters. The movie discourse indicates that Qaroon himself orders him to come. The servant drives them to Qaroon’s house.

Part 16: Ali and Hasan can’t have meals like those of upper classes; they eat food with their hands. Esmal and Shirin glare crossly at them. They even can’t sleep well on the bed; they sleep easier on the floor. While Hasan is complaining that “I wish we were wealthy”, Ali responds “Get to sleep! Don’t be ingratitude towards Allah!! What is the use of being wealthy? Be Healthy all the time!”

Part 17: Shirin and her mother are talking about Ali at home. Her mother describes Ali “well-mannered and noble”. Shirin continues that Ali isn’t a fan of nightclub and bar.

Part 18: Faramarz does the trick, brings Ali’s mother into Tehran, capital of Iran, and introduces her as a laundress to Zarparast family; however, Ali pretends that he doesn’t know her.

Part 19: Faramarz decides to take Ali’s mother away; however, Ali and Hasan rescue her. Knowing Ali’s mother, Esmal conceals himself.

Part 20: Ali takes her mother with him to Qaroon’s house. Describing the house to her mother, Ali says “look around and take pleasure in …….. take a look at the plasterwork……….. see what the plasterer has made……………look on!”.

Part 21: Ali’s mother recognizes her own furniture in Qaroon’s house. She is Qaroon’s last wife.

Part 22: Entering the house, Qaroon asks his wife to forgive him because of leaving her and their son. At first, she beats around the bush; however, she forgives him at last.

Part 23: At the courting ceremony, Ali sings “Festival night! and my beloved’s wishful pleasure…………. Cooked beetroot, and me devoid of Qaroon’s14 treasure…….” Faramarz discloses Ali’s identity. Ali makes up his mind to confess everything; however, at the last minute, Qaroon and his wife, Ali’s mother, appear.

Part 24: Ali embraces the father while he thinks that they are playing a trick to perform the plan. Qaroon addresses Faramarz “you’re well aware! I can make you invisible forever!!”

12 Having a great love of jewels
13 An immensely rich man at the time of Islamic Prophet Musa; not the character of the narration
14 An immensely rich man at the time of Islamic Prophet Musa; not the character of the narration
Part 25: Ali's mother tells him that Qaroon is his real father. Seeing red, Ali addresses his father "disgraceful" and makes up his mind to leave the house. Shirin stops him. Ali says "go to hell; all these are because of you! You are guilty! You've involved me in these circumstances! I had an ordinary life. I got paid peanuts for doing my job but I earned my living respectfully. I never change my poor life with this man's Qaroon's treasure. You make my life a misery! I don't want to see you anymore!"

Part 26: Movie discourse indicates that Ali and Hasan have been alone in Isfahan for a couple of days. Hasan takes Ali with him to the home.

Part 27: At home, Ali confronting his mother embraces her. Shirin who is in another room enters. Mother says that she has come to live with them. Ali responds "with whom? Ali Bi-gham and his mother? Or the son and wife of Qaroon? .......... I have no business with her…… she makes a mistake to do so." Qaroon dressing as Esmal Bi-kale enters. Ali makes fun of him. Defending Qaroon, Shirin says "you don't deserve to be a human! You are a beast! Where are the zeal, honor, and manliness you have been proud of? .......... You don't deserve to be a human!"


Scene 29: In a bar near Ali's house, Qaroon tells Shirin that if he dies Ali and her mother will be the beneficiaries. Meanwhile, fighting breaks out in the bar. Qaroon is being beaten.

Part 30: Passing nearby, Ali hears the sound of fighting. Entering the bar, he rescues his father. The movie ends with the reunion of Ali, Shirin and his father.

3.3. Textual context

3.3.1. Fantasy

Ali Bi-gham is an ordinary man from the lower-class of the society. Constructing a fantasy and expressing his desire, Ali responds to what the big other wants and what his role for the big other is. To explain his position as a worker in the Symbolic, the big other asks him to help others: "we must help others"; be honest: "nothing is better than honesty in the world"; not be interested in money: "what is the use of being wealthy? Be Healthy all the time". However, Ali desires to have a life style like that of the upper-class of the society. This given desire has been presented through several parts including the one in which Ali, astonishingly, addresses her mother while describing the Qaroon's house "look around and take pleasure in .......... take a look at the plasterwork........... see what the plasterer has made...............look on!" (cf. part 20) or the one through which Ali sings "I don't wish for Qaroon's treasure; I don't wish for loads of treasure....." (cf. part 11). This desire is a kind of projection namely a sort of denegation indicating that he desires to both Qaroon's treasure and loads of treasure. Accordingly, through his world of fantasy, he plays the role of "Qaroon's son" since "Qaroon" is known to be the wealthiest man among people. Within his fantasy, he is described as "handsome, wealthy, gentleman, educated, well-mannered, and noble" (cf. part 14 & part 17). The given attributes are those which Ali doesn't truly possess in the Symbolic; however, in his fantasy he deserves himself to have those. Likewise, Shirin describes him as the man who is not a fan of nightclub and bar as in reality Ali enjoys going to bars (cf. part 17).

In the scenario of Ali's desire, there is an object-cause of the desire, as well. Shirin as a cute girl and a member of the upper-class plays the role of an object that fascinates Ali. However, why should Ali bring Shirin into his fantasy through a driving accident? In response to this question, no explicit reason is provided within the movie narration, but, an absent element may be constituted. Imagine a young mechanic wearing greasy coveralls is working. A cute girl driving her car enters his garage to fix his auto. He is attracted by her without knowing that he is just a street youth in her mind. He fixes her car. Paying no attention to him, the girl leaves the garage. In Ali's fantasy, this cute girl shapes as a girl whose car has found problems and this is Ali who helps her out. Similarly, Shirin sings to him (projection of desire in the fantasy since Ali himself sings through the movie), offers him clothes of Qaroon's son and falls in love with him. Thus, Ali constructs a
fantasy within which he changes to the son of the wealthiest man in the city and a rich girl falls in love with him, too. Next, he enters an upper-class luxury house, swims in their private pool, and owns a chauffeur. Accordingly, the subject resolves the eternal deadlock of the narration of class evenness for himself so that he can signify his life and position in the Symbolic and justify lack of the subject.

Furthermore, object-cause of desire can be related to the big other, as well. The big other involving a gap in essence makes an attempt to fill it in. “Object petit a” fills the vacancy in. Here, the gap of the big other is a kind of class gap which asks Ali Bi-gham to resort to the object, Shirin. In the character Shirin, there is something more than Shirin herself that triggers Ali’s desire, i.e., subject can resolve the class gap within the society for himself and the big other through having a wealthy and pretty wife. Desire of Ali, i.e., the desire of the other is the desire of Shirin for him and in reality the desire of the big other.

The fantasy constructed by Ali has kept on till the identity of Esmal Bi-kale is disclosed to him. Evaluating subjectivity of Qaroon for Ali Bi-gham can be recognized as a kind of eruption of the Real. The Real is a surplus in Symbolic relations. That is, Esmal Bi-kale who had previously been a poor miserable man making up his mind to kill himself because of his miserable life changes to a father whom Ali seeks his patting hands throughout his life. From this moment on, the whole fantasy of the subject knocks down. The class gap no longer signifies the one intended by the big other. Ali faces with crisis and his object-cause of desire changes to a piece of shit. That is why Ali crossly addresses Shirin “go to hell; all these are because of you! You are guilty! You’ve involved me in these circumstances! I had an ordinary life. I got paid peanuts for doing my job but I earned my living respectfully. I never change my poor life with this man’s Qaroon’s treasure. You make my life a misery! I don’t want to see you anymore!” This Anger is due to the big other paradoxical relationship with the subject. On one hand, the big other asks Ali not to be interested in money; on the other hand, it has enriched him through fulfilling his fantasy. Accordingly, realizing that Shirin is preparing to live with him, Ali says “with whom? Ali Bi-gham and his mother? Or the son and wife of Qaroon?” (cf. part 25).

In the given part, Ali’s father helps his anger subside, as well. Previous to Qaroon’s entrance to their house, Ali and his mother had lived together in a mythical unity within the imaginary reality. Hasan Jeghjeghe is also a part of this reality since rattle is a baby’s toy and where Ali has experienced his first jouissance in the company of his mother. While Esmal is entering the house, Ali asks her mother to leave the room as their guest is a man and he doesn’t want his mother to be seen by a “Na-Mahram15”. When it becomes evident to Ali that Qaroon is his real father, he looks on his father as a jouissance who is to forcefully take his mother away. Therefore, addressing his father, Ali says “you are my father! My disgraceful father! … Good for me! I’m ashamed of knowing you as my father……” Thus, leaving his mother with his father, he goes away. In our mind, the fantasy of the subject is ended at this point and the rest of movie narration refers to the ideology.

3.3.2. Ideology

3.3.2.1. Content

The character Qaroon is represented in two ways in the movie. On one hand, having many servants, a luxury house and a private airplane, Qaroon is a rich man owning all the requirements of a capitalist lifestyle. He is such a man who strongly talks with his inferiors. According to Qaroon’s claim, this strength has an absolute performance guarantee. This is truly evident when he addresses Faramarz “you’re well aware! I can make you invisible forever!!” (cf. part 24). He is a benevolent man, as well. Loaning Faramarz, Qaroon tries to make Faramarz’s life prosperous, too; thus the life of another man is in his hands. He, who within the social stratification is classified into the higher strata of the society, is only short of one point namely having no wife.

15 The man with whom the woman doesn’t have any relationship of blood, foster, or in-law
and children and finding him at fault because of making his family leave the house many years ago. This authoritative man kneels down and asks for forgiveness (cf. part 22).

On the other hand, Qaroon plays the role of Esmal Bi-kale, a poor man who seeks a shelter to live in, gets into an ignorant fight with others, is satisfied, and helps people like what Ali does. This second representation indicates that an authoritative rich man dressing worn-out and poor clothes doesn’t greatly differ from the members of lower-classes.

The most principal action taken by Qaroon is making a decision to kill himself. With this action, the audience takes pity on him and asks “Does he really deserve to kill himself?” “Why should such a nice man die?” “Have he been in search of great things?” Furthermore, at the end of the movie, Qaroon being beaten inspires the same pity once more. Therefore, the overall cost Qaroon has to pay throughout the movie is being beaten and taken pity on. In this way, the audience gets prepared to accept that Qaroon is worthy of having the great love of his son.

Concerning the character Ali Bi-gham, the trait attributed to him is “carefree”. This choice of terminology summons up an image in the audience mind that Ali has a life free from care or sorrow. Ali is also represented in two ways within the movie. On one hand, he is a poor man who earns his living through working in a garage and is satisfied with his life with his mother and Hasan Jeghjeghe. His dialogues simply justify his social position, e.g. “that’s the way life goes on; to continue life, you should be healthy and happy” (cf. part 10). Through this dialogue, he is represented to be of better physical health condition in comparison to his sick father. On the other hand, he plays the role of Qaroon’s son. In this representation, however, he can’t get along well with the norms of the upper-classes and tells Hasan that he is happy he ends his role as the son of Qaroon soon. His actions in rescuing Qaroon, helping Shirin out, and helping his father once more at the end of movie are more outstandingly screened to indicate his best intentions in the mind of the audience. When Ali doesn’t accept his father, Shirin addresses him “you don’t deserve to be a human! Where are the zeal, honor, and manliness you have been proud of? ........ You don’t deserve to be a human!” that is, honor necessitates him to forgive his father. The audience is also convinced that Ali as an altruism man is better, indicating manliness, to forgive his father.

The content of the representation and actions undertaken by these two characters of the movie present a particular kind of the reality. That is, the members of the upper-classes are not happy with their lives. Although they are not concerned about material welfare, they are terribly sick and deserve to be taken pity on. In contrast, those of lower-classes, despite their low incomes are kind, generous and enjoy good physical health.

3.3.2.2. Structure

Some complexifications occur for both Shirin and Qaroon, namely the subject of upper-classes, within this movie narration. Qaroon has been trapped in the meaningless of life and Shirin is desperate because of the suitor whom she doesn’t like at all. These complexifications are resolved by Ali and Hasan Jeghjeghe, namely the subject of lower-classes. Ali sings “Festival night! and my beloved’s wishful pleasure………… Cooked beetroot, and me devoid of Qaroon’s treasure……” (cf. part 23). That is, the one who resolves the complexifications and resolution within the movie narration is the cost the ideology pay to the members of lower-classes to set out an obtainable reason for their social lives. In other words, the poor may not have enough power and wealth to change their path of lives. However, they can help others, in particular those who are wealthier, through their altruism and sacrifice. Although they cannot make radical changes, their representatives in the movie including Ali and Hasan have the power of change; this suggests that the members of lower-classes have the power of change, as well.
3.3.2.3. Gaze

The question posed here is “from which point must we look at the movie?” In answering this question, we refer to the movie segmentation. When Ali and Hasan go to Qaroon’s house and dine at a luxury dining table, Ali and Hasan can’t have meals like those of upper classes; they eat food with their hands. Glaring crossly at them, Esmal and Shirin make an attempt to prevent them. The point looks at this event is the one looks at the narration. In this movie, Ali, his mother, and Hasan, as the representatives of lower-classes, have a happy life. In contrast, Qaroon, as the representative of upper-classes, has faced crisis. Also, Zarparast family, who as their name suggests has a great love of jewels, only thinks about power and money. Description of a life full of happiness and joy in lower-classes is an ideological gaze taken by those of upper-classes to justify the lack of social welfare in this way. At the end of the movie, Ali, who had previously left the city, is obliged to meet his father in Isfahan while he’s dressing up as Esmal Bi-kale and supports him, as well. Besides, he has to accept the girl. This support and acceptance can be regarded as an obligatory choice for Ali in order to keep the social order through empty gesture. At the end of the movie, while Ali, Qaroon, and Shirin are passing by the camera, the given ideological gaze tells the audience that although you are wearing worn-out clothes, your wealthy father with the same worn-out clothes is with you and you are a happy family.

4. Discussion and Conclusion

This study was to resolve a specific kind of fantasy namely class fantasy and illustrate how movies, through the construction of the fantasy, serve to justify the prevailing ideologies at the time. Class fantasy is constructed by the subjects of lower-classes. Within this fantasy, the subject doesn’t accept his position in social atmosphere, and desires the lifestyle of upper-classes. Accordingly, having no way to get away from the real, in his imagination, through having relationship with a rich girl, he makes an effort to consider himself as a rich man. In Lacan terms, a rich girl is the object-cause of desire. That is the object that triggers the subject’s desire and provides him the promise of a change. The same has been screened in the movie Ganj-e Qaroon. When Ali Bi-gham recognizes that he is originally a rich man, object-cause of desire changes to a piece of shit and loses her position within the scenario of Ali Bi-gham’s desire. The reason behind it is that, the object-cause of desire fills in the gap of the big other, in this scenario the class gap, so that the subject of the lower-classes can fill the given gap; however, when the subject recognizes himself as a member of upper-classes, the object loses it prior symbolic sense and changes into a piece of junk. As the analysis of the movie indicates, Ali’s acceptance of Shirin and his father refers to the ideology of the movie. This ideology, to be exact class ideology, screens the class fantasy. That is why the movie could sell well. Concerning the ideology, we can refer to the given bourgeoisie at the time. Great monarchy bourgeoisie was Iran most principal capitalist class in 1960s; a class whose major source of asset and income was provided by “dollar-based trading in the oil”. While exploiting labor force didn’t provide them with direct income, legitimacy of their rule was accounted vital necessity for them. Furthermore, White Revolution, a fatherly action taken by the most distinguished figure of Iran great monarchy bourgeoisie namely Shah to fascinate people and legitimize the Pahlavi dynasty, was launched in 1960s. Shah intended the country to improve, and the rule to promote the welfare of all citizens. Indeed, he was going to show considerable public sympathy this way. Likewise, the ideological representation of social class in the movie offers a peaceful coexistence of upper-classes with lower-classes. Although those of upper-classes have high incomes, it couldn’t provide them happiness in their lives. Indeed, these are the people of lower-classes, who are content with their lives, have lives free from care or sorrow, are filled with a sense of well-being, help their kind father out, and continue the path of life with the father of upper-classes arm in arm. Without a doubt, representing a kind of class peaceful coexistence, the movie sutures audience within the narration through which they are filled with a kind of contentment. They are content with their life in the company of the father, at this point the king of Iran Mohammad Reza Pahlavi. In other words, cinema apparatus represents the class fantasy of the
subjects and in order to control the desire of the audience, uses the end of fantasy in favor of the benefits of the class honesty or to be precise its own favor.

References

Non-Verbal Communication and Volleyball: A New Way to Approach the Phenomenon

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Abstract: Too often in sports the qualitative aspects of performance are addressed with superficially and approximation because it believes that it is not scientifically possible to explain everything that is not easily quantifiable and expressible in the form of numbers. In volleyball, the ball is rejected, both among members of a team and between the two opposing teams, with a frequency significantly greater than in other team sports. For this reason, in volleyball, not immediately quantifiable aspects of the game action are greater than other team sports. The qualitative aspects in volleyball concern technical skills, tactical decisions, strategy and more. Among these, non-verbal communication has not yet been considered as an object of study and thus not yet investigated. This study provides the initiation of an integrated research between social science and sports science to allow technicians, coaches and physical education teachers to learn more about another important aspect of quality for the purposes of training and education. The aim is to identify applications of the principles of nonverbal communication, which has its own epistemological framework, to volleyball through the systematic analysis of specific game situations. The method integrates the theoretical-argumentative and descriptive approach. Communicative events attributable to non-verbal communication were classified into three categories: communication tactics, functional communication and diagnostic communication. The frequency and outcome of these events were investigated in relation to three specific volleyball technical skills related to nonverbal communication: a) the second ball goes to the opposite court instead of setting for attacking; b) the attack as fast as possible in the middle of the net; c) the off speed hit instead of power spike over the block; The results show a significant incidence of communicative events related to non-verbal communication on the final outcome and, therefore, suggest that non-verbal communication is subject of interest to technicians, coaches and physical education teachers.

1. Introduction

Nonverbal language, according to major authors such as Shannon, Weaver (1948, 1949), Argyle (1988), Mehrarabian (1972), Watzlawick (1967), Hall (1966), Jackobson (1956), Ekman and Friesen (2007), has its own epistemological framework where the message is empirically investigated in its. An Albert Mehrarabian study (1972) showed as the 7% of the message content is given by the meaning the word, the 38% by the tones of the voice and the 55% by facial expressions and body movements or kinaesthesia. Communication is the foundation of sociability and socialization, as implies cooperation, exchange of roles (transmitter / receiver), a code-sharing and the sharing of a context and a channel. According to phenomenological theory (Husserl 1936, Merleau Ponty 1945) Communication is sociability because it consists of several behaviours that help socialization through the constant exchanging among individuals, called intersubjectivity, to construct the meanings. The human being, through the natural development and evolution in the interaction with the socio-cultural environment, acquires a set of norms, values and patterns of behaviours characteristic of that certain cultural reality. They are learned and assessed in the variability of contexts. Only from within the context it is possible the decoding of a nonverbal message; this is difficult from the outside because there is no relevant information on specific signs, symbols, signals, attitudes, postures, spaces, distances (Mehrabarabian 1972).

The knowledge of the factors of communication does not ensure the success of the communication; in case of relations among individuals belonging to different contexts, it is necessary to remove the barriers of separation against which the communication would not be effective. In order to have an effective communication it is necessary being able to identify the message, the transmitter (the one who produces it), and the receiver (the one who has to decode), the context within which the process takes place,
the communication channel and the attributed conventional code. Code means a shared system for the organization of signs that refers to a linguistic and / or body code. Channel means the physical space by which the communicative act takes place. The context, understood as an environmental and psychological scenario in which communicative acts occur, may interfere with the communicative process when, for example, the code of the transmitter is understood by the receiver, but the sense is distorted for ideological reasons (Jakobson 1956). Non-verbal language represent the first real form of communication between individuals.

Some aspects of nonverbal communication are universal, some others are different in different cultures and backgrounds, which is "a major source of antagonism, misunderstanding, and contrast among cultural and ethnic groups (Argyle 1988). The smile, facial expression and symbol in conformity with different contexts, cultures and places, is universally interpreted as a sign of contentment, while in Japan the smile is used as a mask that can hide reticence or embarrassment. Facial expression (Ekman & Friesen 2007) is the first element to be analyzed in a first approach, followed by posture, by movements and kinaesthesia. Facial expressions that communicate emotions are very similar in different cultures and in different contexts. If Ekman and Friesen studies emphasize that facial expressions express emotions, feelings and moods, no less importance must be given to gesture, which " is the aspect that seems to change more in different cultures " (Argyle 1988).

Argyle defines emblems the nonverbal acts that have a direct verbal translation, such as nodding, beckoning and pointing. The origin of these actions is derived from fundamental human experiences or from natural symbols that describe actions or people. If pointing is considered to be universal in all cultures, nodding in many cultures as in Northern Europe is used to indicate "no", while in Greece a rapid backward movement of the head is a sign of denial (this movement is also specific in the Neapolitan body tradition). The same sign with the thumb and the index closed to form a ring is a sign of approval in the U.S.A. and in Northern Europe meaning "OK", but in Southern France indicates something worthless remembering. It should not be neglected the contribution of sign language that in its purest form has been developed by categories of people who cannot use words such as deaf. The visual interaction considerably varies within different cultures. Arabs, South Americans and Southern Europeans in a research conducted in 1970 by Watson on a sample of 110 foreign students of Colorado University, stare more than students from other cultures where physical contact is limited. Just as American blacks stare less than white ones, giving the impression of a little attention or understanding when combined with mild head movements during listening. While for Afro-Americans gazing directly at a senior would be index of equal status, so they are reluctant to do so because their action would be interpreted as a lack of respect (Meharabian 1972). Even the spatial behaviour must be properly considered in the relationship between individuals and groups. The anthropologists often distinguish between cultures with frequent physical contacts and cultures without or very limited physical contacts. Individuals from cultures with a frequent physical contact (Arabs, Latin Americans, Southern Europeans) are closest, are often more opposite of each other, they touch themselves and stare much more at each other, they also speak more loudly than people from cultures of non-contact such as Asians, Indians, Pakistanis and Northern Europeans.

The Arabs, for example, during the salute, shake hands for a certain period of time, or they can embrace and kiss hands, beards or faces on formal occasions; Arab men, during their conversations, touch themselves on the upper arm with their right hand and playfully slap each other with their right hand; Arab women, on the contrary, are in no way touched in public. Most likely the differences of spatial behaviour may result from differences in the structure of the physical environment, such as the dimensions of houses and the degree of crowding. Instead, we are likely to interpret the spatial behaviour in a very simplistic way: who gets too close is considered intrusive as opposed to that who approaches too little that is considered cold and aloof. There are considerable cultural differences regarding the quantity and type of contact. The Arabs also have a stretched forward posture at an angle of the body most directly aimed at contact, while the Japanese bows, even up 45 °, are just a sign of respect. Another characterization of ethnic groups is the use of tone
and vocal intensity, not to associate with verbal communication that is the absolute transmission through content of the word that is the meaning. The inhabitants of the West Indies for example do not point to the end of sentences with a rising tone of the voice appearing rude to the English culture, they also make use of high tones to emphasize what they say, incorrectly interpreted as sudden outbursts of anger. The Arabs use a very high one of voice compared to that of the most part of other cultures that could be seen as assertive while for them talking with a high tone is synonymous of sincerity. Japanese people change their vocal style according to sex and social status of their interlocutor; Morsbach has assumed the distinction of eight separate tones of voice (Argyle 1988). According to Paul Watzlawick, human communication can be divided into three areas: syntax, semantics and pragmatics. The first covers issues related to coding and decoding of information, to channels, to redundancy and to noise, the second is concerned with the meaning of communication for transmitters and finally the third focuses on the effects of communication on the receivers, particularly on the influence it exerts on their behaviour.

The Palo Alto school, where Paul Watzlawick belonged, was the seat of the specific studies of the behaviourist version of communication. Paul Watzlawick, together with Janet Helmick Beavin and Don D. Jackson, publishes "Pragmatics of Human Communication. A Study of Interactional Patterns, Pathologies, and Paradoxes" and over the years deals primarily with this third aspect of the communication: pragmatics. He arrives at the conclusion that behaviour is communication, in clear agreement with the Behaviourism.

Proxemics is the field of knowledge that studies the space and the distances within the communication. It has another element of nonverbal communication. The term proxemics was introduced by the anthropologist Edward T. Hall in 1963 to indicate the study of neighbourhood relations in communication. Hall noted that the distance among people is related to the physical distance, he has assumed and measured four "distances" among people. The distance defined intimate that passes between 0 and 45 cm for people with special relations, the personal distance between 45 and 120 cm for friends, the social distance is between 1.2 and 3.5 meters for the communication between acquaintances or teacher-student relation and finally the public distance that goes beyond the previous distances for public relations. In the book The Hidden Dimension, Hall observed that the distance to which you feel comfortable with other close people depends on the culture and on social contexts and therefore is variable.

This brief analysis provides the backdrop for the study of nonverbal communication in situation sports. It helps to collect a set of empirical factors related to communication and relations during the game and to systematize them in a specific theoretical framework. The confrontation between adversaries also occurs through bodily communication, with effects in the specific context, in a specific time and place.

The body communication is undoubtedly among the qualitative aspects of the movement, ranging from the technical fundamentals of the game tactics, individual and collective (Teodorescu 1985) and the organization of learning and teaching (Pieron & Wauquiepr, 1984). Each context has its elements of communication: a sport is different from another for the dynamics, rules, structures and composition of individuals (Hughes & Franks 2004).

In team sports where the ball continuously runs, there is the maximum of the complexity for the high number of variables and its dynamic as well as volleyball. Currently the processes of training, the organization of it and the methodology of teaching and of the training need more knowledge about every aspects of sport (Wrisberg & Schmidt, 2008). For this view the quantitative aspect of performance is important and it includes the strength and its mechanism to improve the power and it is an unique quantitative and qualitative process. Too often in sports the qualitative aspects of performance are addressed with superficially and approximation because it believes that it is not scientifically possible to explain everything that is not easily quantifiable and expressible in the form of numbers.

In volleyball, the ball is rejected, both among members of a team and between the two opposing teams, with a frequency significantly greater than in other team sports. For this reason, in volleyball, not immediately
quantifiable aspects of the game action are greater than other team sports. The qualitative aspects in volleyball concern technical skills, tactical decisions, strategy and more.

Among these, non-verbal communication has not yet been considered as an object of study and thus not yet investigated.

This study provides the initiation of an integrated research between social science and sports science to allow technicians, coaches and physical education teachers to learn more about another important aspect of quality for the purposes of training and education.

Focus of this work is the study of nonverbal communication in volleyball. The aim is, on the epistemological basis of nonverbal communication, to identify and to systematically argue the incidence of nonverbal communication on volleyball performance through an applied study of selected actions of game. The analysis of the result of sport performance can highlight relationships between score and some technical skills, which in this case are attributable to nonverbal language, among which is included the feint. The coaching approach of Performance Analysis can help in the investigation for matters related to the result. The datum can help coaches to re-evaluate some specific aspects of technical skills (Hughes & Bartlett, 2002) depending on bodily communication.

2. Method

The overall methodology of the work was inspired by the ecological trend of the integration of knowledge for the realization of a “well done head” (Morin, 2006) and by the plurality of intellective forms (Gardner 2002).. The sports research in education requires a plural and integrated approach to enable the competition of different methods in order to offer the widest scientific speculation. The knowledge is derived from fields of knowledge attributable to different scientific traditions that apparently do not seem to communicate.

The method of this study is integrated between a theoretical-argumentative approach and descriptive one. The theoretical-argumentative approach belonging to the field of human sciences and the applicative one belonging to the field of performance analysis.

It consists of two consecutive steps.

The survey of datum is entrusted to the methodology of performance analysis and is gradually carried out with the contribution of experts, coaches, analysts. The identified technical skills of the fundamental of the attack are:

a) the second ball goes to the opposite court instead of setting for attacking;
b) the attack as fast as possible in the middle of the net;
c) the off speed hit instead of power spike over the block; (Raiola 2012)

The analysis takes place during the game always in opposition to the opposite block. Experimental research in sports-education field allows us to analyze the movement through performance analysis methodology and notational analysis methodology (Hughes & Tavares, 2001). The qualitative research for the study of movement also includes quantitative aspects, highlighting the substantial uniqueness and wholeness of the gesture, of the execution and even the relationship that is established in teaching communication. In approaching to sports-teaching research it is in fact present the simultaneous use of qualitative and quantitative methods, the use of tools and techniques with applications of rigour and consistency to help you analyzing, evaluating, estimating the uniqueness and wholeness of the sport phenomenon.

The activity of investigation of the movement in the educational environment is subject then to bonds that require specific skills of the researchers to functionally integrate methodological approaches used by education sciences with strategies of research peculiar to the movement sciences and to sport sciences.

The theoretical argumentative research, which belongs to human sciences, is complemented by experimental research, by action research or intervention and by descriptive research. It becomes complex
and ecological. Complex because it consists of multiple approaches, ecological because it is opposed to
reductionism to contextualize the dynamics in a single process. It is integrated because it combines
various theoretical aspects of pure study joining them to the observed data with quantitative models of field
observations. The tools are those of performance analysis with annotations in real time and also delayed
by the use of video-software by experts, coaches and analysts, the latter already specifically trained for
operators who, although holders of amateur status, are regularly paid within the sports system. In particular,
data of the analyst were collected after a specific request of the researcher about what to observe, how to
observe and to record as in line with the traditional request action of the coach for each
competition. Generally, the evaluation of datum is provided by a team made by the analyst, by the coach and
in some cases by the athlete. However, the datum is derived by the analyst which expresses the last
assessment, because he plays this function even in the real field. The tools are provided by the performance
analysis with hand notation and delayed with the use of video-software made by the analyst. In this study, the
activities are conducted in a research group formed by trainers, technicians, recruiters and performance
analysts of the Qualification Centre of Regional Committee of Campania of the Italian Volleyball Federation
since 2008. Observers group analyzes three fast volleyball skills to evaluate the type of phenomenon by
the following four steps:

1. specialized literature review
2. observation
3. investigation
4. focus group

The focus group is composed by are three coaches of major level of the observed team and by six athletes of
the observed volleyball team.

Theoretical and argumentative approach are addressed to the applicability of the foundations of the
type of nonverbal language to volleyball about attack actions and to look for a possible specific definition of
it for typologies of activities. This is aimed to combine and to deduce the elements of knowledge on non-
verbal languages with the impact on human behaviours into the competitive activities of volleyball, so to
identify some of the technical skills of the fundamental of attack, including the elements of nonverbal
communication.

The work develops in stages with the methodology of focus group (Albanesi 2004). The first stage is the
training by the researcher with the use of knowledge relating to bodily communication and the purpose of the
study quoted in the introduction of this work; and the second is about the analysis of specific game phases of
3 league competitions to define some applications of coding and decoding of the message of bodily
communication and a possible classification applied to volleyball. The activities were analyzed in real time by
three coaches, punctuated by frequent comparisons during numerous suspensions (ball changes,
substitutions, rest times, various interruptions) with annotations and written notes. At the end of each of the
three competitions, the group meets with the researcher and, with the methodology of focus group, they talk
about the possible type of nonverbal communication in volleyball. It is defined for activities of the various
forms of nonverbal communication connected to the different fundamentals of game.

Finally, the six athletes give their contribution to give the subjective opinion on the evaluation and the type
of classification.

3. Results

The results are two types: empirical and descriptive one. The empirical results classify the non-verbal
communication in functional, diagnostic and tactical. The descriptive results on the 3 chosen technical skills,
where the nonverbal communication is present, are: the off speed hit 10.32%, 8.70% the first time spike in the middle of the net, 6.10% the second ball of the setter instead of setting; for an total amount of 25.12%.

4. Empirical results

Volleyball is particularly suited to the study of nonverbal communication for the peculiarity of the reduced time that have the neuropsychological processes at their disposal in the mandatory mode of the clearance of the ball, otherwise it is sanctioned the foul (Raiola 2010a). This feature does not happen in any team and situation sport. The technical and tactical aspects assume greater significance in volleyball than those quantitative ones. In addition, particular issues non verbal communication take into account the body feint, manifest intention to achieve a goal through the initial execution of a motor plan with specific signs, postures, attitudes, etc., then is realized in completely different way (Raiola 2010b). In this case the neurophysiological and psychological bases of the movement associated with perception affect the implementation of fundamental and the single technical skills.

Summary nonverbal communication is made by three steps (fig.1).

**Fig. 1:** Karl Bühler’s communication model, sender-message-receiver

Communicating means to establish a relation between two persons and among people and it implies the transfer of information. However, communication is not only transmission of information through a channel, it is also relation in the sociality where sender and receiver cooperate for a common goal and they exchange roles as the following systematic scheme. The communicative process is a unique and dynamic flow made of several steps: sender, context code, communication channel, and receiver, as the following scheme (Jakobson 1956) (fig. 2).

**Fig. 2:** Reunited model of communication (Karl Bühler - Roman Jakobson)

The whole phenomenon of nonverbal communication is represented by the model in figure no.3 where are visible further specifications and other variables as follow (fig.3):

- Transmitter is also the source of information, he gives an initial message by encoding
- Sender releases and deliveries the initial signal
- It passes throughout the source of noise with modifications
- It becomes the final signal
- Receiver acquires and decodes the final message
- Addressed is also the destination of information, he receive a final message by decoding
About the classification of decoding the nonverbal message, the result was restricted to three possible types of decoding of behaviour:

1. The decoding of the signs of facial expressions is *functional* when it is done in the same team and it involves communication among teammates or between the coach and the athletes about tactics intentions, strategies and game problems. Examples are the call using the conventional signs by the setter for the actions of attack and by the middle hitter in the wall for the actions of defence. In volleyball, for example, the setter uses conventional prearranged signs to communicate to the other players the plans of the game (hand gesture) fig. 4:
   a. index finger meaning the ball will be set (tossed) in front of the player (setter) for a very rapid spike centered on the net by the attacking player;
   b. middle and index finger meaning the ball will be set (tossed) behind the player (setter) for a very rapid spike on the right side of the net by the attacking player;
   c. thumb and index finger meaning the ball will be set (tossed) away and in front of the player (setter) between the left side and the centre of the net for a very rapid spike by the attacking player;
   d. thumb and little finger meaning the ball will be set away and behind the player (setter) between the right side and the centre of the net for a very rapid spike by the attacking player.

2. Decoding is *diagnostic* when analyzing the various forms of nonverbal communication of the opposing team, the signs of the athletes and of the coach that anticipate or call for game actions. Examples are the actions of opposing attack in the combination of patterns of smash through a reading or options of wall players to choose which shot attack to contrast.
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- close contact and a glance (distance between the players of two teams, visual contact through the net);
- expressive ability (facial expressions and corporeal [body] gestures that precede, continue, and follow the actions of play);
- significant difference between signs (difference between corporeal signals, conventionally coded, prearranged, or personal);
- rituals (gestures, facial expressions, or attitudes that mark the behaviour of the athlete);
- symbolic presentation of oneself (utilization of the body and of gestures to express one’s own needs or demands).

3. Decoding is tactics when the act or the action simulates an action game to stimulate a reaction of the opponent team. Example is the feint in all technical skills of the fundamentals.
- dominate when an athlete dominates the area of game thanks to his high athletic and/or technical ability works.
- hostile or adverse when in the adverse phases, the technical-athletic ability works in conjunction with the facial signs and the body pantomime which communicate aggressiveness).
- friendly (during training when the actions of the game are finalized to improve on the plans of attack and defense. In this case, the players of the same team split into 2 separate [rival] teams).
- subjected or mastered (when the offensive abilities of a team are obviously higher)

5. Descriptive results

Currently the analysis of performance in volleyball shows the relationship between the score and the fundamentals of game: service, attack, counterattack, block, defence, receive through the use of the analysis of video performance with dedicated software (Data Project, Dartfish, Focus Elite). The methodology of the Performance Analysis (Hughes & Franks 2004) expands the knowledge on sport performance as it analyzes more deeply performance by seeking possible relationships between the outcome of a part or of the whole performance and the processes associated. The group identifies in the fundamental of the attack the greater number of episodes characterized by bodily communication. the decoding tactics is frequent for the following skills: lobs instead of the powerful smash from all the positions of attack, the second direct hits in the opposing field of the setter instead of the lofted ball, the combinations of attack called with fixed schemes, the fast smashes of the first time from the central place, from behind of the setter with the elevation of a leg and of second-line from central place. It identifies three specific technical skills included in the fundamental of the attack: lob instead of a smash on a lofted ball in position 4, smash in the first time in position 3 and the second touch of the setter from position 2 in the opposing field instead of setting. The game positions in the field go from 1 to 6 and leave from the service position and they develop in a counter clockwise sense.

The second part is a pilot study over 10 championship randomly sampled competitions of the team from Naples belonging to female C division.

As a result of the outcome of the first part of the study concerning the identification of 3 technical skills of the attack, it was carried out an analysis of the scores awarded to the 3 technical skills techniques identified and added to the final measurement. The remark was made by hand in real time, hand notation, by the researcher that is also the coach of the team. This activity is included in the practice of monitoring the field of competition that is made by the coach, by the second trainer or by the analyst for the usual post-competition deepening in the first following training session.

The results are: 10.32% lob, 8.70% first time smash, 6.10% second touch of the setter for a total of 25.12%
Tab. 1 & graph. 1

<table>
<thead>
<tr>
<th>first time spike in 3° zone</th>
<th>the off speed hit in 4° zone</th>
<th>second ball of the setter to the opposite court</th>
<th>Other outcomes</th>
</tr>
</thead>
<tbody>
<tr>
<td>8.70%</td>
<td>10.32%</td>
<td>6.10%</td>
<td>74.88%</td>
</tr>
</tbody>
</table>

6. Discussion

The study helps:
- To define a first inventory of signs used more frequently in volleyball according to the principles of bodily communication (Argyle, 1988), the aspects of perceptive senses (Berthoz, 2002) and the neurobiological implications (Rizzolatti & Sinigaglia, 2006)
- To give a general plan for training that includes knowledge about the function of gestures, signs and mimicking, the structure and the mean of nonverbal messages and the effects of bodily communication on behavior in order to build expressive and communicative skills of volleyball coaches. The paths of training for sports game coaches reflect the guidelines of studies and research on the methodology of the training of volleyball focused on the improvement of functional aspects, on the development of conditional abilities and energy mechanisms and on optimization of the bio-mechanical aspects, undervaluing the function of nonverbal communication during the game through the gestures, the signs and the mimicking.

Usually, the phases of game that differentiate the successful from the unsuccessful teams are determined according to the analysis of the situation parameters of matches in sports game (Hughes & Franks., 2004). For that purpose, matches or sets are used as entities inside such as the quality of performances of recorded phases or volleyball elements is analyzed. Nonverbal communication could determine the outcomes for the actions and skills examined (Raiola, 2011a). Furthermore, in volleyball there are six players in one field that, depending on their playing role, are placed in six different zones and they are rotating clockwise during a game always for one zone, that is, it happens for every step of rotation. For this reason, the volleyball is very variable. In order for a team to be successful, it is necessary to achieve the balance of performance in every actions and for every player. The data obtained with the analysis of the situation efficiency of every phase of a game are used as main guidelines in the planning and programming of volleyball training.

Further research and software development will focus on quantifying the critical performance values and expanding the software for other actions and skills.
The aspects of non-verbal communication in volleyball, its codes and the technical and tactical usage of gesture, are the result of the meeting between tacit and implied dimension that comes from experience gained on the range of activities and a theoretical dimension that scientifically characterizes and justifies the expressive and communicative potential of body (Raiola 2011b).

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Specifying Metadiscoursal Signals in the Novel *Pride and Prejudice* and its Two Persian Translations
By Copple’s model (1980)

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Abstract: Finding out the metadiscoursal signals in any language and analyzing their usage specially in meaning transfer between two different languages is very important. The present paper adopted the model presented by Vande Copple (1980), to find all of the metadiscoursal signals in the first five chapters of the novel Pride and Prejudice by Jane Austen. The number of metadiscoursal signals in all of the related parts in the original novel was compared with those of its two Persian renderings by Pooranfar and Ardakani by a comparative study using Vande Copple’s model. The results of the study showed that the number of metadiscoursal signals usage in the TL translation made by Ardakani was more than of those in Pooranfar’s translation. However, considering both translations, they were poor in transferring the original metadiscoursal signals into the Persian language and it resulted to the less comprehensibility of them comparing to that of original novel. Besides, the consistency, meaningfulness and communicativeness of the translated texts were in a lower level than the original due to the lower number of metadiscoursal signals. As a result, it was made clear that the use of metadiscoursal signals is necessary and complementary in any kind of discourse use.

Key words: Metadiscourse signals, Text connectives, Code glosses, Validity markers, Narrators, Illocution markers, Attitude markers, and Commentaries

1. Introduction

In the process of transferring the meanings, ideas, attitudes, and information we are dealing with language and its different devices (Johnston, 2008). One of the most applicable ways to transfer the ideas in any language is writing. The world of writing is an expanded world for which there have been many debates, researches, and techniques. These techniques can be applicable from the very direct and surface to the very indirect and deep sections of the language. The techniques used in the deepest part of the language especially in writing in order to transfer the meaning and ideas are as deep and complex as what their names denote (Woods, 2006).

One of these complicated tools is the metadiscourse through which we can add to the deepness of meanings, attitudes, and ideas which are not very clear as we look at the surface part of a piece of writing (Hyland, 2005). So, it becomes clear that we should adopt a good method and point of view to deal with the metadiscourse and its signals in a text. One of the best views found upon the metadiscursosse signals is the model presented by Vande Copple (1985), which has broadly dealt with the metadiscoursal signals (MDSs). Using this model, the present study has tried to find out the extent to which metadiscoursal signals have been used in the novel “Pride and Prejudice”. Besides, this study tries to find out that how much these original metadiscourse signals are transferred in both translations made by “Pooranfar” and “Ardakani”. Then, the researcher has done a comparison among the results of the study to determine which one of the metadiscourse signals has been more successfully transferred to the target language and which one has the least portion in the target language.
All of the language producers and receivers are dealing with the use of metadiscourse signals throughout the language production all the times (Johnston, 2008). Metadiscourse is somehow the inner side of the language and as the term “meta” denotes, it is something more than what we can deal with (Hyland, 2005). So, one of the most important features of any text is its usage of metadiscourse signals. When the issue of translation between two completely different languages is under investigation, this matter gets more and more highlighted. In the course of translation, in addition to the elements of grammar, vocabulary, text type, and context there should be a great consideration for discourse and in a larger and deeper scale, metadiscoursal elements. As a matter of fact, without the useful application and noting the metadiscoursal elements a comprehensive and full scale translation will not be fulfilled. Therefore, first, all of the metadiscoursal elements should be understood perfectly in the original text and be explainable in a comprehensive way; later on, in transferring the materials to the target language the best counterparts or equivalents should be used in the translated text instead of the metadiscoursal elements within the original text.

2. Literature Review

2.1. Metadiscourse Definitions and Continuums

According to Ken Hyland (2005), metadiscourse is in relation to the self-reflected expressions used in a piece of text by the writer or in a speech by a speaker in order to negotiate and interact the meaning to the reader or audience. Later, he points out the near relationship between metadiscourse job and the one by rhetoric. Based on his assumptions “rhetoric is the art of persuasion” and hence, it is about the way we influence our audiences. Ken Hyland (2005) has brought some pieces of writings in different genres to show how metadiscorsal elements can insert meaning to the text and how they can be influential.

a) I admit that the term ‘error’ may be an undesirable label to some teachers. (PhD dissertation)
b) To call a patient at the Royal Free costs 39 off-peak and 49 peak - time per minute!! (Letter to the editor)
c) As you know I always meet the assignment de ad-lines 😁 (Personal email)
d) The newly devised menu ‘Essence D’asiatique’ (of Asian influence) features tantalizing cuisine expertly prepared on the premises. (Restaurant review)
e) Read could be sighted on the square minutes before the start of the test receiving deliveries from James Anderson (remember him?) (Sports journalism)

The underlined parts and even the shapes are considered the metadiscoursal signals of these pieces of text by all of which the writer has efficiently transferred some implicit meanings to the readers. Part (a) uses “” to show this is not the writers attitude. Part (b) makes use of exclamation mark to show surprise. In part (c) through the use of smile, the writer points out that it’s a joke. In part (d) the usage of parenthesis shows an explanation and finally in part (e) through the application of a question there is a shift to readers to offer a personal comment.

In all of the written or spoken discourse works, there are two levels: the primary level upon which the propositional content in established, and the metadiscourse level which is added to the primary level to signal the presence of authors (Vande Copple, 1985). In addition, Halliday (1985) believes that there are three functions of language: (1) the ideational function of language used to express referential information about the matter; (2) the interpersonal function of language in which authors or speakers interact with the readers
or hearers; and (3) the textual function of language used to shape language into a connected text. While the ideational function of language is fulfilled by the primary level of discourse, the other two functions of language are fulfilled by the metadiscourse level (Copple, 1985). The use of metadiscourse can be seen in the works of the earliest scholars such as Aristotle as well as those of modern authors, but the point is the inconsistency of use (Hyland, 2005). They use metadiscoursal elements to show different matters and opinions. For example, Aristotle used words which show self confidence authority, whereas another writer, like Bruner, made use of hedges or later authors used metadiscourse elements in their essays and treatises (e.g. Borges, Calvino Descartes, Geothe, (2003); scientists such as Darwin, Gould, & Woodruff (1998)). In addition, metadiscourse is frequently found in popular magazines and books, as well as in technical articles, reports, and books (Crismore and Farnsworth, 1990).

The potential importance of metadiscourse has been approved by numerous scholars in different disciplines. A number of communication scholars, modern rhetoricians, and educators believe that, when used appropriately, metadiscourse can guide and direct readers through a text by helping them understand the text and the author's perspective (Bradley, 1981; Williams, 1985; Winterowd, 1983), thereby making the text more friendly and considerate (Singer, 1986).

Obviously, Metadiscourse exists in most of the written works and this illustrates its long history span over major historical periods. Metadiscourse can be used across ten genres and disciplinary discourse types: history, drama, handbooks, textbooks, poetry, religion, biography, fiction, essay, philosophy, and science. Authors discourse about their discourse by choosing from a wide variety of forms to present their textual and interpersonal metadiscourse: as single words, phrases, full clauses/sentences, and paragraphs (Widdowson, 2007). They often choose from such categories of textual metadiscourse (e.g. code glosses, logical connectors, topicalizers, previews and reviews, and narrators) and interpersonal materials (e.g. direct addresses to the readers, hedges and emphatics, evaluatives, and other commentaries), (Johnstone, 2008).

Sometimes the authors use metadiscourse elements about the content, text or the processes and strategies used during writing. Metadiscourse is used for different purposes to inform, to persuade, or to express. Sometimes there are multiple purposes as to inform and persuade, to express and persuade, or to inform and express (Crismore, 1985).

3. Research Methodology

The model used in this study to analyze the related data is mainly the model presented by Vande Copple (1980), then after collecting the related information from the original and translations, through the use of charts and diagrams more information was gathered about the original and target language MDSs. So, all of the MDSs in the original novel and its two translations were detected and elaborated. The model is as follow:

3.1. Categorization of Metadiscourse

Considering depth of meaning realized by discourse markers and the amount of meaning they are transferring to the readers, there are a number of different models elaborating the categorization of metadiscourse.

3.2. Vande Copple Model (1980)

The model presented by Vande Kopple (1980) has been used for data collection and analysis of the study due to its elaborative and full scale nature in the explanation of metadiscourse and being favored by numerous writers such as Crismore and Farnsworth (1985). Vande Copple’s model which is divided into two main parts, regarding the linguistic and extra linguistic factors, considers all the possible available types of metadiscourse in any kind of text. Although there are some problems concerning the application of this model.
and similar models for different kinds of texts especially their translations, it will be hardly tried to elaborate
well the use of MDSs in both original and translated novel. Here the first part of Copple’s model is presented:

3.2.1. The First Part of the Model

![Figure1. First Part of the Copple’s Model]

As presented, the first part is concerned with the textual types of metadiscourse which mainly deal with
linguistic and cohesion markers. They will be clearly explained here:

3.2.1.1. Text connectives

Text connectives show how different parts of the text are connected to each other. These items can connect
different parts of a text together and shape a cohesive text. They are mainly classified in three categories as
below:

A. **Consequences**: first, next ….
B. **Reminders**: as I mention, as it made clear…
C. **Topicalizers**: with regard to, in connection with …

3.2.1.2. Code glosses

Code glosses are used to help the readers or hearers understand the writer’s or speaker’s intended meaning. Based
upon the reader’s or hearer’s knowledge these devices can reword, explain, define or clarify. All of these are
done through putting the desired information within parentheses or making it as an example.

3.2.1.3. Validity markers

Validity markers are used to express the writer’s or speaker’s commitment to the probability or truth of a
statement. In other words s/he tries to show how much s/he is in agreement with the quoted information. There
are mainly three groups of validity markers including:

A. **Hedges**: perhaps, might …
B. **Emphatics**: clearly, undoubtedly …
C. **Attributers**: according to …

3.2.1.4. Narrators

Narrators are used to inform readers of the sources of presented information. Sometimes, writers want to
directly quote someone else’s believes for which they should use statements like: according to …
3.2.2. The Second Part of the Model

The second part of Copple’s model is dedicated to the interpersonal metadiscourse where lots of attention is devoted to the bidirectional relations between two communicators. Here we should go further the linguistic and structural matters and even lots of symbols may have their own meanings. These subparts will be defined here:

3.2.2.1. Attitude markers

Attitude markers are used to express the writer’s attitude to the propositional matter presented. In other words the attitude markers show how much the writer is interested in the presented materials. This is done through the use of statements like:
Unfortunately, interestingly, I wish that …

3.2.2.2. Illocution markers

Illocution markers are used to make explicit the discourse act the writer is performing at certain points. As explicitness is very important to transfer the desired meaning and since it is necessary for the writer to give his/her readers the sense of end, illocution markers are used in texts by using statements like:
To conclude, I hypothesize, to sum up …

3.2.2.3. Commentaries

Commentaries are used to address readers directly by commenting on the reader’s probable mood or possible reaction to the text. This helps the writer to build a closer relationship with his/her readers. Commentaries are fulfilled by statements like:
You will certainly agree that, you might want to read that …

As it was made clear, this study tries to put all the metadiscoursal elements of the original novel into such a distinction and table; then, the same procedure will be followed for the two translations and at last, a comparison between them will be made.

3.3. Materials

The data used in this study was gathered from the original novel *pride and prejudice* written by Jane Austen. This novel has got sixty one chapters and the text belongs to two hundred years ago. The first translation has been done by Pooranfar and the second translation by Ardakani. Pooranfar has not rendered three of the original novel chapters in her translation, while Ardakani has translated all of the original novel chapters into Persian. Then the counterpart and equivalent data in two translations done by Pooranfar and Ardakani were analyzed in order to have a comparison and contrast between the MDSs presented in the original novel and their equivalents. Clearly, all of the data gathered based on the model from the original and translated novels will be usefull in MDSs analysis.
4. Findings and Discussion

As the figure 4.3 shows, the highest and fewest number of metadiscourse signals belonged to the validity markers and illocution markers respectively, where blue stands for the original novel, red stands for the first translation, and green stands for the second translation. Moreover, as depicted clearly, the second translation appeared to be more similar to the original text in the use of certain MDSs than the first translation. Both translators have rendered less number of MDSs in their translations comparing to that of the original novel.

4.1. Data Analysis

Concerning the investigated novel of *Pride and prejudice* the first translation by Pooranfar transferred 347 MDSs to the target language out of 452 original MDSs, while the second translation by Ardakani rendered 411. The lower the amount of MDSs in any text especially the translated texts, comparing to the original one shows the less capability of that text to state clearly the original meaning. There were many differences between the two translations concerning the amount of MDSs use.

Although all of the Chapters in the original novel have been analyzed, in this paper the researcher has just brought three sample chapters of the original novel in a comparison with its two Persian renderings. Here are the tables of detailed information of those three chapters of the novel:

Table 1: Metadiscourse elements in chapter 1 of the novel

<table>
<thead>
<tr>
<th>MD Signal</th>
<th>Original</th>
<th>Translation 1</th>
<th>Translation 2</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Text Connectives</strong></td>
<td><em>However little known the feeling…</em></td>
<td>درهرحلة كمتر من مورد احساسات…</td>
<td>اما این واقعیت…</td>
</tr>
<tr>
<td></td>
<td><em>But it is, returned she;…</em></td>
<td>اما این واقعیت…</td>
<td>اما این واقعیت…</td>
</tr>
<tr>
<td></td>
<td><em>…, that Netherfield park is let at last…</em></td>
<td>…بالاخره بارک ندرفیلد…</td>
<td>…بالاخره بارک ندرفیلد…</td>
</tr>
<tr>
<td><strong>Code Glosses</strong></td>
<td><em>He agreed… that he is to take possession of…</em></td>
<td>او موافقت کرد که میتواند مالکیت…</td>
<td>وی با این نظر موافقت کرد که…</td>
</tr>
<tr>
<td><strong>Narrators</strong></td>
<td><em>…, returned she.</em></td>
<td>در جواب گفت…</td>
<td>در جواب گفت…</td>
</tr>
<tr>
<td></td>
<td><em>…, said his lady to…</em></td>
<td>خانم روزی به او گفت:…</td>
<td>خانم روزی به او گفت:…</td>
</tr>
<tr>
<td><strong>Validity maker</strong></td>
<td><em>…, you must know…</em></td>
<td>قاعدتا باید بدانید…</td>
<td>باید اینرا بدانید که…</td>
</tr>
<tr>
<td></td>
<td><em>It is very likely that…</em></td>
<td>خیلی احتمال دارد که…</td>
<td>احتمال خیلی احتمال دارد…</td>
</tr>
<tr>
<td><strong>Attitude markers</strong></td>
<td><em>He has good fortune to…</em></td>
<td>وضعیت و موقعیت خوبی که…</td>
<td>وضعیت مالی خوبی که…</td>
</tr>
<tr>
<td></td>
<td><em>… and was so much delighted</em></td>
<td>او خیلی شاد بود که…</td>
<td>او خیلی شاد بود که…</td>
</tr>
</tbody>
</table>
According to the data presented in the table, there are generally 10 MDSs in this Chapter of the original novel. Both translations have done a good job and they have transferred all of the original MDSs into the Persian language.

Table 2: Metadiscourse elements in chapter 2 of the novel

<table>
<thead>
<tr>
<th>MD Marker</th>
<th>Original</th>
<th>Translation 1</th>
<th>Translation 2</th>
</tr>
</thead>
<tbody>
<tr>
<td>Text connectiv</td>
<td>_ He could do it but...</td>
<td>اما او باید...</td>
<td>اما او باید...</td>
</tr>
<tr>
<td></td>
<td>_ Impossible is that...</td>
<td>غير ممکن است...</td>
<td>غیر ممکن است...</td>
</tr>
<tr>
<td></td>
<td>_ He replied Elizabeth, ...</td>
<td>مادرش در جواب میگوید...</td>
<td>مادرش در جواب میگوید...</td>
</tr>
<tr>
<td></td>
<td>_ cried her mother</td>
<td>امرنگ خوانندگان...</td>
<td>بابت آنها است...</td>
</tr>
<tr>
<td>Validity markers</td>
<td>_ Impossible, ...</td>
<td>خیلی خوشحال...</td>
<td>خیلی خوشحال...</td>
</tr>
<tr>
<td></td>
<td>_ impossible...</td>
<td>که خوشحال کننده...</td>
<td>که خوشحال کننده...</td>
</tr>
<tr>
<td>Narrators</td>
<td>_ Not all that Mrs. Benet, ...</td>
<td>خانم بنت برای...</td>
<td>خانم بنت برای...</td>
</tr>
<tr>
<td></td>
<td>_ consequently she was...</td>
<td>از این نفر نیستند...</td>
<td>از این نفر نیستند...</td>
</tr>
<tr>
<td></td>
<td>_ in town so soon after...</td>
<td>بعد از چند روز آمدن به...</td>
<td>بعد از چند روز آمدن به...</td>
</tr>
<tr>
<td>Attitude markers</td>
<td>_ She said resentfully</td>
<td>بیش از پنج نفر برنده...</td>
<td>بیش از پنج نفر برنده...</td>
</tr>
<tr>
<td></td>
<td>_ I am glad to find out...</td>
<td>بهترین اتفاق دوستی...</td>
<td>بهترین اتفاق دوستی...</td>
</tr>
<tr>
<td></td>
<td>_ He replied fretfully</td>
<td>رو از مردان راه یافته...</td>
<td>رو از مردان راه یافته...</td>
</tr>
<tr>
<td>Illocution markers</td>
<td>_ Aye, so it is...</td>
<td>نسیم کننده نرمال...</td>
<td>نسیم کننده نرمال...</td>
</tr>
<tr>
<td></td>
<td>_ So, it will be important</td>
<td>پاسخ به نظرات آنها...</td>
<td>پاسخ به نظرات آنها...</td>
</tr>
<tr>
<td>Commentaries</td>
<td>_ She has no discretion</td>
<td></td>
<td>ملاحظه ی هیچ یا نمیکنند</td>
</tr>
</tbody>
</table>

According to the table, there were eleven MDSs in this chapter of the original novel. Both translations have rendered all of the original MDSs except one of the text connectives. As a result, both translations have done a good job in this respect.

Table 3: Metadiscourse elements in chapter 3 of the novel

<table>
<thead>
<tr>
<th>MD Marker</th>
<th>Original</th>
<th>Translation 1</th>
<th>Translation 2</th>
</tr>
</thead>
<tbody>
<tr>
<td>Text connectiv</td>
<td>_ Not all that Mrs. Benet, ...</td>
<td>خانم بنت برای...</td>
<td>خانم بنت برای...</td>
</tr>
<tr>
<td></td>
<td>_ consequently she was...</td>
<td>از این نفر نیستند...</td>
<td>از این نفر نیستند...</td>
</tr>
<tr>
<td></td>
<td>_ in town so soon after...</td>
<td>بعد از چند روز آمدن به...</td>
<td>بعد از چند روز آمدن به...</td>
</tr>
<tr>
<td>Code glosses</td>
<td>_ Only five all together: she and</td>
<td>بیش از پنج نفر برنده...</td>
<td>بیش از پنج نفر برنده...</td>
</tr>
<tr>
<td></td>
<td>her daughters, ...</td>
<td>بهترین اتفاق دوستی...</td>
<td>بهترین اتفاق دوستی...</td>
</tr>
<tr>
<td></td>
<td></td>
<td>پاسخ به نظرات آنها...</td>
<td>پاسخ به نظرات آنها...</td>
</tr>
<tr>
<td>Validity markers</td>
<td>_ They were wonderfully handsome,</td>
<td>زیبایی شگفت انگیز...</td>
<td>زیبایی شگفت انگیز...</td>
</tr>
<tr>
<td></td>
<td>_ extremely agreeable and...</td>
<td>پاسیور دوست داشتنی...</td>
<td>پاسیور دوست داشتنی...</td>
</tr>
<tr>
<td>Narrators</td>
<td>_ ... said Mrs. Benet...</td>
<td>خانم بنت گفت...</td>
<td>خانم بنت گفت...</td>
</tr>
<tr>
<td></td>
<td>_ ... said he.</td>
<td>از دست یافتگان...</td>
<td>از دست یافتگان...</td>
</tr>
<tr>
<td>Attitude markers</td>
<td>_ Wonderfully handsome...</td>
<td>پاسیور خواننده...</td>
<td>پاسیور خواننده...</td>
</tr>
<tr>
<td></td>
<td>_ Extremely agreeable...</td>
<td>پاسیور دوست داشتنی...</td>
<td>پاسیور دوست داشتنی...</td>
</tr>
<tr>
<td></td>
<td>_ They had the advantage of...</td>
<td>پاسیور موفق برای...</td>
<td>پاسیور موفق برای...</td>
</tr>
</tbody>
</table>
According to the table, there were eleven MDSs in this chapter of the original novel. Both translations have rendered all of the original MDSs except one of the text connectives. As a result, both translations have done a good job in this respect.

**Figure 3.** Frequency of metadiscourse signals in the novel

![Graph showing the frequency of metadiscourse signals](image)

4.2. Discussion

In the current research the focus was on the presence of seven metadiscourse signals in the novel *Pride and Prejudice* and its two Persian renderings by Pooranfar and Aridakani through the model presented by Vande Copple (1985). The results derived from the analysis of sixty one chapters of the novel helped the researcher to answer the question concerning the amount of metadiscourse presence in the original novel and its Persian translations. The analysis has shown that the metadiscourse signals of the original novel have been less transferred to the Persian translations. The discussion of results will be presented in seven separate paragraphs for each metadiscourse type.

Concerning Text connectives, all the Sixty One tables related to the Chapters of the novel showed that 75 instances were found in the original novel. Considering the first translation, fifty five of them have been transferred to the Persian language while a great number of the metadiscourse signals have remained untranslated. Yet, the second translation did a better job and transferred sixty six of them to the Persian language. As text connectives are very crucial in text consistency and help a lot in building the meaning, the second translation should be considered as a more valuable and meaningful translation than the first one.

In terms of Code glosses, according to the data collected in Chapter Four their total number in the original novel was fifty nine of which the first translation has transferred forty and the second translation fifty. Code glosses are definitely necessary to make the meaning more explicit and exemplify some information in a text, hence the code glosses’ role is crucial (Hyland, 2005). Therefore, the meaningfulness and transparency of the second translation has been considered and done well. Meanwhile, the first translation did not render about one third of the original code glosses showing less effort to transfer the meaning correctly.

Considering the data available in Chapter Four, there were one hundred seven Validity markers in the original novel of which the first translation had just rendered 67 and the second translation ninety four items to the Persian language. The role of validity markers in identifying the amount of validity and correctness of
any information in a text is absolutely fantastic (Halliday, 2002). Without them, it is not clear how much the reader can trust any specific part of the text and the extent of the writer's belief in what is said remains ambiguous. Therefore, the amount of trust upon the validity and trueness of the information in the novel seemed greater in the second translation. But, considering the first translation, forty items of validity markers have not been transferred to the Persian language, showing weakness of translation in this respect.

Regarding the narrators, there have been sixty three narrators detected in the original novel. From this range of MDSs the first translation has transferred 56 and the second translation has rendered sixty one into the Persian language. Narrators metadiscourse signals identify the source of any information within the text and without this nothing can be regarded authoritative and reliable (Gee, 1999). Considering this fact, we can conclude that the second translation is more authenticated due to the higher application of narrators; on the other side, the first translation has not transferred seven original narrators’ MDSs to the Persian language and should be considered as a less reliable text.

The number of metadiscourse signals in attitude type was One Hundred and Three on the whole. While the first translation rendered ninety three to the Persian language, the second translation transferred one hundred MDSs to the target language. Among the metadiscourse signals, attitude markers are used in order to show the writer's attitude toward the propositional content (William, 1983). Considering the amount of transferred attitude MDSs to the Persian language, the second translation again has done a better job and just three original attitude markers have remained untranslated. As a result, the second translation can better show the writer’s attitude toward everything in the text and it will be more explicit and meaningful.

In this study the least amount of metadiscourse signals belonged to illocution markers. Nineteen illocution markers were discovered in the original novel out of which the first translation has rendered fourteen and the second translation has transferred sixteen. This kind of metadiscourse signal can show where and how the speech and discourse is going to have a conclusion (Johnston, 2008). Because of the higher amount of illocution markers transferred to the target language, the second translation is more valuable in making conclusions through the text. But, again the first translation has done poorer job in this respect and it has a less sense of closure in any part.

Finally, in relation to the commentaries the total number of occurrence in the original novel was twenty six in all. While the first translation has transferred twenty two to Persian language, the second translation has rendered twenty four. The commentaries’ usage in a text is to declare the writer’s opinion about the reader or the audience (William, 1983). It can be concluded that the first translation has not been so successful in transferring the original commentaries, while the second translation has done a better job in this respect. As a result, the second translation is more powerful in showing the writer’s comments about the reader.

5. Concluding Remarks

The presence of metadiscoursal signals is crucial and necessary in identifying the exact and deep meaning, either in formation or understanding (Cook, 1994). The use of metadiscourse signals can help the writer to meaningfully build his/her text as well as the readers or audience to better understand the writer’s or speaker’s intended meanings (Gee, 1999). In other words, without discourse and in a deeper scale metadiscourse signals nothing is meaningful and the use of language would be just a hodge-podge of different linguistic items. The analysis of data presented in this study led to the following conclusions:

Concerning the text connectives, there were twenty MDSs less than the original in the first translation and just ten MDSs less than the original. It can show why the first translation failed to render different textual connections. So, the meaningfulness of the first translation is weaker than the second translation. The second translation rendered the code glosses better than the first translation and this was helpful in explaining more the intended meanings. There is the same story for the validity markers and narrators. This matter makes the translation more authentic and meaningful.
As far as the interpersonal MDSs are concerned, the first translation again did a worse translation comparing to the second translation and considering all attitude markers, illocution markers and commentaries the second translation was more authentic, meaningful and understandable. In fact, the first translation rendered lower amount of interpersonal MDSs and it was less comprehensible and it was not well connected.

As a result, according to the data given about the number of MDSs in both translations and the original novel, from the discourse and metadiscourse point of view, the second translator has a more acceptable and meaningful translation comparing to that of the first translator.

References

An Assessment of Flood Hazard in Nigeria: The Case of Mile 12, Lagos

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Abstract: Apart from traffic congestion, flood is the most common serious physical urban problem in most Nigerian cities. This usually results from high river levels, concentration of overland flow following heavy rainfall, limited capacity of drainage systems and blockage of waterways and drainage channels. This study identified the factors responsible for perennial flooding in Mile 12 area of Lagos, Nigeria which has constituted serious menace in terms of socio-economic and environmental consequences. The research methodology involved questionnaire administration on households, key informant interview especially on Lagos State Physical Development Authority (LASPPDA) officials and participant-observation, while other data were collected from secondary sources including various relevant publications and text books. The result shows that the perennial flooding problem in Mile 12 is as a result of consistent high rainfall and water releases from Oyan dam in the neighbouring state of Ogun, Nigeria. Other causes of flood in the study area include blockage of drainage channels by refuse and other wastes, narrow river channels and construction along floodplain. In a bid to ameliorate the seemingly intractable problem of flooding in the study area, the recommendations made include: provision of sufficient setback to streams and rivers, construction of roads with good drainage system, channelization and building of more dams to avoid excess loading of the existing dam.

Key Words: Flood, Lagos, Mile 12, Hazard and Oyan Dam

1. Introduction

Flood is a large amount of water covering an area that is usually dry. It is an overflowing of a great body of water over land not usually submerged. Nwafor (2006) defined flood as a natural hazard like drought and desertification which occurs as an extreme hydrological (run-off) event. On the hand, Abam (2006), defined flood as large volume of water which arrives at and occupy the stream channel and its flood plain in a time too short to prevent damage to economic activities including homes.

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Flooding is the most common environmental hazard in Nigeria (Etuonovbe, 2011). Flood disaster is not a recent phenomenon in the country, and its destructive tendencies are sometimes enormous. Reports have it that serious flood disasters have occurred in Ibadan (1985, 1987 and 1990), Osogbo (1992, 1996, 2002), Yobe (2000) and Akure (1996, 2000, 2002, 2004 and 2006). The coastal cities of Lagos, Port Harcourt, Calabar, Uyo, Warri among others have severally experienced incidences that have claimed many lives and properties worth millions of dollar. Floods occur in Nigeria in three main forms: coastal flooding, river flooding and urban flooding (Folorunsho and Awosika 2001; Ologunorisa, 2004). Coastal flooding occurs in the low-lying belt of mangrove and fresh water swamps along the coast (Folorunsho and Awosika 2001; Ologunorisa, 2004). River flooding occurs in the flood plains of the larger rivers, while sudden, short-lived flash floods are associated with rivers in the inland areas where sudden heavy rains can change them into destructive torrents within a short period (Folorunsho and Awosika 2001; Ologunorisa, 2004). Urban flooding on the other hand occurs in towns, on flat or low-lying terrain especially where little or no provision has been made for surface drainage, or where existing drainage has been blocked with municipal waste, refuses and eroded soil sediments (Folorunsho and Awosika 2001; Ologunorisa, 2004). In spite of series of recommendations...
from research and government efforts at mitigating the menace, urban flooding has become a perennial event in most Nigerian cities.

Urban flood problem is a global experience but the management practices differ according to prevailing technologies and aptness in planning concerns. The experience is however worse in Third World cities where unplanned and uncoordinated development is prevalent. Odemerho (2004) and Nwafor (2006) identified 12 causes of urban flooding. These include: surcharges in water level due to natural or man – made construction on flood path, sudden dam failure, inappropriate land use, mudflow, inadequate drainage capacity to cope with urbanization, excess encroachment in flood ways, ice jam, rapid snow fall, deforestation of catchment basins, reclamation, construction sites and solid waste. Odemerho (2004) also identified three factors accentuating flood problems in Benin City, Nigeria namely: land and physical development problems, gaps in basic hydrological data, design and implementation problems and cultural factors. Okereke (2007) listed the consequences of urban flooding in his studies in Dhaka, Bangladesh to include: loss of human lives, flooding of houses, streets, inflow to soak away, municipal pollution, damage to properties, health hazards, cleanup costs, disruption of services, traffic problems, adverse effects on aesthetics, disturbances on wildlife habitats, economic loses and infrastructural damage.

The Nigerian Punch (2010) reporting on flooding in Lagos, Nigeria made detailed report of frequent flood occurrences in Ikoyi, Victoria Island, Ipaja-Ayobo, Ajegunle, Ikorodu, Agiliti and Mile 12 (the study area). The report concluded that there is a need for flood control coordination between relevant departments. It also clamored for a well articulated flood control policy and societal re-orientation on this critical issue.

This study is therefore a further attempt to identify the factors responsible for perennial flooding in Mile 12 area of Lagos, Nigeria with a desire to suggest plausible solutions to this seemingly intractable problem which has constituted serious menace to livelihoods and environmental quality.

2. Materials and Methods

The study area is Mile 12, Lagos State, Nigeria. It is one of the 35 settlements in Kosofe Local Government Area of Lagos State (Figs 1 and 2). Due to its location as the gateway to Lagos state, Mile 12 houses people from the Northern and the Eastern parts of the country who engages in commercial activities. The population of the settlement according to the 2006 national population census is 682,772 (National Population Commission, 2006). The vegetation is the swamp forest which had made way for the construction of houses, markets and other infrastructure. The area is influenced by two climatic seasons namely: dry and wet seasons. Dry season occurs between November to March, and wet season, between April to October. Ogun River and its tributaries drain the Northern part of the town, which is densely settled. Some of the residential neighbourhoods are traversed by Ogun River.
Fig.1: Lagos State in Nigeria

Five neighbourhoods in this settlement that annually experience critical flooding were used for analysis in this study. These are: Ajelogo, Agiliti, Agboyi, Maidan and Owode-Elede. The research populations for this study are households and buildings in the flood prone areas of the settlement. The total numbers of buildings identified to be flood-prone in the areas are 830. These structures were identified using SPOT imagery of Lagos coupled with ground-truthing as recorded by Lagos State Physical Development Authority (LASPPDA, 2010). Out of the total population of 830 structures affected, a 20% sample was taken using random sampling technique. As a result of this 166 household questionnaires were administered. It is imperative to emphasize that the population figure of this settlement was not disaggregated by the National Population Commission. Thus, this study assumed equal population for each neighbourhood.
3. Results and Discussion

The study shows that the release of water from Oyan Dam built across Oyan River, a tributary of Ogun River in Ogun State arising from heavy rainfall is the main cause of flood in this settlement. Specifically, 75.9% of the households attributed the reason for this menace to this factor (Table 1). Following such heavy falls in the recent years, the reservoir level of Oyan Dam had been consistently high. Consequent upon this development and in conformity with the operational rule of dams, it has become imperative to release water gradually in order to maintain a tolerable capacity level for the dam safety and by extension, safety of life and properties downstream. This scenario is further aggravated by increased water from Atlantic Ocean arising from wave action and the global rise in ocean water which often find its way to Mile 12 especially during high tides.

In this community, waste management is rather too poor. Refuse and other wastes are usually dumped into available open spaces, including drainage channels and river plains and valleys. This practice has led to the blockage of the drainage channels at various points. 7.2% of the households agreed that flooding is usually a product of such blockages. In general, during heavy rainfall which usually leads to partial opening of Oyan dam, the waste dumped along the river plain obstruct the free flow of the river. The drainage channels cannot therefore accommodate the flow of the fast running storm water from the dam making it to spill into streets and houses.
Table 1: Major causes of flooding

<table>
<thead>
<tr>
<th>Causes of flooding</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Heavy rainfall</td>
<td>10</td>
<td>6.0</td>
</tr>
<tr>
<td>Poor drainage</td>
<td>4</td>
<td>2.4</td>
</tr>
<tr>
<td>Opening of Oyan Dam in Ogun State</td>
<td>126</td>
<td>75.9</td>
</tr>
<tr>
<td>Waste disposal</td>
<td>12</td>
<td>7.2</td>
</tr>
<tr>
<td>Narrow stream/river channels</td>
<td>14</td>
<td>8.4</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>166</strong></td>
<td><strong>100.0</strong></td>
</tr>
</tbody>
</table>

Source: Field work (2011)

Flood incidence is further compounded by the fact that most buildings were built right within the immediate floodplain of the river. In general, a greater proportion (63.8%) of these buildings observed less than 30 meters setback to the river. Specifically, 37.3% of the buildings have a setback of less than 10 meters (Table 2). These data indicate the weakness of development control mechanism in this community. The field survey further shows that 79.1% of the inhabitants did not have approval for their buildings from the Planning Authority. Only 13.3% of the buildings were formally approved by the Planning Authority (Table 3). This explains the reason why some of these buildings did not have adequate setback.

Table 2: Building Setback from the river plain

<table>
<thead>
<tr>
<th>Setback</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>1m – 10m</td>
<td>62</td>
<td>37.3</td>
</tr>
<tr>
<td>11m – 20m</td>
<td>14</td>
<td>8.4</td>
</tr>
<tr>
<td>21m – 30m</td>
<td>30</td>
<td>18.1</td>
</tr>
<tr>
<td>31m – 40m</td>
<td>26</td>
<td>15.7</td>
</tr>
<tr>
<td>41m and above</td>
<td>34</td>
<td>20.5</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>166</strong></td>
<td><strong>100.0</strong></td>
</tr>
</tbody>
</table>

Source: field survey (2011)

Table 3: Building Plan Approval

<table>
<thead>
<tr>
<th>Approval Status</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Formal Approval</td>
<td>22</td>
<td>13.3</td>
</tr>
<tr>
<td>No Approval</td>
<td>131</td>
<td>79.1</td>
</tr>
<tr>
<td>Not too sure</td>
<td>4</td>
<td>2.4</td>
</tr>
<tr>
<td>No response</td>
<td>9</td>
<td>5.2</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>166</strong></td>
<td><strong>100.0</strong></td>
</tr>
</tbody>
</table>

Source: field survey (2011)
Plate 1: In this settlement, buildings are constructed along floodplains thereby aggravating the devastating effects of flood events.

Assessment of the buildings located on the floodplain showed that they are in poor and squalid conditions. Building and foundation materials for most of these buildings have low water resistance and low water retaining capacity. Table 4 shows that 80.7% of the respondents used cement concrete for their foundation material. The inappropriateness of such material is reflected in the continuous retention of water on building walls which usually leads to building collapse. Only 2.4% used stone materials which could be considered as adequate in this terrain. Again, 2.4% uses mud materials which are rather unsafe. A significant proportion (14.5%) of the respondents used other materials such as wood that are largely temporary in nature. The adoption of such temporary materials is a reflection of non-security of tenure as owners could be displaced at any time by flood.

Table 4: Foundation materials used in the building

<table>
<thead>
<tr>
<th>Material</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Marble concrete</td>
<td>4</td>
<td>2.4</td>
</tr>
<tr>
<td>Mud</td>
<td>4</td>
<td>2.4</td>
</tr>
<tr>
<td>Cement concrete</td>
<td>134</td>
<td>80.7</td>
</tr>
<tr>
<td>Others</td>
<td>24</td>
<td>14.5</td>
</tr>
<tr>
<td>Total</td>
<td>166</td>
<td>100.0</td>
</tr>
</tbody>
</table>

Source: field survey (2011)

The overwhelming effect of flooding in this settlement is reflected in the complete submergence of entire streets (Agiliti and Iyase Streets) by water. In addition, more often than not, the flood usually results into traffic snarls along the ever busy Mile 12 - Ikorodu road. In table 5, almost all the inhabitants attested to the fact that the effects of flooding on lives and properties in their community are highly devastating. It was reported that a 12-year old girl was drowned by the flood in October 2010. In addition, animals were lost to flooding while many bridges collapsed and electric poles destroyed. The study also revealed that most people in this area could not go to their places of work for some days since access roads were blocked and submerged for days. Many farmlands were swept away while schools and markets were submerged for weeks. In many other places, residents resorted to boarding canoes to get to their houses. Due to incessant
flooding events, many emergency boat termini had been constructed by people wishing to cash in on this situation to make money.

**Table 5: Estimation of the effects of flood on lives and properties**

<table>
<thead>
<tr>
<th>Intensity</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Very high</td>
<td>92</td>
<td>55.4</td>
</tr>
<tr>
<td>Fairly high</td>
<td>74</td>
<td>44.6</td>
</tr>
<tr>
<td>Low</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Total</td>
<td>166</td>
<td>100.0</td>
</tr>
</tbody>
</table>

**Source:** Field work (2011)

Over the years, 830 structures have been affected by flood while 5,030 inhabitants were displaced (Table 6). The total number of the inhabitants that were displaced is quite significant as this represents 0.73% of the total population of Mile 12. The most affected neighbourhoods are Agiliti and Agboyin. According to LASPPDA (2010), aggravated flooding events in these neighbourhoods could largely be attributed to either blocked drainage channels or lack of drainage channels.

**Table 6: Devastating effect of Flooding on Population and Properties**

<table>
<thead>
<tr>
<th>S/N</th>
<th>Location</th>
<th>No. of Affected Structures</th>
<th>No. of Displaced People</th>
<th>Observations (Possible Causes)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Ajelogo</td>
<td>80</td>
<td>480</td>
<td>The connecting bridge was flooded due to blockage of drainage channels</td>
</tr>
<tr>
<td>2</td>
<td>Agiliti 1 &amp; 2</td>
<td>200</td>
<td>1,200</td>
<td>Lack of drainage channels</td>
</tr>
<tr>
<td>3</td>
<td>Agboyi 1, 2 &amp; 3</td>
<td>200</td>
<td>1,600</td>
<td>Lack of drainage channels</td>
</tr>
<tr>
<td>4</td>
<td>Maidan</td>
<td>150</td>
<td>900</td>
<td>Blocked drainage channels</td>
</tr>
<tr>
<td>5</td>
<td>Owode Elede</td>
<td>200</td>
<td>850</td>
<td>Blocked culverts resulting into lack of connectivity for storm water</td>
</tr>
<tr>
<td></td>
<td>Total</td>
<td>830</td>
<td>5030</td>
<td></td>
</tr>
</tbody>
</table>

**Source:** Lagos State Physical Planning Authority (LASPPDA) 2010.

[Plate 2: Above is a typical submerged access road and properties following a flood event in the settlement]
The devastating effect of floods was not limited to physical structures. Our interaction with the inhabitants also indicates that flooding events are usually accompanied with prevalence of diarrhea and other water-borne diseases as most sources of water are polluted. Other effects include increased poverty arising from destruction of farmlands and disruption of essential services.

Based on the information received from the LASPPDA and from the study it is evident that the level of development control in this area is very low while its physical development is on the increase. In addition, the study area does not have a Master plan guiding its physical development. It is clear that the State government has not found permanent solution to the problem of flooding in the area but always shows concern any time there is flood in the area. Some of the inhabitants affected are relocated to other communities within the state even though such areas are far from the main city. Invariably most people that are rehabilitated after the flood events moved back to their previous places of abode irrespective of their precariousness thereby recycling this teething problem.

At the moment government has resumed frantic effort at rehabilitating and re-construction of township roads and other inter-community roads within the local government. This is part of the efforts of the government at eradicating the menace and devastating effect of flood in the area.

4. Conclusion

This research has identified the various causes of flooding and its devastating effects on lives and properties in Mile 12, Kosofe Local Government, Lagos State, Nigeria. Investigation revealed that flooding in the area is largely due to the frequent release of water from Oyan dam in Ogun State during the wet seasons. Secondly, most of the buildings in the study area do not have enough set back to river channels, a situation arising largely from failure to obtain building plan approval from the appropriate regulation agency. Thirdly, blockage of drainage channels by refuse and other wastes as a result of poor waste management.

In order to minimize flood hazard stringent flood control measures are necessary in this area since it is becoming a densely urbanized area. Building without plan approval in this settlement should be unacceptable. Roads that are well furnished with adequate drainage and bridges should be constructed. Channelization of existing streams and rivers in this settlement would go a long way to increase their storm water intake thereby reducing water overspill during heavy rainfall. Strict adherence to dam safety and maintenance regulations should be observed by the management of Oyan dam. In addition, construction of more dams along River Ogun could be a plausible strategy at reducing excess loading of the existing Oyan dam.

Finally, there is the need to monitor the various urban expansion and flood incidences within Lagos Megacity. A flood early warning signal system with the capability to deliver reliable timely and effective flood information at an appropriate response time should be installed. It is suggested that the system option must involve integration of Global Navigation Satellite System (GNSS) technology into Geographical Information System (GIS) framework towards appropriate flood modeling, simulation and forecasting. This will ease service information provision on real time flood risk analysis, flood extent, acceptable risk level modeling and mapping and potential damages and alerts.

References


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Rural Development As Strategy for Food Security and Global Peace in The 21st Century

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Abstract: This paper discusses rural development as strategy for food security and global peace in the century. The paper adopts descriptive methodological orientation to investigate how the abysmal failure of governments in the contemporary world to develop their rural areas has adversely impacted on food security. However, the paper argues that why the quest for rural development has remained elusive particularly in the developing countries is largely due to up-bottom approach currently adopted by countries. It further argues that this strategy has not only resulted to abject poverty in most countries, but also failed to achieve food security among individuals, families and communities around the globe. The implication of this sorry state of affairs is that the attainment of global peace in the 21st century has remained an exercise in futility in spite of the over-dramatized efforts of international organizations like the UN. The paper, therefore, recommends among others, the need to establish a specialized agency to study the success of rural development policies and programmes in some countries like China and replicate such strategies in other parts of the world for effective food security on global peace in the 21st century.

Key Words: Rural Development, Food Security, Global Peace

1. Introduction

Rural development as a concept has no generally acceptable definition. This is largely because scholars within the purview of political science, sociology, geography, among others, view the concept from different analytical tradition and disciplinary perspective. Also, scholars sometimes define the concept not only on parochial basis but also on individual perception and experience. However, such definitions most times reflect their cultural orientation, environmental milieu and ideological inclination.

Notwithstanding these unsettled controversies, rural development is conceived as strategy aimed at finding ways to improve the rural lives with participation of the rural people themselves so as to meet the required need of the rural area (Zhude, 2010). According to World Bank (2005), rural development is the process of rural modernization and the monetization of the rural society leading to its transition from traditional isolation to integration with the national economy.

Also, rural development is perceived as a process of not only increasing the level of per capital income in the rural areas but also the standard of living of the rural population measured by food and nutrition level, health education, housing, recreation and security (Diejomoah, 1973). To give more credence to the real meaning of rural development, Ollawa (1971) asserts that:

...rural development aims at restructuring the economy in order to satisfy the material needs and aspirations of the rural masses, and to promote individual and collective incentives to participate in the process of development... this involves a host of multi-sectoral activities including the improvement of agriculture, the promotion of rural industries, the creation of the requisite infrastructure... establishment of decentralized structure in order to allow mass production...

A critical look at the above position by Ollawa reinforces the role of agriculture in the achievement of rural development objectives. Thus, the improvement of agriculture in the rural areas all over the world requires not only the collective efforts and participation of the rural people but also strong political will and commitment.
by the government. Such commitment and political will are usually manifested through the formulation and effective implementation of development policies and programs capable of boosting food production.

Ultimately, the adoption of the above critical step by nation-states through their domestic policy actions is therefore expected to bring about radical transformation of agricultural sector and production. Similarly, the availability of sufficient quantity of food for consumption in a given country energizes states to adopt people-oriented strategies to secure food products already produced. However, such strategy is therefore expected to assist nation-states to be free from hunger, assist other countries in dire need of food for consumption, have sufficient food to export for exchange earnings, address the increasing spate of violence occasioned by hunger and famine, create employment for the large population of youth in their countries and foster cordial relations among states in the contemporary globe.

In consideration of the import of these strategies as well their benefits to states, this paper seeks to examine the extent to which rural development (bottom-up approach) could be used as strategy to achieve food security and global peace in the 21st century.

2. Theoretical Perspective

This study adopts Political Economy approach and Big Push theory in the analysis of rural development as strategy for food security and global peace in the 21st century.

According to the proponents and adherents of political economy approach (Brewer, 1989; Callaghy, 1993; Dolan, 1993; Ake, 2002), this theory establishes the close relationship between the super-structural and sub-structural strata of society. They bluntly argued that rural development is the best option to stem down rural poverty, reduce urbanization, balance the economy, radically bring down civil uprisings and reinvigorates the collapsing states particularly those in the third world.

The basic methodological premise of the political economy approach is that the primary basis for explaining social life should be the material conditions of the people. This is succinct because, the most fundamental of all the needs of man are those of economic nature. Thus, without these needs, life itself would be meaningless. Therefore, an understanding of the “economic assets” of society invariably leads to the understanding of the laws, politics, culture, religion and modes of thought of that society.

By application of this theory to our study, we argue that the sorry state of most rural areas in some states in the contemporary world is as a result of deliberate policies of governments to exploit rural areas in order to develop the urban centres. Thus, the peripheral formations are underdeveloped to aid the ascendancy of core formations.

Hence, the political economy approach assists us to trace the root causes of rural underdevelopment which consequently affects food security and global peace. This is because, political economy of rural development is replete with exploitation, urban bias and elitist class interest. Thus, a classic case of this phenomenon is the geometric development of metropolitan cities in Africa, America, Asia, Europe and Latin America, from the resources generated from the rural areas in these continents.

Thus, this approach has been criticized on several grounds. The critics argued that political economy approach has failed to suggest implementable strategies to be adopted by states to address the imbalances between the rich and poor and between the developed and underdeveloped economies in the world. Consequently, lack of proper prognosis for the transformation of these countries and their rural areas other than “delinking” from the world system coerced us to adopt the “Big Push Theory” as part of measures to find lasting solutions to perennial challenges bedeviling rural development, food security and global peace, in the 21st century.

The theory of the “big push” is associated with Professor Paul N. Rosenstein-Rodan (Edame, 2006). The thesis is that a “big push” is needed in the form of a high minimum amount of investment to overcome the obstacles to development in an underdeveloped economy and to launch it on the path of progress.
Therefore, there is a minimum level of resources that must be devoted to a development programme (rural development, food security and global peace), if it is to have any chance of success. Accordingly, launching a country into self-sustaining growth is a little like an airplane off the ground. Hence, there is a critical ground speed which must be passed before the craft can become airborne. Therefore, the big push theory argues that proceeding “bit by bit” will not launch the economy successfully on the development part.

By application of this theory to our study we argue that why development has remained elusive in most rural areas in many countries in the world is as a result of lack of commitment and poor investment by governments on rural development policies and programmes.

Therefore, for rural development to serve as strategy for food security and mechanism to achieve global peace in the 21st century, the “big push” theory posits that nation-states must be willing to devote substantial investments to their rural areas, rather than concentrating on urban centres. Such political will must be manifested in their national development policies and should be faithfully funded, implemented, monitored and evaluated by appropriate governmental agencies in their respective states.

3. Rural Development on Global Perspective

...the differences between the village and the town or city are only too obvious to warrant any serious debate. The city is simply where bright lights are found, where the tempo of life is fast and where all the good things of life prevail in abundance while the village is the area with opposite attributes.... (Ekong, 2010: 2).

The above position by Ekong captured the sorry situation of most rural areas especially in countries located in Africa, Asia, and Latin America. Thus, what this implies is that lack of basic amenities or infrastructures characterized most rural areas particularly in the peripheral social formations. Therefore, an area is conceived as rural when half or more than half the adult male working population is engaged in farming, then a greater population of the country is included irrespective of settlement pattern (Bogle, 1977: 28).

To shade more light on the conceptualization of rural area with Nigeria as a point of departure, Ekong (2010:3) argues that 45% of Nigeria’s population was engaged in agricultural activities. It was also estimated that 36% of the population was urban dwelling while 64% was rural. Accordingly, 19% of the working population engaged in non-farming occupations, work in cities but reside in rural areas. In view of this, the quest for rural development especially in most developing world has been elusive. Thus, in spite of the fact that the greater population of people in most countries resides in the rural areas, no appreciable efforts have been made by some governments to improve the living conditions of the affected people. The need to address this ugly situation partly explains why the 2010 UN’s Human Development Report asserts:

...people are the real wealth of a nation. It is now universally acceptable that a country’s success or an individual’s well-being cannot be evaluated by money alone.... Income is of course crucial without resources, any progress is difficult ...we must gauge whether people can lead long and healthy lives, whether they have the opportunity to be educated and whether they are free to use their knowledge and talent to shape their own destinies.

The pathetic situation in most rural areas in the world has resulted in what is globally referred to as “poverty”. Poverty as a phenomenon is conceived as misery linked to an insufficient resource base, lack of income, narrow margins, high risk of failure, hunger and diseases (World Bank, 2010). Therefore, the menace of poverty and its attendant consequences on the lives of the common man in the rural areas across the contemporary globe captured the views and curiosity of Delang (2006: 231).

...eradicating hunger and poverty require an understanding of the ways in which these two injustices interconnect. Hunger and malnourishment that accompanies it, prevent poor people from escaping poverty because it diminishes their ability to learn, work, and care for themselves and their family members.
Hence, poverty affects virtually all aspects of social, economic and political lives of rural dwellers in the contemporary world. This was also captured in the 2010 Human Development Index presented in the table below:

**Table 1:** The 2010 HDI and its Components:

<table>
<thead>
<tr>
<th>S/N</th>
<th>THREE DIMENSIONS</th>
<th>POOR INDICATORS</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Health</td>
<td>Life Expectancy at Birth</td>
</tr>
<tr>
<td>2.</td>
<td>Education</td>
<td>Mean years of Schooling Expected years of Schooling</td>
</tr>
<tr>
<td>3.</td>
<td>Living Standards</td>
<td>Gross national income per Capital</td>
</tr>
</tbody>
</table>

**Source:** Human Development Index Report, 2010.

From the above table, it becomes pertinent to underscore the import of improving the living condition of the rural dwellers. Thus, most rural people in view of the above presentation are believed to be living in abject poverty when once they do not have access to basic health facilities, education, water, good road network, recreational facilities, security, employment opportunities, among others.

Notwithstanding, it is therefore crucial to note that poverty is a global human problem. Hence, poor people also exist even in the developed nations of the world. The rate of poverty is sometimes evaluated through a country’s Human Development Index like the sample presented in the table below:

**Table 2:** Human Development Index Report, 2010 (Selected Countries).

<table>
<thead>
<tr>
<th>HDI RANK</th>
<th>HDI VALUE</th>
<th>LIFE EXPECTANCY AT BIRTH (YEARS)</th>
<th>MEAN YEAR OF SCHOOLING (YEARS)</th>
<th>EXPECTED YEARS OF SCHOOLING (YEARS)</th>
<th>GROSS NATIONAL INCOME (GNI)PER CAPITAL (PPP2008,$)</th>
<th>GNI PER CAPITA RANK MINUS HDI RANK</th>
<th>NON INCOME HDI VALUE</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>0.938</td>
<td>81.0</td>
<td>12.6</td>
<td>17.3</td>
<td>58,810</td>
<td>2</td>
<td>0.954</td>
</tr>
<tr>
<td>4</td>
<td>0.902</td>
<td>79.6</td>
<td>12.4</td>
<td>15.7</td>
<td>47,094</td>
<td>5</td>
<td>0.917</td>
</tr>
<tr>
<td>11</td>
<td>0.884</td>
<td>83.2</td>
<td>11.5</td>
<td>15.1</td>
<td>34,692</td>
<td>11</td>
<td>0.917</td>
</tr>
<tr>
<td>15</td>
<td>0.872</td>
<td>81.2</td>
<td>11.9</td>
<td>15.6</td>
<td>27,831</td>
<td>14</td>
<td>0.916</td>
</tr>
<tr>
<td>26</td>
<td>0.849</td>
<td>79.8</td>
<td>9.5</td>
<td>15.9</td>
<td>35,087</td>
<td>-6</td>
<td>0.860</td>
</tr>
<tr>
<td>55</td>
<td>0.752</td>
<td>73.3</td>
<td>7.8</td>
<td>13.5</td>
<td>24,726</td>
<td>-20</td>
<td>0.742</td>
</tr>
<tr>
<td>65</td>
<td>0.719</td>
<td>67.2</td>
<td>8.8</td>
<td>14.1</td>
<td>15258</td>
<td>-5</td>
<td>0.729</td>
</tr>
<tr>
<td>Country</td>
<td>HDI</td>
<td>Income</td>
<td>Education</td>
<td>Health</td>
<td>Population</td>
<td>Growth</td>
<td>Gini</td>
</tr>
<tr>
<td>-------------</td>
<td>-------</td>
<td>--------</td>
<td>-----------</td>
<td>--------</td>
<td>------------</td>
<td>--------</td>
<td>------</td>
</tr>
<tr>
<td>Azerbaijan</td>
<td>0.713</td>
<td>70.8</td>
<td>10.2</td>
<td>13.0</td>
<td>8,747</td>
<td>8</td>
<td>0.769</td>
</tr>
<tr>
<td>Iran</td>
<td>0.702</td>
<td>71.9</td>
<td>7.2</td>
<td>14.0</td>
<td>11,764</td>
<td>-3</td>
<td>0.725</td>
</tr>
<tr>
<td>Brazil</td>
<td>0.699</td>
<td>72.9</td>
<td>7.2</td>
<td>13.8</td>
<td>10,607</td>
<td>-3</td>
<td>0.728</td>
</tr>
<tr>
<td>Turkey</td>
<td>0.679</td>
<td>72.2</td>
<td>6.5</td>
<td>11.8</td>
<td>13,359</td>
<td>-26</td>
<td>0.679</td>
</tr>
<tr>
<td>China</td>
<td>0.663</td>
<td>73.5</td>
<td>11.4</td>
<td>7.5</td>
<td>7,258</td>
<td>-4</td>
<td>0.707</td>
</tr>
<tr>
<td>Egypt</td>
<td>0.620</td>
<td>70.5</td>
<td>6.5</td>
<td>11.0</td>
<td>5889</td>
<td>-8</td>
<td>0.657</td>
</tr>
<tr>
<td>India</td>
<td>0.519</td>
<td>64.4</td>
<td>4.4</td>
<td>10.3</td>
<td>3,337</td>
<td>-6</td>
<td>0.549</td>
</tr>
<tr>
<td>Zimbabwe</td>
<td>0.140</td>
<td>47.0</td>
<td>7.2</td>
<td>9.2</td>
<td>176</td>
<td>0</td>
<td>0.472</td>
</tr>
</tbody>
</table>

**Source:** Human Development Index Report, 2010.

The above table indicates that Norway, which is located in Europe is the most developed in view of the 2010 HDI report while Zimbabwe (located in Africa) is the least developed among the countries selected. The implication is that the pace of rural development in both countries (Norway and Zimbabwe), cannot be the same. It is even possible to regard rural areas in Norway as urban centres or cities in Zimbabwe as well as most countries in Africa.

Therefore, it is urged that rural development policies and programmes receive significant boost from most governments in developed countries like USA, Norway, Britain and France than the underdeveloped countries like Nigeria, Mali, Uganda, Chad, Benin Republic, South Africa, Kenya, and Niger. Also, it is argued from this premise that agriculture which plays a dominant role in food production is better funded and prioritized in developed economies than the third world social formations.

As a result of this, food security could best be understood within the trajectory of developed social formations than in the developing states. It is also possible to think of peace even though not on a global scale among developed economies than countries like Zimbabwe, Nigeria, Benin, Uganda, Niger, Liberia, Chad, Morocco, Sudan, Mauritius and Somalia (located in African). These countries are ravaged by poverty, illiteracy, health challenges, violence, internal insurrection, militancy, leadership crisis, political instability, among others.

### 4. The Nexus Between Rural Development and Food Security

In most developed world, rural development is often multi-dimensional. In Europe for instance, rural development actions also integrate environmental management which is often neglected in Africa, as a core component. Hence, rural development programmes in Europe particularly in Luxembourg, Lithuania, Ireland, Italy, Hungary, Greece and Croatia, are usually top-down; from the local or regional authorities, regional development agencies, NGOs, national government or international development organizations (Rosegrant et al, 2005: 65).

Rural development policies in the above countries are designed to accommodate the participation and initiatives of the rural people for development.

The import of integrating the rural dwellers in policies and programmes of rural development has been well articulated by Swaminathan et al, (2004):

…rural development aims at finding the ways to improve the rural lives with participation of the rural people themselves so as to meet the required need of the rural area. The outsider …may not understand the setting,
cultural, language and other things prevalent in the local area. As such... people themselves have to participate in their sustainable rural development.

However, what this suggests is that the term rural development is not limited to developing countries. In fact, many of the developed countries have very active rural development programmes. This is succinct because, the main aim of the rural government policy in most developed countries like Australia is to develop the underdeveloped villages.

Thus, the most viable occupation of large number of people residing in the rural areas in most countries of the world is agriculture. Also, about 97% of foods consumed by those residing in most cities in developed countries (New York, Vilnius, Skopje, Paris, Tbilisi, Berlin, Helsinki, Prague, Ottawa, Sofia etc ) and those in developing countries (Abuja, Algiers, Yaoundé, Cairo, Kinshasa, Beijing, New Delhi, Kuwait City etc), are produced in the rural areas (FOA, 2010).

Therefore, there is a direct relationship between rural development and food security. Whereas rural development is conceived as a strategy designed to improve the economic and social conditions of rural people, food security connotes a situation when all people at all times, have physical, social and economic access to sufficient, safe and nutritious food that meets their dietary needs and food preferences for an active and healthy life (World Food Submit, 2010).

Contrarily, food insecurity exists when people are undernourished as a result of the physical unavailability of food, their lack of social or economic access to adequate food, and /or inadequate food utilization (World Food Submit, 2005). Therefore, food-secured people are those whose food in-take falls below their minimum calories (energy) requirements, as well as those who exhibit physical symptoms caused by energy and nutrient deficiencies resulting from inadequate or unbalanced diet.

Similarly, some observers (Uyanga,1980; Olarenwaju, 1984; Magbogunje, 1980; Vincent, 1981; Ekpo 2006, Ntukidem, 2006; and Kherallah et al, 2002), have incisively argued that there are strong direct relationship between agricultural productivity, food security, hunger and poverty. This assertion is supported by the 2010 HDI statistics which argues that:

...three–quarters of the world’s poor live in the rural areas and make their living from agriculture. Hunger and child malnutrition are greater in these areas than in urban areas. (HDI, Report, 2010).

Therefore, it is bluntly argued from the above premise that effort towards curbing the increasing menace of food security must first start from radical improvement of agricultural sector by nation-states across the world. This is clearly because, increase in agricultural productivity will not only enable farmers grow more food but also ensures food security. Also, it will obviously lead to high income generation to farmers as well as enable them diversify production and grow higher-value crops. Hence, these outcomes are therefore expected to impact positively not only on farmers and common man who consume the foods produced but also on the economic development of states in the globe.

5. The Interface Between Food Security and Global Peace

...Food security is a complex sustainable development issue...linked to health through malnutrition, but also to sustainable economic development, environment, and trade. There is a great deal of debate around food security with some arguing that... there is enough food in the world to feed everyone adequately; the problem is distribution... future food needs can or cannot be met by current levels of production...national food security is paramount or no longer necessary because of global trade... globalization may or may not lead to the persistence of food insecurity and poverty in rural communities (Rosegrant etal, 2005: 48).

The above observation by Rosegrant and others, reinforces the argument among scholars on conceptualization of food security as a social phenomenon. Notwithstanding, food security is a complicated issue that is susceptible to many forces. According to Latham (1997), food security is built on three pillars:

i. **Food availability:** This refers to sufficient quantities of food available on a consistent basis.

ii. **Food access:** This connotes having sufficient resources to obtain appropriate foods for a nutritious diet.
iii. **Food use:** This implies appropriate use based on knowledge of basic nutrition and care, as well as adequate water and sanitation.

Generally, food security happens:
When all people at all times have access to enough food that is affordable, safe and healthy... when it is culturally acceptable... meets specific dietary needs... is obtained in a dignified manner... is produced in ways that are environmentally sound and socially just... (www.foodthoughtful.ca.).
Thus, the attainment of food security in the contemporary globe has been largely constrained by the following factors:

A. **An underdeveloped agricultural sector**
The major challenge to food security in the world today is that agricultural sector in most countries especially in Africa is underdeveloped. Indeed, this sector is characterized by over-reliance on primary and crude method of farming, low fertility soils, minimal use of external farm inputs, environmental degradation, significant food crop loss both pre and post harvest, minimal value addition and product differentiation, and inadequate food storage and preservation. According to Nwaniki (2003), “about 95% of food production in Sub-Saharan Africa, Latin America and some countries in Asia, is influenced by adverse whether conditions”.

Similarly, there is an overall decline in farm input investment including fertilizers, seeds, and technology adoption. Thus, access to fertilizer use is constrained by market liberalization and trade policies that increase fertilizer prices relative to commodity prices.

B. **Poor governments’ policies:**
The formulation of poor policies by many governments have greatly affected food security in the contemporary world. Such handicapping policies are evident when the focus of governments’ policies, structures and institutions are put above that of the rural people.

Thus, one such way this ugly trend has taken place in some countries is through uneven development within countries where certain regions or state are preferentially developed for political reasons at the expense of rural areas. Therefore, policies that promote monopolistic competition for the large scale industries not only hurt cottage/small industries, but also the development of rural areas where food production takes place.

C. **Diseases and infection:**
Available evidence shows that diseases and infection have continued to plague many countries particularly those in Africa, Asia, and Oceania. Thus, diseases such as malaria, tuberculosis and HIV/AIDS, not only reduce the manpower available to agriculture and household food acquisition, but also increase the burden of household in acquiring food in most countries, particularly in the above continents (Zhang and Zhang, 2002).

For instance, in Sub-Saharan Africa, AIDS is the leading cause of adult mortality and mobility. Consequently, the Food and Agriculture Organization of the United Nations (FAO) estimates that by 2020, the epidemic will claim the lives of 20% or more of the population working in agriculture in many African countries. Also, more than two third, \( \frac{2}{3} \) of the total population of the 25 most affected countries resides in rural areas (FAO, 2010). It is, therefore, important to note that lack of resources also makes it difficult if not impossible for HIV-affected households to supplement their diets through the purchase of more nutritious and varied foods (Hilary, 2004).

D. **Poverty:**
As earlier noted, failure to develop rural areas anywhere in the contemporary globe ultimately results in poverty among the people. However, poor people no doubt, lack access to sufficient resources to produce or buy quality food. This is obviously the trend in some countries like Mali, Niger, Madagascar, Malawi, Kenya, Jamaica, Haiti, Gabon, Costa Rica, Chile, among others. As a result of this pathetic scenario, food imports have witnessed unprecedented increase in these countries since 2003 (World Bank, 2005).
This is largely because, poor farms in these countries have very small farm, use less effective farming techniques and/or be able to afford fertilizers and labour saving equipment. Hence, all these factors limit food production (Gordon, 1976).

The implication of the above sad situation on food security and global peace has been carefully put to perspective by Wilkin (2009):

…. Without economic resources and a political voice, poor farmers may be forced on to less productive land possibly causing further environmental deterioration… addressing poverty is critical to ensuring that all people have sufficient food…

E. Health:
Available researches in the field of medicine have proved that without sufficient calories and nutrients, the body slow down, making it difficult to undertake the work needed to produce food. Consequently, without good health the body is also less able to make use of the food that is available. This scientific discovery perhaps explains why Jorge (2010) asserts that:

….a hungry mother will give birth to an under-weight baby, who then faces a future of stunted growth, frequent illness, learning disabilities and reduced resistance to diseases… contaminated food and water can cause illness, nutrient loss and often death in children…

However, the HIV/AIDS pandemic has reduced food production in many affected countries, as productive adults become ill or die. Thus, lacking the required labour, resources and technical know-how to grow staples and commercial crops, many households particularly in US, Europe, Oceania and Asia, have shifted to cultivating survival foods or leaving their fields or farm lands, thereby reducing food supply not only in their countries, but also in the globe (World Bank Report, 1990). Hence, addressing health and health-related issues will ultimately improve the production, utilization and availability of food.

F. Water and the Environment:
Food production requires massive amount of water…it takes one cubic metre (1000 litres) of water to produce one kilogram of wheat and 3,000 litres of water to produce one kilogram of rice… producing sufficient food is directly related to having sufficient water… (Stewart, 2003).

The above assertion underscores the import of water and environment to food security and its attendant consequences on global peace. Hence, the import of irrigation in food security cannot be underestimated.

Consequently, irrigation ensures an adequate and reliable supply of water which increases yield of most crops by 10% to 40%. Although it is estimated that about 40% of global crop land is irrigated, only 17% produces world’s food (FAO, 2010).

G. Gender Equity:
It is globally acknowledged that women play crucial roles in providing food and nutrition for their families through their indispensable roles as food producers, processors, traders and income earners. Yet, women’s lower social and economic status occasioned by adverse cultural practices as well as harsh/biased policies of government culminate to limit women access to education, training, land ownership, decision-making and credit facilities for agricultural production. Consequently these social and cultural practices against women, particularly in the developing world, lead to their inability to improve their access to and use of food.

Therefore, food utilization can be enhanced by improving women’s knowledge of nutrition, food safety and the prevention of illness. Also, increasing women’s involvement in decision –making by countries all over the world, and their access to land and credit, will in turn improve food security. This is succinct because as Ukpong (2006) rightly observed “the involvement of women particularly in decision-making by governments of nation-states will ultimately assist women invest in fertilizers and better seeds, labour-saving tools, irrigation and land care”.

H. Disasters and Conflicts:
Experts have argued that droughts, floods, cyclones and pests can quickly wipe out large quantities of food as it grows or when it is in storage for later use. Likewise, seeds can be destroyed by environmental dangers such as earthquake and windstorm as the case in Haiti and Japan.
Similarly, conflicts such as the experiences in Libya, Sudan, Syria, Iran, Tunisia, among others, can also destroy food production or storage, as farmers flee to safety or become involved in civil war. Thus, previously productive land like the case of Iran, Bolivia, Afghanistan Cambodia, among others, can be contaminated with explosive debris and need to be cleared before it can again be used for food production.

However, stored food, seeds and breded livestocks may be eaten or destroyed by soldiers, leading to long-term food shortages. Therefore, government’s spending in the affected states like Sudan, Southern Sudan, Libya, Syria etc, need to prioritize food security in the after math of conflict.

I. Population and Urbanization:
It is generally accepted by experts that population growth increases the demand for food. Thus, with most productive land already in use, there is pressure for land to become more productive. However, poor harvests and higher costs lead many farmers to migrate to cities to look for work (Roundinell, 2008). Hence, expanding cities spread out across productive land, pushing food production further and further away from consumers (Huang et al, 2002).

J. Trade:
Many poor countries (Gabon, Ethiopia, Rwanda, Zambia, Malawi, Chad, Niger, Benin Republic, Namibia, Uganda, Sudan, Uruguay, Venezuela, Vietnam, Syria and Sri Lanka), can produce staples more cheaply than rich nations (United Arab Emirates, Germany, Canada, France, Switzerland and Spain). Unfortunately, barriers to trade such as distance from markets, quarantine regulations and tariffs sometimes make it difficult for them to compete in export markets against highly subsidized farmers in these rich countries of the world.

6. Rural development: a bottom–up approach to food security and global peace in the 21st century

A cursory survey of policies and strategies to rural development by most nation-states indicates the continuous adoption of up-bottom approach of decision-making in rural development efforts. In most countries in Europe, America, Asia, and Africa, rural development policies and programmes are formulated at the central, national or federal level, while implementation are designed to take place at the regional, local, community and village levels. Consequently, majority of these policies and programmes have failed to address the challenges of rural underdevelopment for which they were designed.

As a result, the desire for food security – all people at all times having access to sufficient, safe nutritious food to maintain a healthy and active life by countries, international organizations (UN, FAO, EU, AU, USAID, Etc), has been unrealistic.

Hence, achieving food security with the ultimate view to promote global peace in the 21st century in its totality has continued to be a critical challenge and a “clog in the wheel of progress,” not only in the developing countries, but also in the developed nations.

Although the difference lies in the magnitude of the problem in terms of its severity and proportion of the population affected, the fact remains that the existing approach of decision-making in rural development (up-bottom approach), by some countries in the developed and developing world has no capacity to impact positively on food security and global peace in the 21st century.

In consideration of the above thesis, this study advocates the adoption of bottom-up approach in rural development policies and programmes by all countries in the world. Thus, rather than formulating and implementing rural development policies and programmes from the federal/national levels to regional/local government levels, nation-states should now consider the socio-cultural, political and economic realities at local, community and village levels in their countries. The following are justification of the proposed/recommended paradigm shift in rural development:

1. Availability of land:
It is no longer doubtful that significant population of people in many countries lives in rural areas. In some countries, agriculture accounts for over 60% of the GDP. Also, about 70% of the population of some
countries relies heavily on agriculture for their livelihood. Therefore, rural development policies and programmes should reflect the realities in rural areas.

Thus, the implementation of rural development policies should be done by those who not only have access to available productive lands for agricultural production in their localities but also by those for whom the policies and programmes were designed to serve.

2. **Decision-Making in rural development issues:**

Decision making according to policy experts denotes choosing among completing alternatives (Dror, 1968). Thus, rural development policies and their implementation must take cognizance of the role of the rural dwellers and their communities, belief systems and cultural practices, for the success and efficacy of the policies and programmes.

Hence, such policies and programmes should originate after due consultation of the opinions of the rural people (the elders forum, the traditional rulers, women and the youths). Thus, rural development policies and programmes designed to achieve food security must ultimately involve the rural communities in their implementation, monitoring and evaluation. The chart below presents how such policies and programmes should originate:

**Fig. 1:** A Sample Of Proto-Type Bottom-Up Approach Of Rural Development For Achievement Of Food Security And Global Peace In The 21st Century

<table>
<thead>
<tr>
<th>Global Level:</th>
</tr>
</thead>
<tbody>
<tr>
<td>International Organizations and donor agencies (UN; UNDP, World Bank, IMF, and their specialized agencies)</td>
</tr>
<tr>
<td>International security formations</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Regional Level:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Regional Organizations (EU, AU, DFID, USAID, ECOWAS, NEPAD, NATO etc.)</td>
</tr>
<tr>
<td>Regional NGOs with advocacy on poverty alleviation, food security, peace and conflict resolution.</td>
</tr>
<tr>
<td>Regional security apparatuses</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>National Level:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Security agencies and organizations operating at national levels</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>State Level:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ministries of Agric and Rural Development; Local Government and Chieftaincy Affairs and Local Government Service Commission.</td>
</tr>
<tr>
<td>Special Intervention Agencies (Office of the Governor).</td>
</tr>
<tr>
<td>NGOs Operating at State Level.</td>
</tr>
<tr>
<td>All security formations at the State Level.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Local Government Level:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Consultation with families, villagers and community members.</td>
</tr>
<tr>
<td>Assessment of the history, beliefs and value systems of the community.</td>
</tr>
</tbody>
</table>

| NGOs involved in rural development programmes, food-related matters, peace and conflict resolutions. |
| All security formations at the State Level. |

| Inclusion of structures in rural areas: Traditional Institutions, Women and Youth Associations. |
| Vigilante groups and Divisional Police Hqtr. |

**Source:** Nwagboso’s Field Work, 2011
3. Proper education on various international actions to achieve rural development and food security:

The UN Millennium Development Goals are one of the initiatives aimed at achieving food security in the world. However, in its list of goals, the first Millennium Development Goal states that the UN “is to eradicate extreme hunger and poverty,” and that “agricultural productivity is likely to play a key role in this agenda (Usman, 2010).

Therefore, of the eight Millennium Development Goals, eradicating extreme hunger and poverty that are traceable to food insecurity depend largely on agriculture the most. In view of this, the rural dwellers and their communities that are regarded as “centres of attraction as advocated by “bottom-up approach” must be properly informed of the goals of MDGs as well as their efficacy to address critical problems not only in their localities but also in the world.

4. Implementation of Policies to address the challenges of climate change in rural areas

Efforts to addressing the negative effects of climate change in rural areas require education and advocacy among the rural populace.

Indeed, practices among the rural people, particularly in Africa, such as land clearing, over-exploitation of species, bush–burning, over-grazing, deforestation, among others, require proper education by enlightened group residing in urban centres (Awa, 1992). They must visit these villages and communities to influence their behaviours on these practices that impact negatively on the environment and global climate.

Therefore, addressing climate change and its adverse effects on food security and global peace requires bottom-up approach and not conventional up-bottom approach currently existing in many countries. Therefore policies and programmes on food production by governments should meet the standards and expectations of those who engage in the profession (rural dwellers).

5. Global inequality

The failed attempts by UN and many other international organizations to close the gap between the rich (developed) countries and the poor (underdeveloped nations) are achievable through “paradigm shift” and “international re-focusing”.

This shift should rather than attempting to address inequality on a global scale, “re-focuses on finding lasting solutions to factors that breed inequality in the rural areas (families, villages and communities).

Thus, inequality in rural communities and villages are perceived in the area of few individuals and families deliberately having access to productive farm-land to the detriment of large population of the area, access to river(s) for fishing activities, access to primary, secondary and university education, access to good water, primary health care facilities, housing, among others.

Consequently, poor access to these critical facilities by large number of indigenes in the many rural areas, lead to disaffection, acrimony, conflicts and violence (Toye, 1995). This consequently, results in shortage of food (food insecurity) and disharmony among the people. Therefore, global peace cannot be achieved until inequality at rural areas all over the world is decisively tackled (McSweeney, 1999).

6. Conclusion

…what strikes a visitor from the advanced country to most rural areas is the low level of technological practice in some countries especially in Asia, Africa and Latin America…this state of affairs gives the impression that engineers and scientists in these continents are careless about devising the technologies
appropriate to the rural sector... the government should first stop deceiving itself and the public that the rural sector does not yet have the type of technologies and facilities it needs... (Ogbudinkpa, 1991).

Rural development as strategy designed by countries to improve the lives of the rural people in order to meet their required needs has abysmally failed to achieve this lofty objective, particularly in the developing world. Rural development whose emphasis should be on issues germane to agriculture and technological developments of rural communities has tremendously left large population of the contemporary world in hunger, poverty and avoidable crisis. Thus, since rural development policies and programmes are incapacitated to bring about desired food security, the attainment of global peace has continued to attract mix reactions by observers and public commentators all over the world.

In India for instance, (the second most populous country in the world), about 30 million people have been added to the ranks of the hungry since the mid 1990s and 46% of children in this country are underweight (Human Right Watch Reports, 2010). World-wide, about 852 million people are chronically hungry largely due to extreme poverty, while 2 billion people lack food security due mainly to varying degrees of poverty-related cases (Yao and Colman, 2010).

Similarly, experts have argued that about six million children die of hunger every year and 17,000 every day (Mousseau, 2003). However, this situation is attributed to failure of rural development policies and programmes to achieve food security. As demonstrated in this study, the root causes of food insecurity in the world today is the inability of people to gain access to food largely due to poverty. While some developed countries in the world have made significant progress towards rural development, food security and poverty alleviation, many countries in Africa, particularly the Sub-Saharan Africa, Asia and Latin America, have continued to lag behind (Ekong, 2010).

The above ugly trend particularly among African states (Nigeria, Mali, Cameroon, Gambia, Senegal, Cote D’ivoire, Madagascar and Zimbabwe), has not only affected the development of their rural economy, but also subjected the people to abject poverty. Notwithstanding, it is important to observe that an appreciable level of improvements have been recorded recently by some countries in the developing world.

Consequently, global peace cannot be achieved when most countries in the contemporary world “have their second name as poverty. (IFPRI, 2002)” Understandably, peace hardly triumphs in poverty-driven environment. This, therefore, underscores the need for global action towards combating the root causes of rural backwardness, poverty and food insecurity in order to achieve global peace in the 21st century.

In view of this, nation-state should emulate and replicate the strategies and actions adopted by Australian and Chinese Governments to address the problem of rural underdevelopment and food insecurity in their countries (Pinststrup-Aderesen, 2002). This is crucial because as FAO (2010) observes: The Australian Government helps developing countries in its region to reduce poverty and address food security by promoting trade liberalization, peace and stability, good governance, security of land tenure, rural develop and agricultural research.

However, the AU, EU, and other regional organizations in Africa and Asia should strictly adopt bottom-up approach with rural communities as centre of attraction in order to address the pathetic situation of underdevelopment in rural areas. This ugly phenomenon is responsible for increasing rate of poverty, food insecurity, crisis and reported cases of violence in many parts of the world today.

7. Recommendations

1. The United Nations as a body should identify the strategies and factors that aided the Chinese Government to achieve desired heights in rural development. The identified strategies should, therefore, be replicated in other countries particularly the developing world to enable them address critical problems of rural underdevelopment in their respective states.

2. The United Nations should also establish specialized agency charged with the responsibility of ensuring that cultivated or productive land in developing and developed countries are equitably distributed to
households as it is the trend in China and Australia. This could be done through collaboration between this envisaged UN specialized agency and regional bodies in respective continents such as AU, EU, NATO among others.

3. There should be a paradigm shift among states (developed and developing), in the area of concentrating development programmes in the metropolitan or Urban centres. It is strongly recommended that the approach to development of rural areas in this 21st century should be “bottom-up”. Thus, the “bottom-up” approach emphasizes the involvement, consultation and participation of the rural populace on critical issues of rural development in their localities.

4. It is strongly recommended that all countries in the contemporary world should declare what is referred to as “Food Sovereignty”. Thus, “Food Sovereignty” is the right of people and communities to safe, nutritious, culturally appropriate food, food producing resources, and ability to sustain themselves.

5. The international organizations, NGOs and some food-secured countries in the world should formulate implementable strategies and action-plan capable of benefiting food insecure countries like India, Benin Republic, Niger, Mali, Zimbabwe, Haiti, among others. This strategy would rather than supplying food stuffs and relief materials to the affected countries, focuses on ways to address the root causes of food insecurity to enable them become food producers.

References


An Unromanticized Afghanistan in Saira Shah’s 
_The Storyteller’s Daughter_

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**Abstract** In this paper I examine Saira Shah’s representation of Afghanistan and her conflicted position as a viewer and narrator whose “way of seeing” the East and West sometimes fluctuates between an Orientalist and a nationalist perspective. I argue though that her affiliation to the West and Orientalist views seem to dominate her perception of Afghani culture and its people far more than she had expected. Despite her attempts to renegotiate her hyphenated identity, as an Afghani-British, she finds herself unable to embrace the new torn-up Afghanistan that replaces the romanticized image she had of it in the past. In _The Storyteller’s Daughter_, Shah tries to bring Afghanistan and its culture to light, but indirectly contributes to its invisibility and misrepresentation by the colonial discourse. She shares with her readers her experiences with the Taliban and the women she met in Afghanistan which she thought of as a mysterious land until she was disillusioned with its horrific state of war and political turmoil.

**Key words:** Identity, Saira Shah, Afghanistan, Orientalism, Third World

“...For it is often the way we look at other people that imprisons them within their own narrowest allegiances. And it is also the way we look at them that may set them free.” (Maalouf, 2000, p. 22)

1. **Introduction**

Saira Shah grew up as a British citizen in an Afghani family that has been displaced from their ancestral home but its memories were kept alive through storytelling. The stories she hears from her father are so compelling that she cannot wait to visit this mysterious land to experience life there and reclaim her long lost Afghan identity. Shah eventually visits Afghanistan as a war correspondent during the Soviet occupation and returns to it in 2001 with the BBC to film her documentary _Beneath the Veil_ which gained popularity after 9/11. Shah, in _The Storyteller’s Daughter_, gives her readers a glimpse of Afghanistan’s tumultuous history as she explores the country of her ancestry and tries to come to terms with the “unromanticized” version of Afghanistan that just hits her by surprise.

The essay examines Saira Shah’s (2003) conflicted views and representation of Afghanistan, its culture, and history in _The Storyteller’s Daughter_. It brings to the fore Shah’s tendency to fluctuate between a Western and Orientalist perspective of her homeland, on the one hand, and a nationalist perspective of it on the other. The essay, while it highlights instances of Shah’s nationalist and nativist perspective, reflects, more often than not, her colonialist and Orientalist views that largely inform her representation and perception of the East. The discussion also focuses on Shah’s journey to Afghanistan in search of an identity she had longed for. It unravels her experiences at this homeland, her encounter with the Taliban and Afghani women.

2. **Identity**

Shah’s (2003) narrative presents a dialectical opposition between East and West. Shah struggles with these two conflicting cultures, ideologies and sets of values. It is through her journey to Afghanistan that she becomes more aware of the two parts that are in war with each other and that make up her hyphenated
identity which she tries to reconcile as best she could.¹ She hopes for a new and coherent identity, hence her narrative is a renegotiation of her multiple identities. Towards the end of the narrative, Shah (2003) states that:

Despite myself, I felt a glow of pleasure that I had fallen on the Eastern side. I wondered why being an Afghan was still so important to me. To this day, I dreaded the question, “Where are you from?” Why did it matter to me that I could never answer in just one word? I had always longed to belong to a single place: why couldn’t that place be the West? (p. 221)

She is torn between two cultures; her British and Western upbringing is often in conflict with her Afghani and Eastern origins. Therefore, she wishes to bring together her two opposing identities and believes her journey to Afghanistan will help bring about peace between them.

Shah recalls the magnificent stories about Afghanistan told by her father. As she is fascinated by these stories of a rich culture passed down from father to daughter, she becomes eager to visit the origins of her ancestors. Shah realizes she has unresolved issues with her identity and sense of belonging. Shah (2003) wonders, “How could my father expect us to be truly Afghan when we had grown up outside an Afghan community? When we went back home, wouldn’t we children be strangers, foreigners in our own land?”(p. 6). Her father comments “I’ve given you stories to replace a community. They are your community” (Shah, 2003, p. 7). She recognizes the complexity of her situation as a foreigner in her own land. As an adult, she finally realizes that stories told by her father cannot replace an entire community or culture, nor can they truly preserve her connection to her cultural origin.


This feeling of being caught between cultures, of belonging to neither rather than to both, of finding oneself arrested in a psychological limbo that results not merely from some individual psychological disorder but from the trauma of the cultural displacement within which one lives, is referred to ... as unhomeliness. (p. 368)²

Although Shah tries to reclaim her lost identity, she seems to be struggling more with her Afghan origins and roots rather than her Western identity. She does not complain about being mistreated or viewed as “the other” by the West, neither does she speak of any injustices she personally experiences due to her Afghan cultural origins. We do not feel Shah is traumatized by a cultural displacement, nor do we sense pain or psychological devastation due to her state of in-betweeness. Tyson rightly claims that “Being ‘unhomed’ is not the same as being homeless. To be unhomed is to feel not at home even in your own home because you are not at home in yourself: your cultural identity crisis has made you a psychological refugee” (p. 368). Shah’s narrative does not reflect her unhomeliness or homelessness, neither do we get the sense that her cultural identity has made her a psychological refugee either. On the contrary, she seems to feel at home with her Western identity.

It is no surprise that Shah does not feel at home during her visit to Afghanistan. Her initial experience with the Afghan culture and first impression of its social and religious practices is negative. This is exemplified by Shah’s first encounter with the “burqa” which she could never accept as part of the cultural norms in this society. She is only able to look at the “burqa” from a Western feminist lens. She makes no attempt to learn about its significance, or the rationale behind such a practice. She quickly decides that this culture is very oppressive of women, for they are forced to wear a burqa that makes them invisible. It is only natural for Shah, as a Western and British woman in particular, to reject this dress code, and feel that it constrains her, limits her freedom and strips her of her individuality. It is this unpleasant image of Afghan women that leads

² For further reading on “unhomeness” see Bhabha (1994) in The Location of Culture. London/New York: Routledge
her to develop a negative attitude toward the entire culture. She expresses her detestation of this cultural practice when she writes “I am merely a notation on the papers of my male escort. As a woman, I have ceased to exist. The burqa is my passport, my cloak of invisibility” (Shah, 2003, p. 14). She is forced into a disturbing state of invisibility through the burqa. Obviously, she is unhappy with her invisibility and the silence that comes along with it.

Shah is critical of the patriarchal system in Afghanistan that dominates women and deprives them of their rights. Ironically, she puts great emphasis on the Afghan male experience during war while she deals with the plight of Afghan women very briefly in her narrative. She is under the disguise of a man, and goes on with her journey accompanied by men from the Taliban. She distances herself from the Afghan women so as to avoid falling into that category of Third World women which would make her a member of “the other.”

3. The “Us” and “Them” Binary

Chandra Mohanty (2003), a well-known postcolonial theorist, offers a critique of the discourse of Western feminists that tend to group all women of the Third World into a single coherent and homogeneous group that shares identical interests regardless of cultural differences, race, class or religion. She believes it is this process of homogenization of these women’s oppression that results in producing the image of an “average Third World woman.” Based on her feminine gender this average Third World woman is read as “sexually constrained, and her being “Third World” is read as “ignorant, poor, uneducated, tradition-bound, domestic, family-oriented, victimized... this... is in contrast to the (implicit) self-representation of Western women as educated, as modern, as having control over their own bodies and sexualities and the freedom to make their own decisions” (Mohanty, 2003, p. 22). Shah is aware of these polarized binaries to a great extent. She fails to bring a new perspective or new way of seeing through which she can unsettle these oppressive binaries of West/East, the oppressor/ the oppressed, modern/ traditional and First World/ Third World. She recognizes the complexity of such constructions that set “us” apart from “them,” as Edward Said puts it in his seminal book *Orientalism* (1980). Due to her fear of being otherized, she sets herself apart from this image of Third World woman. Furthermore, she asserts herself as a Western woman who is by contrast educated and in control of her own life. She believes the best way to maintain this privileged status is by associating herself with Afghan men who are dominant, relatively free compared to the women, and in control of their lives.

Shah is disguised in man’s clothes through which she detaches herself from the female world, and her gender as woman in order to be heard. In other words, she makes the assumption that her appearance as woman in a patriarchal society as such may cripple the progress of her journey. Perhaps her positioning of herself, away from the margins and subaltern subjects, can be justified in the light of Gayatri Spivak’s (1988) reply with an emphatic no to her own question “Can the subaltern speak?” Spivak (1988) strongly argues that “the subaltern as female cannot be heard or read” (p. 106). Shah clearly understands the politics of power, dominance, and invisibility, and thus, does not want to be subordinated through a subaltern position that only ignores her voice. In spite of the good intentions she may have, she herself is entrapped by the Western patriarchal mentality that marginalizes women, for she decides to unravel the complexities of the life of the male mujahideen barely touching upon issues concerning Afghan women. Ironically, she is critical of the invisibility of women in Afghanistan when she herself makes them invisible in her narrative, and does not make their voices heard. It is not surprising that she is entangled in Western stereotypes and misconceptions of the East, and the colonial discourse. Perhaps, Shah is unconsciously influenced by this colonial and patriarchal mentality that reinforces the centralization of males and the marginalization of females. By joining the men in the Taliban, she empowers them as a patriarchal force which is characteristic of colonial power and ideology. Simultaneously, she tries to help three little girls at the end of the narrative as a way to express her rejection of the injustices females experience during an era of colonization and war. Even this act of kindness on her behalf can be interpreted as reflective of typical Western colonialist behavior, that is, the colonizer usually takes on the role of savior who helps its colonized and inferior subjects especially women.
This act of kindness through which Eastern women are saved and liberated actually reinforces the colonizer’s superiority and domination over colonized cultures. Shah (2003) represents Western stereotypes of the Islamic state that victimizes and suppresses its women. She perceives Afghan women as “ignorant, poor, uneducated” and subordinate. She sums up what she believes to be the premise on which women’s status is based in the “Islamic” state. She supposes that “Women must be protected, and the best way to do that is to keep them indoors… Girls over nine are barred from school. Females are banned from almost all jobs” (Shah, 2003, p. 13).

Shah, however, does not completely give in to Western notions of the East, in her journey with the men, she puts aside the Orientalist and Western lens through which Afghan men are usually perceived, and gives them a chance to demonstrate who they truly are. In fact, she improves the image of Afghan men with whom she feels respected and safe. She subverts the distorted Western image of Third World men that constantly portrays them either as savage and uncivilized, or hypersexual beings that are driven by their sexual and animal instinct. When Karima, her Afghan hostess, asks her “Do you not have trouble traveling alone as a woman with so many men?” Shah narrates “I told her that the mujahidin were engaged in jihad, a holy struggle. I could imagine no other group of soldiers where I could travel in such perfect safety” (Shah, 2003, p. 93). Not only does she overcome her personal bias against these men who keep their women indoors, but also praises them for the security she has felt and experienced in her journey with them.

4. In-Between a Nationalist and Orientalist Discourse

Shah continues to fluctuate between her two identities on the one hand, and her varied representations of Afghanistan, on the other. She continuously shifts back and forth between two conflicting perspectives: the Western Orientalist as opposed to the nationalist or nativist perspective. In *Bananas Beaches and Bases: Making Feminist Sense of International Politics*, the postcolonial feminist Cynthia Enloe (1989) discusses how nationalism functions and develops among anti-colonialists. She believes that:

A nation is a collection of people who have come to believe that they have been shaped by a common past and are destined to share a common future. That belief is usually nurtured by a common language and a sense of otherness from groups around them. Nationalism is a commitment to fostering those beliefs and promoting policies which permit the nation to control its own destiny. Colonialism is especially fertile ground for nationalist ideas because it gives an otherwise divided people such a potent shared experience of foreign domination. (Enloe, 1989, p. 45)

In the light of this explanation of nationalism and the sense of otherness it involves, it hardly seems that Shah’s representation of Afghanistan comes from a nationalist perspective. Although she has the cultural origin that connects her to the East, she does not consider herself one of the Afghan people who is destined to share a common future, nor has she been shaped by a common past with them either. In other words, she knows she would eventually return to England where her past was shaped and her future will come into existence. Her visit to Afghanistan is more of a journey into the past that has been wiped away, and replaced with the harsh reality of the present which to her is only temporary and unpleasant. She comments “I didn’t need anyone to teach me how to see what I wanted to see. I didn’t want this fractured war-torn place: I wanted the lost homeland I had been told about” (Shah, 2003, p. 111). Shah realizes that this journey will come to an end and that she will be gone, and thus, will not share a common future or destiny with its people. She is even glad to be leaving her “homeland” because staying there involves great sacrifices and struggles that she could no longer endure. She admits it and states, “I stepped on to the pontoon, guiltily glad to be leaving Afghanistan. A stretch of muddy brown water opened up between me and the shore” (Shah, 2003, p. 251).

There are several occasions, on the other hand, during which she sees herself an Afghan, and separates herself from the West, and actually views it as a manipulative colonial force. She presents her view towards the West through the gaze of the colonized and speaks as an outsider of the Western culture. She writes:
I gazed at the Westerners under their safe canopy and I thought: However much they love us or hate us, and however much they want to believe the myths they have invented about us, they will never clip our beak and our crest and our cruel...talons and turn this hawk into a pigeon. (Shah, 2003, p. 125)

She resists the myths created by the West that dehumanize and belittle people of the East, mainly Arabs or Muslims. We sense defiance and compassionate resistance of the colonial rule in her tone which reinforces her Eastern and Afghan identity.

Shah (2003) suffers, relatively speaking, from an identity crisis. She is unable to commit herself to one identity or one culture, nor can she limit her representations of either culture to a single perspective. She also understands the nature of her dilemma and is aware that her Afghan identity is based on myths and legends and not reality. She declares “My own identity was shaped more by myths and legends than by my passport or birth certificate. Most of them enshrined lessons from history” (Shah, 2003, p. 15). The stories she grows up with do not build a solid foundation for her Afghan identity. Furthermore, the fact that her connection to the Afghan culture is merely based on stories and myth makes her loyalty to her ancestral origins questionable. She compares her situation with regard to her Afghan identity to the people of Afghanistan in general in an attempt to find peace with herself. Shah emphasizes that:

Four million Afghan refugees have been exiled from their homes for two decades. A whole generation has grown up outside Afghanistan. They have never lost their Afghan identity, because they have never been offered another in its place. (p. 26)

This comment illustrates the divide that exists between other Afghans and someone like her who has been offered a Western identity in replacement of her Afghan one which justifies the loss of her Afghan identity. Although we see her expressing her uneasiness with the state of in-betweenness she finds herself in at certain points in the narrative, she seems to struggle with her Afghan origin that is causing her distress rather than her Western upbringing through which she can easily define herself.

Shah wants to come to terms with her identity as long as it does not interfere with her identification of herself as a Westerner that functions as a shield through which she protects herself. If she had been placed in a position in which she had to choose between East and West, she seems to be more willing to sacrifice what links her to the East but not the West. She states:

“I hoped that the myth of the romantic Afghan resistance would stand up to the rigours of my journalistic enquiry. I hoped my family’s map of tales might be my guide without my having to sacrifice Western method. And above all I hoped that, by resolving these contradictions, I could reconcile my incompatible worlds of East and West.” (Shah, 2003, p. 79)

Shah is, evidently, influenced by the Orientalist and colonialist discourse that emphasizes myth, exoticism, and romanticization in its handling of any given colonized culture. In this quote, one notices that in her description of Afghanistan, the terms associated with it are “myth,” “tale,” and “romantic,” however, terms such as “method” and “enquiry” are associated with the West. Obviously, her perception of the East is highly informed and shaped by the polarized binaries of East/ West read as ignorant/knowledgeable and instinctive/rational respectively. After examining her journey and experience in Afghanistan, we get the sense that the desired reconciliation between the East and the West is unlikely to happen.

Shah inevitably prefers to present herself to the reader as a Westerner with all the power, superiority, and dominance this identity entails. It is common for those who have multiple identities to choose one identity over the other based on the hierarchical structure of society. Anna Cieslik and Maykel Verkuyten (2006) discuss this issue of multiplicity and negotiation of identities. Cieslik and Verkuyten (2006) argue that “The various identities may interact according to a situational hierarchy where one position becomes the main distinction along which other sources of identity are ranked and periodically subsumed” (p. 79). Because she is subject to the hierarchical structures of Western society and identity, her Afghan identity is naturally subsumed and subordinated by the more dominant identity.
Shah holds on to her Western identity due to the fact that it empowers her and the knowledge she provides her readers with as a writer and journalist. Mohanty (2003) agrees with Vandana Shiva’s analysis of Eurocentrism and the Western view of “the other”, and their knowledge which assumes that “the knowledge of the Third World and the knowledge of people of color is not knowledge. When that knowledge is taken by white men who have capital, suddenly creativity begins… Patents are a replay of colonialism, which is now called globalization and free trade” (Mohanty, 2003, p. 233). In her memoir, Shah (2003) detaches herself from the Afghan culture, and sees it from a Western lens for the most part. She resists blending in perhaps to make sure that the knowledge she produces and the information she includes in her narrative will not be considered that of the Third World, and so be rejected or devalued by the West. Therefore, she clings to her Western origin that will guarantee her a far better future than what Afghanistan can offer her. Taking on a new identity as an Afghan to Shah would involve great struggles, suffering, and many battles to fight within herself, within the Afghan society, and the outside world which may not be worth the trouble. Mohanty (2003) recognizes the importance of Third World women’s narratives, particularly, the way they are “read, understood, and located institutionally.” She stresses that the point is not just “to record one’s history of struggle, or consciousness, but how they are recorded; the way we read, receive, and disseminate such imaginative records is immensely significant” (Mohanty, 2003, p. 78). Shah does not realize the extent to which her narrative can be taken seriously since she is Western with connections to the East. Her readers are likely to consider her narrative a reliable source on Afghan, Islamic and Middle Eastern issues which is a huge responsibility. Her voice is also heard because her knowledge represents knowledge of the West superior to that of the East. Her views are highly respected in Afghanistan too. This can be illustrated through the question Halima’s husband asks her “Tell us, what are ordinary people in the West saying about our lives?” (Shah, 2003, p. 36). As she is faced with this question, she cannot help but sympathize with these people who think the West would be concerned with what they experience every day during war. After reflecting upon it, she reports that “They wait for me to make my point, because they already assume people in the West believe oppression anywhere in the world concerns us all. But they are wrong: they have been abandoned. Sitting here in the darkness, they are quite alone” (Shah, 2003, p. 37). Shah realizes that these Afghans have been failed by the West and its promise to bring upon justice.

Shah, following her journey, destroys the myth of the beautiful and inspiring Afghanistan and, unfortunately, depicts it as a nation in absolute chaos and ruin. Shah seems to be doing what Ania Loomba (1998) warns us against which is viewing the Third World as “a world defined entirely by its relation to colonialism. Its histories are then flattened, and colonialism becomes their defining feature” (p. 18). Shah resists romanticizing the East so it is not represented as the “exotic,” however, her extremely grim and horrific representation of Afghanistan is somewhat problematic. Her representation of Afghanistan does not do it justice. She does not provide an account of its historical or cultural past prior to colonization, nor does she contrast current Afghanistan with former Afghanistan in the pre-war and pre-colonial period. In fact, it is unusual not to have much mentioning of the past in the discussion of a culture that strongly reveres an individual’s past. Yvonne Ridley (2003) points out in her review of The Storyteller’s Daughter that she was envious of Shah because of her rich family history, stretching back almost 2,000 years, and emphasizes that “For an Afghan, a person’s past is just as important as their future.” It is only reasonable to conclude that if a person’s past is important in such a culture, then the nation’s past, history, and culture must be of great significance to its people, especially that Afghans take pride in their past victories. It is ironic that within this context of Afghan culture the narrative lacks a historical background of the nation’s achievements and successful past that truly reflects Afghanistan.

3 For further information on identity and Third World Feminism see Narayan (1997). Dislocating Cultures: Identities, Traditions, and Third World Feminism. New York: Routledge
Shah (2003) makes the common mistake referred to by Loomba (1998) which is dealing with postcolonial societies, Afghanistan in this case, as if “colonialism is the only history of these societies.” Loomba (1998) raises crucial questions we ought to pay attention to regarding this issue like “What came before colonial rule? What indigenous ideologies, practices and hierarchies existed alongside colonialism and interacted with it?” (p. 17). Shah fails to address these questions in her narrative that are quite essential for her representation of Afghanistan and its history. Her representation, apart from the myth, gives the impression that colonialism is the only history of Afghanistan. She exposes the tragedies and destruction caused by the colonial and imperial power, but does not place enough emphasis on the Afghan cultural heritage, religious and social values that are subject to loss and distortion. As a journalist, she, perhaps, does this to maintain a sense of objectivity in her representations of the current Afghanistan in an era of war. Nevertheless, the question that raises itself is “how can she portray a different picture of an Afghanistan she is not familiar with?” Her knowledge of it seems to be limited to its state of war and conflict, and not peace and prosperity that she can speak of. Therefore, it can be said that while her representation of Afghanistan may be justified to some, it is not to others. In her description of Kabul, she writes “…beloved Kabul- lies like a jewel at my feet. I know by now that its beauty is an illusion: close up, the city is in ruins, as shattered and broken as this garden. I have missed the golden age. I have come too late” (Shah, 2003, p. 44).

Shah’s stress on the dreary conditions of the people in Afghanistan can be viewed as an attempt to offer a critique and contestation of the Western colonial and imperialistic power exerted against the “other”. In addition, in her search of the myth, she finally comes to realize that nothing is left of it. She acknowledges the harsh fact that “War had changed Afghanistan…-nearly eight percent of the population- had been killed. Four million more were banished… A generation of children had been left uneducated, their future as good as destroyed. Agriculture was bombed to shreds…” (Shah, 2003, p. 188). Her eschewal of the myth can be interpreted as a means to force people to open their eyes to see reality as it really is in order to provoke active and assertive resistance to colonialism. Her portrayal of the obliteration of the nation and chaos in Afghanistan comes as a warning against underestimating the tragic and horrific consequences of war, imperialism, and victimization of the colonized by the colonial rule. She highlights the way such an oppressive power can erase and wipe out the entire history of a nation not leaving any trace of civilization, or cultural heritage for that matter. In Culture and Imperialism, Said (1993) speaks of the severe and threatening cultural and historical damage nations under colonial rule undergo. He agrees with Fanon that “Colonialism is not satisfied merely with holding a people in its grip and emptying the native’s brain of all form and content. By a kind of perverted logic, it turns to the past of the people, and distorts, disfigures and destroys it” (p. 237). In the narrative, Afghanistan has been destroyed and its culture distorted. Colonialism left no trace of its past.

It is painful and disappointing for Shah to lose hope of a recovering and a healed Afghanistan, for it will take years and years to repair the enormous damage inflicted on this nation and its people. At the same time, Shah herself and her identity are torn by the colonial power. That is, her perception of her double identity is influenced by the Oriental and Western discourse, and notions of the East that she is unable to overcome. She only perceives her multiple identities as incompatible and in war with each other. She declares, “Two people live inside me. Like a couple who rarely speak, they are not compatible. My Western side is a sensitive, liberal, middle-class pacifist. My Afghan side I can only describe as a rapacious robber baron. It revels in bloodshed, glories in risk and will not be afraid” (Shah, 2003, p. 14). She is convinced that the two halves within her, Western and Eastern, cannot reconcile. She realizes that her journey to Afghanistan did not repair the relations between the “two people [living] inside [her].”

5. Conclusion

At the end of the narrative, Shah finally accepts her failure to bridge the two worlds within her and is ready to return to the West. Unfortunately, she views her multiple allegiances as a shortcoming. She does not embrace the diversity and multiculturalism her double identity introduces to her. She is unaware of the crucial
role she can play due to her multiple allegiances suggested by the Middle Eastern novelist Amin Maalouf (2000). In his discussion of identity, Maalouf provides examples of the roles that can be played by people who have allegiances to two nations who are in conflict with one another. As Maalouf (2000) puts it so eloquently:

"They live in a sort of frontier zone crisscrossed by ethnic, religious and other fault lines. But by virtue of this situation ... they have a special role to play in forging links, eliminating misunderstandings, making some parties more reasonable and others less belligerent, smoothing out difficulties, seeking compromise. Their role is to act as bridges, go-betweens, mediators between the various communities and cultures. And that is precisely why their dilemma is so significant: if they themselves cannot sustain their multiple allegiances, if they are continually being pressed to take sides or ordered to stay within their own tribe, then all of us have reason to be uneasy about the way the world is going." (p. 5)

Shah tries through her journey to take on the responsibility as that "bridge" and "mediator" between the Western and Eastern culture, but does not succeed. She is not able to succeed in such an endeavor as she continues to be controlled by an engrained colonialist mentality that compels her to hold on to her Western half at the expense of her inferior half. She herself cannot "sustain [her] multiple allegiances." Her Orientalist representations of Afghanistan do not necessarily reflect the truth, and so demand an intelligent reader to challenge them and put them to test.

References


Appraisal of Private Sector Involvement in Infrastructure Development in Lagos State, Nigeria

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Abstract: The need for the provision of infrastructure in any developing country cannot be overemphasized as it constitutes the backbone of the country’s national economy. Considering the importance of infrastructure, government at all levels has often borne the full responsibility of providing infrastructure via dependence on loans and credits from financial institutions not recognizing the fact that the investment requirement for the infrastructure deficit is such that cannot possibly be met by relying on the public sector to boost public investment without increasing public borrowing. To this end, this research sought to appraise the involvement of the private sector in infrastructure development in Lagos State through the use of the public-private-partnership (PPP). Questions were asked to investigate the level of awareness about and the use of various models or variants of PPPs. 105 questionnaires were administered on professional firms/agencies (construction consultants, contractors, financing institutions and concessionaires) that have been or are involved in PPP projects in Lagos state. 66 responses were obtained. The data was subjected to both descriptive and inferential statistical analysis. The results of the study indicate that the levels of awareness of private sector involvement in infrastructure development using PPPs as well as the areas of involvement were not significant. It is recommended that government should put more efforts to improve the level of awareness on the involvement of the private sector participation in the provision of infrastructure through public enlightenment both locally and internationally stating the benefits that are obtainable both for citizens and investors.

Key Words: Private Sector, public-private-partnership, Infrastructure, Development, Nigeria.

1. Introduction

A country’s level of social and economic infrastructure constitutes the backbone of the national economy; it improves human welfare, contributes to economic activities and has considerable potential for directly reducing poverty (Ogunlana, 2010; DFID, 2007). It also determines to a large extent the type of operating environment that is available to the production sectors of the economy. It is a fact that the level of development of these facilities is a measure of the living index for her people according to Dozie (1999) as cited by Adeniyi (2008). To improve the efficiency and productivity of an economy, it is therefore important to provide adequate and reliable infrastructural facilities.

The level of awareness is an essential factor in ensuring a successful implementation of any new policy like the private sector involvement in infrastructure provision. The level of awareness is seemingly too low going by the scarcity of available relevant literature and limited experience on this type of relationship (Ikechukwu, 2007) and this may hinder the full productive implementation of the concept as awareness of a process is the first step at endearing the concerned construction industry professionals and the citizens (Akintola, 2006) about the possible benefits of its acceptance. People tend to be confusing private sector participation in infrastructure provision with privatization which is not generally accepted as it received a great uproar by the citizens of Nigeria (Alabi, 2000). In the words of Andrew Porter of Price Waterhouse Cooper (PWC) Corporate Finance PPP specialist in Johannesburg (PWC, 2006) as cited in (Adeniyi, 2008) “the initial reaction to public private sector collaboration in service delivery resulted from the belief that it is a new ploy by the capitalist to corner public resources”.

According to Ehebha (2011) infrastructure development has in recent times assumed a central importance in Nigeria’s fight to attain social and economic stability. The federal government and all state governments...
are using infrastructure as the focal point of their administrations and policy enactments. Infrastructure generally has to do with the fixed provision of tangible assets on which other intangibles can be built on. Not limited in scope, it revolves the provision of housing, power (electricity), transport, education, communication, and technology.

2. Statement of problem

Essentially, the need for the provision of infrastructure in any developing country cannot be overemphasized as it constitutes the backbone of the country’s national economy. Considering the importance of infrastructure, government at all levels (local, state and federal) has always borne the full responsibility of providing infrastructure via dependence on loans and credits from financial institution not recognizing the fact that the investment requirement for the infrastructure deficit is such that cannot possibly be met by relying on the public sector to boost public investment without increasing public borrowing. So as to achieve the aim of introducing private investors into the development of public infrastructure, the level of the public’s awareness of private sector involvement in infrastructure development must be assessed in addition to the areas of private sector involvement infrastructure development. As a result, this work seeks to appraise the private sector involvement in PPP for infrastructure development.

Specifically the study is set out to pursue the following objectives:

1. To determine the level of awareness about private sector involvement in PPP for infrastructure development.
2. To assess the areas of involvement of the private sector in PPP for infrastructure development in the economy.

3. Overview

3.1 The concept of PPP

Public-private partnership (PPP) is emerging as an alternative method for the delivery of infrastructure and services in different parts of the world (Cheung & Chan, 2011; Forrer, Kee & Newcomer, 2010; Sarmento, 2010; Dada & Oladokun, 2008). PPP depicts a government service or private business venture which is funded and operated through a partnership of government and one or more private sector companies. These schemes are sometimes referred to as PPP or P3 (Harris, 2008). Typically, a private sector consortium forms a special company called a special purpose vehicle (SPV) to build and maintain the asset. The consortium is usually made up of a building contractor, a maintenance company and a bank lender. It is the SPV that signs the contract with the government and with subcontractors to build the facility and then maintain it. A typical PPP example would be a hospital building financed and constructed by a private developer and then leased to the hospital authority. The private developer then acts as landlord, providing housekeeping and other non-medical services while the hospital itself provides medical services (Adeniyi, 2008). Initially, most public-private partnerships were negotiated individually, as one-off deals. In 1992, however, the Conservative government of John Major in the United Kingdom introduced the Private Finance Initiative (PFI) (UNISON, 2007) the first systematic program aimed at encouraging public-private partnerships. In the 1992 program, the main focus was on reducing the Public Sector Borrowing Requirement, although, as already noted, the effect on the public accounts was largely illusory.
3.2 The difference between PPP and privatisation

PPPs must not be confused with privatization. PPPs constitute an approach to introducing private management into public service by means of a long-term contractual bond between an operator and a public authority. Fundamentally, it secures all or part of the public service, so delegated by private funding and calls upon private sector know-how. On the other hand, privatization means transferring a public service or facility to the private sector, sometimes together with its ancillary activities, for it to be managed in accordance with market forces and within the framework of an exclusive right granted by a ministerial or parliamentary act (or sometimes a license). (UN/ECE, 2000)

According to Delloitte (2006) critics of PPP argued that it is just privatization (a process with pejorative connotations in some places) “by the back door” and some definitions place privatization at one end of a range with conventional procurement at the other end and PFI type PPP in the middle. It is important to realize that there are, however, fundamental differences between the two approaches. Privatization is about taking an existing state owned business, ideally reorganizing it to make it attractive for sale and then dropping it, some would say dumping it, into the private sector. Done properly, with an accurate assessment of the size of the assets concerned, a clear objective as to the purpose of the privatization (hopefully efficiency gains rather than just revenue raising for the government) and sensible pricing to develop competition this process can produce very positive results for the government and the consumer. However, many governments, particularly in the developing world, understandably are concerned about the loss of national assets to a (probably) foreign owned private sector. Essentially, the public sector loses control of the asset to the private sector except for a certain amount of regulatory control over items such as customer tariffs. PPP is an entirely different approach to delivering services to or on behalf of the public sector. The effect of a typical PPP structure is usually to create a single stand-alone business, financed and operated by the private sector. The purpose is to create the asset and then deliver a service to the public sector client, in return for payment commensurate with the service levels provided. Rather than taking the existing delivery mechanism and transplanting it into a wholly different operating environment as in privatization, the PPP process takes the service delivery back to basics and begins by defining the services to be delivered specified only in terms of the outputs to be achieved. The key is to specify the output of the service required and to allow the private sector to determine which inputs are required, including infrastructure and skills, to achieve that specified output. Because it is the public sector specifying the required output of the private sector it retains a great deal of control over the standards and type of service to be delivered in a way that a privatization arrangement does not. In addition, a privatization is, to all intents and purposes, a permanent arrangement whereas a PPP contract is for an agreed and finite time period. Full operational control and “ownership” reverts to the public sector at the end of the contract term. It is this temporary nature of the agreement and the degree of control enjoyed by the public sector, which fundamentally differentiates PPP from privatization. It is also important to note that there is no need to transfer title of the asset to the private sector. The state owns the asset throughout the process; there is no “loss” of national assets. It is generally true; therefore, that PPP is more likely to be suitable for stand-alone projects whilst privatization is more likely to be suitable for large utilities. However, it is important to remember that roles formerly carried out by state employees are now likely to be carried out by private sector employees (although they may be state staff seconded to the private sector operator) and there well may be job losses (Harris 2008).
Table 1: Main differences between Conventional public procurement and PPP/concessions

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<tr>
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<th>Conventional public procurement</th>
<th>PPP/Concession contracts</th>
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<tr>
<td><strong>Definitions</strong></td>
<td>Supply, works, or service as defined by public authority.</td>
<td>Private concessionaire creates facility and service on the basis of a negotiated agreement between public private sectors</td>
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<td><strong>Main characteristics</strong></td>
<td>Single objective</td>
<td>Multiple objectives</td>
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<td></td>
<td>Short term</td>
<td>Long term</td>
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<td></td>
<td>No link to operation</td>
<td>Linked to service management</td>
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<td>No public project delegation</td>
<td>Public mission assignment</td>
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<td></td>
<td>• Public authority direct operation</td>
<td>• Operation directed by concessionaire</td>
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<td></td>
<td>• No prior financing, co-financing or project financing</td>
<td>• Financing, co-financing, mission financing by concessionaire</td>
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<td>• No entrepreneurial investment</td>
<td>• Investment by concessionaire</td>
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<td></td>
<td>• No project design freedom</td>
<td>• Project/service design freedom</td>
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<td></td>
<td>• Contract does not deal with service (secondary contract)</td>
<td>• Contract deals with service needed by public authority (&quot;main contract&quot;)</td>
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<td></td>
<td>• Entrepreneur is not project manager</td>
<td>• Concessionaire is project manager</td>
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<td></td>
<td>• No management freedom</td>
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<td></td>
<td>• No long-term occupancy of public Property</td>
<td>• Concessionaire is free to manage contract</td>
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<td>• Generally long-term occupancy</td>
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</table>


3.3 The construction industry and infrastructure

The construction industry can be defined as that section of the economy responsible for planning, designing, procurement, construction and delivery of building, civil engineering and public works for government and private institutions as well as individuals (Osaba, 1993 as cited in Adewuyi, 2004). Seeley (1984) stated that the construction industry embraces a wide range of loosely integrated organization that collectively constructs, alters and repairs a wide range of different building and civil engineering structures. Also Willis (1987) supported that the construction industry is a company organization, which centers on the project under construction or adaptation.

3.4 Suitable sectors

A PPP approach is suitable for any sector where it is possible to develop a service based on an output specification. In the United Kingdom (UK), the following sectors are being patronized: Health (hospitals and clinics), Education (Schools and University accommodation), Justice (prisons and courthouses), Transport (light rail, roads, bridges), Utilities (water, waste disposal and street-lighting), social housing, defence (training simulators, sea and land tank transporters) and government buildings. The only sector where it has not really worked and where the UK government has recommended that no more projects take place is in Information Technology (UN/ECE2000). This for a number of reasons that include: (1) the speed of change in the sector making it difficult to define effective long-term outputs; (2) the high level of integration of IT into other business systems makes it difficult to delineate areas of responsibility and effectively allocate risk; and (3) the nature of the capital investment with IT project costs dominated by operating costs not up-front investment. Areas where PPPs have been used include:
3.4.1 Transportation

Public-private partnerships have played an increasingly central role in answering the pressing need for new and well maintained roads, tunnels, bridges, airports, ships, railways, and other forms of transportation. Internationally, transportation has been far and away the largest area of PPP investment (Doyin, 2006).

3.4.2 Water and Waste Water

The largest European water PPP is in the Netherlands, where the Water Board of Delft land awarded a 30-year concession, with a total contract value of €1.58 billion. The project includes the design, construction, and operation of a new wastewater treatment plan and, to comply with more stringent discharge requirements, the refurbishment and operation of an existing wastewater treatment plant. Water and Wastewater PPPs (Doyin, 2006)

3.4.3 Education

PPPs can deliver substantial innovation to education infrastructure and service delivery. While arrangements differ, the private sector typically finances, designs, constructs, and operates a public school facility under a contract with the government for a given time period, for example, 20 to 30 years. At the end of that concession period, ownership of the school facility transfers to the government. Under typical education PPPs, the private sector invests in the school infrastructure and provides related non-core services (school transport, food services, cleaning, and so on), under contract while the government continues to provide core services, namely, teaching.

3.4.4 Health/Hospitals

In recent years, a number of countries have aggressively moved to diversify the sources of health care funding by using PPP arrangements to meet the growing demand for health care infrastructure. Typically, a private consortium designs, builds, owns, and operates a hospital and leases it back to the relevant government entity—such as a hospital board—for a period of 20 to 60 years. In Portugal, 31 hospitals will be built using PPPs. The entire program, at an estimated cost of $37 billion, should be complete by 2014, with 10 new hospitals launched in 2006 (Delloitte, 2006). The contract covers the design, construction, financing, maintenance, and operation of the facilities as well as hospital management and some clinical services.

3.4.5 Public Housing, Land and Area Development

In Australia and Ireland, the central governments have encouraged the use of concession models in their pilot PPP public housing projects. But the country with the deepest experience in this sector remains the Netherlands, which has been applying PPPs to social housing and regeneration projects for nearly two decades. This model proved quite successful for more than 100 locally initiated projects in the Netherlands (Nijkamp , VanDer Burch & Gabriella, 2002) Joint venture, the most commonly used PPP arrangement for these projects, suits the local governments’ need to retain control over planning and development while utilizing the private partners’ available resources and expertise. Housing and Development PPPs:

3.4.6 Defence

PPP projects in the defence sector include equipment maintenance and installation, supply chain integration and operational support, depot maintenance, specialized military training and real estate management (land
development, privatized housing and base closures and development). The projects typically are designed to overcome fiscal constraints, manage life-cycle costs, and reduce pressure on military personnel. The UK Ministry of Defence has employed various PPP models for more than 56 defence projects—everything from building military accommodations to training personnel to putting up satellites. Total value: £4.65 billion.

3.4.7 Justice/Prisons

Herizonte (2006) as obtained from (news.bbc.co.uk) reported that Britain currently has 10 prisons run by private companies, 8 of them built under the PFI. These buildings are leased back to the prison service for a period of 25 years after being designed and constructed by commercial groups. The results have been generally positive, as construction times have dropped by more than 40 percent; costs by 20 percent (http://www.chi.org.uk/pdf/prisonsupport.pdf).

4. Research methods

The research was conducted by an examination of relevant literature and recourse to field investigation. From the 172 firms and agencies involved in the execution of the various PPP projects executed by the Lagos State Government as obtained in the course of the research, a sample size of 105 respondents which represents 61% of the firms and agencies were employed based on non probabilistic sampling. Survey research design which was cross-sectional in nature was employed with the aid of questionnaires and interviews as the research instruments for the study. Well structured questionnaire after the objectives of the study coupled with personal interviews with professionals representing the professional firms or agencies (i.e. Builders, Quantity Surveyors, Architects, Engineers and Estate Surveyors), financial institutions and concessionaires were used. The questionnaires requested biographical information about the respondent organisations. It also sought to know the level of awareness of respondent organisations about the involvement of the private sector in PPP for infrastructural development. The levels of measure were from 1 = ‘not aware’ to 5 = ‘strongly aware’. Areas where the private sector has also been involved in infrastructural provision were also requested. The level of involvement of the private sector in infrastructure provision was also used. The levels of measure were from 1 = ‘not involved’ to 5 = ‘highly involved’.

78 questionnaires were distributed to professional establishments (Quantity Surveying {26}, Architectural {12}, Building {8}, Estate Surveying {2} and Engineering {30}). Financial institutions received 18 and concessionaires received 9 so as to obtain information from a good size of the sample frame. At certain times during the course of this report, the researchers were obligated to seek information on the subject matter through interviews with some respondents when given the opportunity. This way, the researchers were able to understand answers given both to the open and closed-ended questions posed to the respondents. Due to the fact that some of the questions in the questionnaire were left unanswered by some respondents coupled with the fact that some of the questionnaires got missing probably as a result of carelessness on the part of respondents, the breakdown of the properly filled questionnaire which represents 62.85% of the total questionnaire properly completed is provided below: The analysis of the collected data was carried out using descriptive and inferential statistical methods. Tables 2 to 10 indicate some aspects of the results of the descriptive statistical analysis.

5. Analysis and results

5.1 Descriptive analysis
Table 2: Type of firms/Agencies

<table>
<thead>
<tr>
<th>Firms/agencies</th>
<th>Frequency</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Building</td>
<td>3</td>
<td>4.50</td>
</tr>
<tr>
<td>Quantity Surveying</td>
<td>18</td>
<td>27.30</td>
</tr>
<tr>
<td>Architecture</td>
<td>10</td>
<td>15.20</td>
</tr>
<tr>
<td>Engineering</td>
<td>24</td>
<td>36.40</td>
</tr>
<tr>
<td>Estate Surveying</td>
<td>1</td>
<td>1.50</td>
</tr>
<tr>
<td>Concessionaire</td>
<td>6</td>
<td>9.10</td>
</tr>
<tr>
<td>Bank</td>
<td>4</td>
<td>6.00</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>66</strong></td>
<td><strong>100.00</strong></td>
</tr>
</tbody>
</table>

Table 2 shows that 4.50% of responses were obtained from Building firms, 27.30% of them are Quantity Surveying firms, 15.20% of the sample are Architectural firms, 36.40% of the respondents are engineering firms, and 9.10% of them are Concessionaire while the remaining 6.00% of the respondents are Bank representatives.

Table 3 indicates the number of years of experience of respondents

Table 3: Number of years of experience of respondents

<table>
<thead>
<tr>
<th>Years of work experience</th>
<th>Frequency</th>
<th>Percentage (%)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 - 5 yrs</td>
<td>36</td>
<td>54.50</td>
</tr>
<tr>
<td>6 - 10 yrs</td>
<td>20</td>
<td>30.30</td>
</tr>
<tr>
<td>11 - 20 yrs</td>
<td>10</td>
<td>15.20</td>
</tr>
<tr>
<td>21 - 30 yrs</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>above 30 yrs</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>66</strong></td>
<td><strong>100.00</strong></td>
</tr>
</tbody>
</table>

In terms of years of working experience, it was discovered that 54.5% of the respondents have worked for between 1 – 5 years, 30.3% of them have worked for between 6 – 10 years while the remaining 15.2% of the respondents have between 11 – 20 years of working experience.

Table 4 reports on the level of awareness of respondents about PPP as a method of project delivery

Table 4: Awareness about Public-Private Partnership as a method of project delivery

<table>
<thead>
<tr>
<th>Frequency</th>
<th>Slightly aware</th>
<th>Aware</th>
<th>Strongly aware</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Percentage</td>
<td>81.80</td>
<td>10.60</td>
<td>7.60</td>
<td>100</td>
</tr>
</tbody>
</table>

Table 4 shows that 81.8% of the sample is slightly aware of the public – private partnership which was defined as a method of project procurement that entails a cooperative venture between a government service and a private sector company, 10.6% are aware while the remaining 7.6% of the sample are strongly aware.

Table 5 indicates the awareness of respondents about parties involved in PPP projects.
Table 5: Awareness about parties involved in PPP arrangement.

<table>
<thead>
<tr>
<th>Level of awareness</th>
<th>Frequency</th>
<th>Percentage (%)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Slightly aware</td>
<td>47</td>
<td>71.20</td>
</tr>
<tr>
<td>Aware</td>
<td>17</td>
<td>25.80</td>
</tr>
<tr>
<td>Strongly aware</td>
<td>2</td>
<td>3.00</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>66</strong></td>
<td><strong>100</strong></td>
</tr>
</tbody>
</table>

From Table 5, it is observed that 3% of the respondents are strongly aware that government and a private company are always the parties involved in any public-private partnership arrangement, 25.8% of them are aware while the remaining 71.2% are slightly aware.

Table 6 indicates the level of awareness about various models of PPP.

Table 6: Awareness about various models of Public-Private Partnership.

<table>
<thead>
<tr>
<th>Level of awareness</th>
<th>Frequency</th>
<th>Percentage (%)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Strongly unaware</td>
<td>63</td>
<td>95.50</td>
</tr>
<tr>
<td>Unaware</td>
<td>1</td>
<td>1.50</td>
</tr>
<tr>
<td>Aware</td>
<td>1</td>
<td>1.50</td>
</tr>
<tr>
<td>Strongly aware</td>
<td>1</td>
<td>1.50</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>66</strong></td>
<td><strong>100</strong></td>
</tr>
</tbody>
</table>

In terms of the various models of public private partnership, 95.50% said they are strongly unaware of the various models, 1.5% are unaware, 1.5% are aware while the remaining 95.5% of the sample said they are strongly aware of the various model of public – private partnership.

Table 7 indicates level of awareness about concession as a way of government granting an entity exclusive right.

Table 7: Awareness about concession as a way of government granting an entity exclusive right.

<table>
<thead>
<tr>
<th>Level of awareness</th>
<th>Frequency</th>
<th>Percentage (%)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Slightly aware</td>
<td>1</td>
<td>1.50</td>
</tr>
<tr>
<td>Aware</td>
<td>4</td>
<td>6.10</td>
</tr>
<tr>
<td>Strongly aware</td>
<td>61</td>
<td>92.40</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>66</strong></td>
<td><strong>100</strong></td>
</tr>
</tbody>
</table>

On collating the respondents’ definition of concession as a process whereby the government grants a private entity exclusive right to provide, operate and maintain an asset over a long period of time in accordance with performance requirements set forth by the government, it was discovered that 1.5% are slightly aware of the definition, 6.1% of them are aware while the remaining 92.4% of the respondents are strongly aware of the definition.

Table 8 indicates the awareness about employing private sector in infrastructure provision in only few sectors.
Table 8: Awareness about employing private sector in infrastructure provision in only few sectors

<table>
<thead>
<tr>
<th>Level of awareness</th>
<th>Frequency</th>
<th>Percentage (%)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Strongly unaware</td>
<td>46</td>
<td>69.70</td>
</tr>
<tr>
<td>Unaware</td>
<td>11</td>
<td>16.70</td>
</tr>
<tr>
<td>Slightly aware</td>
<td>8</td>
<td>12.10</td>
</tr>
<tr>
<td>Aware</td>
<td>1</td>
<td>1.50</td>
</tr>
<tr>
<td>Total</td>
<td>66</td>
<td>100</td>
</tr>
</tbody>
</table>

Table 8 reveals that 69.7% of the respondents are strongly unaware of the fact that private sector can only be employed in infrastructure provision in only a few sector, 16.7% were unaware, 12.1% are slightly aware while the remaining 1.5% said they are aware.

Table 9 indicates level of awareness about the concept of privatization as a process of transferring a public service to the private sector

Table 9: Privatization as a process of transferring a public service to the private sector

<table>
<thead>
<tr>
<th>Level of awareness</th>
<th>Frequency</th>
<th>Percentage (%)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Strongly unaware</td>
<td>45</td>
<td>68.20</td>
</tr>
<tr>
<td>Unaware</td>
<td>13</td>
<td>19.70</td>
</tr>
<tr>
<td>Slightly aware</td>
<td>4</td>
<td>6.10</td>
</tr>
<tr>
<td>Aware</td>
<td>3</td>
<td>4.50</td>
</tr>
<tr>
<td>No response</td>
<td>1</td>
<td>1.50</td>
</tr>
<tr>
<td>Total</td>
<td>66</td>
<td>100</td>
</tr>
</tbody>
</table>

The responses on the definition of privatization were collated from which it was observed that 68.2% of the sample was strongly unaware of the definition, 19.7% are unaware, 6.1% of them are slightly aware, and 4.5% said they are aware of the definition while the remaining 1.5% did not answer the question.

One of the questions was structured to establish the extent of involvement of respondents identified in the study population in the use of PPP. Table 10 shows the results.

Table 10: Number of PPP projects respondents have been involved in

<table>
<thead>
<tr>
<th>Project</th>
<th>Frequency</th>
<th>Percentage (%)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1-5 Projects</td>
<td>57</td>
<td>86.40</td>
</tr>
<tr>
<td>6-10 Projects</td>
<td>9</td>
<td>13.60</td>
</tr>
<tr>
<td>Total</td>
<td>66</td>
<td>100.0</td>
</tr>
</tbody>
</table>

Table 10 shows that 86.4% of the respondents have been involved in PPP projects ranging from a minimum of 1 to a maximum of 5 while the remaining 13.6% of them have been involved in such projects ranging from a minimum of 6 to a maximum of 10 projects. It is worthy of note that the involvement of this respondents is at any stage of the construction/building process and it is also possible for 2 or more professionals to be involved in the same project.

Table 11 shows areas of private sector involvement in infrastructure development.
In terms of the frequency of private sector participation in infrastructural development in Lagos state, it was discovered that the private sector have been most involved in the educational sector which ranked 1st, in the 2nd position is the transportation sector, rated 3rd is the tourism sector of the economy. For the three sectors that respondents has experienced least participation, it was observed that Judiciary was rated least with a ranking of 13, next was the water sector ranked 12th, in the position of third least sector of PPP involvement in infrastructural development is the communication sector with 11th position.

5.2. Inferential statistical analysis

5.2.1 Test of hypotheses

Two hypotheses were set up for this study. The first one tests for awareness about the use of PPP in infrastructure development while the second one investigates the level of use of PPP for infrastructural development.

Hypothesis One
Null (H0): There is no significant awareness about PPP for infrastructural development
Alternative (H1): There is significant awareness about PPP for infrastructural development

In order to carry out this analysis, the average of the items that measures the level of awareness of the respondent organisations about the use of PPP for infrastructural development were collated and used to carry out the analysis.

Table 12 shows the results of the statistical test

<table>
<thead>
<tr>
<th>Sectors of Involvement</th>
<th>N</th>
<th>Mean</th>
<th>Ranking</th>
</tr>
</thead>
<tbody>
<tr>
<td>Education</td>
<td>23</td>
<td>4.26</td>
<td>1</td>
</tr>
<tr>
<td>Transportation</td>
<td>64</td>
<td>4.08</td>
<td>2</td>
</tr>
<tr>
<td>Tourism</td>
<td>47</td>
<td>3.38</td>
<td>3</td>
</tr>
<tr>
<td>Housing</td>
<td>45</td>
<td>2.89</td>
<td>4</td>
</tr>
<tr>
<td>Security</td>
<td>59</td>
<td>2.76</td>
<td>5</td>
</tr>
<tr>
<td>Agriculture</td>
<td>49</td>
<td>2.10</td>
<td>6</td>
</tr>
<tr>
<td>Sport</td>
<td>41</td>
<td>2.10</td>
<td>6</td>
</tr>
<tr>
<td>Commerce / industry</td>
<td>56</td>
<td>2.09</td>
<td>8</td>
</tr>
<tr>
<td>Health</td>
<td>46</td>
<td>1.59</td>
<td>9</td>
</tr>
<tr>
<td>Power/Electricity</td>
<td>64</td>
<td>1.59</td>
<td>9</td>
</tr>
<tr>
<td>Communication</td>
<td>51</td>
<td>1.47</td>
<td>11</td>
</tr>
<tr>
<td>Water</td>
<td>56</td>
<td>1.36</td>
<td>12</td>
</tr>
<tr>
<td>Judiciary</td>
<td>52</td>
<td>1.00</td>
<td>13</td>
</tr>
</tbody>
</table>
In accordance with the decision rule in statistics, the null hypothesis is rejected when the p-value of the analysis is greater than the level of significance at which the test was carried out and the alternative should be accepted when the p-value is less than the level of significance of the test. In this case the p-value is 0.213 which is greater than 0.05 (level of significance), hence the decision to accept the null hypothesis which invariably means there is no significant awareness of private sector involvement in infrastructural development.

Hypothesis Two

H₀: There is no significant involvement of stakeholder/respondent organisations in the use of PPP for infrastructural development
H₁: There is significant involvement of stakeholder/respondent organisations in the use of PPP for infrastructural development

In order to carry out this analysis, the average of the items that measured the level of infrastructural development was computed and used to carry out the analysis; the descriptive statistics is presented below.

Table 13: One sample t-test of infrastructure development

<table>
<thead>
<tr>
<th>Test Value</th>
<th>t</th>
<th>df</th>
<th>Sig. (2-tailed)</th>
<th>Mean Difference</th>
<th>Lower</th>
<th>Upper</th>
</tr>
</thead>
<tbody>
<tr>
<td>Infrastructure</td>
<td>-4.100</td>
<td>65</td>
<td>.103</td>
<td>-.21554</td>
<td>-.3205</td>
<td>-.1105</td>
</tr>
</tbody>
</table>

In this case the p-value (significance at two-tailed) is 0.103 which is greater than the level of significance of 0.05, hence the null hypothesis is accepted which means that the private sector does not involve significantly in infrastructure development.

5.3. Discussion of findings

It was revealed that only few professionals have handled projects under the delivery system which is as a result of the government poor attitude of enlightening the citizenry on the benefits of engaging the private sector in infrastructural development as well as providing the needed legislation guiding private sector involvement so as to encourage the private sector, this concurred with Akintola (2006) who in a research conducted found out that lack of legislation and adequate enlightenment hinders the full productive implementation of any concept as awareness of a process is the first step at endearing the concerned construction industry professionals and the citizens about the possible benefits of its acceptance. Furthermore, the level of awareness is an essential factor in ensuring a successful implementation of any new policy like the private sector participation in infrastructure provision. This is in agreement with Ikechukwu (2007) who in a research carried-out establish that the level of awareness is seemingly too low going by the scarcity of available relevant literatures and limited experience. It was further observed that there is no significant awareness of private sector involvement in infrastructural development.

The study revealed that education and transportation received the highest patronage i.e. projects like road, airport, seaport, bus terminus, hostels, and similar ones are more attractive to the private sector presently due to the return mechanism put in place as both the public and private sector have established ways of recouping their capital via toll and rent within a specified period. This finding corroborated Olaloku, Adejugbe, Fajana and Tomori (1979) who in their work submitted that the private investor is traditionally profit oriented and are interested in Directly Productive Activities (DPA). It was observed that investors were
not involved in almost all sectors due to the substantial procurement cost with relatively small returns compared to the investment in addition to the possibility of future changes in policy and demographic shift. This also supports one of the findings of Forrer et al (2011) where costs and benefits were part of the factors in a model on PPP performance. Furthermore, in a bid to encourage investors into more of the sectors there must be flexibility as well as paying careful attention to lifecycle costing. In addition, this research indicates that the private sector was not significantly involved in infrastructural development in Lagos state.

6. Summary, conclusions and recommendations

6.1 Summary of findings

The study was centered on private sectors involvement in infrastructure development in Lagos state. The study revealed the following:

1. Most professionals had idea about the concept as they have been involved in at least one project where any of the PPP model was employed as a means to delivering infrastructure.
2. The private sectors participation is mainly in two sector of the economy they are education, transportation and partially in tourism sector.
3. The level of awareness of PPP is still insignificant despite government effort to get the private sector involved in the provision of infrastructure.
4. The involvement of the private sector in infrastructural development is very insignificant as there is a great concentration on a particular sector while other sectors are left unattended to.

6.2 Conclusions

The study investigated the level of awareness about, and the areas and the extent of use of the private sector in PPP for provision of infrastructure in Lagos State, Nigeria. The study revealed that despite government’s effort to get the private sector involved in the provision of infrastructure in Lagos state, the level of awareness about and use of private sector involvement in infrastructural development was not significant. Furthermore, it was revealed that the involvement of the private sector in infrastructural development was not significant considering the fact that there is a great concentration on a particular sector due to adequate ways employed in generating income while other sectors were left unattended to as a result of little or no establishment of ways required to yield income. The study results from the analysis of responses further indicate that, in Lagos State, the sectors that ranked highest (first, second and third respectively) with private sector participation through PPP in the delivery of public infrastructure are education, transportation and tourism. Additionally, there was no private sector involvement in the judicial sector (with least ranking) as well but very minimal involvement in the areas of portable water provision, the reason being that both the government and the private sector were yet to formulate ways of yielding income from the said sectors. Stakeholders expressed opinions that Public Private Partnership model remained an initiative that can best be employed in tackling the growing complex and multifunctional issues in building infrastructure projects as well as to help meet the demands for creative, functional and efficient delivery of projects. It was also viewed that the strategy also allows private investors to participate in profitable social development projects through partnership with the public sector.

6.3 Recommendations

Based on the conclusion drawn above, the following recommendations are hereby proposed:
1. The government should put more efforts to improve the level of awareness on the involvement of the private sector participation in the provision of infrastructure through public enlightenment both locally and internationally stating the benefits that are obtainable both for citizens and investors.

2. Government should demonstrate a sure touch in assessing the return that is required by the private sector in return for taking responsibility for risk considering the fact that if expected returns from a project are too low bidders will divert their skills and resources to other more attractive projects in different countries and jurisdictions. The government and the private sectors should fashion out adequate and improved means of generating income from every sector of the economy so as to encourage private sector involvement considering the fact that no investor would invest in a sector where their investments cannot be recouped. This can be achieved via adequate training and development of contributing parties more especially the local talents in the area and structuring of competence.

3. Government should modify the traditional relationship between infrastructure and profit making as the desire of every private investor is a worthy return, thereby turning a traditionally indirectly profitable activity into a directly profitable activity and to the satisfaction of all parties involved.

References


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Translating Dialect: a Comparative Study of the Novels of Luigi Pirandello

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Doi:10.5901/mjss.2012.v3n2.413

Abstract Typically, the dialect is used in a smaller area than the language, which it seems to be diffused in a wider area. Dialects have always been the subject of reflection on the difficulty to finding the linguistic equivalence into the LT. The use of dialect in a literary work by a writer is always intentioned and meaningful. To comply with the intention auctoris the translator must choose between the different approaches offered by the critics of translation even if it may not lead to a satisfactory solution. This paper will examine the translations of the novels of the Italian writer, Luigi Pirandello into Albanian language. The aim is to identify the strategies used by translators to infer expressions and terms which the Italian writer has used in the related dialect into the Albanian language.

Keywords: translation, literary work, dialects.

Tradurre il dialetto: studio comparatistico dei romanzi di Luigi Pirandello

1. Introduzione

In genere il dialetto è usato in un’area più circoscritta rispetto alla lingua, la quale invece appare diffusa in un’area più vasta (Dardano&Trifone 1997).

Propriamente il termine dialetto (dal greco diálektos “lingua”. Derivato dal verbo dialégomai “parlo”) indica due diverse realtà:
1. un sistema linguistico autonomo rispetto alla lingua nazionale, quindi un sistema che ha caratteri strutturali e una storia distinta rispetto a quelli della lingua nazionale (per esempio i dialetti italiani, spagnoli);
2. una varietà parlata della lingua nazionale, cioè una varietà dello stesso sistema; per esempio i dialetti dell’anglo-americano sono varietà parlata dell’inglese degli Stati Uniti; ovviamente tali “dialetti” hanno gli stessi caratteri strutturali e la stessa storia della lingua nazionale (Dardano&Trifone 1997).

L’uso del dialetto in un’opera letteraria da parte di uno scrittore è sempre intenzionato.

Il corpus del nostro studio viene costituito da 3 romanzi di Luigi Pirandello tradotti nella lingua albanese. Precisamente si tratta di:
2000, Il fu Mattia Pascal (Tre herë vetëvrasës), traduttore Sabah Ramja, casa editrice Helena Kadare, Shkodër.
2001, Uno, nessuno e centomila (Një, asnjë dhe njëqind mijë), traduttore Zija Vukaj, casa editrice Elite, Tirana.
2002, Uno, nessuno e centomila (Një, asnjë dhe njëqind mijë), traduttore Dritan Çela, casa editrice Sejko, Elbasan.

2. Riflessioni teoriche

Le varietà diatopiche sono state sempre oggetto di riflessioni per la difficoltà che rappresentano nel trovare
un’equivalenza linguistica. Rosa Rabadán esclude in maniera categorica la possibilità dell’equivalenza. La critica pensa che si tratti di uno di quegli argomenti problematici per i quali non esistono soluzioni soddisfacenti.

Si offrono comunque delle varie soluzioni a proposito. La prima possibilità è la traduzione del dialetto con la varietà standard o neutrale della lingua d’arrivo. Questa possibilità permette di trasferire il significato semantico del testo originale, però si produce una perdita di tono e di ricchezza espressiva, specialmente se la varietà linguistica è importante nella costruzione delle identità (Carbonelli Cortes, 1999: 92). Per alleggerire un po’ questa perdita, si intromette una glossa intratestuale (del tipo “detto in dialetto”) oppure extratestuale (nota a piè di pagina) in modo da informare il lettore che un personaggio parla in una determinata varietà.

La seconda possibilità consiste nella traduzione o la sostituzione del dialetto originale con un dialetto specifico della lingua d’arrivo. Catford e Julià sostengono la traduzione del dialetto come possibilità di conservare la ricchezza funzionale che esiste tra le varietà geografiche del testo d’origine. La critica esclude questa possibilità. Lefevere (1992: 69-70) ritiene che le connotazioni prodotte dalle varietà linguistiche negli utenti della traduzione di solito sono assai differenti; a questo va aggiunto il fatto che la scelta del dialetto nella lingua d’arrivo può essere condizionata da qualche approccio ideologico del traduttore. (Lefevere 1997: 78).

La terza possibilità invece prende come punto di partenza la varietà standard della lingua d’arrivo e suggerisce di sottometterla ad un processo di manipolazione introducendo vari elementi a diversi livelli (lessico-semantico e morfosintassi) per dimostrare al lettore che alcuni personaggi parlano in un modo particolare e diverso dalla forma considerata standard.

Occorre dire che nessuna delle tre opzioni non assicura la mancanza della perdita dell’espressione o del tono.

Ciascun testo poi ha le sue peculiarità e la sua relazione con il contesto di partenza e quello d’arrivo suggerisce la traduzione più o meno adeguata per poter ridurre le perdite. Nella scelta della strategia bisogna prendere in considerazione sia gli aspetti linguistici, sia quelli contestuali. Per di più bisogna analizzare il contesto della ricezione della traduzione sul quale influenzano fattori importanti tra cui la situazione linguistica della comunità per la quale si traduce. Bisogna prendere in considerazione anche la situazione della cultura d’arrivo, se viene caratterizzata dalla presenza di molte varietà linguistiche, riconosciute e accettate, oppure se, al contrario, si tratta di una comunità monolinguale.

La situazione delle varietà geografiche in Albania differisce da quella italiana. In Albania si nota la presenza di soli due dialetti che geograficamente si dividono dal fiume Shkumbin. A destra di Shkumbin si estendono le regioni in cui si parla il dialetto del nord o il dialetto gego, mentre alla sua sinistra si estendono le regioni che parlano il dialetto del sud ossia il dialetto tosc (Gjinari & Shkurtaj 2009). Tenendo conto che: «...il linguaggio letterario albanese è costruito sulla base base della fonologia e fonetica del dialetto tosc...(...)... Ovviamente, in questa lingua standard unificata sono entrate e continuano ad entrare anche non pochi elementi del dialetto gego e questo è un processo delle trasformazioni della comunità sociale alanaese e conseguenza dei movimenti e delle numerose trasformazioni demografiche e sociali culturali...»

È importante inoltre prendere in considerazione la situazione letteraria: se la letteratura autoctona suggerisce la tendenza della normalizzazione linguistica e se gli scrittori rifiutano l’uso delle varietà non standard, il pubblico non sarà abituato ad averne a che fare, e questo contribuisce a creare delle determinate aspettative linguistiche, e per questo, delle determinate strategie nella traduzione.

Per quanto riguarda la tradizione della scrittura in dialetto, in Albania negli anni del regime comunista viene imposto agli scrittori l’uso della lingua standard e viene represso ogni tentativo di ricorrere all’uso del dialetto nelle opere letterarie. Perciò la tradizione richiede l’uso della lingua standard e non del dialetto.
3. Pirandello e il dialetto

Pirandello, educato in un ambiente della filologia romanica, si prende cura del dialetto come prezioso strumento con il quale arricchire la lingua italiana, per rinnovare una lingua morta e sostituire le debolezze della retorica. Il dialetto è capace di dare vivacità alla lingua. La ricerca della naturalità espressiva è una costante dello stile pirandelliano. Dall’analisi delle traduzioni dei suoi tre romanzi che costituiscono anche il corpus del nostro studio notiamo l’uso dei tre dialetti: siciliano, toscano e quello piemontese.

3.1 Il dialetto siciliano

La parlata siciliana, debitamente strutturata, non è per lui, come per il Verga, “la lingua degli angeli” per usare un’espressione del Russo; ma solo un punto di passaggio, obbligato, per giungere, secondo il suo ideale, all’adozione di uno stile, che, assorbendo in sé il suco di tutti i dialetti, li risolva in una forma superiore”. Verga così penetra dall’interno il dialetto siciliano, vi si adagia con tutti i suoi segni, Pirandello, invece, ne resta fuori: se vi entra è solo momentaneamente e col cuore rivolto a un paese lontano, senza denominazione né confini (Puglisi 1968: 118).

S’è parlato di verismo a proposito di lui e anche opportunamente (Momigliano 1960: 619), ma il vero Pirandello non è, come per il Verga, quello che appare ai sensi, sebbene quello che si rivela al sentimento nella sua doppia faccia. L’essere, che per gli altri, per il Verga, è realtà, per lui è illusione; reale per lui è solo il divenire. Ciò che è non pare, e ciò che pare non è! C’è sempre questo intento in lui di rivelare l’essere di là dell’apparire, di mettere a fuoco questo con quello, in modo da farne scaturire il contrasto e con esso i lati, triste e comico, della vita.

Si deve a tutto questo complesso di ragioni, se Pirandello per un lato s’accosta al dialetto della Sicilia e per un altro ne rimane sdegnosamente lontano.

In Verga hai il poeta, che, prima di dare inizio alla sua opera, getta nella stessa fornace la lingua sua e quella dei suoi personaggi, e ne fa una lingua sola; in Pirandello hai l’autore che mescola, sì, non fonde, lo stile suo con quello delle sue creature, ma con la segreta speranza di spremere da quest’ultimo solo la parte sostanziosa onde farla passare nell’altro e renderlo più vitale. Nella prosa del Verga non noti alcuno distacco, alcuna dissonanza: la forma aderisce al contenuto sempre, puntualmente, in quella di Pirandello avverti non poche stonature (Puglisi 1968: 119).

E non solo i termini, si tenga presente, stridono tra loro per la diversa fattura e provenienza, ma le costruzioni stesse della proposizione del periodo, si trovano non di rado a disagio nella prosa pirandelliana (Puglisi 1968: 122).

Più che un accordo in Pirandello, tra la lingua dotta e quella dialettale, quell’accordo che c’è in Capuana, nel Verga massimamente, c’è un compromesso. Si direbbe ch’egli conceda, sì, ai suoi personaggi la facoltà di parlare nel loro dialetto, ma tosto li ferma per far passare sottobanco nel loro frasario qualche termine suo, quasi li volesse abituare a poco a poco a parlare la lingua madre (Puglisi 1968: 123).

Il provincialismo – dice bene il Russo – in Pirandello è una moda di ritorno, solo che nello studio della sua opera non ci si dovrebbe fermare a questo secondo momento della sua attività, e paragonarlo, a tutto scapito dello scrittore agrigentino, con quello convulsivo del Verga. Il vero mondo di Pirandello con la forma che lo riguarda non è qui: la Sicilia con l’influenza ch’essa esercita sulla sua formazione è una tappa obbligata della sua maturazione, una tappa che non si può passare sotto silenzio da chi voglia avere nitido il quadro del suo processo artistico, ma che non si deve considerare come la sua meta ultima: sarebbe come mettere spalla a spalla, per confrontarne la statura, un fanciullo di dieci anni e un uomo di trenta. La forma dialettale, così come entra nella prosa di Pirandello, ab extra, non può non inficiarla. Ecco, ci sono esclamazioni, modi di dire, propri dei Siciliani, ma, siamo sempre lì, cacciati a forza all’interno del periodo, del discorso, e che restano pertanto soli, soli, spauriti (Puglisi 1968: 126).
Cos’è che resta dunque della Sicilia nello stile di Pirandello? Non il vocabolario (...), non la sintassi ben presto superata, ma il fremito, l’ansito come direbbe lui, il nervosismo dei Siciliani che si ripercuote sul loro linguaggio, a scatti, convulso, mai pago di sé, che fa ricorso alla mimica per completarsi e che rimane, malgrado ciò, in aria il più delle volte (...) (Puglisi 1968: 719).

Ecco alcuni esempi tratti dai suoi romanzi.

**Mattia Pascal**

- Me ne vado, e **salute a voi**.
- Po iki e tè **rrini me shëndet**. (RAMJA, VII, 72)
- Po iki, **mbetshi me shëndet**. (CANKO, VII, 68)

«**Salute a voi**» espressione scopertamente siciliana (Pirandello 1993) che ricorda al lettore l’ambiente siciliano.

- Sono brutto? E là: **brutto bene**, di cuore, senza misericordia. Che ne dice?
- I shëmtuar? Në rregull! Me gjithë zemër e pa hidhërim. Ç’thoni? (RAMJA, XI, 130)
- Nuk më shohin dot me sy? Le të mos më shohin: jam **një përbindësh i shpifur**, por shpitrmirë e s’kam nevojë për mëshirë. Si thoni? (CANKO, XI, 124)

«**Brutto bene**» espressione di colore dialettale per «molto brutto».

- ... non **tiravo più fiato**.
  Mezi **merrja frymë**. (RAMJA, XVIII, 227)
  ... më **zhët fryma**. (CANKO, XVIII, 215)

Espressione di sapore dialettale per «non avevo più fiato»

- Che se poi, con le buone, non riesci a vincere, niente paura: un bel **volo dal nido**, e s’aggiusta ogni cosa. (IV)
- ... Po qe se nuk arrin ta bindësh, **fluturo nga çerdhja** e ndreqet gjithçka. (RAMJA, IV, 29)
- E tek e fundit, në nuk e bind dot me të mirë, bëje me pahir mos të të dridhet qerpiku: një ta rrëmbyer e **një të fluturuar nga çerdhja** dhe kështu i vihet kapaku kësaj pune. (CANKO, IV, 29)

«**Volo dal nido**» uno dei passi che più vistosamente “tradiscono” la sicilianità dell’ambiente dell’opera. Alla fuga o al simulato rapimento si ricorreva nel Sud, come è noto, per rendere possibili le unioni contrastate.

io andrò via, e sarà come non **ci avessimo mai conosciuto**...

do të ik e do jetë, sikur mos të ishim parë... (RAMJA, XVIII, 235)

unë do të largohem dhe zëre se nuk jemi njohur kurrë... (CANKO, XVIII, 223)

La sintassi risente qui del dialetto, poiché l’italiano corretto richiederebbe l’uso dell’ausiliare “essere” (“come se non ci fossimo mai conosciuti”).

Per quanto riguarda la strategia adoperata da parte dei traduttori è la stessa: traduzione nella lingua standard. In questo modo si trasmette il significato semantico, ma non viene rievocato l’ambiente siciliano che è anche l’intenzione dell’autore.

**Uno, nessuno e centomila**

Anche in questo romanzo si nota la presenza di alcune parole del dialetto siciliano.

...una **pinna** di naso.
... një flegër hunde. (ÇELA, Libri i parë, II, 13)
... një flegër hunde. (VUKAJ, Libri i parë, II, 15)

«Una pinna di naso» è un uso dialettale per dire punta di naso = maja e hundës. La strategia del traduttore è quella dell’uso delle parole della lingua standard, anche se in questo specifico caso di tratta di un errore nella traduzione.

- Ecco: dicono le donne del popolo che quando a un nato i capelli terminano sulla nuca in un codiniccio come codesto che tu hai costì, sarà maschio il nato appresso.
- Ta them unë: gratë e urta thonë se, kur një pinjolli flokët i përfundojnë në një bishtuk si ky që ke ti këtë, do të jetë djalë fëmjia i ardhashêm. (ÇELA, Libri i parë, II, 13)
- Ja: gratë e thjeshta thonë se, kur një fëmijë të sapolindur i përfundojnë flokët mbi zverk, në një bištëz si ai që ti ke këtë, do të jetë mashkull ai që lind pas tj. (VUKAJ, Libri i parë, II, 16)

«Codiniccio» è una parola del dialetto siciliano che vuol dire codino = bishtalec. Nella novela “Le nonne”, del 1920, si parla di un codino di capelli, fatto da streghe, “che guaj a tagliarli o a cercar di districarli”.

La strategia dei traduttori è quella della traduzione con parole dell’albanese standard. In questo modo si trasmette il significato semantico, però non ri evoca l’ambiente siciliano che è anche l’intenzione dell’autore.

«Rinchioccito» è un termine dialettale che significa “rannicchiato, come un pulcino sotto l’ala protettrice della chioccia”. Nella traduzione viene dato con un termine dell’albanese standard.

L’Esclusa

Mi minchioni?
Tallesh me mua? (Pjesa e dytë, Kapitulli i njëmbëdhjetë, 173)

Il verbo appartiene alla parlata popolare del dialetto siciliano e vuol dire canzonare, prendere in giro.

Gira gira, alle corne. La parte era quella, doveva esser quella.
Rrotullo, rrotullo brirë! Ky ishte fati, ky duhej të ishte. (Pjesa e parë, Kapitulli i dhjetë, 77)

Lo, di corne negozio.
Unë, me brirë merrem. (Pjesa e parë, Kapitulli i dhjetë, 77)

Fece con una mano le corne e le agitò in aria.
Bëri me njërinë dore brirë dhe i tundi në ajër. (Pjesa e parë, Kapitulli i parë, 13)

Nella lingua popolare, con ironia, specialmente nel plurale si usa per colui che è vittima di un tradimento del/della consorte o della persona a cui si è legati sentimentalmente.

Per quante riguardo alla strategia usata dal traduttore, è la traduzione con termini dell’albanese standard. In questo modo si trasmette il significato semantico, ma non si rievoca l’ambiente siciliano.

3.2 Il dialetto toscano

Il dialetto toscano insieme a quello siciliano costituiscono la fonte più ricca per quanto riguarda le parole dialettali del lessico pirandelliano. Ci sembra perciò adeguato riportare il panorama linguistico dell’Italia nell’epoca in cui Pirandello scrisse le sue opere.

Importante per l’influenza esercitata sulla lingua è il famoso Proemio scritto da Ascoli nel 1872 per il primo volume dell’Archivio Glottologico italiano (1873). Lo studio dell’eloquenza lascerà poco a poco il posto allo

Comunque è innegabile il fatto che l’introduzione delle parole nella lingua scritta e quella orale è molto forte dopo l’unificazione politica specialmente negli anni quando Firenze era capoluogo del regno (1865-1871). Per scrittori toscani quali: Fucini, Collodi, Martini ecc. è facile e spontaneo l’adozione delle parole o delle espressioni del dialetto toscano parlato. Quelli che non sono di Toscana per seguire il modello, spesso esagerano, specialmente quando usano parole ed espressioni popolari anche in quei casi quando il tono della scrittura non lo permette. Comunque con il passar del tempo si ridurranno le differenze tra l’italiano standard ed il toscano.

Pirandello non poté evitare l’influenza esterna. Uno studio dettagliato della sua opera non può non mettere il risalto la presenza del dialetto toscano. Nella maggior parte dei casi si tratta dell’uso delle varietà toscana al posto dell’italiano standard.

Notiamo la presenza del dialetto toscano in due romanzi di Pirandello: *Uno, nessuno e centomila* e l’*Esclusa*.

Esemplari tratti dal romanzo *Uno, nessuno e centomila*.

...e con quell’alido esalante da un forno
...me atë thatësirë të përhapur nga një furërë... (ÇELA, Libri i Katërt V, 93)
...me atë thatësirën kundërmuese nga një furërë... (VUKAJ, Libri i Katërt V, 106)

«Alido» è una parola del dialetto toscano che nell’italiano standard vuol dire aridità = thatësirë. Quantorzo, allora, rimasto come a mezz’aria vagellë... Kuantorco, atëherë, i ngelur në hava, jermoi... (ÇELA, Libri i Pestë, VIII, 125)
Kuantorci, atëherë, i mbetur si pezull, u përçart. (VUKAJ, Libri i Pestë, VIII, 141)

...nel bianco vagellare della lieve persona...
...mbi jermin e bardhë të kurmit të hajtshëm... (ÇELA, Libri i Gjashtë, I, 147)
...në të bardha e fantazoja personin e lehtë që dukej se shpetëzohej e tëra... (VUKAJ, Libri i Gjashtë, I, 140)

«Vagellare» è un altro termine del dialetto toscano che nell’italiano standard significa sragionare, farneticare, delirare per febbre, demenza o altro = flas përçart, jam në kllapi. La strategia dei traduttori è quella della traduzione con un corrispondente dell’albanese standard (pur trattandosi di termini del linguaggio letterario) eseguendo così la prima possibilità per la traduzione dei dialetti.

Esemplari tratti dal romanzo L’*Esclusa*.

La madre pareva impazzita: voleva a ogni costo che il marito parlassè, e l’abbracciava e gli stringeva le mani diacce, già morte.
Nëna dukej si e marrosur: donte me çdo kusht që i shoqi të flis te. E përçrafonte dhe i shtrëngonte duart e ngirira, tashmë të vdekura. (Pjesa e parë, Kapitulli i gjashtë, 51)

Il termine «diacce» è una varietà toscana della parola italiana ghiacce.

Trattenuta, come sotto un incubo, forzava gli occhi a scrutare questa via solitaria, lontana dall’Alvignani, lontana dal marito; e anelava, e spiava nello stesso tempo in sé, nel suo corpo, qualche accenno che le dësse cagione di sperare.
E përmbajtur, si nën një ankth, i shqyente sytë që ta pikaste këtë rrugë të vetmuar, larg Alvinjanit, larg të shoqit dhe digjej e përgjonte, në të njëjtën kohë brenda vetes, në trupin e saj, ndonjë gjurmë që t’i jepte shkak të shpresonte. (Pjesa e dytë, Kapitulli i trembëdhjetë, 187)

Il sostantivo «cagione» viene dal dialetto toscano e nell’italiano standard vuol dire causa determinante di qualcosa che in albanese si traduce shkak.

Don Fifo s’era levato in piedi e messo a svariare per la camera con gli occhi ammammolati.

Don Fifoja ishte ngritur në këmbë dhe po shëtiste sytë e përgjumur nëpër dhomë. (Pjesa e dytë, Kapitulli i katërmbëdhjetë, 205)

L’aggettivo «ammammolati» che deriva dal dialetto toscano popolare e vuol dire addormentati in italiano.

- Arrivederli, arrivederli.
- Mirupafshim, mirupafshim. (Pjesa e dytë, Kapitulli i pesëmbëdhjetë, 209)

Forma di saluto che deriva dal toscano popolare.

Io fo’ le viste di non aver capito a chi si riferisce.
Unë po bëj sikur s’e kam kuptuar se kujt i drejtohet. (Pjesa e dytë, Kapitulli i tretë, 133)

Voce toscana del verbo fare.

Dal puno di vista della morfologia e riguardo ai pronomi dimostrativi italiani (questo, codesto, quello) la varietà toscana «codesto» è quella che si predilige nella lingua letteraria. Nei giorni nostri si è ridotta sempre di più la zona della sua influenza. Si può affermare che solo a Toscana si nota chiaramente l’uso di cadauno dei pronomi.


Levati codesto cappello dagli occhi.
Ngrije atë kapele nga sytë… (Pjesa e parë, Kapitulli i parë, 12)

- Volete farmi impazzire con codesta tragedia che mi rappresentate attorno?
- Doni të më bëni të çmendem me këtë tragjedi që po më shfaqni rreth e qark? (Pjesa e parë, Kapitulli i pestër, 47)

- Ecco, signorina, faccia vedere codesta carta alla mamma.
- Ja zonjushe, tregoja nënës këtë letrër. (Pjesa e parë, Kapitulli i njëmbëdhjetë, 80)

Prima, prima dovevi chiedermi perdono, con codesta voce, e non te l’avrei negato...
Më parë, më parë duhet të më kërkoje të falur me atë zë dhe nuk do të të kisha kundërshtuar… (Pjesa e dytë, Kapitulli i pesëmbëdhjetë, 211)

**Costui** l'aveva chiesta in moglie; ma Anna, onestamente, aveva voluto confessargli tutto; **Ky** e kishte kërkuar për grua, por Ana ndershmërisht kishte dashur t’ia rrëfente të gjitha; (Pjesa e parë, Kapitulli i pestë, 45)

E aveva ﬁnanche nascosto alla madre una lettera di Anna Veronica, in cui si parlava a lungo di Rocco, delle furie di **costui** dopo la loro partenza, di minacce di nuovi scandali, di pazzie...

Dhe prandaj i kishte fshehur së ëmës një letër të Ana Veronikës, ku ﬂitë gjatë për Rokun, për tërëmit e **tij** pas nisjes së tyre, për kërcënimet për skandale të reja, për marrëzi... (Pjesa e dytë, Kapitulli i dytë, 124)

- Andate via. Attenderò io a **costoro**.
- Shkoni. Do të rri unë me **këta**. (Pjesa e parë, Kapitulli i njëmbëdhjetë, 82)

Ma che volevano da lei tutti **costoro**?
Po çfarë donin prej saj të gjithë **këta**? (Pjesa e dytë, Kapitulli i tretë, 137)

Ma io... guarda, piuttosto... giacché nulla è valso per **costoro** e la mamma e Maria per vivere debbono avvirlisi con me al servizio altrui... io, guarda, a un altro piuttosto scriverei... a Roma...

Po unë... shiko, më mirë... meqenëse asgjë nuk ka më vlerë për **to** dhe nëna e Maria për të jetuar duhet të ulin vetëm me mua në shërbim të diiku jëtët... unë, shiko, një jëtët më mirë do t’i shkuaja... në Romë... (Pjesa e parë, Kapitulli i trembëdhjetë, 100)

Si nota inoltre anche l’uso dell’avverbio **costà**, anche questa del dialetto toscano che significa in **codigo luogo**, cioè në **këtë vend**.

...ho saputo ch’egli stamani è partito per **costà**.
...prej nga kam mësuar ai sot në mëngjes éshtë nisur **andej nga ju**. (Pjesa e dytë, Kapitulli i tretë, 138)

Poi cercò con gli occhi il campanile del Duomo, dietro a cui sorgeva la sua casa; e subito, al pensiero della madre e della sorella che **colà** la aspettavano, sentì più vivo il turbamento, più acuto il rimorso, e una sfiducia profonda e disperata di sé.

Pastaj kërkoj me sy kambanaren e Duomos, prapa së cilës ngrihej shtëpia e saj; dhe menjëherë, duke menduar për t’ëmën dhe t’ë motrën që e prisnin **aty**, e ndjeu më të fortë shqetësimin, më të mprehtë vratjen e ndërgjegjes dhe një mosbesim të thellë e të pashpresë për veten. (Pjesa e dytë, Kapitulli i tetë, 162)

Per quanto riguarda la strategia del traduttore per la traduzione dei segmenti testuali in dialetto, occorre dire che i segmenti nel dialetto toscano si traducono con segmenti nell’albanese standard, applicando così la prima strategia per la traduzione del dialetto.

I pronomi e gli avverbi soprainportati **costà**, **colà**, **costui**, **codesto** ecc., e anche quelli del dialetto toscano sono parole che in Sicilia non le usano nemmeno le persone colte. Queste parole creano disparità (mancanza di unità di linguaggio) nella lingua del romanzo, le parole si sentono a dosagio nell’enunciato. Non trasmettendo questa marcatezza lessicale (caratteristica che fa sì che una parte del testo risalti in confronto al contesto, si differenzia dall’enunciato nella forma in cui lo si potrebbe facilmente aspettare), abbiamo ovviamente una perdita nel testo tradotto, ma si tratta di una perdita inevitabile.

**3.3 Il dialetto piemontese**

È il dialetto che si nota per la maggiore presenza nel romanzo Il fu Mattia Pascal e viene usato da parte dell’autore per caratterizzare uno dei personaggi del romanzo che è di Torino e parla con un forte accento torinese.
- Dóve ca l’è stô me car parent?
  - Ku asht ky kushërini jem i dashtun. (RAMJA, XII, 146)
  - Ku ma ka futur kokën ai kushëriri im i dashur? (CANKO, XII, 139)
  Dov'è questo mio caro parente?

- Cusin, - Tut i Meis i sôma parent.
  - Kushri, - tê tanê na Meis jena kushri me njeni-tjetrin. (RAMJA, XII, 147)
  - Kushëri, - Të gjithë Meisët janë kushërënj. (CANKO, XII, 140)
  Tutti i Meis sono parenti.

- Oh, ma côsta ca l’è bela! – L’è prori për lon che mi t sôn vnu a tròvè.
  - Oh, kjo asht e bukur. – tamam për tërët kam ardh ktu me t’gjet. (RAMJA, XII, 147)
  - Oh, kjo po që është e bukur! – Je tamam kushëriri im që erdha ta përshëndosh.
  (CANKO, XII, 140)
  Oh ma questa è bella (...). è proprio per lui che sono venuto a trovarli.

  - m’ka thanë që giyshi jot ka ken n’Amerikë, ça don me thanë kja? Kja don me than qì ti je djali i axha Antonit, aj ka shku n’Amerikë e ne jena, kushri. (RAMJA, XII, 147)
  - më tha që ka ardhur nga Amerika: ç’dò të thotë kjo? kjo do të thotë, që ti je i biri i xha Antonios, që iku nè Amerikë. Dhe ne jemi të një gjaku. (CANKO, XII, 140)
  Mi ha detto che tuo padre è andato in America: cos’ha voluto dire? Ha voluto dire che tu sei figlio di zio Antonio che è andato in America. E noi siamo cugini.

- A m’smiava Antônï... I veui nen côstradite: sarà pro Paôlo. I ricordo nen ben, perché mi’ i l’hai nen conôssulo.
  - Ndoshita i kan thanê Anton... nuk du me ju ra ndesh. Ndoshita i kan than Paolo, nuk m’kujtohet mir se nuk e kam njoft. (RAMJA, XII, 148)
  - Më duket se e quanin Antoni... Unë nuk dua t’ju kthej fjalë: mbase quhej edhe Paolo. Nuk e mbaj mend mirë, sepse unë vetë nuk e kam njohur. (CANKO, XII, 141)
  Si chiamava Antonio. (...) Io non voglio contraddirti: si sarà anche chiamato Paolo. Non ricordo bene perché non l’ho conosciuto.

ancor masnà
se qysh fëmijë (RAMJA, XII, 148)
ishte ende një picirruk (CANKO, XII, 141)
ancor piccolo.

- fran nen. – A sôn passà trant’ani
  - E kishte harruar – kan kalu tridhjet vjet. (RAMJA, XII, 148)
  ...nuk i binte dot në të. – Kanë kaluar tridhjetë vjet. (CANKO, XII, 141)
  Sono passati trent’anni.

Per quanto riguarda la strategia dei traduttori per tradurre le parole e le espressioni in dialetto, occorre dire che ognuno di loro ha una sua propria strategia. Così CANKO traduce le parole nel dialetto torinese con parole della lingua standard albanese, applicando la prima soluzione suggerita dalla critica e pratica della traduzione per la traduzione del dialetto.

RAMJA, da parte sua, opta per la seconda soluzione, ossia per la traduzione del dialetto con un altro dialetto della lingua d’arrivo ossia il dialetto gego.
Le parole dialettali nel prototesto sono in corsivo. Ciò mette sull’avviso il lettore dell’opera originale. Nel metatesto quest’informazione iconica viene data da CANKO, però non comunica niente al lettore della traduzione perché le parole sono quelle dell’albanese standard.

4. Conclusioni

Dallo studio comparatistico che abbiamo fatto dei 3 romanzi di Pirandello si evince che la strategia predominante nella traduzione del dialetto è quella della traduzione del dialetto con l’albanese standard. Il metatesto si è allontanato dal prototesto, dal codice artistico dell’autore, e si è avvicinato all’individualizzazione espressiva del traduttore evidenziando così l’idiolettismo espressivo del traduttore. La traduzione come comunicazione secondaria deve basarsi sulla condizione della conservazione dell’informazione invariante nel testo. Nel corpus del nostro studio non viene rispettato infatti l’intentionality. Cercando di osservare l’equivalenza funzionale o skopos theory (una traduzione deve produrre lo stesso effetto a cui mirava l’originale) qui siamo di fronte a una perdita assoluta. Comunque essendo molto differente la situazione delle varietà diatopiche albanesi da quelle italiane si tratta di una perdita assoluta, preannunciata, inevitabile.

Possiamo solo confermare quello che già sapevamo che il processo traduttivo può comportare naturalmente delle perdite inevitabili come nel caso della traduzione del dialetto.

Goethe (1813) ha dichiarato che le parole di tutte le lingue si sovrappongono e lasciano aperte delle lacune semantiche che non potranno mai essere colmate.

References

Fonti primarie


Fonti secondarie

The Validity of Some Popular Readability Formulas

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Abstract: This study aimed at exploring the correlation between readers’ evaluation of text-readability on one hand and some popular readability formula’s (Flesch Reading Ease Readability Formula, Gunning’s Fog-Index of Readability, The SMOG Index of Readability, Flesch-Kincaid) evaluation of text-readability on the other. This study was conducted with an overall number of 118 participants. The participants were selected from among male and female undergraduate students studying different EFL-related majors at the Department of Foreign Languages and Linguistics of IAU, Shiraz Branch. The participants were chosen using convenient sampling procedure. To achieve the objectives of the study, 5 passages of different readability index were used. Moreover, a questionnaire aimed at tapping responses from the participants was devised on each passage. Finally, a number of SPSS analyses were run and the results of the study did not reveal any significant correlations between readers’ and the formulas’ evaluation of text-readability level. As a conclusion, it seems that those teachers who have used the readability formulas as valuable measures for evaluating materials to use with their students should use them cautiously. Of course, further research seems necessary to check the validity of the readability formulas.

Key Words: text readability; readability formula; Flesch Reading Ease Readability Formula; Gunning’s Fog-Index of Readability; The SMOG Index of Readability; Flesch-Kincaid Formula; validity of readability formulas.

1. Introduction

Broadly speaking, factors affecting reading comprehension can be classified into two general categories: reader variables and text variables. The first category of variables which includes factors such as readers' background knowledge, skills, abilities, motivation, and attitude are internal to readers. The second category of variables which includes factors such as text-content, type, genre, organization, typographical features, and readability are internal to texts rather than to readers (Alderson, 2000 cited in Mehrpour & Riazi, 2004).

How easy or difficult is it to read a text? How clearly does a text express ideas and emotions? These questions are inextricably bound up with the concept of readability (Bailin & Grafstein, 2001). According to Richards, et al. (1992, p. 306), readability means: "how easily written materials can be read and understood. This depends on several factors including the average length of sentences, the number of new words contained, and the grammatical complexity of the language used in a passage."

Generally, Dale and Chall's (1949) definition may be the most comprehensive: "The sum total (including all the interactions) of all those elements within a given piece of printed material that affect the success a group of reader have with it. The success is the extent to which they understand it, read it at an optimal speed, and find it interesting."Other definitions have been proposed for readability (see, e.g., McLaghlin, 1969).

Procedures used to measure readability are known as readability formulas. Today, there are more than 40 different readability formulas used to measure readability, but some of them are better known and more popular than the others. Perhaps, the most common and the most publicized readability formula was the one credited to Rudolph Flesch (1948). The popularity of his formula made Flesch a leading authority on readability.

Flesch Reading Ease Readability Formula (1948) has also been incorporated and installed in Microsoft Office Word. A text in word can be checked for its spelling and grammar, as well as its readability level.
Readability index is based on the average number of syllables per word and words per sentence. Flesch Reading Ease Readability Formula rates texts on a 100-point scale—the higher the score, the easier it is to understand the text. The Flesch Reading Ease Readability Formula is usually defined by the following formula (Flesch, 1948):

\[ 206.835 - (1.015 \times ASL) - (84.6 \times ASW) \]

Where, ASL is the Average Sentence Length (the number of words divided by the number of sentences), and ASW is the Average of Syllables per Word (the number of syllables divided by the number of words). DuBay (2004) provides interpretation of the Flesch Reading Ease Score as indicated in Table 1.

<table>
<thead>
<tr>
<th>Reading Ease Score</th>
<th>Description</th>
<th>Predicted Reading Grade</th>
<th>Estimated Percentage of U.S. Adults</th>
</tr>
</thead>
<tbody>
<tr>
<td>0-30</td>
<td>very difficult</td>
<td>college graduate</td>
<td>4.5%</td>
</tr>
<tr>
<td>30-40</td>
<td>difficult</td>
<td>college grade</td>
<td>33%</td>
</tr>
<tr>
<td>50-60</td>
<td>fairly difficult</td>
<td>10th-12th grade</td>
<td>54%</td>
</tr>
<tr>
<td>60-70</td>
<td>standard</td>
<td>8th-9th grade</td>
<td>83%</td>
</tr>
<tr>
<td>70-80</td>
<td>fairly easy</td>
<td>7th grade</td>
<td>88%</td>
</tr>
<tr>
<td>80-90</td>
<td>easy</td>
<td>6th grade</td>
<td>91%</td>
</tr>
<tr>
<td>90-100</td>
<td>very easy</td>
<td>5th grade</td>
<td>93%</td>
</tr>
</tbody>
</table>

It is not clear why the 40-50 range is left out in DuBay’s table (Heydari & Riazi, 2012).

After that, in *The Technique of Clear Writing*, Gunning (1952) published a readability formula developed for adults, the Fog-Index, which became popular because of its ease of use. It uses two variables, average sentence length and the number of words with more than two syllables for each 100 words.

\[ \text{Grade Level} = 0.4 \times (\text{Average Sentence Length} + \text{Number of hard words}) \]

Where:
A hard word is defined as a word that is more than two syllables long.
The Gunning’s Fog-Index is shown in Table 2.

<table>
<thead>
<tr>
<th>Fog-Index</th>
<th>Estimated Reading Grades</th>
</tr>
</thead>
<tbody>
<tr>
<td>Danger line 13</td>
<td></td>
</tr>
<tr>
<td>17</td>
<td>College graduate</td>
</tr>
<tr>
<td>16</td>
<td>College senior</td>
</tr>
<tr>
<td>15</td>
<td>College junior</td>
</tr>
<tr>
<td>14</td>
<td>College sophomore</td>
</tr>
<tr>
<td>13</td>
<td>College freshman</td>
</tr>
<tr>
<td>12</td>
<td>High school senior</td>
</tr>
<tr>
<td>11</td>
<td>High school junior</td>
</tr>
<tr>
<td>10</td>
<td>High school sophomore</td>
</tr>
<tr>
<td>Easy Reading 8 Range</td>
<td></td>
</tr>
<tr>
<td>9</td>
<td>High school freshman</td>
</tr>
<tr>
<td>8</td>
<td>Eighth grade</td>
</tr>
<tr>
<td>7</td>
<td>Seventh grade</td>
</tr>
<tr>
<td>6</td>
<td>Sixth grade</td>
</tr>
</tbody>
</table>

The publication of such formulas conveniently marks the end of the first 30 years of classic readability studies.

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After that, G. Harry McLaughlin (1969) published his SMOG (Simple Measure Of Gobbledygook) formula in the belief that word length and sentence length should be multiplied rather than added. By counting the number of words of more than two syllables (polysyllabic count) in 30 sentences, he provided this simple formula:

$$\text{SMOG Grading} = 3 + \sqrt{\text{polysyllable count}}$$

Another known readability formula, the Flesch-Kincaid Formula (1975 cited in Greenfield, 1999), is a recalibration of the original Flesch Formula. It rates text on a U.S. grade school level. For example, a score of eight means that an eight grader can understand the document. For most documents, the writers aim for a score of approximately 7.0 to 8.0.

The formula for the Flesch-Kincaid Grade Level Score is:

$$(0.39 \times \text{ASL}) + (11.8 \times \text{ASW}) – 15.59$$

Where:

- \(\text{ASL}\) is the Average Sentence Length (the number of words divided by the number of sentences), and
- \(\text{ASW}\) is the Average of Syllables per Word (the number of syllables divided by the number of words).

The present study tries to deal with the validity of the popular aforementioned readability formulas. The next section presents a review of the background on the text readability.

2. Review of the Readability of the Texts

Reviewing the literature on readability formulas, one can easily understand that such studies are of three different types including:

1. History of readability
2. Applications of readability formulas
3. The pros and cons views toward the use of readability formulas

The first strand of studies on readability present different readability formulas devised to measure the readability of texts (Flesch, 1948; Dale-Chall, 1948 cited in DuBay, 2004; Gunning, 1952; Fry, 1968; McLaughlin, 1969; Flesch-Kincaid Formula, 1975 cited in Greenfield, 1999). In fact, the earliest investigations of readability were conducted by asking students, librarians, and teachers what seemed to make texts readable. Such studies led to the development of mathematical formulas. Today, readability evaluation of the texts is calculated by computer programs. As such, most grammar or editing software programs can determine the readability level of the written materials.

The second group of studies on readability deals with the application of the readability formulas. Readability formulas have had a wide range of applications. Indeed, they were originally created for testing the readability level of school textbooks (Serevin & Tankard, 1992 cited in Balachandran, 1997). Fry (1986, p.1) pointed out that "articles on the readability formulas are among the most frequently cited articles of all types of educational research." The applications give researchers an objective means for controlling the difficulty of passages in their experiments (DuBay, 2004). Today, readability formulas can be applied to anything from textbooks to government documents and they are more popular than ever. Some of such applications are as follows: (educational system: Kennedy, 1979; Reed, 1988; mass media including newspapers: Lostutter, 1949; Fusaro & Conover, 1983; newsletters: Balachandran, 1997; wire services: Catalano, 1990; brochures: Christ & Pharr, 1980; websites: Baker, Wilson, & Kars, 1997; Graber, Roller, & Kaeble, 1999; manuals: Stahl, Henk, & Eilers, 1995; TV programs: Vancura, 1955; and court actions and legislation: DuBay, 2004). Moreover, there are readability formulas for Spanish, French, Dutch, Swedish, Russian, Hebrew, Hindi, Chinese, Korean (see Rabin, 1988 cited in DuBay, 2004), and Farsi (Dayyani, 1993). The formulas have survived 80 years of intensive application, investigation, and controversy with both their credentials and limitations remaining intact.

The third group of studies discusses the pros and cons views toward the use of readability formulas. Such studies mostly deal with a closer examination of the formulas’ underlying principles (Kirkwood & Wolfe, 1980;
Bertram & Newman, 1981; Frase, Rubin, Starr, & Plung, 1981; Bailin & Grafstein, 2001), the concept of their validation and appropriateness for either native or second language learners (Froese, 1971; Hamsik, 1984; Brown, 1996; Greenfield, 1999; Rezaei, 2000; Ardoin, Suldo, Witt, Aldrich, & McDonald, 2005), the discrepancy between the scores of different formulas (Chen, 1986; DuBay, 2004), and so forth. Such studies help readers to become familiar with the background of the formulas, the theory on which they stand, what they are good for and what they are not.

Synopsis of the Literature Reviewed

Indeed, it can be declared openly that the formulas have both advantages and disadvantages.

Advantages of using readability formulas:
1. By definition, readability formulas measure the grade-level readers must have to read a given text. The results from using readability formulas provide the writer of the text with much needed information to reach his target audience.
2. Readability formulas do not require the readers to first go through the text to decide if the text is too hard or too easy to read. By readability formulas, one can know ahead of time if his readers can understand the material. This can save time, money and energy.
3. Readability formulas are text-based formulas; many researchers and readers find them easy to use.
4. Today, readability formulas can be performed by computer. As such, most grammar or editing software today can determine the readability level of written materials.
5. Readability formulas help writers convert their written material into plain language.

Disadvantages of using readability formulas:
1. Unfortunately, readability formulas are not of much help if one wants to know how well the target audience understands the text.
2. Due to many readability formulas, there is an increasing chance of getting wide variation in results of a same text.
3. Readability formulas cannot measure the context, prior knowledge, interest level, difficulty of concept, or coherence of text. (Heydari & Riazi, 2012; Zamanian & Heydari, 2012)

Indeed, it is important to re-examine the use of readability formulas as a measure of reading difficulty. This abundance of research by itself is the material proof for the significance of the topic under study. Of course, this fact necessitates further research in this area, and the present study intends to do that. It aims at exploring the validity of some better-known and more popular readability formulas.

3. Objectives of the Study

The purpose of this study is to empirically assess what readability formulas claim, how these formulas match or do not match the assumptions of specialists in the field, and how they can be used to create and evaluate texts for L2 learners. In doing so, it concentrates on the validity of some popular readability formulas. This study aimed at helping EFL educators and practitioners to make more objective decisions about how to go about selecting, revising, teaching, and evaluating EFL texts by evaluating the readability formulas and correlating standard indexes with the indices obtained by other means like assessing learners. Revisiting the concept of EFL text-readability formulas, the consequent related issues in the EFL reading skill such as reliability and validity, plus the scarcity of research in this area for EFL learners constitute the significance of the scope of this study. Moreover, they will provide further useful information that will be of value in the validation process of reading texts. Such knowledge is certainly crucial in the areas of teaching reading, material development, and testing.

The following questions are to be answered through this study:
1. Is there any correlation between readers’ evaluation of text-readability and Flesch Reading Ease Readability Formula’s evaluation of text-readability?
2. Is there any correlation between readers’ evaluation of text-readability and Gunning’s Fog-Index Formula’s evaluation of text-readability?
3. Is there any correlation between readers’ evaluation of text-readability and the SMOG Formula’s evaluation of text-readability?
4. Is there any correlation between readers’ evaluation of text-readability and Flesch-Kincaid Grade Level Formula’s evaluation of text-readability?

4. Method

4.1. Participants

This study was conducted with an overall number of 118 participants. The participants were selected from among male and female undergraduate students studying different EFL-related majors at the Department of Foreign Languages and Linguistics of Shiraz Azad University. The participants were chosen using convenient sampling procedure.

Indeed, there was a convincing reason for selecting undergraduate students in this study which goes as the following. At first, 5 reading passages were randomly taken from the book *Practice and Progress* by Alexander (1967), a reading textbook which is being taught to EFL undergraduate students at the advanced level of reading course (Reading Comprehension # 3) at Shiraz Azad University. Using Flesch Reading Ease Readability Formula, the readability scores of the 5 passages were determined. Then, their average readability score (79.87) was compared with that of the 5 passages from Ackert (1986) used in the current study (74.5). The result of the comparison revealed that the information of the 5 prepared passages taken from Ackert (1986) might be at the level of undergraduate students to read and understand. Accordingly, this study was conducted with a number of undergraduate students in the field.

4.2. Materials and Instruments

First, 5 reading passages were selected from the book of *Concepts and Comments: An ESL Reader* (Ackert, 1986), a reading text-book for EFL students studying at the advanced level of reading courses locally (see Appendix). This book contains 25 high-interest reading passages serve as springboards for reading skills development, vocabulary building, Language analysis, and thought-provoking discussions and writing. In *Concepts and Comments: An ESL Reader*, the readings address a wide range of fresh and engaging topics. The 5 passages were accompanied by 10 comprehension questions including 5 true/ false questions and 5 multiple choice questions which aimed at tapping responses from the participants on the difficulty-level of the passages as well.

Table 3 presents the texts along with different readability formulas used in the present study.

<table>
<thead>
<tr>
<th>Passage</th>
<th>Flesch Reading Ease Score</th>
<th>Gunning’s Fog-Index</th>
<th>The SMOG Index</th>
<th>Flesch-Kincaid Grade Level</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 (buy me!)</td>
<td>82.8</td>
<td>7.4</td>
<td>5.6</td>
<td>4</td>
</tr>
<tr>
<td>2 (memory)</td>
<td>77.6</td>
<td>7.2</td>
<td>5.4</td>
<td>4.2</td>
</tr>
<tr>
<td>3 (Braille)</td>
<td>75.5</td>
<td>7.6</td>
<td>5.9</td>
<td>5.4</td>
</tr>
<tr>
<td>4 (Greenland)</td>
<td>68.5</td>
<td>6.9</td>
<td>5.8</td>
<td>6.7</td>
</tr>
<tr>
<td>5 (the Olympic games)</td>
<td>67.2</td>
<td>6.1</td>
<td>5.7</td>
<td>6.2</td>
</tr>
</tbody>
</table>
4.3. Data Collection Procedures

Firstly, the 5 prepared passages were given to participants. Participants were asked to provide feedback on text difficulty by filling out the 2 different prepared types of questions (true/false and multiple choice) on each reading. Their answers on each reading were collected for analysis. On the other hand, the readability levels of the 5 prepared passages were calculated using different readability formulas.

4.4. Data Analysis Procedures

The data were analyzed through appropriate statistical procedures including non-parametric Spearman’s rho correlation coefficient.

For the four research questions of the study investigating if there were any correlations between readers’ evaluation of text-readability level and different readability indices, a correlation was run for each.

5. Results and Discussion

Table 4 presents the descriptive statistics and rank order of the 5 prepared passages as evaluated by the participants and the different readability indices of the texts as presented in Table 3.

Table 4: Descriptive statistics of the texts based on the different used readability formulas’ and participants’ evaluation

<table>
<thead>
<tr>
<th>Texts</th>
<th>Participants Mean</th>
<th>Participants rank order</th>
<th>Flesch Mean</th>
<th>Flesch rank order</th>
<th>Fog Mean</th>
<th>Fog rank order</th>
<th>SMOG Mean</th>
<th>SMOG rank order</th>
<th>Flesch Kincaid Mean</th>
<th>Fk rank order</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>5.4</td>
<td>2</td>
<td>82.8</td>
<td>5</td>
<td>7.4</td>
<td>2</td>
<td>5.6</td>
<td>4</td>
<td>4.0</td>
<td>5</td>
</tr>
<tr>
<td>2</td>
<td>6.1</td>
<td>4</td>
<td>77.6</td>
<td>4</td>
<td>7.2</td>
<td>3</td>
<td>5.4</td>
<td>5</td>
<td>4.2</td>
<td>4</td>
</tr>
<tr>
<td>3</td>
<td>6.0</td>
<td>3</td>
<td>75.5</td>
<td>3</td>
<td>7.6</td>
<td>1</td>
<td>5.9</td>
<td>1</td>
<td>5.3</td>
<td>3</td>
</tr>
<tr>
<td>4</td>
<td>4.4</td>
<td>1</td>
<td>68.5</td>
<td>2</td>
<td>6.9</td>
<td>4</td>
<td>5.8</td>
<td>2</td>
<td>6.7</td>
<td>1</td>
</tr>
<tr>
<td>5</td>
<td>7.1</td>
<td>5</td>
<td>67.2</td>
<td>1</td>
<td>6.1</td>
<td>5</td>
<td>5.7</td>
<td>3</td>
<td>6.2</td>
<td>2</td>
</tr>
</tbody>
</table>

Comparing the means and the rank orders, one can conclude that they are not close to each other. However, they turned out to be quite far from each other. To see if such differences were significant or not, a non-parametric Spearman’s rho correlation coefficient was run on each case (participants’ mean and each readability formula’ index). Table 5 shows the results of the comparison between different evaluations.

Table 5: Results of the comparison between different evaluations

<table>
<thead>
<tr>
<th>Correlation</th>
<th>Correlation</th>
<th>Correlation</th>
<th>Correlation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Correlation between participants’ mean &amp; Flesch</td>
<td>-.300</td>
<td>.624</td>
<td></td>
</tr>
<tr>
<td>Correlation between participants’ mean &amp; Fog</td>
<td>-.300</td>
<td>.624</td>
<td></td>
</tr>
<tr>
<td>Correlation between participants’ mean &amp; SMOG</td>
<td>-.300</td>
<td>.624</td>
<td></td>
</tr>
<tr>
<td>Correlation between participants’ mean &amp; FK</td>
<td>-.100</td>
<td>.873</td>
<td></td>
</tr>
</tbody>
</table>

As this table shows, in all cases the correlations between the two evaluations are not significant. In other words, participants’ scores on text-readability level and the evaluation of text-readability through the use of these popular readability formulas were significantly different for five passages.

The result of the present study is consistent with those of Froese (1971), Carrell (1987), Brown (1998), Rezaei (2000), Ardoin, Suldo, Witt, Aldrich, and McDonald (2005), who attempted to re-evaluate the validity of different readability formulas. These researchers studied the validity of readability formulas in comparison...
to various independent criteria of reading difficulty such as cloze units, multiple-choice items, and equivalent forms. All of them asserted that the formulas are not valid measures of the difficulty of the written materials. Findings of the present study are in sharp contrast to Hamsik (1984), Fry (1989), and Greenfields' (1999) who asserted that not only readability formulas can prove to be valuable tools for measuring the difficulty of texts for native English speakers, but also they do measure the readability level of texts for EFL learners.

6. Conclusions

This study was carried out to investigate the validity of some better-known and more popular readability formulas (Flesch Reading Ease Readability Formula, Gunning’s Fog-Index of Readability, the SMOG Index of Readability, and Flesch-Kincaid Formula). The study investigated if there are any correlations between students’ scores and the four aforementioned readability indexes on text difficulty. Results of correlation suggested that there were not any correlations between the two sets of evaluations (human evaluation versus readability formulas). The following table summarizes results of the study.

Table 6: Summary of the findings of the study

<table>
<thead>
<tr>
<th>Participants’ means on text difficulty</th>
<th>text1</th>
<th>text2</th>
<th>text3</th>
<th>text4</th>
<th>text5</th>
</tr>
</thead>
<tbody>
<tr>
<td>Level of difficulty</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Readability index based on Flesch formula</td>
<td>82.8</td>
<td>77.6</td>
<td>75.5</td>
<td>68.5</td>
<td>67.2</td>
</tr>
<tr>
<td>Level of readability</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Readability index based on Fog-Index</td>
<td>7.4</td>
<td>7.2</td>
<td>7.6</td>
<td>6.9</td>
<td>6.1</td>
</tr>
<tr>
<td>Level of readability</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Readability index based on SMOG Index</td>
<td>5.6</td>
<td>5.4</td>
<td>5.9</td>
<td>5.8</td>
<td>5.7</td>
</tr>
<tr>
<td>Level of readability</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Readability index based on Flesch-Kincaid</td>
<td>4.0</td>
<td>4.2</td>
<td>5.3</td>
<td>6.7</td>
<td>6.2</td>
</tr>
<tr>
<td>Level of readability</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

As can be seen in Table 6, the five texts were evaluated differently by participants and by the readability formulas.

The findings of the study have implications for materials and test developers. While further research is needed to validate the findings of the present study, it can be suggested that decisions for text selection in terms of text difficulty and readability are not based on readability formula per se. Human judgments are needed to be considered as well.

References


Appendix

Passage 1

Buy me!

People in cities all over the world shop in supermarkets. Who decides what you buy in the supermarkets? Do you decide? Does the supermarket decide?

When you enter the supermarket, you see shelves full of food. You walk in the aisles between the shelves. You push a shopping cart and put your food in it. You probably hear soft, slow music as you walk
along the aisles. If you hear fast music, you walk quickly. The supermarket plays slow music. You walk slowly and have more time to buy things.

Maybe you go to the meat department first. There is some meat on sale, and you want to find it. The manager of the supermarket knows where customers enter the meat department. The cheaper meat is at the other end of the meat department, away from where the costumers enter. You have to walk by all expensive meat before you find the cheaper meat. Maybe you will buy some of the expensive meat instead of the meat on sale.

The daily department sells milk and milk products such as butter and meat. Many customers like milk that has only a little butterfat in it. One store has three different containers of low fat milk. One says 1 percent (1%) fat on the container. The second says 99 percent (99%) fat free. The third says low fat in big letters and 1% in small letters. As you can see, all the milk has the same amount of fat. The milk is all the same. The amount of milk in each container is also the same. However, in this store the three containers of milk cost three different amounts of money. Maybe the customer will buy the milk that cost the most.

Most of the food in the supermarkets is very attractive. It all says “buy me!” to the customers. The expensive meat says “buy me!” as you walk by. The expensive milk container says “buy me! I have less fat.” The supermarket tells you what to buy.

True or False?
1. The supermarket tries to tell you what to buy.
2. Butter is in the meat department.
3. Most food in the supermarket is attractive.
4. You put your food in a big basket in the supermarket.
5. If you hear slow music, you walk quickly.

Multiple-Choice Questions
1. People walk in the ……in the supermarket.
   a. shelves                 b. dairy                           c. aisles                   d. amount
2. The manager knows ……..
   a. which customers like low fat milk                      b. which customers like slow music
   c. where customers enter the meat department      d. where customers come from
3. When you walk by the expensive meat……
   a. maybe you will buy some                       b. maybe you will buy low fat milk
   c. you will look for fresh fruit                    d. you will walk on the shelves
4. There are three different containers of low fat milk.
   a. one is 90% fat free                               b. they all cost the same amount of money
   c. one has less fat than the others            d. they all have the same amount of fat
5. Supermarket managers make the food attractive because………
   a. the customers will buy more                b. it is very expensive
   c. it is in the dairy department              d. it is cheap

Passage 2

Memory

“Memorize these words.” “Learn this spelling rule.” “Don’t forget the quiz tomorrow.” You remember things every day, but how do you do it?

You find a telephone number in the phonebook, dial it and then forget it. This is your short term memory. It lasts less than 30 seconds. (There are 60 seconds in a minute). However you don’t look in the phonebook for a friend’s number. You know it. This is long term memory. Your long term memory has everything that you remember.
Why do you forget something? What is the reason? You did not learn it in the beginning. This is the major reason for forgetting. For example, you meet some new people, and you forget your names. You hear the names, but you do not learn them. Then you forget them.

You can remember better. Here are some ideas.
1. Move information from your long term memory to your long term memory. Practice the information. Say the information to yourself. Think about it. Spend time on it.
2. Overlearn. After you learn something, study it some more. Learn it more than you need to. For example, when you know a list of new words, don't stop. Practice the words a few more times.
3. be sure that you understand the information. It is difficult to memorize something you don't understand.
4. Do only one thing at a time. Study in a quiet place. You cannot listen to music or people and memorize at the same time.
5. Try to connect the information with something you already know. For example, when you learn the name of a new kind of food, think of a similar kind of food.
6. Divide the information into parts. Do not have more than seven parts at the same time.
7. Make a picture in your mind. For example, maybe you see a new word. It is a kind of furniture in a room. Remember what it looks like.
8. Try to relax when you study. Enjoy it. You cannot remember things when you are tired or unhappy.

Some people have a photographic memory. They see everything like a picture. Later they can see the picture in their mind again and describe everything in it. They can remember long lists of numbers and thousands of other things. Would you like to have a photographic memory?

True or False?
1. Your short term memory lasts a minute.
2. Your address is in your long term memory.
3. Overlearning helps you remember.
4. It is easy to memorize things that you don't understand.
5. Connect a new word to a similar word in your mind.

Multiple-Choice Questions
1. When you learn something and continue studying it, you are…….
   a. remembering b. looking at c. overlearning d. learning
2. In order to learn, divide the information into…….. parts.
   a. 20 b. 7 c. 10 d. 12
3. You cannot remember things when you are.........
   a. tired b. happy c. glad d. not tired
4. Why do you remember your friend’s number?
   a. because you listed it b. because you overlearn it
c. because it is in your long term memory d. because it is in your short term memory
5. What is the major reason for forgetting?
   a. you did not remember it in the beginning b. you don’t have long lists of everything
c. you did not learn it in the beginning d. you don’t have a photographic memory

Passage 3
Braille

Louis Braille was born in France in 1809. His father had a small business. He made shoes and other things from leather. Louis liked to help his father in the store even when he was very small. One day when Louis was three years old, he was cutting some leather. Suddenly the knife slipped and hit him in the eye. Louis soon became completely blind.
When he was ten years old, he entered the National Institute for the Blind in Paris. One day his class went to visit a special exhibit by a captain in the army. One thing in the exhibit was very interesting for Louis. It showed messages in code. Armies send messages in secret codes so no one else can read them. The captain wrote his code in raised letters on very thick paper.

Louis thought a lot about this code. Then he decided to write in the same way so blind people could read with their fingers. It is very difficult to feel the differences between raised letters. Instead of letters, Louis used a cell of six dots. He arranged the dots with two dots across and three down.

There are 63 possible arrangements of the dots in the Braille system. Each arrangement stands for one letter, punctuation mark, or number. He also used this system to write music. Louis Braille invented this system when he was only fifteen years old.

Blind people can also write Braille. They use a special kind of pen to make the dots. Today there are Braille books in all written languages in the world. However, these books are large and expensive to make. They must be on special paper. Someone who can see must learn the Braille alphabet and make the raised dots in the paper by hand or with a special typewriter.

Now there is an easier way for blind people to read. Talking books are complete books or magazines on cassette tapes or phonograph records. Blind people listen to the book. Blind people can also write using a typewriter or a computer.

Louis Braille invented a way for blind people to communicate. He invented it before the time of phonographs, tape recorders, type writers, and computers. When he died in 1852, he was buried in the Pantheon in Paris. This is where the national heroes of France are buried, and Louis Braille was a national hero.

True or False?
1. Braille invented a system of reading for blind people.
2. Braille was buried in the Pantheon because he was a national hero.
3. Braille showed messages in letter.
4. He was 10 years old when he invented this system.
5. Blind people also use talking books and type writers today.

Multiple-Choice Questions
1. Louis Braille’s father made things from .......
   a. leather                   b. wool                          c. exhibit                  d. codes
2. When Louis was ten years old, he began to study .......... 
   a. at his neighborhood school                         c. at a special school for the blind
   b. at a university                                             d. in the army
3. He saw a special exhibit. It showed........... in code.
   a. messages             b. system                  c. arrangements               d. computers
4. It is difficult to feel the differences between...........
   a. coded messages                                          c. a system of raised dots
   b. arrangements of dots                                    d. raised letters
5. Talking books.......... 
   a. are on cassette tapes                                     c. have raised dots
   b. have raised letters                                     d. are on computers

Passage 4
Greenland

Greenland is the largest island in the world. It covers over 2000000 (two million) square kilometers. Most of it lies inside the Arctic Circle. And a huge sheet of ice covers 85% of it. Imagine that a map of Greenland is on top of the map of Europe. Greenland stretches from London to the middle of Sahara desert.
The ice sheet is more than 1.6 kilometers thick, and it never melts. They are probably only rock under the ice, but no one knows for sure.

Along the sea coast, mountains rise from the sea. There are a few low trees in the southwest, but no forests. Snow covers everything in winter, but in summer very low plants cover the ground between the sea and the ice sheet.

Norwegian Vikings were the first Europeans to see the island in A.D. 875, but no one visited it until 982. Three years later a few Vikings went to live there. In 1261 the people in Greenland decided to join Norway. Norway and Denmark united in 1380. This union ended in 1814, and Greenland stay with Denmark. Greenland is fifty times larger than Denmark, but it is still a part of this small country.

About 62000 people live in Greenland. Most of them are part Eskimo and part Danish. Almost all of them live in towns and villages on the southwestern coast because that is the warmest part of the island. A few pure Eskimos live in the far north and some Danes live in the towns. Life in Greenland is difficult because the weather is very cold. In January it is -29.5° C (minus 29 point 5 degrees Celsius) and in July it is 4° C (4 degrees Celsius). It is dark twenty four hours a day during winter. In summer it is always daylight.

The island has very few natural resources. The people raise a few vegetables and sheep. They used to fish and hunt, but now they usually buy food at stores.

Greenland is important to the world because scientists study the weather there. They can tell when storms are developing over the North Atlantic Ocean. It is important to know when storms are developing there because it is an important shipping area.

Life in Greenland is changing very fast. People lived a traditional life for centuries, but now they are moving into the modern world very quickly. They are losing their old traditions, but there is nothing to take their place. There are a lot of problems among the people. It is difficult for any country to move from a traditional life to a modern life. It is especially hard for Greenland because the people spent centuries with very little communication with the rest of the world. These problems will probably continue into the future.

True or False?
1. Greenland is a part of Denmark.
2. The union between Norway and Denmark ended in 1261.
3. People live in south-eastern areas of Greenland because of the warm weather there.
4. Greenland doesn’t have any natural resources.
5. In 982 A.D. Europeans first go there to live.

Multiple-Choice Questions
1. Most of Greenland lies………
   a. above the Arctic Circle  
   b. below the Arctic Circle  
   c. in the Sahara Desert  
   d. in Europe
2. The ice sheet ……
   a. melts in summer  
   b. is always three  
   c. is three kilometers thick  
   d. has a few green plants under it
3. Greenland ……
   a. is flat  
   b. has warm winters  
   c. is rich in natural resources  
   d. has mountains along the seacoast
4. The first Europeans to live in Greenland were………
   a. Danes  
   b. Eskimo  
   c. Norwegian Viking  
   d. English
5. Greenland is important to the world because………
   a. scientists the weather there  
   b. it has rich natural resources  
   c. it has communications with the rest of the world  
   d. a huge ice sheet covers it

Passage 5
The Olympic Games
Every four years people all over the world watch the Olympic Games. It is a time for all kinds of people to unite in peace. Some of them join together to compete for gold medals. Millions of other people watch them on television.

Why do we have the Olympics? How did they begin? The first Olympic Games were in Greece in 776 B.C. There was only one event. People ran a race the length of the stadium. The games lasted one day. Slowly people added more events. The games were only for men, and women could not even watch them. Only Greeks competed. They came from all parts of the Greek world. The time of the games was a time of peace, and the government let everyone travel safely. Kings competed against common people. The winners became natural heroes.

The first modern Games were in 1896 in Athens. The Greeks built a new stadium for the competition. Athletes from several countries competed. Then there were Olympics every four years in different cities in Europe and the United States until 1952. After that they were in Melbourne, Tokyo, Mexico City and Montreal besides in European cities. Each year there were athletes from more nations. The first Winter Olympics were in 1924. The athletes compete in skiing and other winter sports.

Today there must be Olympic Games every four years. The games must have at least fifteen events, and they cannot last more than sixteen days. There is no age limit—people of any age can compete. The competitors must not be professionals. They must be amateurs. The athletes compete for gold medals. The winners are still natural heroes, as they were in early Olympic Games in Greece.

In 1956, Egypt, Iraq, and Lebanon boycotted the Games. They did not compete in the Games because several countries took the Suez Canal from Egypt that year. Other countries boycotted the Games in 1964 and 1976. In 1980 the United States and other countries boycotted the games in Moscow. In 1984 the Soviet Union and other countries boycotted the games in Los Angeles. How can the nations of the world solve this problem? Maybe the games should be in Greece every year, where they began. The athletes from all over the world could compete without any boycotts.

True or False?
1. The first Olympic competitors ran the length of the stadium.
2. Only men competed in the first Olympics, but women could watch them.
3. Only Greeks could compete in the first Games.
4. After 1956 there were on Games in Europe.
5. Professional athletes usually win the most medals in the Olympics.

Multiple-Choice Questions
1. What was the only event in the first Olympic Games?
   a. skiing                  b. boxing                    c. running                      d. football
2. Where were the first modern Games?
3. When were the first winter games?
   a. 1952                    b. 1924                      c. 776 B.C.                     d. 1984
4. How many events are in the games? At least ……. events.
   a. 4                          b. 2                           c. 20                                 d. 15
5. How many countries boycotted the games in 1956?
   a. 3                          b. 2                           c. 1                                    d. 5
The Emphasized Legislative in Macedonia Institutions and Enforce Laws, Regulations and Developing Administrative Improvements

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Abstract: The definition of the constitutional law is an important theoretical problem, because in literature, generally, "there is no single definition" of the constitutional law. Seen from the perspective of the broad (wide) comparative juridical-constitutional literature, a conclusion drawn can be, that the constitutional law can be defined in two main meanings: first, in the traditional meaning and, secondly, in the modern one. In the traditional sense, the constitutional law is defined as "a set of juridical norms that refer to the dispersion of state power and the exercise of that power by the state bodies and with which in the same time the reciprocal relationships within state bodies, and the reciprocal relationships between state, citizens and institutions are defined. In the frame of the traditional sense, the constitutional law can be viewed in two basic meanings (senses) one, in the strict meaning and, two, in the broad one. In its narrowest sense, the constitutional law can be defined as "a set (an entirety) of juridical norms, intended to regulate relationships within the state between the ruler (ruled)."¹

Key words: Constitutional law, juridical norms, reciprocal relations, legislative politics, illegal act

1. Introduction

This study empirically examines the impact of reforms in legislative politics in Republic of Macedonia under progress and developing reforms in low and judiciary system, debt management policies on borrowing costs incurred by state governments when issuing debt in the municipal bond market. To answer the question what is the constitutional law means to define the term "the constitutional law." The question is raised: what is the definition? To define means to explain in a concise and scientific manner the (constitutional reference data) meaning of the certain expression.²

Although the definitions of various social phenomena, so even for the constitutional law, are necessary and important to explain the essence of them, they, as a rule, do not reveal all sides and features of social phenomena.³ Of course the same happens with the efforts to define the constitutional law as a branch of the law. While, in its broadest sense the constitutional law can be defined as a set of juridical norms which regulate the juridical-constitutional matter (materia constitutionis) within the framework of the juridical system of a certain state. These classical definitions are held in the juridical-constitutional literature, since the nineteenth century.⁴

¹ Dr. John Alder, Constitutional and Administrative Law, New York, 2007, pg. 6.
³ Dr. Esat Stavileci, Nocione dhe parime të administratës publike, Prishtinë, 2005, pg. 17.
⁴ See: Dr. Aleksandar Gjorqjev, Dr. Marjana Pajavançiç, Ustavno pravo, Novi Sad, 1991, pg. 14
Dr. Svetomir Shkariq, Sporedbeno i makedonsko ustavno pravo, Shkup, 2004, pg. 5; Dr. Krenar Loloçi, E drejta kushtetuese, Tiranë, 1997, pg. 15 - 16.
1.1 The notion of the Constitutional law

In modern terms, the constitutional law is defined as "a set of juridical norms that regulate and guarantee the freedoms and the fundamental rights of man and citizens, at the same time the organization of state power at the service of the juridical protection of freedoms and fundamental rights of citizens is determined through these norms." This automatically would mean that state power does not exist for itself, but it exists as a subject (factor) and mechanism for the protection of freedoms, of fundamental rights and dignity of man and citizen from any kind of discrimination.

In relation to that, we can say that it's not casual that in almost all modern democratic constitutions, the part of freedoms and fundamental rights of man and citizen comes immediately after the principles or the basic provisions and before the parts that regulate the organization of state respectively state power. The part that includes the freedoms and fundamental rights of man and citizens is the crucial part of the constitution, even they occupy the leading place and the state institutions exist primarily to guarantee them. That, because it is considered that the state as a social institution sui generis was born as an expression of the general will of the people (volonté general), respectively, as an expression of the sovereignty of the people.

1.2 The fundamental mission of the constitutional law.

The fundamental mission of the state is the maximum guarantee and protection of the freedoms and fundamental rights of the individual as a citizen of a certain state. The people in order to protect the freedoms and their personal rights, guided by reason (ratio), with their own will constitute the state as a political community, in which the constitution as a social contract (originere, contractus originarius ose pactum sociale), regulates the political system of the state, sets and defines the legal boundaries within which the activity of the state can be stretched (extended) and exercised in the society, expresses legally the sovereignty of the people and guarantees the freedoms and rights of man, which are natural rights and not donated by the state. It is about the theory of "the social contract" (The Social Contract) whose creator and originator is the brilliant French political philosopher Jean-Jacques Rousseau.

Therefore, it is drawn the conclusion that the freedoms and human rights are earlier and older than the state, may be they even precede the state constitution and the organization of the state power, because man enjoys some "freedoms and natural rights since birth, such as the right to life and liberty, the right to equality, the right to security, the right to property, the right to resist to oppressors and the right to seek happiness. They are inherent, inviolable, inalienable and unpredictable "because they are given by the Creator of nature (God), but with the constitution of the state and the organization of the state power, their implementation and concrete juridical protection is ensured through juridical means and protective mechanisms which individuals can consume (use) when considering that with the illegal act, any right or legal interest has been violated or harmed by certain state bodies.

2 Literature Review and Hypotheses

Meanwhile, in the contemporary conditions and circumstances as a reflex of strong dynamic and developing

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5 Dr. Svetomir Shkarić, cited work., pg. 3.14;
6 By the expression 'people' the science of the Constitutional Law means the entirety of the citizens whithin the border of the territory of a certain state – cited by Dr. Xhezair Zaganjori, Demokracia dhe shteti i së drejtës, Tiranë, 2002, pg. 32.
7 Veljko Mratović, Dr. Nikolla Filipović, Dr. Smiljko Sokol, Ustavno pravo i političke institucije, Zagreb, 1986, pg. 26.
trends of European, North Atlantic and globalization integration processes, increasingly it is required that the rights and fundamental freedoms of man remain "on the basis of the entire juridical system ". In accord with that, the state authorities "not only will be necessary to respect the fundamental freedoms and rights of man and citizens, but also should play an active role in their realization." It is known the definition of the constitutional law given by the eminent British professor of the constitutional law Albert Venn Dicey: "The constitutional law includes juridical (legal) norms which have legal effect directly or indirectly on the distribution and the exercise of the sovereign state power in the state". 9 This definition, as noted, is exclusively oriented to "the state power", as the only regulatory sphere of the juridical norms of the constitutional law.

**H 1** The essential deficiency of this definition consists in the fact that it bypasses the non-state sphere of the constitutional law which is fabricated (created) by the freedoms and the fundamental rights of man and citizens and the rights of local self-government units, as a "constituent and very important segment" of the constitutional law on one hand, and, as means and measure of juridical restriction on the state power and for not exercising the state power arbitrarily abusively on the part of those who are in power , on the other hand.

Stavro Vinjau, in his book "the constitutional law"10, defines the constitutional law as a "set of rules imposed by the state, which contain the fundamental commandments on which the state is based. The same author, elaborating deeper the notion of the constitutional law says: the constitutional law, essentially, contains the regulation of the main state issues as: the form of the state, its organs, competences and mode of action, the boundaries within which the freedoms of the state can be exercised towards citizens, designated as personal freedoms."11 Dhimo Dhima says that "the constitutional law refers to the branch of law that includes a certain category of juridical norms, which ratify the social and state order of a certain state, and the position the individual occupies in that state." 12 Luan Omari considers that "the constitutional law can be defined as the set of juridical norms that define the fundamental principles of the political organization of the society and the state.

**H 2** The aforementioned formal sources of the constitutional law function for a more concrete and detailed regulation of those relationships and specific issues which are regulated by the constitutional acts, they function respectively for clarifying, elaborating and realizing the principled solutions of the juridical-constitutional norms in the constitutional acts.

He further adds that: In particular, the juridical-constitutional norms treat the organization, functioning and competences of the highest state bodies, their mutual relations, but also the relationships that they have with other state bodies and with citizens." 13 A well known Croatian author, who deals with the theory on the state and the law, affirms the idea that "the constitutional law is an entirety of juridical norms with the highest juridical power within the framework of the state – juridical order which establish state organization, establish the basis of the social and political regulation of the state and guarantee the freedoms, rights and fundamental duties of man and citizen" Nurko Pobrić asserts that "the constitutional law includes the entirety of the juridical norms, which regulate the political institutions in which the majority of the sovereign power in

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10 In Albanian language to mark the constitutional law as an applicative juridical discipline, not rarely it is used the optional term, or the alternative expression "the constitutional law ". After the declaration of Albania as an independent and sovereign state on November the 28-th 1912, that discipline firstly was known as The fundamental law" (Kristo Floqi, E dreja themelore, Shkodër, 1920), while in 1920-1924 as "The constitutional law" (Stavro Vinjau, E dreja konstitucionale, Tiranë, 1923). – cited by Dr. Luan Omari, Dr. Aurela Anastasi, E dreja kushtetuese, Tiranë, 2008, pg. 10 – 11.
12 Dr. Dhimo M. Dhima, E dreja kushtetuese e Republikës Popullore të shqipërisë, Tiranë, 1963, pg. 6.
13 Dr. Luan Omari, Parime dhe institucione të së drejtës publike, Tiranë, 2006,pg. 8.
14 Dr. Nikolla Visković, Teorija države i prava, Zagreb, 2001,pg. 272.
every state is concentrated, as well as the personal and collective freedoms and rights with which the political(state) power is limited".  

3. Methodology and Research Goal

The famous French author of the constitutional law Jacques Cadart, defines the constitutional law as "an entirety of juridical norms through which the state mechanism is built," and through which the structure and the competences of the highest state bodies are determined. From the point of view of the author Owen Hood Phillips, the constitutional law implies an entirety of juridical norms, which are declared in the constitution. Thus, the constitutional law is the branch of law which refers to the constitution as a juridical act." Such definition of the constitutional law is unacceptable and unsustainable from the view of legal science, for two basic reasons.

First, because the other branches of law (not only the constitutional law), are related relatively - in a smaller or larger size, to the constitution as a juridical act. This is justified by the fact that the constitution establishes the contours and the basic juridical principles for all branches of law, where as an integral node, it joins together all branches of the law within the unique legal system;

Second, although the constitution is the main and most important formal source of the constitutional law, within the composition of which there are included and collected the cardinal juridical norms with the highest juridical force, through which the fundamental issues of social and state regulation of a state, it is not a full single unique and formal source of the constitutional law.

3.1 Juridical normative acts and constitutional amendments

This is substantiated by the fact that the social relationships that enter (are included in) the object of the constitutional law are regulated not only by the constitutional acts (the constitution, the constitutional law, the constitutional amendments, the constitutional annexes) as the most important fundamental formal sources of the constitutional law, but also partially they are regulated by other general juridical normative acts, such as: certain juridical acts, regulations for the work of certain state bodies (regulation for the work of parliaments, regulations for the work of governments, regulations for the work of the constitutional courts), the decrees with legal power, the acts of the autonomous political and territorial units and units of local government, the constitutional courts decisions, as formal sources of the constitutional law, with which the juridical - constitutional norms in the constitutional acts are completed and developed.

15 Dr. Nurko Pobriç, Ustavno pravo, Mostar, 2000, pg. 21.
16 The state mechanism, in its most general sense can be defined as a system of state bodies through which the state power is realised and the managerial role of the state in the society is ensured. The state mechanism consists of different bodies which differ from each other on the task they complete and the role they have in this mechanism. In the main parts of the state mechanism are included: the head of the state; government; administrative body; order force; and armed force. - cited by Dr. Dimitar Bajalxhiev, Voved vo pravoto – prva kniga, Shkup, 1999, pg. 325.
17 Dr. Nurko Pobriç, work cited, pg. 15.
19 The juridical act is defined as a technical – juridical instrument (means) for the creation, expression and implementation of the law. - cited by Dr. Dimitar Bajalxhiev, Voved vo pravoto – kniga vitora, Shkup, 1998, pg. 103. Related to the definition of the juridical act as a technical-juridical instrument (means): first for the creation and expression of the law, and second for the implementation" of the law it should be pointed out the fact that these two dimensions are not present in all juridical acts. For example, the constitution as the highest juridical act, act with the highest juridical power, it is not an act through which the law is implemented, but it is an act through which the law only is created. That because there does not exist any other juridical act above the constitution that it would have to execute.
One fair, logical and consistent conclusion that can be drawn about that, is that the juridical norms that the formal sources with the lowest juridical power compared to the constitutional acts contain, regulate matter of substantial juridical-constitutional nature (certain legal acts, regulations on the work of certain public bodies, such as regulations on the work of parliamentarians, regulations on the work of governments, regulations on the work of the constitutional courts, decrees with legal power, political acts of autonomous territorial units and units of local government, the constitutional court decisions), they are not authentic and primary in the regulation of the juridical-constitutional matter, but are derivative (the derivative), secondary and complementary in relation to legal norms which are in the constitutional acts, which are issued based on and for the implementation and application in practice of the juridical norms of the constitutional acts. Therefore, all these formal sources of the constitutional law (the constitution, the constitutional law, the constitutional amendments, the constitutional annexes, certain legal acts, regulations on the work of certain public bodies, decrees with legal power, acts of autonomous political-territorial units and local government units, the decisions of the constitutional courts) as a whole or together form the constitutional law as a branch of the positive internal law of a certain set. Therefore, rightly it is said that the notion the constitutional law as a branch of the law is a broader notion than the notion constitution as a juridical act.  

The constitutional law, as the basic branch of the juridical system of any modern state, as professor Alexander Gjurgjev expresses, "includes the juridical norms with the highest legal power, which, as a rule, are systematized and codified in the constitution as a written and codified legal act and which of importance is at the top of the hierarchy of general legal acts." By Gjurgjev's definition "it can be learned " that the notion of the constitutional law as a branch of the law "unifies or equates with the notion of the constitution (in the formal sense) as a juridical act, respectively the constitutional law as a branch of the law is identified with the legal norms in the constitution as a written and codified juridical act with the highest legal power within the framework of the positive juridical order of a certain state." In this case, it is drawn the attention that the constitutional law as a branch of the law does not fully comply with the juridical norms ratified and expressed in the constitution as a juridical act.

Moreover, to confuse or to take as synonymous the constitutional law as a branch of the law with the constitution as a legal act means to identify the exclusive juridical source in the constitution, so the alpha and omega juridical source of the constitutional law: such a definition is ungrounded and unstable even from the side of the juridical constitutional logic. In the most general sense, as a branch of the positive law of a certain state as professor, Kurtesh Saliu states, "the constitutional law implies the entirety of the juridical norms that have a constitutional value and importance, which regulate the fundamental and most important social and political relationships that deal with the political power and the ratio on the political power and which are formulated and codified in a unique juridical-political document (act) called the Constitution (or by any other name, but which has the character and the power of the highest juridical act in the state)."

4. Conclusions

In this case, it should be considered that only those juridical norms which enjoy absolute legal priority in relation to all other legal norms, have constitutional value and importance and as such, and, as such, they determine the form( shape ) of the state rule, the form of state regulation, the form of the political regime, the form of the organization of state power and the relationship among the legislative power, the executive-administrative power and the judicial power within it, and the juridical position of man and citizen in the state and society, which is expressed or manifested by guaranteeing and protecting the fundamental freedoms, rights and duties of man and citizen.

20 Dr. Jovan Stefanoviç, Ustavno pravo, Zagreb, 1956, pg. 5.
The junction (cross) of different viewpoints is preferred as the best and the most appropriate way to achieve the most rational definition. In accord with that, by crossing various views regarding the definition of the notion of the constitutional law is reached to "the integral definition" or "the comprehensive definition" of the constitutional law as follows:

The constitutional law, as a fundamental and special branch of the law within the framework of the positive juridical system of a certain state, represents the whole of the juridical norms with the highest juridical power, through which the fundamental social and political relations are regulated, the state organization is constituted, the basis of the social and political regulation of the state and the main principles of the constitutional order are set, the organization, the structure, the competences and the reciprocal relationships among the highest state bodies are regulated, including and their relationship with the citizens, there are defined the fundamental freedoms, rights and duties of man and citizen through which are established and determined the juridical boundaries of the state power, and also there are set the guarantees for their realization in practice.

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1 Dr. Esat Stavileci, Nocione dhe parime të administratës publike, Prishtinë, 2005, pg. 17.

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1 By the expression ‘people’ the science of the Constitutional Law means the entirety of the citizens of a certain state – cited by Dr. Xhezair Zaganjori, Demokracia dhe sheteti i së drejtës, Tiranë, 2002, pg. 32.

1 Veljko Mratović, Dr. Nikolla Filipović, Dr. Smiljko Sokol, Ustavno pravo i političke institucije, Zagreb, 1986, pg. 26.


1 Dr. Dhimo M. Dhima, E drejta kushtetuese e Republikës Popullore të shqipërisë, Tiranë, 1963, pg. 6.

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1 Related to the definition of the juridical act as a technical-juridical instrument( means): first for the ‘creation and expression’ of ‘the law’ and second for the ‘implementation’ of the ‘law’ it should be pointed out the fact that these two dimensions are not present in all juridical acts. For example the constitution as the highest juridical act, act with the highest juridical power, it is not an act through which the law is implemented, but it is an act through which the law only is created. That because there does not exist any other juridical act above the constitution that it would have to execute.

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1 In Albanian language to mark the constitutional law as an applicable juridical discipline, not rarely it is used the optional term, or the alternative expression “the constitutional law”. After the declaration of Albania as an independent and sovereign state on November the 28-th 1912, that discipline firstly was known as The fundamental law” (Kristo Floqi, E drejta themelore, Shkodër, 1920), while in 1920-1924 as “The constitutional law” (Stavro Vinjau, E drejta konstitucionale, Tiranë, 1923). – cited by Dr. Luan Omari, Dr. Aurela Anastasi, E drejta kushtetuese, Tiranë, 2008, pg. 10 – 11.
An Examination of the Usage of Vocabulary Retention Techniques (VRTs) of Thai Undergraduate EFL Students

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Abstract: This study aimed to 1) investigate the usage of vocabulary retention techniques (VRTs) of the second-year students at Bangkok University 2) compare the usage of vocabulary retention techniques (VRTs) between achievers and underachievers 3) compare the usage of vocabulary retention techniques (VRTs) of the second-year students who have different reading behavior outside of class. The instruments used for collecting data were a questionnaire and an in-depth interview. Proportional stratified random sampling was employed to formulate a sample of 364 students from nine faculties of Bangkok University. The data were statistically analyzed in terms of mean and standard deviation. t-Test analysis was used to find the difference between achievers and underachievers on the usage of vocabulary retention techniques (VRTs). In addition, One-way Analysis of Variance (ANOVA) and Welch test were used to compare the usage of vocabulary retention techniques (VRTs) of students with different reading behavior outside of class. For the in-depth interview, six underachievers and six achievers were randomized through a simple random sampling technique to give their opinions on the questions provided, and the data were collected to assure the results of the study. The results of this study showed that the overall usage of vocabulary retention techniques (VRTs) of Bangkok University students was at a medium level, and significant differences existed in vocabulary retention techniques (VRTs) usage between the achievers and underachievers and of the students with different reading behavior outside of class. The findings of this research would help the teachers to improve the process and material for teaching and learning vocabulary retention techniques (VRTs) and raise awareness of vocabulary retention techniques (VRTs) among the students in order to enhance the students’ lexical competence which can develop their reading comprehension. Pedagogical implications into teaching vocabulary retention techniques (VRTs) were suggested.

Keywords: Reading comprehension, vocabulary retention

1. Introduction

Vocabulary is now a current focus in ESL pedagogy and research and has been increasingly recognized as essential to language use because inadequate vocabulary can lead to the learners’ difficulty in language reception and production (Wei, 2007). Vocabulary knowledge is important because it encompasses all the words we must know to access our background knowledge, express our ideas, communicate effectively, and learn about new concept. Vocabulary is the glue that holds stories, ideas, and context together, making comprehension accessible for the readers. In addition, vocabulary knowledge is essential to reading comprehension and determines how well the readers will be able to comprehend the texts they read in middle and high school. If the readers do not know the meaning of a sufficient proportion of the words in the text, comprehension is impossible. Knowing at least 90 percent of the words enable the readers to get the main idea from the reading and guess correctly what many of unfamiliar words mean. In other words, the students will not be able to comprehend the text that has too many unfamiliar words more than 10 percent (Sedita, 2005). Likewise, Good and Cheng (2009) mentioned that reading comprehension is not successful because of the great unknown vocabularies that make it difficult or even impossible to get the main idea or specific detail of the text. Apart from the advantages to the language use, vocabulary knowledge was linked strongly to academic and professional success because the students who have a large amount of vocabularies can understand new ideas and concepts more quickly than the students with limited vocabularies. The high correlation in the research literature of vocabulary knowledge with reading
comprehension indicates that if the people do not adequately and steadily grow their vocabulary knowledge, reading comprehension will be affected (Chall & Jacobs, 2003 cited in Sedita, 2005; Beleghizadeh & Ashoori, 2010). In brief, vocabulary plays a vital role in language use, and academic and career advancement. As a result, a great deal of researches including empirical researches and theories about vocabulary learning and vocabulary acquisition to enhance vocabulary size which is directly linked to language use are in attention (Oxford, 1990; Nation, 2008; Wei, 2007; Good and Cheng, 2009). However, it is useless if the students learn a lot of words or possess a large number of vocabularies but they can’t remember or retain in their long-term memories. Wei (2007) stated that nowadays long-term retention has received wide attention as one of the greatest problems in learning new words. Quinn and Irvin’s (1997) mentioned that the hardest way to learn the new words is to try to memorize a list of unrelated words and their meanings. The students need not only learn a lot of words, but to remember them. Unlike the learning of grammar which is essentially a rule-based system, vocabulary knowledge is largely a question of accumulating individual item. The important point is that the students must be able to store and retrieve the vocabularies when they read for comprehension (Thornbury, 2008). Similarly, the inability to recall the known words adversely affects not only reading comprehension but also spoken and written discourse (Wei, 2007). Therefore, the problem of remembering a large number of vocabularies is common for the English learners around the world as well as Thai students.

In Thailand, Thai students including Bangkok University students naturally like to learn word list by rote for examination which will disappear from their memories very soon, so this vocabulary retention method is proved useless and unproductive. This problem can lead to poor score of English reading test because they will forget the learned words very soon since they can’t store and retrieve the words immediately (Folse, 2004). Moreover, there are several problems which make Thai students fail to learn new vocabularies which result in the inability to retain a large amount of new words in their long-term memories (Sribayak, Siriwanjanavong & Charoenchang, 2012). Here are the problems of Thai students.

1. They lack independent reading. That is, they do not like reading outside class, so they read less. The less the students read, the fewer the chances they encounter the new vocabularies.
2. They do not use context clues when reading. So, they can’t infer and guess the word meaning from context. Hence, they can’t unlock the meaning of the unfamiliar words and can’t get the gist of the text.
3. They always look up the words in a dictionary to find the meaning of difficult words immediately when they encounter them which will interrupt their reading comprehension. Besides, they do not use a monolingual dictionary (English-English dictionary), but they use the pocket or electronic dictionary that can be misleading.
4. When they look up the meanings of the new words in a dictionary, they do not pay attention to parts of speech, word origins, and example sentences. Consequently, they cannot use those words appropriately and they will disappear from their memories soon.
5. They ignore the pronunciations of the new words they learned. So, they mispronounce the words which obstruct the ability to remember the new words.
6. They do not repeat the learned words despite the repetition promotes the word retention. What’s more, they like to copy the vocabulary exercises from their friends, so they have no chance to repeat or recycle the learned words which will improve word retention.
7. They do not use the learned words to write the stories in their personal context.
8. They do not like independent study but they like being spoon-fed with the vocabulary knowledge and prefer the teachers to translate vocabulary.
9. They are usually overloaded with a large number of words each classroom time. This practice is not good because the words learned over spaced learning session were retained better than words that were learned in concentrated burst (Thornbury, 2008).

In order to solve the above-mentioned problems, Bangkok University teachers have educated the students about how to use vocabulary retention techniques abbreviated to VRTs in this research because they can help the students to store a large number of vocabularies in their long-term memories and recall or
retrieve to achieve reading comprehension (Oxford, 1990; Thornbury, 2008; Nation, I.S.P., 2008; Nemati, 2009). Furthermore, VRTs will make the students happy to learn a lot of words as they can keep those words in memory which can contribute to optimistic attitude and increased confidence in learning vocabulary. Oxford (1990) stated that long-term retention has received wide attention as one of the greatest problems in learning the new words. Vocabulary is by far the most sizable and unmanageable component in language learning, but VRTs help the students to cope with this difficulty.

Therefore, this research would like to investigate what VRTs and how frequently the students employ as well as whether or not different groups of students (achievers and underachievers) and the students’ reading behavior outside of class affect the usage of VRTs. The findings of this research will help the teachers to improve the process and material for teaching and learning VRTs usage and raise awareness about VRTs among the students in order to enhance the students’ lexical competence which can develop their reading comprehensions when they read the text or other reading materials in their university courses and future careers.

2. Definitions of Terms

2.1 Achievers refer to the second-year students at Bangkok University who got grade A, B+, and B in an intermediate English course of the academic year of 2011.

2.2 Underachievers refer to the second-year students at Bangkok University who got grade C+, C, D+, and D in an intermediate English course of the academic year of 2011.

2.3 Vocabulary retention techniques which are abbreviated to VRTs in this research refer to the techniques by which the students use to store vocabularies in long-term memory and recall or retrieve easily to achieve reading comprehension. In this research, 12 types of VRTs which Bangkok University students have already learned are based on (Nemati, 2009; Thornbury, 2008; Oxford, 1990; Lenier and Maker, 1984). The definition of each type is examined as follows:

1. Pronouncing the word correctly refers to figuring out the pronunciations of the new words and speaking aloud and consistently.
2. Using word study and context refers to remembering the new words or expressions from collocation, word family or derivation, idiom usage, breaking down the new words, and context where the words are located.
3. Checking etymology refers to checking word history and origin of word. For example, to remember that “draconian” means strict and severe, the students have to read the history of Draco who is a lawyer passing a strict and severe law. To remember that “concur” means agree or happen at the same time, the students have to check the origin of word saying that it is from Latin and consists of “con” or “com” meaning together and “cur” meaning run. So, “concur” means run together, agree, or happen together which are closely similar to agreeing or happening together.
4. Making visual picture refers to either mental or actual picture of what has been heard or read. For example, to remember “taciturn” which means speaking very little and unfriendly, the students have to create the picture of their friends who have this characteristic, and whenever they see this word, they will close their eyes and make a mental picture of those friends. Another example is that when the students want to remember “pinnacle” which means the highest point, they will close their eyes and think of the picture of the mountain especially its top.
5. Grouping and making acronym
5.1 Grouping refers to classifying words into categories in order to remember them easily. For instance, you group names of vehicles or tools as shown here.
5.2 Making acronym refers to joining the initial letters of each word in order to make a new word. For example, “boyfans” is an acronym created by joining the initial letters of the following words: but, or, yet, for, and, nor, so.

6. Mind map refers to creating a diagram in which the key concept (stated in word) is highlighted and linked with related concept via arrows or lines. Below is an example of mind map where the concept “hair” is mapped with its related concepts.

![Mind Map Example](image)

Source: Oxford (1990, p. 64)

7. Rhyming refers to linking the new words with other words which have very similar sounds. For example, the students rhyme “callow” with “shallow”, “eschew” with “shoo”, and “gigantic” with “titanic.”

8. Doing vocabulary exercises refers to doing the tests or exercises, which is equivalent to recycling the learned words in a different way from the time the students first met them, not in their original contexts. The tests or exercises include matching definition, filling in the blank, which word does not belong to, and prefix and suffix.

9. Placing new words into a personal context refers to writing the learned words and expressions the students are trying to remember in a sentence, paragraph or story relating to their lives and interests.

10. Word association refers to associating new words with the known or familiar words or with things, events, or concepts already in memory. For example, to remember that “microscopic” means small, the students could associate it with the known word “micro” which also means small, or when they want to remember that “mayhem” means chaos and confusion, they could associate it with Thailand’s uprising called “Bloody May” taking place in May, 1992 when chaos was widespread in Bangkok, killing many people.

11. Using keyword refers to connecting the pronunciation of the second language (English) with the meaning of the first language (Thai) plus generating an imagination. For example, the students connect the sound of the English word “condolence” with the meaning in Thai “CON-D0-L0M” which means that the condominium collapsed, and they further imagine that when the condominium collapsed, many victims will die and be injured, causing the great sorrow. Normally, people should offer the sympathy and sadness to the victims’
relatives, which is equivalent to the meaning of “condolence.” Another example is that the students connect
the sound of the English word “jeopardy” with the meaning in Thai “JEB-POR-DEE” which means at risk,
dangerous, and be destroyed. So, when something is in jeopardy, it means that it is at risk, dangerous, and
destroyed.
12. *Repeating and reviewing* refer to rehearsing and practicing the learned words by saying, listening,
speaking and writing several times over spaced intervals until the students reach the stage of automatic use.

3. Purposes of the Study

This study aims to:
1. investigate the usage of vocabulary retention techniques of the second-year students at Bangkok
   University.
2. compare the usage of vocabulary retention techniques between the achievers and underachievers.
3. compare the usage of vocabulary retention techniques of the second-year students who have different
   reading behavior outside of class (often, sometimes, and never).

4. Research Questions

1. What is the vocabulary retention techniques usage of Bangkok University students?
2. Do the achievers and underachievers have different vocabulary retention techniques usage?
3. Do the students with different reading behavior outside of class have different vocabulary retention
   techniques usage?

5. Literature Review

5.1 Types of Vocabulary Retention Techniques (VRTs)

Oxford (1990) suggested memory strategies, sometimes called mnemonics, which have a highly specific
function: helping the students store and retrieve new information when needed for communication. Eight
types of memory strategies are examined as follows:
1. *Grouping* refers to classifying language material into meaningful units, either mentally or in writing, to make
   the material easier to remember by reducing the number of discrete elements. Groups can be based on type
   of word (e.g., all nouns or verbs), topic (e.g., words about weather), linguistic function (e.g., apology, request,
   demand), and so on. The power of this strategy may be enhanced by using acronym to remember the
   groups.
2. *Associating / Elaborating* refers to relating new language information to concepts already in memory or
   linking the new word with one the students already know to create association in memory. The associations
   can be simple or complex, mundane or strange, but they must be meaningful to the students. For example,
   to remember that “erroneous” means mistaken, the students could associate it with the word “error” or to
   remember that “nonpartisan” means unconnected with a political party, they could associate it with the
   phrase “no party.”
3. *Placing new words into a context or retrieval* refers to placing a word or phrase in a meaningful sentence,
   conversation, or story in order to remember it. It is the best way of ensuring the new words will be added to
   long-term memory.
4. *Using imagery* refers to relating new language information to concepts in memory by means of meaningful
   visual imagery, either in the mind or in actual drawing.
5. *Semantic mapping* refers to making an arrangement of words into a picture, which has a key concept at
   the center or at the top linked with related words and concepts by means of lines and arrows.
6. **Using keyword** refers to remembering a new word by using auditory and visual links. The first step is to identify a familiar word in one’s own language that sounds like the new word—this is the “auditory link.” The second step is to generate an image of some relationship between the new word and a familiar one—this is the “visual link.” Both links must be meaningful to the students. For example, to learn the new French word *potage* (soup), the English speaker associates it with a pot and then pictures a pot full of *potage*. To use a keyword to remember something abstract, such as a name, associate it with the picture of something concrete that sounds like the new word. For example, Minnesota can be remembered by the image of a *mini soda*.

7. **Representing sounds in memory** refers to remembering new language information according to its sound, such as using rhyme to remember a word.

8. **Structured reviewing** refers to reviewing in carefully spaced intervals, at first close together and then more widely spaced apart. This strategy might start, for example, with a review 10 minutes after the initial learning, then 20 minutes later, an hour or two later, a day later, 2 days later, a week later, and so on.

In addition, Pickrell (2010), Thornbury (2008), and Lenier & Maker (1984) also proposed other techniques for vocabulary retention. Here is the definition of each technique:

1. **Repetition** refers to repeated rehearsal of the material. The important repetition is not rote learning but repetition of encounter with a word since it has been estimated that, when reading, words stand a good chance of being remembered if they have been met at least seven times over spaced intervals.

2. **Motivation** refers to the students’ wanting to learn new words and spend more time on rehearsal and practice, which in the end will pay off in terms of memory.

3. **Repeating new words out loud regularly** refers to taking the time to learn the pronunciation of certain words and practice saying them clearly with consistency. Repeat these words as often as possible and use them in a sentence to increase the retention skills.

4. **Practicing context** refers to practicing using words in the context or avoidance of learning fragments of word and phrase without context so that the students learn how to use the words correctly.

5. **Creating your own vocabulary list** refers to creating a list of words around a particular subject so that the students can learn them in context and practice using as often as possible in order to improve their rate of retention.

6. **Reading in the new language** refers to reading foreign newspaper, book, or magazine. Even if the students do not understand all of the words, they can pick out new words and look up their definitions as they go along. This will help them understand a lot of new words in context and also help them learn about sentence pattern and structure.

7. **Using flashcards** refers to putting the words on a flashcard by writing the word and its pronunciation on one side of the card, and writing the definition and a sentence using the word on the other side.

8. **Recycling** refers to doing the tests or exercises in which the students can encounter the learned words in a different way from the time they first met them, not in their original contexts. The tests or exercises include matching definition, filling in the blank, which word does not belong to, and prefix and suffix.

9. **Checking etymology** refers to checking word history and origin of word.

5.2 Related Researches on Vocabulary Retention Techniques (VRTs)

A number of related researches about the benefits of VRTs have been done. Some compare the advantages of VRTs while some experiment the benefits of a variety of VRTs. Two pieces of researches were done to compare the effect of 2 types of VRTs on students’ long-term memories. The first one was carried out by Baleghizadeh & Ashoori (2010) who compared the effect of keyword and word list method on immediate retention of English vocabulary in a natural classroom setting. The results showed that the keyword method produced better recall compared to word list method, suggesting a promising educational value for its utility. Secondly, Pishghadam & Khodadady (2010) did an action research to compare the impact of visual and
Verbal intelligence-based teaching on vocabulary retention and written production. Visual intelligence-based teaching is based on pictures, drawings, graphic symbols, and imaginations whereas verbal intelligence-based teaching is based on storytelling, brainstorming, tape recording, journal writing, and paper completion in traditional classroom. The subjects were 71 male and female Iranian EFL students. The results showed that the students’ retention of words in visual experimental group was enhanced by visual intelligence-based teaching of vocabularies, while the students’ retention of words in verbal experimental group was not. Moreover, the results of writing test exhibited that visual intelligence-based teaching of vocabularies could change the passive vocabulary knowledge of the visual experimental group into an active one.

In addition, the following researches have examined the usefulness of VRTs. Nemati (2009) examined the effect of teaching memory strategies consisting of grouping, making acronym, and using imagery in his study on experimental group in comparison to control group. The findings revealed that the students of experimental group outperformed both in short-term and long-term scores, portraying the superiority of memory strategies in short-term and long-term retention. Giving strategy awareness to the students can facilitate them to store and retrieve new vocabulary items as well. Another research which showed the benefit of vocabulary retention techniques was conducted by Baleghizadeh and Naeim (2011). They would like to explore the effect of etymology presentation of 30 low frequent words on short-term and long-term vocabulary retention of EFL learners. The participants were 30 students divided into experimental and control group. While both groups were asked to look up the meaning of the words in their dictionaries, the experimental group received a short instruction on the etymologies of the words. The results of both immediate and delayed posttests demonstrated the mnemonic efficacy of etymology presentation.

Semantic mapping is another vocabulary retention technique which Baleghizadeh and Naeim (2011) experimented in his research with a single-subject study: a 45-year-old male learner learning English at the pre-intermediate level. The results showed that the use of semantic mapping improved the learner’s ability to remember and recall the words and their definitions better. The last research involving utilizing e-mail as learning tool was conducted by Fahim and Motallebzadeh (2011). His study aimed to examine the effect of e-mail on vocabulary retention of Iranian EFL learners. Forty participants were assigned into experimental and control groups. The participants received English words as well as definitions and example sentences either on paper or through e-mail messages in a spaced and scheduled pattern of delivery three times a week throughout 10 sessions. The results showed that the use of e-mail technology can enhance the retention of vocabulary.

In conclusion, a number of researches conducted in different countries where English is taught as a foreign language showed that using a variety of VRTs, such as using keyword, using visual imagery, grouping, using acronym, checking etymology, and mind map are beneficial to the students’ word retention. Therefore, it is worth investigating Bangkok University students’ preference for VRTs usage and problems of using VRTs so that the teachers can effectively manage the teaching and learning vocabulary. As a result, the students will enjoy learning vocabularies which will bring about better word retention skill.

6. Research Methodology

6.1 Research Design

This research is a survey design. The population of this study was 3,762 second-year students enrolling in intermediate English course of the academic year of 2011 at Bangkok University, and 364 samples were selected from Stratified Random Sampling technique. The estimated sample size was based on Taro Yamane table. A 95% of confidence level was selected with a precision rate of ± 5%. In this study, the independent variables are two groups of the students (achievers and underachievers) and reading behavior outside of class while the dependent variable is VRTs usage.
6.2 Instrument

The instruments used for collecting data were a questionnaire and an in-depth interview. The questionnaire consists of two parts. The first part is about the respondent’s background and the second part is based on VRTs proposed by (Nemati, 2009; Thornbury, 2008; Oxford, 1990; Lenier and Maker, 1984). This part consists of 30 items in the form of Likert rating scales ranging from very frequently, frequently, sometimes, rarely, to never. The congruence index of the questionnaire was 0.8 and Cronbach’s Coefficient Alpha was used to calculate the reliability of the questionnaire. It was found that the reliability of this questionnaire was 0.95. Besides, the in-depth interview was conducted to elicit the further information about the usage of VRTs.

6.3 Data Analysis

6.3.1 Percentage was used to demonstrate the background information of the students and mean and standard deviation were employed to analyze the level of VRTs usage. The computed weighted means of VRTs usage were interpreted in the form of range as shown below.

<table>
<thead>
<tr>
<th>Mean range</th>
<th>Level of vocabulary retention techniques (VRTs) usage</th>
<th>Meaning</th>
</tr>
</thead>
<tbody>
<tr>
<td>4.50-5.00</td>
<td>very extensive</td>
<td>using VRTs with most frequency</td>
</tr>
<tr>
<td>3.50-4.49</td>
<td>extensive</td>
<td>using VRTs with much frequency</td>
</tr>
<tr>
<td>2.50-3.49</td>
<td>Medium</td>
<td>using VRTs with medium frequency</td>
</tr>
<tr>
<td>1.50-2.49</td>
<td>Little</td>
<td>using VRTs with little frequency</td>
</tr>
<tr>
<td>1.00-1.49</td>
<td>very little</td>
<td>using VRTs with very little frequency</td>
</tr>
</tbody>
</table>

6.3.2 A t-Test analysis was used to compare the mean scores of the opinions on VRTs usage of the achievers and underachievers.
6.3.3 One-way analysis of variance (ANOVA) or Welch test was employed to test the mean scores of the opinions on VRTs usage of the students who have different reading behavior outside of class. If there is a statistically significant difference, post hoc test method (Bonferroni for equal variance and Dunnett’s T3 for non-equal variance) will be used to compare each pair.

7. Result, Discussion, and Conclusion

This part will present the result, discussion, and conclusion of the research questions 1-3 as well as the result of the in-depth interview which will be used to assure the research findings. The results are shown as follows:

7.1 Result, Discussion and Conclusion of the Research Questions 1-3

Research Question 1: What is the vocabulary retention techniques (VRTs) usage of Bangkok University students?

Table 1: The result of the usage of VRTs by Bangkok University students

<table>
<thead>
<tr>
<th>Vocabulary Retention Techniques (VRTs)</th>
<th>$\bar{X}$</th>
<th>S.D.</th>
<th>Level</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Grouping and Making Acronym</td>
<td>3.35</td>
<td>.87</td>
<td>Medium</td>
</tr>
<tr>
<td>2. Word Association</td>
<td>3.33</td>
<td>.86</td>
<td>Medium</td>
</tr>
<tr>
<td>3. Pronouncing the word correctly</td>
<td>3.29</td>
<td>.82</td>
<td>Medium</td>
</tr>
</tbody>
</table>
Table 1 shows the result of VRTs usage of Bangkok University students and leads to the discussion and conclusion of the research question 1: What is the vocabulary retention techniques (VRTs) usage of Bangkok University students?

According to table 1, the overall usage of VRTs was ($\bar{X} = 3.21$) which could be interpreted that the students use all VRTs moderately. The three most frequently used VRTs were grouping and making acronym ($\bar{X} = 3.35$), word association ($\bar{X} = 3.33$), and pronouncing the word correctly ($\bar{X} = 3.29$) respectively. These items were at a medium level. However, the three least frequently used are checking etymology ($\bar{X} = 2.98$), placing new words into a personal context ($\bar{X} = 3.09$), using word study and context ($\bar{X} = 3.19$).

As stated in the result, the three VRTs which were used most by the students are discussed accordingly. The result is in line with Nemati (2009) claiming that the students preferred using grouping and making acronym because they act as the hooks to help the students to retrieve better in the long run. However, for the technique of grouping, the teacher should encourage the students’ awareness of using this technique because Oxford (1990) suggested that the arrangement things in order like grouping must be personally meaningful to the learners, otherwise the retention will be failed. Regarding word association, the students also realized the benefit of using this technique. However, the teacher should stimulate them to use it more often by encouraging them to actively construct links between new information and previously known information about a word because being active and cognizant of this process will result in better memory for the new words (Sedita, 2005). In terms of pronouncing the word correctly which was placed the third of VRTs usage, the students are on the right track because they realize that the knowledge of a word must include knowing not only how it is written, how it is used as a part of speech, but also how it sounds (Sedita, 2005). However, they should be encouraged to practice this technique continuously since if the students take time to learn the pronunciations of certain words and practice saying them clearly with consistency, it will increase their retention skills (Pickrell, 2010). Similarly, Thornbury (2008) proposed that the teacher should direct attention to the sounds of the new words particularly the way the words are stressed because the students can exploit the sound of the words to facilitate storage in memory. In order to improve the word pronunciation of the students, it is necessary to guide them to use English-English dictionary effectively. Since the students can’t tell the pronunciations of the words from their spelling, they have to look up the words in pronunciation guide in the dictionary. If they can pronounce a new word to themselves, they are more likely to remember it (Lenier and Maker, 1984). In addition, to remember the meaning of a new word, the teacher should tell the students to make the best use of the dictionary to reword the definition in their own words, to identify synonyms and antonyms for the word, to use the word in their own meaningful sentences, and to explore the meanings of the words when they are used in other contexts.

On the other hand, the three VRTs which the students used least are checking etymology, placing new word into a personal context, and using word study and context. The result was in line with Sribayak, Sirihanjanavong & Charoenchang (2012) who compiled the problems which make Thai students fail to learn the new vocabularies, resulting in the inability to retain a large amount of new words in their long-term memories. The result can be explained as follows:
1. Thai students lack independent reading. That is, they do not like reading outside of class, so they read less. The less the students read, the fewer the chances they encounter new vocabularies. In this case, checking etymology consumes time to read a long story, so the students do not prefer using this technique.

2. Thai students do not use the learned words to write the stories in their personal contexts, so they do not prefer using the technique of placing new word into a personal context.

3. Thai students do not use context clues when reading. So, they can't infer word meaning and can't guess the words from context. As a result, they can't unlock the meaning of the unfamiliar words and can't get the gist of the text.

According to the result, the students also prefer making visual picture because it is a simple and effective way to remember the words. The findings are in consistent with Oxford (1990) who confirmed the importance of using picture to aid memory for four reasons. First, a large proportion of learners have a preference for visual learning. Second, the mind's storage capacity for visual information exceeds its capacity for verbal material. Third, the most efficiently packaged chunks of information are transferred to long-term memory through visual images. Fourth, visual images may be the most potent device to aid recall of verbal material.

With regard to the technique of doing vocabulary exercises and of repeating and reviewing which are equal to vocabulary recycling. Thornbury (2008) proposed the idea of recycling which is the remedy against forgetting. He stated that spaced review of learned material can dramatically reduce the rate of forgetting, but it's not enough simply to repeat the words in their original contexts. Much better is to recycle them in different ways, and, ideally, at successive levels of depth. He suggested that if learners see or use a word in a way different from the way they first met, then better learning is achieved. Hence, in order to provide the students with an opportunity to recycle vocabulary, the teachers should review the vocabulary exercises after teaching reading passage because the students will re-encounter and repeat words in a way different from the way they first met them in a reading passage. As a result, they can retain vocabulary better.

For the techniques of grouping and making acronym, word association, mind-map, using keyword, and rhyming which need creativity and personalization, the teachers should encourage the students to realize that these VRTs must be self-generated or self-created, i.e. not borrowed from other learners or teachers. The students must be aware that these VRTs can be simple, complex, mundane, unusual, and silly in the eyes of others, but they must make sense and be meaningful to the students themselves because the students themselves not other who will use these techniques to remember vocabularies (Oxford, 1990; Thornbury, 2008).

In conclusion, based on the result and discussion of research question 1, it is recommended that the teachers should boost the students to integrate every vocabulary retention technique and use them interchangeably since there is no single technique which is regarded the best and works well. What's more, some VRTs have limitation, such as using keyword which cannot be applied with the abstract words, and it is difficult to think of keyword that sounds like foreign words. In such case, the students must use other VRTs to help retain vocabularies (Thornbury, 2008; Baleghizadeh & Ashoori, 2010).

Research Question 2: Do the achievers and underachievers have different vocabulary retention techniques usage?

Table 2: The result of vocabulary retention techniques usage between the achievers and underachievers

<table>
<thead>
<tr>
<th>Vocabulary Retention Techniques (VRTs)</th>
<th>Achievers</th>
<th>Underachievers</th>
<th>Statistical test</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>( \bar{X} )</td>
<td>S.D.</td>
<td>( \bar{X} )</td>
</tr>
<tr>
<td>1. Grouping and Making Acronym</td>
<td>3.53</td>
<td>.84</td>
<td>3.20</td>
</tr>
<tr>
<td>2. Word Association</td>
<td>3.58</td>
<td>.80</td>
<td>3.12</td>
</tr>
<tr>
<td>3. Pronouncing the word correctly</td>
<td>3.48</td>
<td>.76</td>
<td>3.12</td>
</tr>
<tr>
<td>4. Making Visual Picture</td>
<td>3.44</td>
<td>.89</td>
<td>3.12</td>
</tr>
</tbody>
</table>
Table 2 shows the result of VRTs usage between the achievers and underachievers and leads to the discussion and conclusion of the research question 2: Do the achievers and underachievers have different vocabulary retention techniques (VRTs) usage?

According to table 2, both achievers and underachievers had a medium level of VRTs usage, but the mean of the achievers was higher than that of the underachievers ($\bar{X}$ = 3.39 and 3.06 respectively). In terms of statistical test, it was also found that there was a statistically significant difference between the achievers and underachievers in the overall VRTs usage at the level of .05. Every technique had statistically significant difference except checking etymology. In short, both achievers and underachievers employed VRTs differently, and the former used VRTs more frequently than the latter. The possible explanation for this is that the achievers tended to set learning goal, so they tried to study hard every subject in order to acquire a good grade. For English subject taught at Bangkok University, especially reading part, the exam paper would require the students to summarize and give response from what they read. They knew that VRTs were the key factor to help them to understand the passage better, making them to be able to summarize and give response well. So, they paid more attention to practice using VRTs effectively so that they could accomplish the reading exam and get a good grade (Srichanyachon, 2006). In addition, the achievers are generally more motivated to learn English than the underachievers; consequently, they spend more time on rehearsal and practice using VRTs, which is the end will pay off in terms of memory (Thornbury, 2008).

When considering the usage of VRTs of the achievers, they frequently used the techniques of word association and pronouncing the words correctly. This also corresponds with Thornbury (2008) suggesting that the good vocabulary learners always pay attention to pronunciation (how the words are stressed) and association, and they know how to organize their own learning particularly using memorizing technique.

However, the three least used VRTs of both achievers and underachievers are checking etymology, placing new word into a personal context, and using word study and context. According to the in-depth interview, the students said that they don’t like these VRTs because they involve grammar and vocabulary rules and language pattern. Hence, the teachers should design the teaching of grammar and vocabulary rules to be entertaining and easy to understand, and motivate the students to adopt VRTs. To be more specific, first of all, as Lenier & Maker (1984) stated that taking time to read the etymology is important in vocabulary building and retention, the teachers should stimulate the students to realize the importance of the technique of checking etymology by having them prepare funny and interesting histories of words and the word origins. Then let them report in the classroom and share their ideas with their friends and teacher. By doing this constantly, they will gradually enjoy using this technique and use it more frequently. Next, the teachers should stimulate the students to use the learned words by having them write a paragraph or story linking the words and expressions they want to remember or having them write a diary in which they will note down the words concerning their daily lives. By doing this, the word retention skills will be increased (Thornbury, 2008). Lastly, the teachers should train the students to use context clue until they enjoy using it because when they read or encounter a word in context, they remember something about the word, and those words will be retained in their long-term memories (Sedita, 2005).

In conclusion, based on the result and discussion of research question 2, and the in-depth interview, it is recommended that the teachers should
1. teach vocabulary learning strategies including using word cards, guessing from context, and using dictionary to the students because they find them effective and enjoyable. Furthermore, vocabulary learning strategies help the students to enhance retention skill.

2. make words easy to learn because they are better retained. Also, they should emphasize the pronunciation because the studies show that the words that are difficult to pronounce are more difficult to learn (Lenier & Maker, 1984; Nation, 2008).

3. not overload the students with vocabulary in one time because the overloaded new words will overwrite the previously learned ones. That is, it is better to distribute memory work across a period of time than to mass it together in a single block. For example, when teaching the students with a new set of words, it is best to present the first two or three items, then go back and test these, then present some more, then backtrack again (Thornbury, 2008).

4. motivate especially the underachievers to use the following VRTs more often because when reading they must be able to use every technique interchangeably. Those VRTs are doing vocabulary exercises, using keyword, rhyming, using word study and context, placing new words into a personal context, and checking etymology.

Research Question 3: Do the students with different reading behavior outside of class have different vocabulary retention techniques (VRTs) usage?

Table 3: The result of vocabulary retention techniques (VRTs) usage by the students with different reading behavior outside of class

<table>
<thead>
<tr>
<th>Vocabulary Retention Techniques (VRTs)</th>
<th>Often</th>
<th>Sometimes</th>
<th>Never</th>
<th>Statistical test</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>(\bar{X})</td>
<td>S.D.</td>
<td>(\bar{X})</td>
<td>S.D.</td>
</tr>
<tr>
<td>1. Grouping and Making Acronym</td>
<td>3.64</td>
<td>1.02</td>
<td>3.37</td>
<td>.83</td>
</tr>
<tr>
<td>2. Word Association</td>
<td>3.76</td>
<td>.81</td>
<td>3.34</td>
<td>.85</td>
</tr>
<tr>
<td>3. Pronouncing the word correctly</td>
<td>3.75</td>
<td>.77</td>
<td>3.29</td>
<td>.79</td>
</tr>
<tr>
<td>4. Making Visual Picture</td>
<td>3.57</td>
<td>.94</td>
<td>3.28</td>
<td>.84</td>
</tr>
<tr>
<td>5. Repeating and Reviewing</td>
<td>3.70</td>
<td>1.02</td>
<td>3.26</td>
<td>.79</td>
</tr>
<tr>
<td>6. Doing Vocabulary Exercises</td>
<td>3.58</td>
<td>.84</td>
<td>3.26</td>
<td>.83</td>
</tr>
<tr>
<td>7. Mind Map</td>
<td>3.55</td>
<td>.97</td>
<td>3.25</td>
<td>.92</td>
</tr>
<tr>
<td>8. Using Keyword</td>
<td>3.65</td>
<td>.97</td>
<td>3.22</td>
<td>.84</td>
</tr>
<tr>
<td>9. Rhyming</td>
<td>3.70</td>
<td>.88</td>
<td>3.21</td>
<td>.84</td>
</tr>
<tr>
<td>10. Using Word Study and Context</td>
<td>3.48</td>
<td>.58</td>
<td>3.21</td>
<td>.70</td>
</tr>
<tr>
<td>11. Placing New Words into a Personal Context</td>
<td>3.35</td>
<td>1.06</td>
<td>3.12</td>
<td>.64</td>
</tr>
<tr>
<td>12. Checking Etymology</td>
<td>3.26</td>
<td>.78</td>
<td>2.99</td>
<td>.94</td>
</tr>
<tr>
<td>Total</td>
<td>3.55</td>
<td>1.05</td>
<td>3.23</td>
<td>.95</td>
</tr>
</tbody>
</table>

*Welch test*

Table 3 shows the result of VRTs usage of the students with different reading behavior outside of class and leads to the discussion and conclusion of the research question 3: Do the students with different reading behavior outside of class have different VRTs usage?

According to table 3, the students who (often, sometimes, and never) read outside of class had different level of VRTs usage. That is, the students who often read outside of class had an extensive level of VRTs usage (\(\bar{X}=3.55\)) while the students who sometimes and never read outside of class had a medium level of VRTs usage (\(\bar{X}=3.23\) and 2.68 respectively). The result, obtained from applying ANOVA, revealed that the students who had different reading behavior outside of class employed overall VRTs at the level of significance at .05. In short, reading behavior outside of class affects the usage of VRTs as the result showed
that the students who often read outside of class use VRTs more frequently than the students who sometimes and never read outside of class.

The findings proved that reading outside of class serves the students’ interests because they can choose their own books to read. When they read they have multiple exposures to words, so they can use words in daily life until those words become part of their every speech and thought. Every time they encounter a word in context, they develop VRTs and their long-term memories (Jacobus, 2001; Sedita 2005). Similarly, Thornbury (2008) and Harmer (2001) said that the students require repeated visits and conscious study of vocabularies, and much of this revisiting and studying of words will have to take place outside class time since there simply isn’t time enough in class for review and recycling. Much of outside reading of class will allow the students to choose material specially written for them; hence, it will improve their overall comprehension skill and enable them to read without constantly stopping. As a result, the automatic word recognition will be increased. Besides, Oxford (1990) suggested that the students must seek out or create opportunities to practice any and all of the four language skills. If the students want to reach moderate to high proficiency, classroom time cannot usually provide adequate practice opportunities. Therefore, they will need to find additional chances to practice the language and must realize it is up to them to search for these occasions.

In conclusion, according to the result and discussion of research question 3, it is recommended that the teachers should assign the students to read external reading materials every week, and they have to write a review or summary of what they read to communicate with the teachers. However, teachers have to let them choose the reading materials in which they are interested because if the students have an opportunity to select the books or topics they like, their reading comprehensions will be improved since they have learned to use a variety of VRTs by themselves automatically. As a result, the automatic word retention will be increased (Oxford, 1990; Harmer, 2001; Sedita, 2005).

7.2 Result of the In-depth Interview

The achievers gave their opinions that they realized the importance of VRTs which will help them to improve their reading comprehension and most of them use the technique of using word study and context because they believed that the vast majority of words could be learned and remembered from context. In addition, they often used word association especially they related the new words to the words they already know. On the other hand, the underachievers gave their opinions that they always used the technique of visual picture because they thought that a picture will help them remember the words easily and store them in long-term memory. However, they did not like the technique of using keyword because it was rather difficult due to complex steps, and they thought that it is useless to use this technique to remember the new words. In addition, they did not like VRTs involving grammar and vocabulary rules, such as using word study and context, placing new word into a personal context, and checking etymology.

References


Short and Long Run Relationship Between Value of Total Stock Exchange Transaction and Key Macroeconomic Variables in Nigeria. A Cointegration Approach

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Abstract: The study analyzed the short run and long run influenced of some macroeconomic variables on total stock transactions in the Nigerian stock exchange market. Unit root test (Augmented Dicker Fuller test) conducted on the data shows that all variables are integrated of order one. The short-run and long-run elasticities of total stock transaction with respect to some key macro-economic variables were determined using the techniques of co-integration and error correction estimation. The empirical results reveal that coefficients of industrial capacity utilization rate, domestic savings, external reserves, total value of import and lending rate of commercial Banks are significant in the long run. Whereas the coefficients of external debt, domestic savings, total import, per capita real GDP; industrial capacity utilization and index of agricultural production were significant in the short run. The result calls for a policy package that should focused on stabilization of the real and monetary policy variables in the Nigerian economy. Also, institutional and operational reforms in the country’s capital market are inevitable in a bit to increase the stock exchange market’s efficiency.

Key Words: Stock market, macroeconomic, total stock, short run, long run.

1. Introduction

Stock market transaction plays a vital role in stimulating economic activities in most developing economies through mobilization of fund to the real sector and in supporting government capital and deficit expenditures (Okereke, 2010). Basically stock exchange market serves as a channel through which surplus funds are moved from lender-savers to borrower-spenders who have shortage of funds (Black, 1988). It provides a platform for individuals, governments, firms and organizations to trade and invest in savings through the purchase of shares (Sule and Momoh, 2009). The Nigerian Stock Exchange was established in 1960 as the Lagos stock exchange; and later in December 1977 it became, The Nigerian Stock Exchange; with branches established in some of the major commercial cities of the country. It is a private, non-profit making organization, limited by guarantee and is incorporated through the inspiration and support of businessmen and the federal government of Nigeria.

Stock exchange market in Nigeria is seen as an emerging financial super power that is capable of spurring economic development and as a good complement to other financial institutions (Capasso, 2003 and NSE, 2008). A well developed stock market is expected to accelerate economic growth, by providing a boost to domestic savings and increasing the quality of investments (Singh, 1997). Stock markets therefore are able to optimistically influence economic growth through effective mobilization of savings amongst individuals, promoting capital formation, creating wider avenues of investment, providing financial resources for public and private purpose as well as fund for development purposes. In addition, it promotes corporate control, by improving financial discipline, which is expected to provide the best guarantee of efficiency in the use of assets.
Given the multifarious roles played by the stock market, its efficiency can only be strengthened by sound economic policies, strong financial resources and institutions, political stability and increasing self-reliance economies (Singh, 1999, NSE, 2008). The Nigeria’s economy is an emerging economy that is characterized by fluctuations in the key macroeconomic variables and this plays a major role in shaping the activities in the stock exchange market. Since the stock market is an integral part of the economic system, therefore understanding the relationship among individual components is a prerequisite to achieving the much needed economic development. Such knowledge will ensure that only significant policy variables are used to formulate intervention policy in areas of high priority in the economy such as the stock exchange market. Therefore, the study specifically sought to determine the statistical relationship between the value of the total stock transactions in the Nigerian stock exchange and some key macroeconomic variables.

2. Literature Review

It is believed that government policies and macroeconomic events have large influence on general economic activities including the stock market transaction. Bencivenga et al., (1996) equally maintain that the level of economic activities is affected by the stock market through its liquidity-creating ability. Chen et al. (1986) in the US show that changes in risk premiums, industrial production, and changes in the term structure positively correlate with the expected stock returns, while both the anticipated and unanticipated inflation rates negatively relate to the expected stock returns. Hamao (1988) shows that inflation rate significantly influenced Japanese stock returns. Mukherjee and Naka (1995) found that exchange rate positively relates to stock prices in Japan and Indonesia. On the contrary, Soenen and Hennigar (1988) reported that US dollar effective exchange rate negatively affect US stock market index during 1980 to 1986. Atje and Jovanovic (1993) and Levine and Zervos (1996) found a significant association between economic growth and the value of stock market for over forty countries in the period 1976 to 1993. Nishat and Shaheen, (2004) in Pakistan found a significant negative long-term equilibrium relationship between inflation and Stock Exchange Index. Industrial production however exhibited a positive influence on the stock exchange. Schwert (1981) in USA confirmed a negative relationship between stock prices and inflation.

Ologunde et al., (2006) in Nigeria found a positive relationship between the prevailing interest rate and stock market capitalization rate; and a negative correlation between the Government development stock rate and stock market capitalization rate. Kyereboah and Ayigire (2008) in Ghana found that the lending and inflation rates affect stock market performance. Mahmudul and Gazi (2009) discovered that interest rate exerts significant negative relationship with share price for markets in Australia, Bangladesh, Canada, Chile, Colombia, Germany, Italy, Jamaica, Japan, Malaysia, Mexico, Philippine, South Africa, Spain, and Venezuela. Wongbangpo and Sharma (2002) reported a negative long term linkage between stock prices and interest rates in Philippines, Singapore and Thailand. However, a positive relation was detected in Indonesia and Malaysia.

Khrawish1 et al., (2010) in Jordan shows a significant and positive relationship between government prevailing interest rate and stock market capitalization rate. The study also reveals that Government development stock rate exerts negative influence on stock market capitalization rate and the prevailing interest rate. Hsing (2011) in Hungary discovered that stock market index has a positive relationship with real GDP, the ratio of the government debt to GDP, the nominal effective exchange rate and the German stock market index, a negative relationship with the real interest rate, the expected inflation rate and the government bond yield in the euro area, and a quadratic relationship with real M2 money supply. Rahman et al., (2009) explores the interactions between selected macroeconomic variables and stock prices in Malaysia. The result shows that changes in Malaysian stock market index have stronger dynamic interaction with reserves and industrial production index as compared to money supply, interest rate, and exchange rate. Lijuan and Xu (2010) show that China’s stock prices are significantly affected by exchange rates, interest rates, macroeconomic prosperity index, consumer’s confidence index and the corporate goods price index.
Maysami et al., (2004) established that the Singapore’s stock market is significantly affected by changes in the short and long-term interest rates, industrial production, price levels, exchange rate and money supply.

3. Methodology

**Study area and data source:** The study was conducted in Nigeria; the country is situated on the Gulf of Guinea in the sub Saharan Africa. Data used in the study were from the Nigerian stock exchange annual reports account of various issues and the Central Bank of Nigeria (CBN); National Bureau of Statistics; Federal Ministry of Finance and Federal Ministry of Agriculture and Rural Development publications. The data covered the period 1970 to 2010.

4. Analytical Techniques

The cointegration and error correction models based on Engle and Granger two-step technique were used in the study. The total stock equation is specified as follows.

\[ STCK_t = \gamma_0 + \gamma_1 TIM_t + \gamma_2 EXR_t + \gamma_3 PGD_t + \gamma_4 ICUR_t + \gamma_5 DSA_t + \gamma_6 ICUR_t + \gamma_7 INTER_t + \gamma_8 IAP_t + \gamma_9 ERS_t + \varepsilon_t \]  

Where all variables are expressed in natural logarithm.

\[ STCK_t = \text{value of total stock in the Nigerian stock exchange market (₦m)} \]

\[ TIM_t = \text{real value of total imports (₦m)} \]

\[ EXR_t = \text{nominal exchange rate of ₦/}$ \]

\[ ICUR_t = \text{industry’s capacity utilization rate (%)} \]

\[ DSA_t = \text{domestic saving as a ratio of GDP} \]

\[ EXDT_t = \text{external debt as a ratio of GDP} \]

\[ INTER_t = \text{interest rate (lending rate) (%)} \]

\[ IAP_t = \text{index of agricultural production} \]

\[ ERS_t = \text{external reserves as a ratio of GDP} \]

\[ PGDP_t = \text{real per capita GDP (₦m/person)} \]

\[ Ut = \text{error term and } Ut \sim \text{IID (0, } \sigma^2) \]

5. Result and Discussion

**Unit root test for variables used in the analysis**

To ascertain the stationarity of the variables specified in the model, the standard Augmented Dickey – Fuller tests were performed. Test statistics for each variable in levels and first differences are presented in Tables 1. The test result reveals that at levels, all variables (in log) used in this study are non-stationary; but stationary at first difference and are therefore integrated of order 1 (i.e. 1 (1)). The result implies that the time series should be tested for the existence of a cointegration among variables.

**Table 1: Augmented Dicker Fuller Unit Test**

<table>
<thead>
<tr>
<th>Variables</th>
<th>Level</th>
<th>First difference</th>
<th>Order of integration</th>
</tr>
</thead>
<tbody>
<tr>
<td>LnTotal stock</td>
<td>-1.564</td>
<td>-7.538***</td>
<td>1(1)</td>
</tr>
<tr>
<td>LnSavings</td>
<td>-1.673</td>
<td>-5.651***</td>
<td>1(1)</td>
</tr>
<tr>
<td>LnExt. Debt</td>
<td>-0.988</td>
<td>-5.993***</td>
<td>1(1)</td>
</tr>
<tr>
<td>LnPCRGDP</td>
<td>-1.962</td>
<td>-6.038***</td>
<td>1(1)</td>
</tr>
<tr>
<td>LnICUR</td>
<td>-1.510</td>
<td>-4.912***</td>
<td>1(1)</td>
</tr>
<tr>
<td>LnExchange rate</td>
<td>-2.071</td>
<td>-5.055***</td>
<td>1(1)</td>
</tr>
<tr>
<td>LnExt. Reserves</td>
<td>-2.454</td>
<td>-6.472***</td>
<td>1(1)</td>
</tr>
<tr>
<td>LnValue of import</td>
<td>-1.966</td>
<td>-6.943***</td>
<td>1(1)</td>
</tr>
<tr>
<td>LnInterest R</td>
<td>-1.907</td>
<td>-8.717***</td>
<td>1(1)</td>
</tr>
<tr>
<td>LnIndex of Agric. P</td>
<td>-2.744</td>
<td>-6.504***</td>
<td>1(1)</td>
</tr>
<tr>
<td>Residual</td>
<td>-4.328**</td>
<td>-</td>
<td>0(0)</td>
</tr>
</tbody>
</table>

**Note:** At level, critical value at 5% = -3.52, and at 1% = -4.20; at first difference, critical value at 5% = -3.53 and at 1% = -4.21. Asterisk *** represents 1% significance level. Variables are as defined in equation (1). These tests were performed by including drift and a deterministic trend in the regressions.
6. Cointegration Test

The concept of cointegration as developed by Granger (1981) is based on the determination of the long-run relationships among non-stationary time series. Hence, prior to applying the standard procedure of the cointegration tests to any series, one technical condition must be fully satisfied. That is for the series in consideration, the variables must be integrated of the same order or non-stationary individually. Applying the two-step Engle and Granger technique, the first step is based on estimating the cointegration regression (i.e. equation 1) which is also the long run total stock value equation for the Nigerian stock market. To determine whether the variables are cointegrated is to test the null hypothesis of whether the estimated residuals \( e_t \) of the cointegration regression are integrated of order one \([I(1)]\), against the alternative that \( e_t \) is \([I(0)]\) by using the ADF test. The results of the cointegration regression and the stationarity tests for the residuals are presented in Table 1. The results show that at the 1% probability level of significance, the Engle–Granger cointegration tests reject the null hypothesis of no cointegration. Hence, there exists a long run equilibrium relationship between the value of the total stock and some key macroeconomic variables in Nigeria.

Table 2: Long-run estimates of macro-economic variables that influenced the value of Total stock transaction in the Nigerian stock exchange market

<table>
<thead>
<tr>
<th>Variables</th>
<th>Coefficient</th>
<th>Std. error</th>
<th>t-value</th>
</tr>
</thead>
<tbody>
<tr>
<td>Constant</td>
<td>-1.582</td>
<td>8.424</td>
<td>-0.19</td>
</tr>
<tr>
<td>LnDSAVt</td>
<td>1.544</td>
<td>0.606</td>
<td>2.55**</td>
</tr>
<tr>
<td>LnEXDTt</td>
<td>-0.137</td>
<td>0.173</td>
<td>-0.79</td>
</tr>
<tr>
<td>LnPGDPt</td>
<td>-0.039</td>
<td>0.402</td>
<td>-0.10</td>
</tr>
<tr>
<td>LnCURt</td>
<td>1.258</td>
<td>0.599</td>
<td>2.10**</td>
</tr>
<tr>
<td>LnEXRt</td>
<td>0.374</td>
<td>0.482</td>
<td>0.78</td>
</tr>
<tr>
<td>LnERSi</td>
<td>0.266</td>
<td>0.123</td>
<td>2.17**</td>
</tr>
<tr>
<td>LnTIMi</td>
<td>0.759</td>
<td>0.312</td>
<td>2.43**</td>
</tr>
<tr>
<td>LnINTERt</td>
<td>-1.366</td>
<td>0.787</td>
<td>1.74</td>
</tr>
<tr>
<td>LnAGPt</td>
<td>0.594</td>
<td>1.517</td>
<td>0.392</td>
</tr>
</tbody>
</table>

\( R^2 = 0.963 \)
\( Log\-\likelihood = -41.04 \)
\( DW\-\text{test} = 1.4 \)
\( F\-\text{statistic} = 89.7*** \)

Note: Asterisk *,**, and *** represent 10%, 5% and 1% significance levels respectively. Variables are as defined in equation (1).

7. Optimal lag- selection for variables

Before the final stage of the Engle–Granger cointegration two-step approach, the appropriate lag length limit must be chosen before the error correction model could be generated. This is done by using the information criteria such as (AIC) Akaike criterion, (BIC) Schwarz Bayesian criterion and (HQC) Hannan- Quinn criterion. The test result show that the maximum lag length appropriate for the specified variables is at the third lag indicated by the asterisks among the information criteria.

Table 3: Optimal lag length of variables used in the analysis

<table>
<thead>
<tr>
<th>Lags</th>
<th>loglike</th>
<th>p(LR)</th>
<th>AIC</th>
<th>BIS</th>
<th>HQC</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>-19.352</td>
<td>-</td>
<td>1.695</td>
<td>2.217</td>
<td>1.879</td>
</tr>
<tr>
<td>2</td>
<td>-18.675</td>
<td>0.245</td>
<td>1.723</td>
<td>2.278</td>
<td>1.912</td>
</tr>
<tr>
<td>3</td>
<td>-12.719</td>
<td>0.001</td>
<td>1.444 *</td>
<td>2.054 *</td>
<td>1.659 *</td>
</tr>
<tr>
<td>4</td>
<td>-12.328</td>
<td>0.036</td>
<td>1.477</td>
<td>2.130</td>
<td>1.707</td>
</tr>
</tbody>
</table>
8. Error Correction Model

The final step of the Engle–Granger cointegration two-step approach is the specification of the error correction model (ECM). According to Engle and Granger (1987), if two or more time series are cointegrated, then the relationship among them can be expressed as ECM (Granger Representation Theorem). Since the specified variables are found to be cointegrated then the dynamic ECM can be constructed taking into account the underlying cointegration properties of the variables. The prime purpose of building an ECM is to capture the dynamics in the total stock equation in the short-run and to identify the speed of adjustment as a response to departures from the long-run equilibrium. The general specification of the ECM to be estimated for the total stock transaction is as follows:

\[ \Delta STCK_t = \gamma_0 + \gamma_1 \Delta \ln TIM_{t-1} + \gamma_2 \Delta \ln EXR_{t-1} + \gamma_3 \Delta \ln PGDP_{t-1} + \gamma_4 \Delta \ln ICUR_{t-1} + \gamma_5 \Delta \ln DSA_{t-1} + \gamma_6 \Delta \ln EXDT_{t-1} + \gamma_7 \Delta \ln INTER_{t-1} + \gamma_8 \Delta \ln IAGP_{t-1} + \gamma_9 \Delta \ln ERS_{t-2} + \gamma_{10} \Delta STCK_{t-1} + \delta \text{ECM}_{t-1} + U_t \]  

The variables are as defined previously in equation (1) and the coefficient \( \delta \) of the ECM\(_{t-1} \) measures the deviations from the long-run equilibrium in period \( t-1 \). Theoretically, the coefficient of the error correction variable is expected to be negative and its magnitude will be between zero and one. The closer this coefficient is to one, the greater the adjustment speed in the existing disequilibria between the total stock transaction and key macroeconomic variables. In order to obtain a parsimonious dynamic ECM for the total stock equation, the study adopted Hendry’s (1995) approach in which an over parameterized model is initially estimated and then gradually reduced by eliminating insignificant lagged variables until a more interpretable and parsimonious model is obtained. The result of the exercise is presented in Tables 2.

**Table 4:** ECM estimates of the value of Total stock transaction equation in the Nigerian stock exchange market

<table>
<thead>
<tr>
<th>Variables</th>
<th>Coefficient</th>
<th>Std. error</th>
<th>t-value</th>
</tr>
</thead>
<tbody>
<tr>
<td>Constant</td>
<td>0.568</td>
<td>0.115</td>
<td>4.93***</td>
</tr>
<tr>
<td>( \Delta \ln TIM_{t-1} )</td>
<td>-0.182</td>
<td>0.146</td>
<td>-12.4</td>
</tr>
<tr>
<td>( \Delta \ln PCGDP_{t-1} )</td>
<td>-0.395</td>
<td>0.219</td>
<td>-1.80*</td>
</tr>
<tr>
<td>( \Delta \ln INTER_{t-1} )</td>
<td>-0.542</td>
<td>0.421</td>
<td>-1.29</td>
</tr>
<tr>
<td>( \Delta \ln EXR_{t-1} )</td>
<td>-0.486</td>
<td>0.272</td>
<td>-1.79*</td>
</tr>
<tr>
<td>( \Delta \ln EXDT_{t-1} )</td>
<td>0.208</td>
<td>0.290</td>
<td>0.715</td>
</tr>
<tr>
<td>( \Delta \ln DSA_{t-1} )</td>
<td>-0.239</td>
<td>0.099</td>
<td>-2.40**</td>
</tr>
<tr>
<td>( \Delta \ln ICUR_{t-1} )</td>
<td>-1.573</td>
<td>0.509</td>
<td>-3.11***</td>
</tr>
<tr>
<td>( \Delta \ln IAGP_{t-1} )</td>
<td>-1.413</td>
<td>0.669</td>
<td>-2.11**</td>
</tr>
<tr>
<td>( \Delta \ln ERS_{t-2} )</td>
<td>-2.356</td>
<td>1.042</td>
<td>-2.26**</td>
</tr>
<tr>
<td>ECM(_{t-1})</td>
<td>-0.280</td>
<td>0.121</td>
<td>-2.15**</td>
</tr>
</tbody>
</table>

\( \Sigma = 0.437 \)

\( F\)-statistic = 4.062***

Log-likelihood = -13.96

RESET test = 0.655**

\( DW\)-test = 2.3

\( R^2 = 0.651 \)

**Note:** Asterisk *, ** and *** represent 10%, 5% and 1% significance levels respectively. Variables are as defined in equation (1).

The coefficient of the error correction term has the expected negative signs and is statistically significant at 5% probability level. This supports the validity of a long-run equilibrium relationship among the variables in the total stock transaction equation, and also indicates that the total stock transactions are sensitive to the departure from their equilibrium value in the previous periods. The estimated parameter of the error correction term represents the speed of adjustment and also is consistent with the hypothesis of convergence towards the long-run equilibrium once the total stock equation is shocked. The estimated coefficient of \( ECM_{t-1} \) is –0.26 suggesting that in the absence of variation in the specified macroeconomic variables that about 26
percent of the discrepancy between actual and equilibrium value of the total stock transaction is corrected in each period. The diagnostic test for ECM models revealed the $R^2$ of 0.651 which implies that the specified explanatory variables explain about 65.1% of the adjusted total variations in the value of the total stock transaction. The F-statistic of 4.01 is significant at 1% probability level, indicating that the $R^2$ is significant and this shows that the equation has goodness of fit. The Durbin-Watson value of 2.3 indicates that autocorrelation is not a serious problem. Also, the RESET test is significant at 5% and this indicates that the equation is not mis-specified and that the assumption of linearity among variables is correct.

In the ECM model, the per capita real GDP (PCGDP) has a negative significant relationship with the value of the total stock. In the long run the relationship is not significant. The result means that PCGDP affects total stock significantly in the short run, but smoothen out in the long run. The PCGDP coefficient captures the impact of demand shock and shows that it increase causes decrease in the total stock transaction in the stock market.

The elasticity coefficient of total stock with respect to the value of total import is negative and significant at 10% in the short run but becomes positive and significant at 5% level in the long run. The result indicates that in the short run, increase in the import will retard total stock activities in the stock market, probably due to increasing demand for foreign exchange. The result further reveals that in the long run the situation reverses, as increase in total import increases the total stock transaction in the stock market. This might be linked to long run import contract, or increase in import demand imposed by improvement or growth in the economy. However, the impact of total import on the total stock demand measure by the magnitude of elasticity is greater in the long-run (0.759) than the short-run (0.486).

The coefficient of external debt has a significant (5%) negative inelastic relationship with the total value of stock in the short run. The relationship however becomes neutral in the long run. In the short run the result could be attributed to debt servicing policy of the government which could have hinder economic planning. The finding is against the report of Hsing (2011).

Increase in domestic savings has a strong significant (5%) negative elastic relationship in the short run and a significant (5%) positive elastic association in the long run with the value of total stock. This shows that domestic savings is a strong determinant of total stock transaction in the Nigerian stock market. In the short run, due to information asymmetry in the stock market, individuals may withhold their savings and refused to invest in shares. In the long run, as information becomes available to majority of investors; they will return to invest in the port folio share business in anticipation of higher interest rate. However, the impact of domestic savings is greater in the short run (1.573) than the long run (1.544).

The slope coefficient of industrial capacity utilization rate (ICUR) exhibited a positive correlation with the total value of stock both in the short run and long run models. This implies that as ICUR increases, the total stock transaction in the stock market increase. The result satisfies the *a priori* expectation, as increase in the industrial production will needs more financial capital which could easily be derived from the stock market. The magnitude of the influenced of ICUR is more significant in the short run (1.413) than the long run (1.258). The result corroborates the findings of Chen et al., (1986) in US; Shahen (2004) in Pakistan; and Rahman et al., (2009).

Index of agricultural production has a significant (5%) negative effect on the value of total stock in the short run; the relationship is insignificant in the long run. The result indicates that increase in agricultural production reduces the activities of the stock market in the short run. The reason for the result might be linked to the decreasing contribution of export based crops and large scale agriculture to the total agricultural production in the country. In Nigeria, more than 80% of agricultural production came from small-scale rural farmers who have limited accessed to formal credit sources.

In the short run the lending rate of commercial Banks has insignificant association with the total stock value. In the long run, the lending rate has a significant negative influenced on the total stock. The result is however against the *a priori* expectation. The reason for the result could be explained partly by the
insignificant growth rate in the lending rate regime during the pre-liberalization period and the concessionary lending rate offered by most commercial Banks to industrial loans.

The external reserve in the long run has a significant positive effect on the value of total stock in the Nigerian stock exchange market. The result implies that increase in the long run external reserve increases the value of total stock in the stock market. This could be explained by the fact that increase in the long run external reserve might stimulate international trade and increase economic activities in the domestic economy especially in the stock market.


The study determined significant macroeconomic variables that affect the total stock transaction in the Nigerian stock exchange market. Time series data were used in the study that covers the period 1970 to 2010. Augmented Dicker Fuller unit root test was conducted on the specified data and their stationary as well as the order of integration determined. The result of Augmented Dicker Fuller test confirmed the presence of co-integration among the specified variables indicating the existence of a long-run equilibrium relationship. The long run and ECM models for value of total stock transaction were estimated. The error correction term had the appropriate sign and was statistically significant indicating a quick convergence to equilibrium in each period, with intermediate adjustments captured by the differenced terms. This implies that some key macroeconomic factors are in operation to restore long-run equilibrium in the value of total stock following a short-run random disturbance. The empirical results for the long run total stock equation reveals that the industrial capacity utilization rate, domestic savings, external reserves and total value of import have significant positive relationship with the total stock transaction in the Nigerian stock exchange market. Whereas the lending rate of commercial Banks has a negative correlation with the total stock transaction. The ECM model indicates that the value of total stock transaction in the Nigerian stock exchange market in the short run decrease with increasing external debt, domestic savings, total import, per capita real GDP; industrial capacity utilization and index of agricultural production.

To maintain a robust stock market in Nigeria, the study advocates for a short and long term policy packages that should focused on stabilization of real and monetary policy variables in the Nigerian economy. Also, institutional and operational reforms in the country’s capital market are inevitable in a bit to further increase the subsector’s efficiency. Furthermore, policymakers in the stock exchange sub-sector can regulate the activities in the stock market and attain certain level of efficiency by monitoring the fluctuations in some key macroeconomic variables in the country.

References


Edgar Lawrence Doctorow; a Political Novelist?

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Abstract: Edgar Lawrence Doctorow is generally regarded as a postmodern historical novelist who mingles the marvelous with the real. His novels are mainly set in the American past. The novels are greatly indebted to historical events and personages but engagement with documentary history is not Doctorow's prime obsession. Critics are at odds in deciding upon the paradox in Doctorow's novels; whether he is a politically minded novelist or an aesthetically obsessed one. Acknowledging the strong political tendencies in Doctorow's novels, many critics claim his enthusiasm and passion for the act of writing finally outweighs the political inclination of the novels. Identifying Historigraphic metafiction as Doctorow's favorite and repeated technique in virtually all his novels, the present reading wishes to observe the novellas from a contrasting perspective.

Key words: historical novel; American past; political; aesthetics; historigraphic metafiction.

1. Introduction

Long celebrated for his vivid evocations of nineteenth and twentieth-century American life, Edgar Lawrence Doctorow's fiction spans across his country's history during the twentieth century. Doctorow is widely acclaimed for his talent of evoking the past in a way that makes it at once mysterious and familiar. Although much of his fiction focuses on historical fact, Doctorow has stated his preference to fuse the marvelous with the real.

Doctorow was born on January 6, 1931, New York City to David R. and Rose Lenin, second-generation Americans of Russian Jewish descent. His fiction returns again and again to life in New York City during the early twentieth century, with specific focus on Jewish identity.

Doctorow graduated from the Bronx High School of Science "an institution filled with insufferably brilliant children." As he has stated in his non-fiction book Reporting the Universe (2003), Doctorow published his first literary effort, The Beetle, a short story, in the school literary magazine, Dynamo, under the influence of Kafka (33). It was also in the same school where he experienced his "epiphany" in life "those moments of inexorable moral definition that predict a life, a fate" (34). His "life epiphany" provides insight not only into his future career as a writer, but also the basic themes and concepts he employs in his future writing; having been assigned by his high school journalism teacher to go out into the world and conduct an interview, the young Doctorow hands in an impressive interview with a German Jewish refugee, Karl, a concentration camp survivor, and a stage doorman at Carnegie Hall. The teacher is so impressed with the work that she decides to have it published in the school newspaper. However, after she demanded a picture of the doorman to go along with the interview, Doctorow reveals that there is no doorman and that he made up the entire story himself. (34, 35)

Doctorow then attended Kenyon College in Gambier, Ohio, in September 1948: a place he found to be "a real college", where he benefited from a first-rate faculty including John Crowe Ransom the poet and Phillip Blair Rice, the philosopher. It was also in the same college that Doctorow met the poet Robert Lowell and the
short story writer Peter Taylor. Doctorow studied poetry in classes taught by Ransom, which he found "a kind of isolationist approach to literary texts that would nevertheless turn out to be invaluable training for a budding writer" (43, 44). He graduated with honors in philosophy in 1952. His philosophical training can be traced in his novels, when he tries to suffuse serious ideas into popular genres such as the Western (Welcome to Hard Times), science fiction (Big as Life), and detective fiction (The Waterworks).

Doctorow studied drama at Columbia University from 1952-1953, where he met and married a fellow Columbia drama student, Helen Setzer in 1954 and later became the father of three children.

Doctorow worked as a reservations clerk at LaGuardia Airport for a time and later became a reader of scripts for CBS Television and Columbia Picture Industries. In 1959, Doctorow became the senior editor for the New American Library (NAL) and worked there until 1964, when he became editor in chief for Dial Press (Bloom, 9) and where he published works by a number of authors including James Baldwin, Norman Mailer, Ernest J. Gaines and William Kennedy.

He has also held teaching positions at Sarah Lawrence College, the Yale School of Drama, the University of Utah, the University of California and Princeton University. He has received honorary degrees from Brandeis University and Hobart and William Smith College. He is currently the Lewis and Loretta Glucksman Professor in American Letters of English at New York University.

1.1 The Novels

Doctorow has received the National Book Award, two National Book Critics Circle Awards, the PEN/Faulkner Award, and the Edith Wharton Citation for Fiction, the William Dean Howell Medal of the American Academy of Arts and Letters, and the presidentially conferred National Humanities Medal. With The Book of Daniel, his third novel, Doctorow emerged as an important American novelist with a strongly political bent.

Doctorow published his first novel almost "accidently" (Reporting the Universe 59), while he was a professional reader at a film company. On his return from service in the Army occupation of Germany, he decided to write and found he could not. During the late fifties, westerns were very popular and he was given a multitude of western stories to read. The job required him to prepare synopses for the film executives. He was on the verge of quitting the job when he concluded that he could lie about the West better than any of the authors he was reading. Without a plan and governed by the "impulse to parody"(60), Welcome to Hard Times evolved into a serious novel and his first work.

With Welcome to Hard Times and The Book of Daniel, Doctorow established a solid reputation, but the avid reviews of Ragtime and the subsequent film and Broadway musical adaptations of the novel secured his place in contemporary American culture. Ragtime won the National Book Critics Circle Award in 1976; World's Fair won the American Book Award in 1986; and Billy Bathgate—nearly as successful as Ragtime—won the 1990 National Book Critics Circle Award and the PEN/Faulkner Award for fiction the same year. Among the awards Doctorow has received for lifetime achievement are the 1996 Medal of Honor for Literature from the National Arts Club and the 1998 National Humanities Medal (Rollyson 374).

Doctorow has been a prolific writer, constantly expanding his fictional oeuvre. A brief survey of his novels reveals Doctorow's continuous interest in reconstructing history and contemplating the possibility of reflecting truth.

Doctorow has explored several genres of fiction: the western, science-fiction, and science-detection mystery. His novels are noted for their blending of fact and fiction, history and literature. Identifying with the downtrodden, immigrants, criminals, and political protesters, Doctorow has fashioned fiction with an ostensibly leftist orientation.

Doctorow focuses on stories, myths, public figures, and literary and historical forms that have shaped the American public and political consciousness. Even when his subject is not explicitly political—as in his first novel, Welcome to Hard Times—he chooses to comment upon the American sense of crime and justice. The western has often been the vehicle for the celebration of American individualism and morality, and yet
Doctorow purposely writes a novel in which he questions American faith in fairness and democracy. At the same time, he maintains the customary strong binary opposition between good and evil, between the “bad guys” and the “good guys,” by constructing a simple but compelling plot line. Almost all his novels take as their settings critical turning points in the history of the United States.

Though written in the tradition of the western, the historical significance of *Welcome to Hard Times* (1960), his first novel, is in its representation of “the end of the frontier of the late nineteenth century” (Jameson 20). In this novel Doctorow parodied the genre of the western; echoing classical western films. The novel is an intensely bleak counterpoint to the genre in which Blue, the novels’ narrator and historian, is obsessed with the possibility of recalling the town’s history impartially.

*The Book of Daniel* (1971) is set in the 60s but hearkens back to the earlier 30s, 40s and 50s, and attempts to capture the transitional phase from the Old Left to the New Left, concentrating on communism and radicalism.

Doctorow next explored the genre of science fiction in *Big As Life* (1966), a futuristic satire set in New York City, but Doctorow was never satisfied with the work, which is why the book is out of print and less debated on.

In 1972 he published *The Book of Daniel*, nominated for the National Book Award which established his reputation. The novel is a fictionalized biography of the Rosenberg case, narrated by the fictional son of the executed couple. Daniel, the novel's protagonist and narrator, is obsessed with his family history and the possibility of knowing the truth concerning his parents' ordeal.

*Ragtime* (1975) received the National Book Critics Circle Award for fiction and the American Academy and National Institute of Arts and Letters Award. The book depicts the early decades of the twentieth century, as historical and fictional characters and events intermingle, making it difficult to distinguish fact from fiction. *Ragtime* has been seen as a panorama of the first two decades of the twentieth century with a critical perusal of the Progressive Era.

The eighties appear to be the most prolific stage in Doctorow's writing career. *Loon Lake* (1980) portrays the Great Depression of the 1930s, accounting for the struggles and endeavors of the fragmented protagonist, Joe Patterson, who becomes the walking embodiment of the American dream gone astray.

*World's Fair* (1985), a quasi-autobiography, received the American Book Award in 1986. Overall, the novel is written in the tradition of a bildungsroman, laying more stress on the process of the mental development of Edgar, the young artist. However several instances in the novel once more evoke Doctorow's concern with illusion and reality, and the capability of the artist in manipulating the border between them.

In 1989, Doctorow published *Billy Bathgate*. Narrated by Billy, the novel depicts the recollection of his boyhood experience with notorious gangsters and their world. The novel appears to be more conventional than his earlier works. It received the National Book Critics Circle Award and the Pen Faulkner Award.

Doctorow sets *The Waterworks* (1994) within the historical context of William Marcy Tweed (1823-1878) at the height of his power in New York City. Though his earlier novels indict American capitalism and democracy one way or another, this novel is exceptional in that it attempts to subvert the regime of power. Unlike the bleak and sordid ending of the previous novels, this novel appears to end on a more optimistic note.

*The City of God*, published in 2000, suggests a renewed interest in philosophical studies. The narrator, who can be equated with Doctorow, is interested in contemporary issues including the debate between religion and science. Since this novel does not lay great stress on history, it has not been included in chapter two and three but is discussed in chapter four; it has been dealt with in detail due to its significant contribution to Doctorow's focal concern on the opposition between fact and fiction.

*The March* (2005) is a compellingly polyphonic novel, recapturing the spirit of General Sherman's great march South seen from the perspective of ex-slaves, union and rebel soldiers, southern citizens whose homes and plantations are destroyed by the army and even from the perspective of Sherman and his generals. The publication of *The March* established Doctorow as a master at portraying historical events,
while at the same time demonstrating the effect of history on the lives of everyday citizens. The book was awarded the National Book Critics Circle award for fiction and the PEN/Faulkner award.

In 2009 Homer and Langley, his most recent novel was published, and was named one of the best books of the year by The San Francisco Chronicle, The Chicago Tribune, The St Louis Post-Dispatch and The Kansas City Star and Booklist. Once again, the novel takes as its historical setting the Depression years, but here the focus is on the true story of two brothers, Homer and Langley.

2. Doctorow and the Critics

The fiction of Doctorow is most often observed by critics as a political and cultural critique of American culture and identity. In his fiction, critics have found searching and subversive questions concerning perceived national values. Fredrick Jameson regards Doctorow as a contemporary leftist American novelist who re-examines received ideas, transforming them under contemporary postmodernist narrative modes. Discussing Ragtime, and generalizing his comments to encompass Doctorow’s other works, Jameson, along with many other critics, asserts Doctorow as the quintessential postmodern novelist. Doctorow can only represent the past in such a way that reflects the present:

E. L. Doctorow is the epic poet of the disappearance of the American radical past, of the suppression of older traditions and moments of the American radical tradition: no one with left sympathies can read these splendid novels without a poignant distress that is an authentic way of confronting our own current political dilemmas in the present. (Jameson 23, 4)

Concurring with Linda Hutcheon on the political content and meaning of Ragtime, Jameson is willing to classify the novel as a postmodern practice;

The novel's action disperses the center of the first and moves the margins into the multiple "centers" of the narrative, in a formal allegory of the social demographics of urban America. In addition, there is an extended critique of American democratic ideals through the presentation of class conflict rooted in capitalist property and moneyed power. (Jameson 21)

While Jameson identifies Doctorow as a novelist whose "books are nourished with history in the more traditional sense," (20) he cannot help but acknowledge the "crisis in historicity" and the "disappearance of the historical referent" which reflect the untraditional nature of his writing. (23, 4)

Doctorow is cited as principally concerned with delineating the unjust and harsh aspects of the historical events as well as the system of governance of his country. To oppose what he views as unjust behavior in the history of his country, Doctorow endeavors to employ a style of writing which resists traditional modes of narrative construction.

Upon identifying postmodern modes of narration in his works, critics observe his writing as a form of resistance. Doctorow makes extensive use of parody, a technique widely said to be employed by writers entrenched in the postmodernist camp. Consequently, this creates an inevitable paradox; on the one hand there is the necessity to make extensive use of actual historical facts, on the other hand, such apparently factual documents must be transgressed. This dilemma demonstrates the paradoxical nature of postmodernist texts in their simultaneous rejection of and anxiety for a pattern and structure.

Commenting on the text of the Constitution in Reporting the Universe, Doctorow criticizes American culture from different perspectives, but what appears to lie at the heart of his assault, is the divergence from original "words written down on paper by ordinary mortals" (101). Doctorow is typically considered a leftist political writer concerned with the shadowy border between history and myth, as well as a writer who utilizes postmodern modes of narrative. At the heart of his narration,
as most critics have come to acknowledge, there lies a seemingly irresolvable tension and different critics have ventured to deal with this tension from different approaches.

While acknowledging the existence of political implications in Doctorow's fiction, citing from interviews and lectures by Doctorow, Carol Harter and James Thompson in their extensive research struggle to wring out from Doctorow's words an apolitical program for his writing, believing that Doctorow does not infuse his novels with political convictions. They emphasize Doctorow's statement on the accidental way each of his novels have been initiated. Quoting from an interview with Doctorow asking him whether he brings a preconceived notion to a novel's creation, Harter and Thompson are content with his answer:

Doctorow draws an interesting analogy: his manner of composition is not a terribly rational way to work, he admits: "it's hard to explain ... it's like driving a car at night. You never see further than your headlights, but you can make the whole trip that way. The novelist begins and, sometimes, ends in uncertainty." (6, 7)

The fundamental paradox in Doctorow, according to Harter and Thompson is that "the intensely held social convictions of the man inevitably collide with the imaginative realizations of the artist" (9).

Harter and Thompson are more inclined to interpret Doctorow as a writer obsessed with the power of art and writing, rather than discussing his politically leftist leanings and postmodern experimentalism. Harter and Thompson argue that even if in most of his fiction Doctorow portrays a world in which human life is tragically problematic at both the social and cosmic levels, "solace in perception and joy in creation"(11) are Doctorow's victorious achievements. Observing variety and downplaying politics in his fiction, Harter and Thompson perceive Doctorow's ability in redirecting the reader to a "complex reality", rather than obscuring it. Incapable of mastering the absurd world outside, Doctorow makes use of whatever artistic strategies he can invent to control it since "in an absurd world the understanding achieved through art is the only control possible for the writer, whatever the activist's belief might be" (12).

Harter and Thompson find in Doctorow variety and unevenness. No two books resemble each other in any overt way. The only common point between them, they observe, is an insistent obsession with the American past. However if this is what connects all the novels together, how can one neglect the political background which informs Doctorow's fiction? Surely, the aesthetic aspects of the novels require adequate attention, but if Doctorow simply intended to reflect upon the responsibility of the author to impose order and harmony through artistic creation, he did not need to return repeatedly to the history of the United States.

John G. Parks, whose critical overview of Doctorow was also among the first full-length studies on Doctorow's fiction, observes Doctorow's style as embodying both elements of "postmodernist experimentalist and traditional social realist" (11). Although Parks observes tensions in the novels, yet his ultimate inference observes the novels as coming to a teleological ending governed by happy endings, balance and success; "His work is rich and varied, not easily falling into the common classification applied by critics of contemporary American fiction. He is neither a postmodern experimentalist nor a traditional social realist, but his work has features of both." Parks' reading is heavily shadowed by his Bakhtinian approach to the texts, regarding the context of the novels as a locus in which divergent, peripheral and even conflicting voices are permitted temporary liberty. But the problem with Parks' approach is a key contradiction which surfaces from his own statements and generalizations.

Parks believes Doctorow is erroneously labeled a political novelist, because of his concern for social justice. The label, Parks believes, implies that Doctorow has a specific “agenda, a program, or an ideology to promulgate in fiction." Parks states that "Doctorow's politics do not function in systematic or programmatic ways in his fiction. As a critic of America’s failures to fulfill its dreams and founding convictions, he does not advocate new political systems, but rather provokes the reader to a radical reassessment of the American experience in essentially moral terms."(11)

The major problem with Parks is that while he rejects the existence of a pattern and system in Doctorow's fiction, he sets out to detect as many systematic principles as possible, producing the impression that Doctorow' novels do share commonalities. By attempting to recount a common thread of repeated themes
and motifs in his fiction, Parks draws out the specific historical background of Doctorow's novels. Through this, Parks contradicts his own statement rejecting a systematic pattern in Doctorow's fiction.

Parks observes a tension in Doctorow's political consciousness that he does not try to resolve. Like Harter and Thompson, he brings evidence from Doctorow's familiarity with radicalism in the family, reminding us that Doctorow's grandfather was an atheist. Parks also refers to contemporary views on the fluid nature of truth and the potentiality of fiction in conveying more truth than fact. Parks cites Foucault's famous lines on the impossibility of separating the power of truth from "regimes of power," bringing forth evidence from contemporary linguistics on the fluid nature of meaning. According to Foucault, since meaning cannot be pinned down via language, Doctorow's postmodern style of narrative benefits and helps the liberation of history from fact, replacing it with a fiction which embodies more truth. Foucault's project then, Parks believes, "describes well Doctorow's concerns in his fiction."(18)

One of the central concerns of the present research is to evaluate the extent which Doctorow pursues or has managed to succeed in this approach. Has he managed to detach history from fact? Is this supposed detachment his final objective? Do his novels ultimately reveal the impossibility of such a separation in American society with a capitalist system of governance? Hence one of the objectives of the present research is to challenge Parks' bold statement:

Thus, the narrative of fiction is the locus of battle, as it were, for freedom. It is the place, or rather, the process or event where the "regimes of power," as Michel Foucault says, may be challenged. The task of narrative is to disrupt or dismantle the prevailing "regimes of truth," including their repressive effects. As Foucault writes" it is not a matter of emancipating truth from every system of power (which would be a chimera, for truth is already power) but of detaching the power of truth from the forms of hegemony, social, economic, and cultural, within which it operates at the present time." Such a project describes well Doctorow's concerns in his fiction (18).

Parks embarks on Bakhtin's notion of polyphony in the novel as a means to subvert the regime from establishing a monological control over culture. Hence Bakhtin's theories help Parks defend his vision of Doctorow's fiction as instances of freedom from a monological regime since his novels are an embodiment of polyphonic voices, including the lives of individuals and families from different social classes, races and cultures. In his paper "The Politics of Polyphony: The Fiction of E. L. Doctorow", Parks compares Doctorow's novels with Hawthorne's historical romances, stating that Doctorow challenges the power of the regime with the power of freedom inherent in discourse and narrative:

Doctorow, as an artist, is committed to challenging the power of the regime with the power of freedom. The principal arena of that engagement is in discourse, in narrative, the range of discursive practices with their cluster of rules and codes which govern writing and thinking. The goal is to disclose and challenge the hegemony of enshrined or institutionalized discursive practices in order to make available new possibilities of thought and action. Doctorow's fiction shows a willingness to take risks, to counter the tendency of a culture to monopolize the compositions of truth with polyphonic and heteroglossic narratives. (460)

But to what extent has Doctorow managed to truly disrupt the regime from monopolizing the composition of truth and establishing a monological control over culture? Where does Doctorow locate the monopolizing regime of truth? Does he believe in the necessity of change? If so, where and why should this change take place? Does he support or reject the country's Founding Fathers' conception of how the country should be governed?

Michelle M. Tokarczyk ventures to demonstrate how Doctorow's fiction can oscillate between a passionately politically committed Jewish author and a writer who is highly skeptical of politics. The result is a
fiction which seems to be equally drawn to two sides: being politically committed and at the same time skeptical of political action and indeterminate. According to Tokarczyk, Doctorow has employed a variety of literary techniques and genres to represent his politically conscious mind, not only charging his fiction with political overtones but also influencing and provoking other political writing.

Tokarczyk sums up the major issues of Doctorow’s major novels as raising the question regarding the artist and social and political concerns, the possibility of progress and the meaning of being committed. Like many other critics, Tokarczyk also regards Doctorow as a postmodern writer, yet he does not believe Doctorow himself favors uncertainty. He asserts that Doctorow takes a detached stance regarding his relationship with his narrative. Though his novels are heavily political, Doctorow strives to maintain his detachment, refusing to boldly assert his political position and keeping a distance from political matters. Tokarczyk attempts to locate the reason for this distance in Doctorow’s preference for writing, rather than political issues, and even more significantly his belief in the impossibility of making a difference.

Tokarczyk identifies two major political trends in Doctorow’s time as being the major reasons for his detachment: the first was McCarthyism which resulted in the destruction of many lives by politicians, and second, Tokarczyk classifies Doctorow as belonging to “the so-called Silent Generation” (3). This was also a time during which news of Stalin’s atrocities and other revelations about Russian Communism which shattered the vision of some leftists that Communism embodied true democratic ideals.

Hence, Doctorow chose detachment and withdrawal from the political world and as a result Tokarczyk generally identifies Doctorow’s stance and vision as skeptical:

The postmodern vein in Doctorow’s fiction and in essays such as “False Documents,” widely commented upon, might be seen as a skeptic’s position— the belief that true knowledge or knowledge of a particular area is uncertain; hence, one adopts an attitude of doubt or disposition toward incredulity.”(4)

However, despite this skepticism towards certainty, Tokarczyk notes Doctorow’s desire towards certainty and his acknowledgement of the dangers of uncertainty. According to Tokarczyk Doctorow remains suspicious of definite answers and more importantly, of the possibility of knowing but he is also suspicious of "radical uncertainty and passionately committed to certain idea and causes" (4). His fiction, Tokarczyk believes, reflects the “trinity of oppression” (race, class and gender). It appears that Doctorow sympathizes with the weaker sides; those of low economic status, colored peoples and females implying an essential sense of justice.

Doctorow himself favors a detached speaker, one detached from official institutions, as he mentions “independent witnesses ... not connected to the defense of any institution, whether it be the family or the Pentagon or God” (Levine “Writer” 69). Tokarczyk sums up the central issues of Doctorow’s major novels as the question of the artist and social and political concerns, the possibility of progress and the meaning of being committed.(5)

On the whole, Tokarczyk observes a contradiction in Doctorow’s ideology which he does not strive to resolve. What position does Doctorow finally adhere to? Certainty or uncertainty? Dedication or indifference?

Broadly speaking, Doctorow’s stance towards the politics of his country is unclear; is he in favor of radicalism or is he a conservative? Some critics including Parks have been highly optimistic in observing Doctorow's fiction as entirely optimistic. Others such as Harter and Thompson have evaded the problem by suggesting Doctorow's artistic and aesthetic concerns as overriding his political intentions. Tokarczyk observes both Doctorow's skepticism and his commitment but cannot make a compromise between the two.

The present research intends to study Doctorow's novels to examine what the author believes to be the truly "radical" and "leftist" nature of the works. Does Doctorow finally subvert the dominant authorities/ideologies? Can his novels be regarded as instances of dissidence? Most of his novels apparently indict American capitalism by depicting how at crucial turning points in the history of the country, the system has failed. Does he fully believe in the failure of the system? Does he delineate a similar picture for the future
of his country? In order to answer the above questions and to contribute to this ongoing debate, the present research suggests observing Doctorow’s fiction under the light of metafiction.

Doctorow’s fiction is overtly self-reflexive. The narrators of all his novels deal with events that have happened in the past. Addressing the reader consciously, they continuously comment upon the act of writing and reconstructing history, involving the reader in their contemplations. Since self-reflexivity and rewriting history are two outstanding elements in all his novels, the questions mentioned above, dealing with historical and political matters, can be studied under the light of metafiction.

3. Metafiction: The Historical Background

The sixties was a time of intense disillusionment and startling recognition for the American nation. A combination of political and social factors in the 1960s in the US led to what is commonly called a spirit of “regeneration.” The presidency of John F.Kennedy had at first sparked rays of hope in the hearts of numerous Americans who voted for him. However, the war in Vietnam and widespread protests against it, the advent of the civil rights movement and the rise of black power and an alarming increase in violent murder and gun crime throughout the decade, all helped to bring about the rise of a counter-culture which had already began with the Beat Movement of the 1950s, and generally developed into a disbelief and distrust of authority and official power. As noted by Bran Nicol:

The pervasiveness of corruption, violence, scandal, and cover-up in American politics, exemplified by the assassinations of John Kennedy, and his brother Robert and the civil rights campaigner Martin Luther King, and the Watergate scandal which brought down the by-then President Nixon in 1973, convinced cultural figures in America that reality, even history, was not transparent, but a kind of ‘front’ for the real story which was unfolding behind the scenes. (74)

The result of this disillusionment with the political and social matters of their country greatly influenced fiction writers of the time and has been recaptured in both popular and serious art. Metafiction was then used as a means through which previously cherished American beliefs, traditions, values and myths were deconstructed. The forceful impact of this disillusionment resulted in the transformation of political matters into literary ones and writers employed parody to challenge whatever had previously pertained to reflecting reality and truth in American history and culture.

Although metafiction had already been employed by earlier writers across the world, at this point in the history of America it became an appropriate technique for translating social and political matters into literary ones. In Twentieth-century American Novel (2005), John Whitley traces the new themes of the American novel, reflecting its necessary political nature in the 60s and 70s. Whitley provides examples of novelists including Doctorow, who wrote with a conscious awareness of the necessity to intermingle fact and fiction, which was made easier through the development of the term metafiction. Authors who decided to exploit this technique permitted themselves to question the nature of reality. Unsurprisingly, this was an immediate response to the spirit of the age:

The determination to explore fictionality in the 1960s, Nicol believes, was motivated by a sense that everyday reality was always already fictionalized, either because of its sheer absurdity, or by the power of the media in shaping it and presenting it to the viewer, or because it was being actively manipulated by unseen hands (75).

However, by employing this technique, writers did not all share the same view point. The writers of this tradition of American literature can be roughly divided into two broad groups; those who as Patricia Waugh put it practiced "aleatory art" (12): a totally random art, which its practitioners believed to be the best way to
reflect the chaotic, frenetic and frenzied contemporary world. Outstanding literary figures that practiced aleatory art include William H. Gass, Robert Coover, John Barth, and Donald Barthelme, who produced fiction which was principally about fiction itself with no extrinsic reference to the outside world. Authors writing in this tradition produced fiction within fiction; endless tales and tales within tales. As an instance of such innovative metafictional work, William H. Gass’s *Willie Master’s Lonesome Wife* (1968) makes use of a variety of visual devices including different colors for different sections of the book rather than pagination, different typefaces, coffee stains, and a variety of other innovative techniques to draw the attention of the reader to the text and language.

The second group of metafictional writers consists of those whose works are initially bound to conventions. Such writers will not, like practitioners of aleatory art, pull the rug out from under their readers’ feet by engaging in innovation straightaway. Rather, authors of this camp use familiar themes and conventions but then abuse them for the sake of innovation. By laying bare the device of composing fiction and the truths of the fictional world, these writers intend to *deconstruct* the truths which has structured the real world (Waugh 12).

Lyotard's assumption that narratives can never be natural or innocent in representing reality and that they are partial, selective and relative reflects the approach taken by postmodern critics and writers toward narrative. One of the grounds of attack directed towards "realist" modes of writing which postmodernists strive to debunk is the illusion that writers, writing in the realist tradition, strive to show their narratives unfold naturally and effortlessly. By shattering this illusion, postmodernists, including the practitioners of metafiction, wish to show how narratives are constructs which the authors build and are therefore partial, selective and relative. The technique they employ to communicate this point is a self-reflexive method which continually disrupts the traditional progression of the narrative, to draw the attention of the reader to the act of composition itself.

Metafiction is the most distinctive characteristic of postmodernist fiction, to the extent that Linda Hutcheon, the Canadian critic, regards postmodernism and metafiction as identical (301). Metafiction reminds the reader that what he is reading is fiction, and that narrative is made up of words which do not reflect the outside world, but are related to other texts.

Metafiction may not seem a novel technique, as many early texts can be found which draw attention to their fictive quality. Patricia Waugh has clarified that as a postmodernist technique, what is important in metafiction is what it does through uncovering the fictional status of the narrative, it signals to the reader the constructed, mediated and discursive nature of the external world. Unlike realist and modernist writings, metafictional works do not pretend to provide the reader with insight into the real world. Postmodernist fiction reminds us that the fictional world is not a simple and stable world, and that narratives are loaded with functionality.

Patricia Waugh and Linda Hutcheon are two important figures who have attempted to establish a "poetics of postmodernism". These two theorists have had the most significant impact upon the theories of postmodernism in fiction. While providing instances of how postmodernist fiction works and what is distinctive of post-war writings, Waugh and Hutcheon do not confine their practice to the fiction of this era. According to these two critics, postmodernist fiction does not do anything that fiction has not done before. The only perceptible difference is that certain elements receive more attention.

The irony Hutcheon observes in postmodernist fiction is therefore, not new. It has been inherent in earlier fiction as far back as in the works of Shakespeare. The irony is the simultaneous existence of the conformation to norms and traditions and a desire to shatter and rebel against them. Only by looking back at norms and stable traditions can postmodernism be successful in breaking them. This irony which is not unique to postmodern art is now "obsessively recurring" ( *A Poetics of Postmodernism* xi) in contemporary art, which is what makes it different from previous works. Contemporary art is simultaneously referential when looking back to realist traditions and self-reflexive by shattering the very same traditions. Patricia Waugh had also proposed that in order for the metafictional narrative to be accepted by readers, they must
begin from a familiar plane and then move on to a new, unfamiliar terrain; “The forms and language of what is offered to it as creative or experimental fiction should not be so unfamiliar as to be entirely beyond the given modes of communication, or such fiction will be rejected as simply not worth the reading effort. There has to be some level of familiarity”(64).

For Hutcheon, postmodern art combines both theory and practice. She regards postmodernist fiction as an aesthetic object which both amuses us and makes us ponder about what we are deriving pleasure from. This aspect of her theory is clarified when she describes “historiographic metafiction” (A Poetics of Postmodernism 106). According to Hutcheon, postmodernism could not have existed without modernism. It neither totally accepts nor totally rejects realism. Hutcheon observes the ideology of postmodernism as paradoxical because it both relies upon and contests that which it derives from.

3.1 Recognizing Frames in Fiction

The effect of metafiction is principally to draw attention to the frames involved in fiction, which are frequently concealed by realism. According to Waugh, frames have become invisible in realist writing. Framing means that the author has already decided upon the material and the perspective of his/her narration. A practical example of frames in art is the actual frame of a realist painting of a landscape. The first function of the frame is to show the reader what is presented in the painting. But the frame also functions to limit the amount of landscape we are permitted to observe. Applying the same to the world of fiction, we can infer then that what we see in both the painting and the world of fiction is only a small portion of a wider spectrum. Therefore framing is not totally objective but it is a technique which permits the author selection, preference, and privilege. Therefore any narrative will necessarily involve some degree of framing.

The significance of recognizing framing in fiction is that it makes us realize what we see in the fictional work is there because we have been permitted to see it by the author. In order to make this possible, the author has employed artificial devices or techniques. The reason why artificiality is emphasized is to set it against the realist tradition which claimed to provide a naturally realistic picture of the world and life. In fiction, the frame is the narration of the text which provides a portal for the reader to enter the world of fiction, making the fictional world of the author accessible to the real world of the reader.

3.2 Frame-breaking

Recognizing frames in fiction is not the end in metafiction. What metafictional narrative strives toward is to perceive the way such frames function in fiction;

Contemporary metafiction, in particular, foregrounds ‘framing’ as a problem, examining frame procedures in the construction of the real world and of novels. The first problem it poses, of course, is: what is a ‘frame’? What is the ‘frame’ that separates reality from ‘fiction’? Is it more than the front and back covers of a book, the rising and lowering of a curtain, the title and ‘The End’?” (Waugh 28)

Waugh cites from the sociologist Erving Goffman the notion of frame-breaking where the frames which traditionally construct narrative are dismantled and shattered. The most outstanding instance of this frame-breaking is when the author intrudes upon his own fiction, moving from the external world of the author to the internal world of fiction or vice versa.

Frame-breaking thus involves laying bare the devices of composing fiction. Since all fiction have been constructed via frames, frame-breaking is not unique to postmodernism and can be observed not only in seventeenth and eighteenth century fiction, but in modernism as well. Two outstanding pre nineteenth-century novels worth mentioning for the metafictional parody are Miguel de Cervantes’s Don Quixote (1605; 1615) and Laurence Sterne’s novel The Life and Opinions of Tristram Shandy (1759–67)
In *Don Quixote*, narrative strategies such as digressions, references to other works by the author (Cervantes) and the developing story, discussions of characters within the narrative about rules and traditions of writing fiction, all draw attention to the narrative frames which have made the story possible for the reader. In *Tristram Shandy*, the narrator continuously disrupts the chronological progression of events of the hero's life-story.

Writing at a time when the novel had not yet fully developed as a genre, the two novels employ parody. Both novels do what metafiction in postmodernism later did; drawing the reader’s attention to the difficulty of representing reality in fiction and the unnaturalness of narrative progression in a chronological manner. If metafiction as an unraveling strategy in the novel had been employed even before the genre had properly begun, how can we consider it as the distinctive feature of postmodernist fiction?

Waugh provides an adequate response to this problem. If metafiction lays bare the traditional norms of fiction writing in the postmodern novel, the aim is to make the reader ponder not only about the aesthetic aspect of metafiction, which is the process of constructing fiction, but also involves the theoretical part which means that the external world, the world the reader inhabits is also composed of frames and similar composing elements and that discursive frames construct the realities we live by.

Waugh demonstrates that what some critics have come to regard as the "playfulness" of metafiction in narrative is not to mark the end of the novel but is in fact an approach which strives to delineate the history of the novel. It makes more sense to observe metafiction as not merely playing with the possibilities of self-conscious fiction for its own sake, with specific regards for the historical setting of the technique in the US, but rather to observe it as Nicol does:

to see the turn to innovative non-realist techniques as the result not of a kind of private domestic battle kept within the family of literature but the literary contribution – albeit a rather displaced, esoteric, one – to the widespread counter-cultural conviction that social reality was becoming disturbingly fictional. (75)

4. The Postmodern historical novel

According to Linda Hutcheon, in the postmodern historical novel we can observe the return of plot and the question of reference. Unlike earlier metafictional narratives in which plot was no longer a composing element of the story (such as Barths’ *Lost in the Funhouse*-1968- and Coover’s *Descant*-1969), postmodern historical fiction, which Hutcheon terms as "historiographic metafiction" still contains many of the traditional elements of novels written in the manner of nineteenth-century realism. Since historiographic metafiction makes use of many of the traditional realist elements, it has enjoyed a wider spectrum of readership, and has become the "accepted face of postmodernism". It makes use of both realism and postmodernism: "work of ‘historiographic metafiction’ (her label for postmodern historical fiction) is still committed to telling a long and involving story, full of believable characters, which can be enjoyed by the reader in the manner of nineteenth century realism" (Nicol 99).

Metafiction is a self-conscious fiction which reminds us that fiction is a construction, so that we realize the reality we live by is also a similar construction. Historiographic metafiction makes us realize that history is also a construction, and does not necessarily equate with the past, just as reality does not equate to truth. Like narration, history is built from documents and other material which are themselves narratives about the past.

The "accessibility" of historiographic fiction (Nicol 98) has made it difficult for contemporary critics to place this branch of narrative alongside other postmodern fiction; the realism which permits readers to enjoy the narrative, brings it closer to early nineteenth-century histories. As mentioned before, self-reflexive historical fiction is a strong characteristic of the 1960s postmodern fiction. Nineteenth-century historical novels sought to provide the reader with a real picture of the life at the times. As Hutcheon and Hayden White have mentioned, during the nineteenth century, history and fiction were not distinct, because fiction, heavily influenced by realistic modes and principles, was supposed to give a realistic picture of life, therefore fiction had the same status as history.
Postmodernism also posits the equation between the two, stating that history is dependent upon fiction; without fiction history could not exist. According to Nicol, historiography claims to be a science, one that can analyze its object of study impersonally, and objectively. The problem according to Hayden White is that it finally ends up producing a narrative which means the approach fails both at the theoretical and methodological level. "A discipline that produces narrative accounts of its subject matter as an end in itself", he contends, "seems methodologically unsound; one that investigates its data in the interest of telling a story about them appears theoretically deficient (White 1). In other words, the author ends up focusing on the story, rather than facts. As the examples from Doctorow's fiction will prove, while the author employs postmodernist and metafictional techniques, the realist tradition of focusing on the story (content) of his narrative receives greater force than the postmodernist indulgence with the process of storytelling (form).

The historian and the fiction writer can never be impersonal. Both make selections and preferences which they then impose upon the reader to accept. Historiography calls attention to the very frames through which history has been constructed and attempts to break them. History as a thing of the past really did exist, but our only access to it is through documents and texts whether written, oral, or even pictorial. Since history itself as Fredrick Jameson has mentioned is "... not a text, for it is fundamentally non-narrative and non-representational," (Jameson 82) our conception of history can never be accurate and complete. The technique historiographic metafiction provides is to shatter what is believed to be the illusion that history can be recaptured accurately within texts, be they factual or fictive.

5. Historiographic Metafiction

Historiographic metafiction strives to uncover the alleged unbridgeable gap between real history and the fictional representation of history. History is constructed in texts via language and as structuralists have demonstrated, language does not mimic the real world, but is governed by its own structures and rules and only attempts to give a theoretical version of the world.

According to Hutcheon, historiographic metafiction is the same as postmodernism. McHale criticizes Hutcheon for this, however, and demonstrates how Hutcheon's anxiety for grand narratives finally entraps her. The double side to Hutcheon's theory is that historiography is at once real and fictional. According to Hutcheon, the reader is permitted freedom of interpretation but this freedom is only possible once there is a firm ground from which to move. So metafiction must primarily employ realism according to Waugh; "In metafiction it is precisely the fulfillment as well as the non-fulfillment of generic expectations that provides both familiarity and the starting point for innovation"(64). This is what creates the openness of such texts, in contrast to earlier closed versions of historiography. This opening up, according to Hutcheon, is what makes history political because history then becomes an open concept rather than a closed, teleological entity (110). What historiographic metafiction does in the end is not just playful parody, poking fun at history. It reminds us of the presence of history in our own lives, how we are the products of that history. Its ultimate objective is to make us ponder over how we are affected by history, and how we know what we know about the past.

As a political instrument, metafiction works by altering and heightening the consciousness of the individual reader. By both displaying the constructedness of the reader's vision of social reality and allowing the reader to participate in the construction of an alternative fictional reality, metafiction attempts to debunk the social ideologies that inform the reader's conception of society and offer the reader the opportunity to liberate himself from them. In addition, this expansion of the reader's conception of the world and his place within it put him in a position to make more informed decisions about how he should think and act. The problem is that being informed involves history and history is only a narrative.

The works of Robert Scholes, Hutcheon, and Waugh have effectively defended metafiction against the accusation that it is a frivolous and self-indulgent exercise in art for art's sake. They have laid the groundwork for a political study of metafiction, locating the potential political viability of metafiction in its capacity to force the reader to confront and examine the constructedness of his own experience of reality.
5.1 Doctorow and Metafiction

Since history and fiction are the two major poles of his work, the link between the history of the United States during the specific years he sets his novels and the postmodern narrative style he employs require thoughtful consideration. Though Doctorow attempts to deconstruct the history of his country by obscuring the border between fact and fiction, his works appear to fall prey to a dominant pattern.

Doctorow employs self-conscious narrators who are obsessed with knowing the truth through recounting incidents of their past lives and simultaneously through their writing. Since both cases require a construction on behalf of a necessarily partial and subjective speaker/narrator, metafiction has served well Doctorow's ideology of the impossibility of disentangling fact from fiction.

Doctorow's application of historiographic metafiction, with a specific concern for the reason he has repeatedly employed metafiction throughout his writing career requires investigation. Doctorow challenges the reader to question the nature of historical truth. This is observed once we realize the intertextual relationship between the fictive world of his novels and the history of the US as it is recorded and documented by historians. Primarily, it might appear that each novel is an individual representation of the spirit of the specific age which it has taken as its background, reflecting and indicting the unjust system. However, a closer scrutiny of the novels unveils a coherent pattern running through all his works. Though it may seem that Doctorow is an avid supporter of change, his narrative communicates the impossibility of change and betterment of conditions for the marginalized members of the American society, which provokes suspicion regarding the author's condemnation of his country's policies in the first place. Questions also remain about how the painful conditions of marginalized people are historically confirmed through historiographic metafiction.

6. Conclusion

E.L. Doctorow is mainly considered a postmodern writer. While critics had no problem observing postmodern techniques of narration in Doctorow's texts, they could still identify enough evidences to position him in the realist tradition of historical novelists. Some critics including Hutcheon have primarily identified this irony as an inherent nature of historiographic metafiction, which initially requires to base narrative contexts on a firm historical grounding, then deviating from this firm grounding. Other critics including Parks, Harter and Thompson believe Doctorow's aesthetic intentions finally overcome his political convictions. The intentions of this paper have been to suggest an alternative reason for this.

Doctorow's texts place a greater emphasis on the content (story) rather than the form (techniques which violate realism) which as we have observed, is an indispensable aspect of historiographic metafiction, the technique Doctorow has employed for most of his narratives. His novels have benefited from different literary genres including the western, science fiction, buildungsroman, and science-detective. But what remains constant in the novels is the specific historical context in each.

Doctorow's political agenda is extended through all his writing oeuvre, a point also remarked by Bawer. But the nature of that politics is a much contested debate among the critics of Doctorow. The present research has been an attempt to suggest a possible perspective from which to observe the novels, contributing to this ongoing debate. Rather than being aesthetically concerned, Doctorow is a partial author whose political mentality has strongly influenced his writing career.

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Topicilazation and Focalization in Persian

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Abstract This article provides a syntactic analysis of Topicalization and Focalization processes in Persian within the framework of minimalist syntax. According to Haegeman and Gueron’s Split CP Hypothesis (1999), Topicalization is a recursive process and can apply to more than one constituent in a sentence, while Focalization is unique and therefore appears in a single projection. In this paper we argue that in Persian more than one constituent might undergo focalization. This implies that Focalization cannot be unique. Thus, we first propose two Focal Phrases in the periphery position of a clause. The specifier positions of the two Focal phrases are the landing sites of the focused constituents. Then we suggest the relative position of focal phrases with topic phrases in Persian. It will be concluded that the first focus phrase appears immediately after the complementizer phrase before the first recursive topic phrase followed by the second focus phrase and recursive topic phrase respectively.

Keywords: Focus phrase, given information, new information, Split CP Hypothesis, Topic phrase

1. Introduction

Topicalization and focalization are two processes in Persian whose constituents do not appear in canonical word order. In these constructions Topics and/or Focus phrases move from their base positions to Periphery positions sentence initially. These discourse motivated movements yield marked orders with specific readings. A number of analyses have been proposed to account for topicalization and/or focalization in Persian e.g. Karimi 2005, Anushe 2010, Darzi & Beyraghdar 2010. These analyses are based on Haegeman and Gueron’s split CP hypothesis (1999). However, these analyses suffer from the fact that they are not comprehensive in terms of considering all kinds of clauses (simple versus complex, independent versus dependent) and/or they do not account for sentences which instantiate more than one topicalized and focalized constituents simultaneously. In this study we reevaluate the split CP hypothesis to find the extent to which it can appropriately account for Persian data. So, we present a brief review this hypothesis as suggested by Haegeman & Gueron (1999) and then we discuss Topicalized and Focused phrases in Persian and shortcomings of presented analyses. Finally, we present arguments in favor of a second Focus phrase in the clausal periphery and the sequential orders for CP projections.

2. Topicalization

A variety of positions have been suggested to be the topic position in different languages. As for long-distance topicalization, Chomsky (1977) argues that this movement obeys the same island conditions as wh-movement. This means that topicalization instantiates an A-bar movement to specifier of CP. However, the fact that topicalized constituents can appear after a complementizer indicates that there must be more than one phrasal projection on the top of the TP. Furthermore, evidence from Persian shows that more than one topic might undergo such A-bar movement.
Another position, taken by Haegeman and Gueron (1999), claim that the CP layer like TP includes more than one projection. The first periphery projection they suggest is the topic phrase the head of which bears an uninterpretable topic feature. The specifier position of this projection is the landing site for the topicalized phrase which undergoes movement from its base position and deletes the uninterpretable feature of the head topic. The topic phrase represents old information and is recursive; i.e. there could be more than one topic in a single sentence. The second projection is the Focus Phrase. The head of this phrase bears an uninterpretable focus feature which triggers movement of a constituent bearing an interpretive focus feature to its specifier position. The higher projection in the CP layer is the usual complementizer phrase. Given these assumptions, they propose the following representation for the relative positions of these phrases:

2. \[ \text{CP} \quad [\text{TopP}^* \quad [\text{FocP} \quad [\text{TopP}^* \quad [\text{TP} \ldots ]]]] \]

Topicalization in Persian occurs in simple clauses and complex clauses. Movement in complex clauses is licensed both to the periphery of the dependent clause or the matrix clause. Examples (3) and (4) show elements \textit{un magâzaro} ‘that shop’ and \textit{Lebasâšo} ‘his clothes’ are topicalized and appear in the specifier of the topic projection:

3. \[ [\text{TopP} \textit{un} \text{ magâzaroi} \quad [\text{TP} \textit{ali} \quad \textit{t} \quad \textit{xarid}]] \]
\textit{that shop Ali bought}

(Ali bought that shop.)

4. \[ [\text{TopP} \textit{lebâsâš-o} \quad [\text{TP} \textit{peyman} \quad \textit{t} \quad \textit{šost}]] \]
\textit{clothes-his-Acc Peyman washed}

(Peyman washed his clothes.)

As the examples (3) and (4) show, the two elements \textit{un magâzaro} ‘that shop’ and \textit{Lebasâšo} ‘his clothes’ refer to something that is familiar for the speaker and hearer, so they have given information. Since these elements move to initial position of sentence, they are topicalized constituents. Furthermore, in a simple sentence, two elements can simultaneously move to initial position of sentence as topic. In (5), two constituents \textit{un ketâbro} ‘that book’ and \textit{be ali} ‘to Ali’ move to initial position of sentence. These constituents contain given information and therefore are topicalized constituents:

5. \[ [\text{TopP} \textit{un ketâbroi} \quad [\text{TopP} \textit{be ali} \quad [\text{TP} \textit{moallem-eš} \quad \textit{t} \quad \textit{tj} \quad \textit{dâde-bud}]]] \]
\textit{that book to Ali teacher-his given-was}

(His teacher had given that book to Ali.)

As it is illustrated (3-5), we can explain the simple marked sentences in Persian through Hageman and Gueron’s split CP hypothesis (1999). According to this hypothesis, when one element is topicalized such as (3) and (4), the landing site of that element is one of the two specifiers of topic projections in the CP layer.
Also, when two elements move as topic their landing site are two specifiers of topic projections in CP layer such as in (5). In what follows, we will see the given hypothesis can account for compound and complex sentences including one or two topicalized elements.

In compound sentence (6) and complex sentence (7), two elements barâdarešo ‘his brother’ and xunaro ‘the house’ are topicalized. Like simple sentences, the landing site of the two topicalized constituents in (6) and (7) is specifiers of two topic projections.

6. \[
\text{[TopP barâdar-e šo [TP ali tı ovord va pro raft]]}
\]
\[\text{brother-his-rā Ali brought and he left}\]

(Ali brought his brother and he left).

7. \[
\text{u goft ke [TopP xunaroi [TP mâ tı pârsal kharidim]]}
\]
\[\text{he said that house we last year bought}\]

(He said that we bought the house last year.)

In a dependent clause, the topicalized constituents can move to front positions of either the dependent clause or the main clause. In (8) two elements are topicalized. The first topicalized constituent is subject of dependent clause Soheyl and the second topicalized constituent (mâšino ‘his car’) is the direct object of this clause. These elements are topicalized and moved to the front of the main clause. In (9), two topicalized constituents in the dependent clause have moved to the front position of the same clause. So, two topicalized constituents un ketâbaro ‘that book’ and az anbâr ‘from cellar’ have undergone movement to periphery of their own clause.

8. \[
\text{[TopP soheylı [TopP mâšinoj [CP benazarmiyâd ke [TP tı be khâhar-e šhediye dåde]]]]}
\]
\[\text{(It seems that Soheyl has given the car to his sister as present.)}\]

9. \[
\text{ali motmaen bud [CP ke [TopP un ketabârōj [TopP az anbårj [TP mâ tı xârej kardim]]]]}
\]
\[\text{(Ali was certain that we took those books from the cellar.)}\]

In examples (8) and (9), two elements are topicalized. As said by Hageman and Gueron’s split CP hypothesis (1999), the landing sites of these elements are the two specifiers of topic phrases while the complementizer (ke) is in the head of CP. As we saw in the above examples, we could explain the order of complementizer and two topicalized constituents based on Hageman and Gueron’s split CP hypothesis (1999). So, this hypothesis can explicate topicalization process in Persian. In what follows, we will test the given hypothesis when one sentence has simultaneously multiple topicalized and focused constituents.

3. Focalization

Focus is a part of a sentence that bears new information and it has contrast with the ground of sentence which has given information. Focus can be related to phonological structure of language (Vallduvi and Engdahl 1996 and Kiss 1998) Yet, it can also be represented syntactically. Focus is classified in two types: information focus and contrastive focus. Information focus only contains new information. While contrastive
focus not only has new information but also has a kind of contrast with given information of hearer and it corrects his or her earlier presupposition (Vallduvi and Engdahl 1996 and Kiss 1998).

Kiss (1998) and Rizzi (1997, 2003) believe that the position of focus is unique. It is implied that there is one focus phrase per sentence. Also in their hypothesis, Hageman and Gueron (1999) suggest that in the CP layer there is one focus projection. Kiss (1998) proposes that certain elements carry an inherent focus: only-phrases and wh-phrases that belong to this group. Under this view, Karimi (2005) believes that the position of focus is not unique. It is implied that Persian allows two elements bearing contrastive focus in the same sentence only if at least one of them has an inherent focus feature (Karimi 2005:13):

10. Kimya mâhe gozašte faqat se-tâ film dide-Ø
    Kimya month previous only three-classifier movie seen-is

(It was Kimya who has seen only three movies last month.)

In the above sentence, Karimi (2005) believes that there are two focuses. Subject of sentence Kimya is the contrastive focus because it has a contrast to other person who speaker has in her or his mind. Another focus is the object faqat se tâ film ‘only three-classifier movie’ since it has an inherent focus feature presented by faqat ‘only’. As it is obvious, Karimi (2005) shows that this is plausible that two foci exist in a sentence. Now if these focuses move to the CP layer, where is their landing site? Before we respond to this question it is necessary to introduce classifying of adverbs. Cinque (1999) divides adverbs into two major groups of higher and lower adverbs. That is, the sequence of two groups cannot change and the higher adverb always precedes the lower one. Under this view, Karimi (2005) divides adverbs into two groups in Persian High (sentence) Adverbs: amdan ‘intentionally’, xoşbaxtâne ‘fortunately’, zâheran ‘apparently’ etc.; and Low (VP) Adverbs: hamiše ‘always’, hanuz ‘still’, hargez ‘never’ etc. In fact, the high adverbs precede TP and the low adverbs precede vP.

In (11), three elements are moved to the CP layer. One of these elements is the focused constituent and two other are topicalized constituents. The adverb bâ ziraki ‘cleverly’ that appears before VP (its original position), has moved to the CP layer through focalization process and occupies the specifier position of the focus phrase. Additionally, the direct object penâlti ‘penalty’ and the indirect object az dâvar ‘from referee’ have moved to the CP layer by topicalization process and occupy specifier positions of two topic projections.

11. injâ moşaxas-e [çp ke [TopP penâltiroi [FocP bâ zirakî [TopP az dâvar, [TP pro t t k gerfte-Ø]]]]]
   here clear-is that penalty cleverly from referee he taken-is

(Here, it is clear that he cleverly took the penalty from the referee.)

We have so far been able to show that Persian sentences which have topicalized and focused constituents could be accounted for based on the split CP hypothesis. Moreover, the given hypothesis could explain that kind of sentence which had two topicalized constituents and one focused constituent. We continue with a discussion of the possibility of movement of two focused constituents to the CP layer in a single sentence. If this is the case (as we find below), Hageman and Gueron’s split CP hypothesis (1999) cannot account for these kind of sentences.

Focus movement has been considered as an instance of displacement triggered by a discourse-functional feature (Karimi 1999, 2003b and Kiss 2005). Karimi (2005) also believes that Persian does not exhibit obligatory wh-movement, although these phrases are subject to scrambling. If scrambled, they force an answer that indicates a contrastive focus. In fact, wh-movement in Persian is considered as A-bar movement. Any constituent in position of a wh-phrase, such as wh-arguments and wh-adjuncts, receives a focus feature. Similarly any constituent which is a reply to a wh-phrase receives a focus feature too. Wh-
phrases and their replies contain new information; therefore they are focused (Robert & Van valin 2005, Vallduvi and Engdahl 1996). “A very common example of a narrow focus sentence is a WH-question like What did you buy? and the answer I bought …; the WH-word and the NP filling the slot in the reply are both unmarked narrow foci. In a yes–no question like Did John leave? and the response No, Fred did, John and Fred are marked narrow foci” (Van valin 2005: 72). Under this view, in (12) and (14), two wh-phrases koja ‘where’ and key ‘when’ are focused constituents. Also, in (13) and (15) the replies dâneṣgâh ‘university’ and do-rüz piš ‘two days ago’ are focused constituents too. These sentences can be analyzed based on the split CP hypothesis. the wh-phrases in (12 & 14) as well as their replies in (13 & 15) occupy the specifier of the focus projection.

12.  \[ FocP kojâi \[ TP pro tî miri\]  
Where you go

(Where do you go?)

13.  \[ FocP dâneṣgâh \[ TP pro tî miram\]  
university I go

(I go to university.)

14.  \[ FocP keyî \[ TP pro tî az šîrâz bargaštî\]  
When you from Shiraz returned

(When did you return from Shiraz?)

15.  \[ FocP do ruz piš \[ TP pro tî az šîrâz barghašt-am\]  
two days ago I from Shiraz returned

(I returned from Shiraz two days ago.)

Rizzi (1997) and Haegeman (2000) have argued that just focused constituents occupy the specifier position within a focus phrase and that topicalized constituents occupy the specifier position within a topic phrase (Radford 2004: 329). The data from Persian show that there could be two focused constituents in a sentence.

16.  \[ FocP barâ kesiyam \[ FocP čizî \[ TP pro tî tî soqât ovorde budan\]\]?
for somebody something they souvenir brought were

(Had they brought any souvenir for anybody?)

17.  \[ FocP faqat ye kifi \[ FocP barâ nargesî \[ TP amu tî tî gerfte-bud]\]?
only a purse for Narges uncle taken-was

(Only a purse had Uncle bought Narges.)

18.  be-hem migī \[ CP ke \[ FocP kioî \[ FocP bâ kîj \[ TP pro tî tî didan-Ø]\]\]?
to-me tell that who with whom they seen-are

(Lit: Will you tell me who with whom they have seen?)
19. \([\text{FocP saido]} \text{[FocP bâ maryam]} \text{[TP diruz bačehâ tî tî didan]}]\\)
Saeed with Maryam yesterday guys saw

(The guys saw Saeed and Maryam together yesterday.)

In the above sentences, there are two focused constituents: wh-phrases and its replies. For example in (16), two wh-phrases barâ kesiyam’ ‘To somebody’ and čizi ‘something’ are focused constituents because they have inherent focus feature. Also in (17), two constituents which are a reply for wh-phrases are focused constituents because they have new information. Similarly, in (20), focused constituents are wh-phrase čerâ ‘why’ and object faqat abbâs ‘only Abbâs

20. fahmid-i \([\text{CP ke [FocP čerâ]} \text{[FocP faqat] abbâso [TP dânešgâh tî burs karde-Ø tî]]]}]\\)
learned-you that why only Abbâs university scholarship done-has

( Did you learn why, only to Abbas, has the university given a scholarship?)

As it was noted in the previous section, Hageman and Gueron (1999) suggest that the CP layer has only one focus projection. So, this hypothesis is not an appropriate one to account for Persian sentences that have simultaneously two focused constituents. Karimi (2005:137) argues that the two focused constituents cannot be separated; therefore, she suggests multiple specifiers for the sole focus projection. That is, she claims that the focused phrases occupy two specifier positions of the focus projection.

21. \([\text{TopP kî bâ kî [TP to [vP fekr mikoni [CP (ke) tî tî beraqse]]]}]\\)
who with who you think do that dance

(Li: Who with whom is it that you think will dance?)

22. ?? kî emruz bâ kî pro fekr mikoni \([\text{CP (ke) tî tî beraghse]}]\\)
who today with who think do that dance

(Li: Who with whom is it that you think will dance today?)

However, this position cannot be borne out for the following reasons below based on which we conclude that, at least in Persian, two focused phrases can be maintained.

First, it should be noted that while the sentence in (22) is highly marked, it is acceptable. Second, the verb raqsidan ‘dance’ is a predicate which has one argument kî ‘who’. So, we must consider the focused constituent bâ kî ‘with whom’ as a wh-adjunct. This is contrast to Karimi’s analysis in which wh-adjuncts cannot move to specifier of the focus projection.

Third, according to Hornstein et.al. (2005), a movement operation is licensed only if it leads to elimination of an uninterpretable formal features. Under this view, if a constituent moves to another position, either the constituent itself or the head of the projection it moves to must have an uninterpretable feature. Under Karimi’s multiple specifier view, we should assume that the two focused phrases bearing an uninterpretable feature would check the uninterpretable feature of the focus head twice. But, this is not a plausible analysis based on Chomsky (1995) whereby movement of one constituent deletes the uninterpretable feature of the functional category. In addition, data show that a constituent can appear between two focused elements in Persian.
23.  [FocP kio | [FocP bâ kij | [TP doktor t t un ruz eštebâh-gerfte-bud]]?  
Who with whom doctor that day mistake-taken-was  

(Lit: Who with whom is it that the doctor had confused that day?)

This sentence (23) can be replied in three different ways, with slightly different interpretation:

24.  [TopP un ruzi [FocP man-oj | [FocP bâ dâdâš-amk | [TP doktor t t k eštebâh-gerfte-bud]]]  
that day I-Acc with brother-my doctor mistake-taken-was  

25.  [FocP man-oj | [FocP bâ dâdâš-amk | [TopP un ruzi | [TP doktor t t k eštebâh-gerfte-bud]]]  
I-Acc with brother-my that day doctor mistake-taken-was  

26.  [FocP man-oj | [TopP un ruzi | [FocP bâ dâdâš-amk | [TP doktor t t k eštebâh-gerfte-bud]]]  
I-Acc that day with brother-my doctor mistake-taken-was  

(The doctor had confused me with my brother that day.)

In the above sentence there are three fronted constituents. The constituents man 'me' and bâ dâdâšam 'with my brother' are focused constituents because they are replies to wh-phrases and have new information. The constituents un ruz 'that day' is mentioned in previous discourse and because it bears given information is a topicalized constituent. Sentence (26) illustrates a topicalized constituent (i.e. un ruz 'that day') is placed between two focused constituents, contrary to Karimi's analysis (2005).

And finally, considering more examples, a variety of sequential orders can be observed, specifically in sentences which instantiate two focused as well as two topicalized fronted constituents. Under each example below, the relevant configurationally representation indicates the order of the moved constituents.

27a.  [CP [TopP ketâboi | [TopP be minâj | [FocP ĉerâ | [TP said t t dâde-Ø t k ]]]]?  
book to Mina why Saeed given-is  

[CP [TopP [TopP [FocP [TP]]]]]

27b.  [CP [TopP ketâboi | [FocP ĉerâ | [TopP be minâj | [TP said t t dâde-Ø t k ]]]]?  
book why to Mina Saeed given-is  

[CP [TopP [FocP [TopP [TP]]]]]

(Why has Saeed given the book to Mina?)

28a.  [CP [FocP ĉerâ | [FocP hanuzk | [TopP in duste-š-oj | [TP sohrâb t k be-mâ moarrefi na-karde-Ø t i ]]]]?  
why yet this friend-his.Acc Sohrâb to us introduce no-done-is  

[CP [FocP [FocP [TopP [TP]]]]]

28b.  [CP [FocP ĉerâ | [TopP in-dust-eš-oj | [TopP be-mâg | [FocP hanuzk | [TP sohrâb t k t k moarrefi na-kard-e t i ]]]]]?  
why this-friend-his.Acc to-us yet Sohrâb introduce-no-done-is  

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Given the arguments above and considering all the given examples, it seems that we must postulate a second focus projection in the CP layer in Persian. In order to account for the discussed data so far the following configuration is proposed for periphery positions in Persian (The * indicative recursive property).

\[ \text{[CP [FocP [TopP* [FocP [TopP* [TP]]]]]]} \]

4. Conclusion

In this paper we analyzed Persian CP layer based on the Split CP Hypothesis proposed by Haegeman and Gueron (1999). We discussed discourse motivated movements to CP projections both in simple and complex sentences and to main and dependent clauses respectively. Our data, however, indicated that the Split CP Hypothesis cannot account for all the data from Persian. We also found that Karimi (2005)’s analysis assuming multiple specifiers for the focus phrase was not compatible with the data. Finally, we proposed a second focused phrase in Persian and a representation which successfully accounts for all the observed data.

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Abstract: The construction industry and her projects are replete with potentials for learning at both the organisational and project levels. Yet the industry often wastes this opportunity. This research was embarked upon to investigate the disposition of construction industry participants to the use of organisational learning (OL) in the Nigerian construction industry. Data was collected using a structured questionnaire administered purposively on sixty construction industry organisations operating in Lagos, Nigeria. The collected data was subjected to both descriptive and inferential statistical analysis. The findings indicate that majority of respondents agreed that ‘Managers ask probing questions and invite input from others in discussions’ and also ‘Managers listen attentively’. The study results further indicate that there is no significant difference in disposition to organizational learning between contracting, consulting, and client organizations within the Nigerian Construction Industry. This study recommends that a more detailed investigation be made of those items of measure where respondents indicate disagreements to understand better the underlying phenomena. Measures indicating strong indices of agreement can be further explored for improvement.

Keywords: construction industry; knowledge management; learning organization; Nigeria; organizational learning.

1. Introduction

The contribution of the construction industry of nations to provide or sustain or maintain infrastructure and support the quality of life of citizens is acknowledged (Ogunlana, 2010a & 2010b). The construction industry in Nigeria is of paramount importance in employment and economic growth (Ogunsemi & Jagboro, 2006). The construction industry contributes about 5% to Nigeria’s annual gross domestic product and one-third of her total fixed capital investment. Faniran (2002) states that, in a developing country like Nigeria, which is still in the process of providing adequate social amenities such as educational and health care facilities as well as decent housing for its teeming populace, the construction industry has an important role to play. About 69% of Nigeria’s fixed capital formation is created by the construction industry. This means the construction industry represents about 70% of the capital base of the nation’s economy. Notwithstanding its position, the performance of the industry within the overall macro-economy has been, and continues to be, very poor and abysmal (Faniran, 2002).

Some characteristics of the construction industry pose further challenges to management and integration. It is an industry that is fragmented in nature, often with a highly mobile workforce. The arrangement of participants to execute the project often involves a coalition of disparate and different organisations, professional and commercial entities (Zhang and Hu, 2011) into what is termed temporary multi-organisations. The industry is also faced with the challenges of addressing both company and project level of management especially in construction contracting. The construction company for example has to evolve its
management philosophy of its company as an organisation. The management of the project is another issue for the construction organisation as each project oftentimes has its own uniqueness, structure and participating parties.

2. Aim and objectives

The aim of this research is to investigate the disposition of construction industry organisations – client, consultants and contractors- to organisational learning (OL). The following objectives are pursued:

1. To ascertain the assessment of the construction industry organisations of issues depicting disposition to organisational learning
2. To investigate if there are differences in dispositions of construction industry organisations to organisational learning

3. Some perspectives on organisational learning

According to Crossan, Lane and White (1999), organizational learning is as old as the 1960s. The concept of organizational learning is fluid with some researchers operating from different perspectives. While, commonality of understanding as to what constitutes (the concepts and practices of) organisational learning has not been achieved among practitioners and academics (Foil & Lyles, 1985), the background to organizational learning includes an increasingly competitive business environment that is also contextually related to globalization. McShane (2001) sees learning as a process by an organisation to acquire, disseminate and apply knowledge for its survival and success. This implies that organizational learning is supposed to be goal oriented. Fiol and Lyles (1985) acknowledged that there has been confusion for decades over the meaning of organizational learning. They in turn, defined organizational learning as the growing insights and successful restructurings of organizational problems by individuals reflected in the structural elements and outcomes of the organization itself. In this definition, learning consists of the development of insights on the one hand and structural and other action outcomes on the other. One is a change in states of knowledge not clearly perceptible; the other often involves a change more easily visible in terms of an organizational outcome. And, most important, the two often do not occur simultaneously, which makes the problem of distinguishing between them all the more important. They cited what many theorists have referred learning to as (a) new insights or knowledge; or (b) new structures; or (c) new systems; or (d) mere actions; or (e) some combination of the above.

Crossan et al (1999) in their treatment of organisational learning focused on new learning or lessons and their use. They also focused on multilevel perspectives of organizational learning: individual, group and organization. The three levels are linked by social and psychological processes of intuiting, interpreting, integrating and institutionalizing learning. The last is how cognition affects action.

Organisational learning imposes two requirements of knowledge and sharing, a degree of collective action of stakeholders. Granerud and Rocha (2011), citing some authors, submitted that organisational learning encompasses the development of new knowledge, skills and behaviour, the rectification of errors and improvement of current practices, and the development of new routines. Thus organisational improvement leads to or is expected to lead to continuous process improvement. Ideas, techniques and experiences from within or outside the organisation are shared to improve the organisation’s performance. Organisational learning is thus related to continuous process improvement. Organisational learning is the foundation for continuous process improvement, while continuous process improvement is a way of organising and supporting organisational learning. Arshad and Scott-Ladd (2010) proposed some levels of organisational learning and their characteristics thus: 1) Reproductive learning: handling of routine problems; 2) Basic productive learning: evaluation of outcomes and minor corrections; 3) Advanced productive learning: experiments, inventions and test solutions; 4) Creative learning: questioning existing assumptions
A related term to organisational learning is unlearning which has been described as a process of clearing out, outdated beliefs that no more meet current challenges and realities (Wong, Cheung, Yiu & Hardie, 2012). In a study on the Malaysian Vision 2020, Arshad and Scott-Ladd (2010) categorised approaches to learning into action learning, active learning and experiential learning, co-operative learning, problem-based learning, coaching and mentoring, formal and informal learning. Arshad and Scott-Ladd (2010) compared the approaches used by Malaysian organisations to learning and concluded that while organisations preferred internal learning strategies they also used external learning strategies. Both formal and informal sources are popular.

A related term to organisational learning is the learning organisation. The concepts of organisational learning and learning organisation also carry along related terms of knowledge management and the knowledge creating company (Nonaka & Takuechi, 1995). The knowledge-creating-company as implied by Nonaka and Takuechi (1995) is an organization whose sole business is continuous innovation. The concept is hinged on the fact that in the world economies the only certainty is uncertainty, for this reason the one sure source of lasting competitive advantage is knowledge. Dodgson (1993) acknowledged the difficulty of agreement both within and between disciplines as to what learning is, and how it occurs. To this end various literatures are inclined to examine the outcomes of learning but not the processes of learning. Dodgson (1993) however described organizational learning in terms of learning processes and not outcomes: organisational learning can be described as the ways firms build, supplement and organize knowledge and routines around activities and within their cultures and adapt and develop organizational efficiency by improving the use of broad skills of their workforces. Hence, encouraging and coordinating the variety of interactions in learning is a key organizational task. In essence, while some authors do not see a distinction between organisational learning and the learning organisations, some see. Some see learning organisation as a type of organization, while organisational learning represents the transformational process that occurs in that type of organisation. One deals with anticipated structure, another with process.

Organisational learning is crucial for the construction industry since the industry is generally perceived to be one with low productivity and poor performance, in spite of its significance to the national economy (Tjandra & Tan, 2002; Wong et al, 2012). Tjandra and Tan (2002) also stated that the project based nature of the construction industry has made it very vital to record and transfer lessons from project to project. Research studies on the construction industry have indicated that there is a direct relationship between an organisation's performance in their construction projects and its learning competencies (Love & Josephson, 2004; Murray & Chapman, 2003)

This study seeks to investigate the disposition of Nigerian construction industry organisations to organisational learning or whether they exhibit characteristics of learning organisations. This exploratory research has not aligned with the rigid differentiation of organisational learning from the learning organisation. Rather the researchers have seen the learning organisation concept as a subset of organisational learning and thus sought to investigate the selected Nigerian construction organisations for their predisposition or gravitation towards being learning organisations. The research has aligned itself with the process perspective of approaching learning taking into consideration issues such as conducive environments enunciated by Senge (1991), De-Gues (1996) and Garvin, Edmondson and Gino (2008). The need to increase competitiveness in the industry and encourage continuous process and product improvement warrants this study. This study thus has the potential of opening up a wide field of research area in the field of organisational learning in the construction industry and to contribute to the body of knowledge in that area as far as Nigeria is concerned.

4. Research methods

The data collection and analysis was preceded by review of literature. Data for the study was collected using a structured questionnaire. The questionnaires were distributed to a purposive sample of contractor,
consultant and client companies operating in Lagos State, Nigeria. The instrument for the research requested the respondent to provide some biographical details. The questionnaire used for the study was divided into four sections. Section one examined the characteristics of respondents in terms of their professions, academic qualification, professional qualification, years of experience, type of organization, size of organization, and number of projects involved in the last five (5) years (2005 to 2010). The second section measured/evaluated the disposition of project participants to learning. The third section measured the learning processes and practices of employees of organization or team-mates within their team or unit, while the fourth section measured management support for organizational learning within their companies. The second to the fourth section required respondents to respond to statements using an ordinal rating scale of 1 to 5 in each section in the order: 5 = Strongly Agree, 4 = Agree, 3 = Slightly Agree, 2 = Disagree, 1 = Strongly Disagree. These sections of the questionnaire measure supportive learning environment, concrete learning processes and leadership that reinforce learning. The questions used for this section were drawn or adopted from Garvin et al (2008). Based on this, the data generated were analysed by Statistical Package for Social Science (Version 13.0) and those with the highest mean score were ranked 1, while those with lower mean score were ranked according to their value/magnitude. Further inferential statistical analysis was done on the data while the statistical level of significance was set at 5%.

5. Analysis, Results and Discussion

Sixty questionnaires were administered on the selected construction industry organisations with the questionnaires being completed by their representatives. Follow-up efforts were made. In the process thirty completed questionnaires were received. The response rate to the questionnaire was 50%. This is judged to be a high rate of response which can be attributed to the follow-up efforts.

5.1 Descriptive Statistical Analysis

5.1.1 Characteristics of representatives of respondent organisations

Table 1 shows the profession of the respondents who completed the questionnaire on behalf of the construction industry organisations.

<table>
<thead>
<tr>
<th>Professional standing</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Civil Engineer</td>
<td>12</td>
<td>40.0</td>
</tr>
<tr>
<td>Quantity Surveyor</td>
<td>5</td>
<td>16.7</td>
</tr>
<tr>
<td>Mechanical Engineer</td>
<td>4</td>
<td>13.3</td>
</tr>
<tr>
<td>Builder</td>
<td>5</td>
<td>16.7</td>
</tr>
<tr>
<td>Estate surveyor &amp; valuer</td>
<td>2</td>
<td>6.7</td>
</tr>
<tr>
<td>Others</td>
<td>2</td>
<td>6.7</td>
</tr>
<tr>
<td>Total</td>
<td>30</td>
<td>100.0</td>
</tr>
</tbody>
</table>

It is observed from the findings that majority of the respondents were Civil Engineers who possess Bachelors degree while some have Master of Science/Master of Project Management/Master in Business Administration degrees.

Table 2 shows the frequency of projects that the respondents have been involved in the last five (5) years.
Table 2: Number of projects involved in the last five years (2005 - 2010)

<table>
<thead>
<tr>
<th>Number of projects</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 – 5</td>
<td>9</td>
<td>30.0</td>
</tr>
<tr>
<td>6 – 10</td>
<td>4</td>
<td>13.3</td>
</tr>
<tr>
<td>11 – 15</td>
<td>6</td>
<td>20.0</td>
</tr>
<tr>
<td>16 – 20</td>
<td>4</td>
<td>13.3</td>
</tr>
<tr>
<td>26 – 30</td>
<td>3</td>
<td>10.0</td>
</tr>
<tr>
<td>above 30</td>
<td>4</td>
<td>13.3</td>
</tr>
<tr>
<td>Total</td>
<td>30</td>
<td>100</td>
</tr>
</tbody>
</table>

5.1.2 Characteristics of Respondent Organisations

Table 3 shows the characteristics of the respondent organisations.

Table 3: Type of organization

<table>
<thead>
<tr>
<th>Type of organization</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Consulting firms</td>
<td>5</td>
<td>16.7</td>
</tr>
<tr>
<td>Contracting firms</td>
<td>19</td>
<td>63.3</td>
</tr>
<tr>
<td>Client</td>
<td>6</td>
<td>20.0</td>
</tr>
<tr>
<td>Total</td>
<td>30</td>
<td>100</td>
</tr>
</tbody>
</table>

Table 3 shows that 19 (63.3%) of respondent organisations were contractors, while 5 (16.7%) were consulting firms and 6 (20%) were client organisations.

Table 4 shows the number of employees of the organisations.

Table 4: Number of employees in respondent organisations

<table>
<thead>
<tr>
<th>Number of employees</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 – 5</td>
<td>1</td>
<td>3.3</td>
</tr>
<tr>
<td>5 – 50</td>
<td>9</td>
<td>30.0</td>
</tr>
<tr>
<td>50 – 100</td>
<td>7</td>
<td>23.3</td>
</tr>
<tr>
<td>100 – 1000</td>
<td>12</td>
<td>40.0</td>
</tr>
<tr>
<td>Not indicated</td>
<td>1</td>
<td>3.3</td>
</tr>
<tr>
<td>Total</td>
<td>30</td>
<td>100</td>
</tr>
</tbody>
</table>

The table indicates that 12 (40%) of the organisations had between 100 to 1000 employees. The table also shows the others: 7 (23.3%) have 50 to 99 employees; 9(30%) have 5 to 50 employees, while 1(3.3) have 1-5 employees. By employment pattern, it is the contracting firms that are more likely to have more employees.

5.1.3 Disposition to Organizational Learning Processes and Practices

This section of the analysis reports the output of the examination of the disposition of project participants to organizational learning within the Nigerian construction industry. Table 5 shows the descriptive analysis of items used to investigate the disposition of project participants to organisational learning within the Nigerian construction industry. The mean item scores of all the respondent organisations are shown for each issue.
within a sub-section. The second column on ‘Mean’ indicates the mean item score of all the respondents on the issue. The third column shows the ranking of that issue in that sub-section or subgroup. The fourth column shows the means of the means of the respective issues in that sub-section. The last column shows the ranking of each subsection (based on sub-section mean) with respect to the four subsections indicated in the table.

Table 5: Means and rankings on issues of supportive learning environment

<table>
<thead>
<tr>
<th>Sub-section and items</th>
<th>Mean</th>
<th>Rank</th>
<th>Sub-section Mean</th>
<th>Sub-section Rank</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>A Psychological safety:</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>People in this unit/organization are eager to share information about what does and doesn't work</td>
<td>3.87</td>
<td>1</td>
<td></td>
<td></td>
</tr>
<tr>
<td>In your organization/unit it is easy to speak up about what is on your mind</td>
<td>3.70</td>
<td>2</td>
<td></td>
<td></td>
</tr>
<tr>
<td>People in this unit/organization are usually comfortable talking about problems and disagreements</td>
<td>3.27</td>
<td>3</td>
<td></td>
<td></td>
</tr>
<tr>
<td>If you make a mistake in this unit, it is often held against you</td>
<td>3.07</td>
<td>4</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Keeping your cards close to your vest is the best way to get ahead this unit/organization</td>
<td>2.60</td>
<td>5</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>B Appreciation of Differences:</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>In this unit/organization, people are open to alternative ways of getting work done</td>
<td>3.70</td>
<td>1</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Differences in opinion are welcome in this unit/organization</td>
<td>3.57</td>
<td>2</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Unless an opinion is consistent with what most people in this unit/organization believe, it won't be valued</td>
<td>2.97</td>
<td>3</td>
<td></td>
<td></td>
</tr>
<tr>
<td>This unit/organization tends to handle differences of opinion privately or off-line, rather than addressing them directly in the group/open</td>
<td>2.83</td>
<td>4</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>C Openness to new ideas:</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>In this unit/organization, people value new ideas</td>
<td>4.03</td>
<td>1</td>
<td></td>
<td></td>
</tr>
<tr>
<td>In this unit/organization, people are interested in better ways of doing things</td>
<td>3.93</td>
<td>2</td>
<td></td>
<td></td>
</tr>
<tr>
<td>In this unit/organization, people often resist untried approaches</td>
<td>2.61</td>
<td>3</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Unless an idea has been around for a long time, no one in this unit/organization wants to hear it</td>
<td>2.43</td>
<td>4</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
The overall mean item score of the responses was taken to examine if a supportive learning environment exists and thus by extension examine the disposition of the construction industry organisations to organizational learning.

Within the Psychological Safety sub-section, “People in this unit/organization are eager to share information about what does and doesn’t work” had the highest mean score of 3.87 and thus ranked 1, showing that respondents mostly agree with the statement than any other. This implies that people are eager to share information the construction industry. Followed in descending order by “In your organization/unit it is easy to speak up about what is on your mind” with mean score of 3.7 and ranked 2, respondents also agree with the statement. Next by “People in this unit/organization are usually comfortable talking about problems and disagreements” with mean score of 3.27 and ranked 3, and “If you make a mistake in this unit it is often held against you” with mean score of 3.07 and ranked 4, both these statements are slightly agreed with. While “Keeping your cards close to your vest is the best way to get ahead in this unit/organization” had the lowest mean score of 2.6 and ranked 5 showing that respondents did not agree with the above statement.

Within the Appreciation of Differences sub-section, “In this unit/organization, people are open to alternative ways of getting work done” had the highest mean score of 3.70 and thus ranked 1. This implies that respondents agree with the statement most. “Differences in opinion are welcome in this unit/organization” follows next in descending order with a mean score of 3.57 and a rank of 2, respondents also agrees with the statement. Next in line are “Unless an opinion is consistent with what most people in this unit/organization believe, it won't be valued” with a mean score of 2.97 and ranking of 3, and “This unit/organization tends to handle differences of opinion privately or off-line, rather than addressing them directly in the group/open” with a mean score of 2.83 and ranked 4. Respondents slightly agree with both statements.

Within the Openness to New Ideas sub-section “In this unit/organization, people value new ideas” had the highest mean score of 4.03 and was ranked 1. Respondent were really disposed to this statement, showing project participants value new ideas a lot. Subsequently, in descending order were “In this unit/organization, people are interested in better ways of doing things” with a mean of 3.93 and ranked 2, respondents agree to the statement likewise. “In this unit/organization, people often resist untried approaches” with a mean score of 2.61 and ranked 3, and “Unless an idea has been around for a long time, no one in this unit/organization wants to hear it” with a mean score of 2.43 and a rank of 4. Respondents disagreed with both statements meaning they agreed with the contrary.
Within the Time for reflection sub-section “In this unit/organization, schedule pressures gets in the way of doing a good job” had the highest mean score of 3.5 and was ranked 1. Most respondents agreed with the statement connoting that schedule pressures affect the quality of their jobs. Following this in descending order, are “Despite the workload, people in this unit/organization find time to review how the work is going” with a mean score of 3.43 and ranked 2, and “People in this unit/organization are overly stressed” with a mean score of 3.13 and a rank of 3, respondents slightly agree with both statements. Next is “In this unit/organization, people are too busy to invest time in improvement” with a mean score of 2.83 and ranked 4, showing that people partially agree with statement. While “There is simply no time for reflection in this unit/organization” with a mean score of 2.27 and a rank of 5, respondents do not agree with the statement.

One observation is that all the sub-section means are approximately ‘3’ which suggests that preponderance of responses suggest ‘slightly agree’ to the issues being used for the assessment. Using the subsections means suggests that respondents slightly agree that there exists supportive learning environment in construction organisations. This may imply a disposition to organisational learning. The work of Kululanga and Kuotcha (2008) on Malawi indicates some use of the concept of organisational learning through project reviews.

5.2 Inferential statistical analysis

5.2.1 Hypothesis testing

The next aspect of the analysis is to investigate whether there are significant differences in disposition to organizational learning between contracting, consulting, and client organizations within the Nigerian Construction Industry. To achieve this, the following null and alternative hypotheses were postulated thus:

Null Hypothesis (Ho): There is no significant difference in disposition to organizational learning between contracting, consulting, and client organizations within the Nigerian Construction Industry.

Alternative Hypothesis (Hi): There is significant difference in disposition to organizational learning between contracting, consulting, and client organizations within the Nigerian Construction Industry.

An analysis of variance was performed on the relevant data. Tables 6 and 7 show some of the edited outputs of the analysis. The statistical level of significance is 5%.

Table 6 specifically shows the means and standard deviations and other measures of central tendency of the responses.

Table 6: Standard Deviation of Organizations’ Disposition to Organizational Learning

<table>
<thead>
<tr>
<th>Group/Firm</th>
<th>N</th>
<th>Mean</th>
<th>Std. Deviation</th>
<th>Std. Error</th>
<th>95% Confidence Interval for Mean</th>
<th>Min</th>
<th>Max</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Mean</td>
<td></td>
<td></td>
<td>Lower, Upper</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Consulting</td>
<td>5</td>
<td>3.1222</td>
<td>.33656</td>
<td>.15051</td>
<td>2.7043, 3.5401</td>
<td>2.72</td>
<td>3.61</td>
</tr>
<tr>
<td>Contracting</td>
<td>19</td>
<td>3.2107</td>
<td>.38939</td>
<td>.08933</td>
<td>3.0230, 3.3984</td>
<td>2.53</td>
<td>4.00</td>
</tr>
<tr>
<td>Client</td>
<td>6</td>
<td>3.2685</td>
<td>.39662</td>
<td>.16192</td>
<td>2.8523, 3.6847</td>
<td>2.56</td>
<td>3.67</td>
</tr>
<tr>
<td>Total</td>
<td>30</td>
<td>3.2075</td>
<td>.37268</td>
<td>.06804</td>
<td>3.0684, 3.3467</td>
<td>2.53</td>
<td>4.00</td>
</tr>
</tbody>
</table>

N= number of respondent organisations; Min = minimum; Max = maximum

The table (Table 6) indicates that for all the groups, the mean revolves around 3, the ‘slightly agree’ value.
Table 7 presents the analysis of variance for the three groups with respect to the mean item scores.

**Table 7:** ANOVA Results of Disposition to Organizational Learning

<table>
<thead>
<tr>
<th>Source of Variation</th>
<th>Sum of Squares</th>
<th>d.f</th>
<th>Mean Square</th>
<th>F-cal</th>
<th>P-Value</th>
<th>F-tab</th>
</tr>
</thead>
<tbody>
<tr>
<td>Between Groups</td>
<td>.059</td>
<td>2</td>
<td>.029</td>
<td>.200</td>
<td>.820</td>
<td>3.35</td>
</tr>
<tr>
<td>Within Groups</td>
<td>3.969</td>
<td>27</td>
<td>.147</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total</td>
<td>4.028</td>
<td>29</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

d.f = degrees of freedom

From an examination of Table 7 the probability value is greater than 0.05, the set value for statistical significance. The implication and decision is that the null hypothesis should be accepted as there is no significant difference in disposition to organizational learning between contracting, consulting, and client organizations within the Nigerian Construction Industry. The implications of this finding include the fact that there is implied homogeneity regarding disposition to organizational learning by the respective construction industry organisations. This homogeneity thus has the potential of making stakeholder management of intervention or policy efforts on the issue of organisational learning in the construction industry less problematic. Construction industry organisations that are used in this study are critical to the success of the construction project. The homogeneity of assessment may be partly due to the fact that ordinarily every organisation whatever its commercial inclination wants to improve. The assessment indicated through the descriptive analysis reflected in Table 5 also seems to suggest the current state of disposition to organizational learning in the country.

**6. Conclusions and recommendations**

Some conclusions emanate from this research. Project participants are most eager to share information, they are also willing to speak out their minds and they distance themselves from hoarding or hiding information as it is not the best way to get ahead in any unit/organization. Psychological safety was rated highest by respondents but its mean score fell in the ‘slightly agree’ margin. In addition, construction industry organisations slightly agree with issues under appreciation of differences, openness to new ideas, and time for reflection. There were no significant differences in disposition to organisational learning by Nigerian construction industry organisations. This study recommends that a more detailed investigation be made of those items of measure where respondents indicate disagreements to understand better the underlying phenomena. Measures where there are strong indices of agreement can be further explored for improvement. The finding that there is no significant difference in disposition to organizational learning between contracting, consulting, and client organizations within the Nigerian Construction Industry can be leveraged upon to inculcate and entrench organisational learning in the Nigerian construction industry and any other related improvement. It could also be expected that because of the implied homogeneity of disposition to organisational learning, intervention efforts in the right direction should meet with least resistance in the industry in Nigeria. This research acknowledges some limitations: the sample size and the study area. The study area is Lagos; conclusions from this work may not be validly applicable to all parts of Nigeria. The conclusions can however be indicative.
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Don’t Dampen the Laughter: Difficulties in Translating Comedies

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Abstract: The presence of humor in audiovisual text as it is by the dialectal variants, the cultural references etc., implies a challenge for the translator, and we need to admit, it is not an easy challenge. As long as more elements are characterized culturally, more it becomes almost impossible for the translator to recreate the same comic effects on the original film, as the new spectator of the metatext who may not share the cultural environment and the cultural baggage of the prototext. This article will analyse problems encountered in the translation of Italian comedies into the Albanian language. We will see concretely how the dialectal variants, the referents of language, the different registers of speech used to create various shades of humor in audiovisual texts are difficult for the translator as a mediator between two cultures.

Keywords: audiovisual translation, audiovisual text, language varieties, cultural referents.

Per non smorzare le risate: difficoltà nella traduzione dei film comici

1. Introduzione

Per far ridere bisogna conoscere bene chi si vuole far ridere e alla base del meccanismo dell’umorismo c’è spesso l’evidenziare difetti e vizi tipici di una società che lo sceneggiatore conosce bene. Si può facilmente intuire che nei film comici ci si imbatte in elementi connotati culturalmente. La presenza dell’umorismo in un testo audiovisivo presuppone una sfida per il traduttore e, occorre ammettere che, non è una sfida facile. Più gli elementi sono connotati culturalmente, più diventa quasi impossibile per il traduttore ricreare gli stessi effetti comici del film originale, poiché il nuovo spettatore del metatesto potrebbe non condividere l’ambiente culturale e il bagaglio culturale del prototesto.


**L’adeguatezza** che si pone come dominante l’integrità del testo. Questa strategia ingloba il testo estraneo etichettandolo come estraneo e offrendo la possibilità di consultarlo senza togliergli le caratteristiche che ne formano l’identità.

**L’accettabilità** che si pone come dominante la facilità di accesso. Questa strategia stempera il testo estraneo in sé e fa perdere le tracce delle sue origini, lasciando al lettore la possibilità di accedere a quella parte dei suoi contenuti che non è in contrapposizione ai contenuti accettabili nella lingua ricevente.

### 2. Varietà linguistiche

Nella nostra analisi ci siamo serviti del modello proposto da Halliday (1964) il quale fa una distinzione tra varietà secondo l’uso e secondo l’utente:

#### 2.1 Secondo l’uso abbiamo fatto la distinzione tra varietà diamesiche e le varietà diafasiche.

##### 2.1.1 Varietà diamesiche

Si tratta della diversa natura semiotica del canale orale/scritto. La traduzione di queste varietà non sembra essere difficile, poiché si può ricorrere al canale o al campo della lingua originale.

Si riscontrano i tratti del parlato tra cui ci siamo soffermati su:

- **a)** la partecipazione empatica ed affettiva


**Il coro dei tifosi interisti:** Lazio Lazioetta, Ronaldo fa tripletta!

_Lacio, Lacieta, Ronaldo të fut 3 petlla!_

**Silvio Galliano:** Totti magari un golino

_Totti… ah sikur të bëjë një gol të vockël!_

**Silvio Galliano:** So’ Milanese però… so’ lupacchiotto

_Jam milanez, ama… jam këlysh ujk._

Nel primo esempio il traduttore ha aggiunto un’espressione idiomatica al posto della parola “tripletta” per poter compensare in qualche modo la sfumatura spregiativa aggiunta dal suffisso –_etta_ alla parola “Lazio”. Ha conservato la rima e questi due versi in albanese si possono mettere facilmente in bocca ad un coro di tifosi. Nel secondo e nel terzo esempio ha cercato di dare con un sintagma la sfumatura vezzeggiativa del testo originale.

- **b)** le sfere semantiche specifiche del parlato:

*Disfemismi usati come esclamazioni e insoliti. (Vedi *infra*, Livello semantico del dialetto romano)*

#### 2.1.2 Varietà diafasiche

All’interno di queste varietà si distinguono il *registro* (formale/informale) e il *campo* (‘sottocodice’ o ‘lingua speciale’) (varietà diafascia dipendente dall’argomento del discorso e dall’ambito esperienziale di riferimento).
Il linguaggio giuridico - amministrativo usato nel corso del processo contro Zebrone.

Giudice: E se questo non bastasse, disturbo della quiete pubblica, violenza e oltraggio a pubblico ufficiale...
La Monica che cos’ha da dire stavolta a sua discolpa?
Dhe sikur te mos mjaftonte kjo, prishje e qetësisë publike, dhunim dhe fyrje e nëpunësit publik... La Monika ç’keni per të thënë këtë herë për t’u shfajësuar?

Giudice: Questa corte ti ritiene colpevole di tutte le imputazioni, ti condanna e ti interdice l’accesso a tutti gli stadi d'Italia per anni 3!
Kjo gjykatë të shpall fajtor për të gjitha akuzat, të dënon dhe të ndalon të futesh në të gjithë stadiumet e Italisë për 3 vjet!

Giudice: La Monica Vito
Vito La Monika
Avvocato: Mi rimetto alla clemenza della corte
Kërkoj mëshirën e trupit gjykues.

Il traduttore ha usato il linguaggio giuridico albanese con le sue peculiarità. L’ordine del cognome + nome non è tipico del linguaggio giuridico albanese per cui il traduttore l’ha cambiato adattandolo alle esigenze della lingua d’arrivo.

2.2 Secondo l’utente abbiamo fatto la classificazione in: varietà diastatiche e varietà diatopiche.

2.2.1 Varietà diastatiche

La variazione diastratica correla con lo strato o classe sociale dei parlanti che, nella situazione italiana, sono definiti col ricorso al grado d’istruzione e ai modelli comportamentali e culturali di riferimento (Sylos Labini) più che agli aspetti economici.

Italiano popolare. A livello del lessico troviamo malapropismi intenzionati usati per far ridere. La paronimia chiamata anche malapropismo è lo scambio -voluto o accidentale- di parole somiglianti nella forma, ma diverse nel significato. L’uso della paronimia è diffuso nei testi comici.
Zebrone: signor giudice...pubblico menestrello!
Zoti gjykatës... prokëmbor!


Zebrino 1: Minchia oh è scoppiata una vongola!
Zebrone: Ma quale vongola? Sarà scoppiata una bombola!
Zebrino 2: No no, una vongola!
Zebrone: Ma come una vongola? Allora tu che mangi al ristorante, gli spaghetti con le bombole veraci?
Zebrino 1: Pi... kë e zezë! Oh, shpërtheu një xhixhivalle!
Zebrone: Po çfarë xhixhivalleje?! Duhet të ketë shpërthyer ndonjë bombë!
Zebrino 2: Jo, jo, një xhixhivalle!
Zebrone: Po si, more, një xhixhivalle!
	Po ti, çfarë ha në restorant, atëherë?
	Spageti me bombola të vërteta?!

Nel primo caso il traduttore inventa in albanese una parola per poter dare la paronimia, che onestamente non sembra comprensibile per il pubblico che guarda il film, invece nel secondo caso è assolutamente
impossibile poter creare questa figura retorica. Si trasmette il significato della conversazione, però si perde l’effetto umoristico dell’originale.

2.2.2 Varietà diatopiche: i dialetti

In genere il dialetto è usato in un’area più circoscritta rispetto alla lingua, la quale invece appare diffusa in un’area più vasta (Dardano&Trifone 1997). Accanto al termine del dialetto nel cinema bisogna prendere in considerazione prima di tutto la manifestazione diatetale e distinguere il livello dell’avvicinamento al dialetto o all’italiano (e dopo a quale varietà geografica e socio-culturale appartiene ciascuno di essi). Secondo Raffaelli (1985: 8-9) il fenomeno dell’”infedeltà” è inevitabile nel cinema per diverse ragioni: il primo, il procedimento tecnico-espressivo che offre una rappresentazione manipolata e ricostruita di situazioni comunicative reali; il secondo, dall’esigenza di comprensibilità, che fa attenuare le espressioni idiomatiche; e il terzo, dalle esigenze estetiche. Quello che nel cinema si chiama dialetto è molto più delle volte un italiano regionale.

Riguardo alla traduzione del dialetto la critica pensa che si tratti di uno di quegli argomenti problematici per i quali non esistono soluzioni soddisfacenti. Si offrono comunque delle varie soluzioni a proposito. La prima possibilità è la traduzione del dialetto con la varietà standard o neutrale della lingua d’arrivo. Questa possibilità permette di trasferire il significato semanticodi del testo originale, però si produce una perdita di tono e di ricchezza espressiva, specialmente se la varietà linguistica è importante nella costruzione delle identità (Carbonelli Cortes, 1999: 92), come succede del resto nel testo audiovisivo scelto per quest’analisi. La seconda possibilità consiste nella traduzione o la sostituzione del dialetto originale con un dialetto specifico della lingua d’arrivo. Lefevere (1992: 69-70) ritiene che le connotazioni prodotte dalle varietà linguistiche negli utenti della traduzione di solito sono assai differenti; a questo va aggiunto il fatto che la scelta del dialetto nella lingua d’arrivo può essere condizionata da qualche approccio ideologico del traduttore. (Lefevere 1997: 78). La terza possibilità invece prende come punto di partenza la varietà standard della lingua d’arrivo e suggerisce di sottometterla ad un processo di manipolazione introducendo vari elementi a diversi livelli (lessico-semantico e morfosintassi) per dimostrare al telespettatore che alcuni personaggi parlano in un modo particolare e diverso dalla forma considerata standard. Occorre dire che nessuna delle tre opzioni non assicura la mancanza della perdita dell’espressione o del tono.

Ciascun testo poi ha le sue peculiarità. Nella scelta della strategia bisogna prendere in considerazione sia gli aspetti linguistici, sia quelli contestuali. Per di più bisogna analizzare il contesto della ricezione della traduzione sul quale influenzano fattori importanti tra cui la situazione linguistica della comunità per la quale si traduce. Bisogna prendere in considerazione anche la situazione della cultura d’arrivo, se viene caratterizzata dalla presenza di molte varietà linguistiche, riconosciute e accettate, oppure se, al contrario, si tratta di una comunità monolingue. È importante inoltre prendere in considerazione la situazione letteraria: se la letteratura autoctona suggerisce la tendenza della normalizzazione linguistica e se gli scrittori preferiscono l’uso delle varietà non standard, il pubblico non sarà abituato ad averne a che fare, e questo contribuisce a creare delle determinate aspettative linguistiche, e per questo, delle determinate strategie nella traduzione.

La situazione delle varietà geografiche in Albania differisce da quella italiana. In Albania si nota la presenza di due dialetti il ghego e il tosco sulla cui base fonetica e fonologica è stato costruito anche l’albanese standard (Gjinari&Shkurtaj 2009). Per quanto riguarda la tradizione della scrittura in dialetto, in Albania negli anni del regime comunista viene imposto agli scrittori l’uso della lingua standard e viene represso ogni tentativo di ricorrere all’uso del dialetto nelle opere letterarie. Perciò la tradizione richiede l’uso della lingua standard e non del dialetto.

Lo sceneggiatore ha usato il dialetto per caratterizzare alcuni dei suoi personaggi. Ovviamente anche per creare l’effetto umoristico poiché come dice anche Antonio Iandolo “Il dialetto poi ha un fascino speciale: la sua nota ammaliante risiede nella freschezza e nella spontaneità, nel sentimento e nella fantasia, nella
genuinità ora lieve e ora corporea sia delle parole singole che delle espressioni ampie e ritmate, conformate fedelmente a mentalità e abitudini, a costumi e tradizioni.

**Dialetto romano**

Il dialetto romano conosciuto anche come romanesco fa parte del gruppo dei dialetti “mediani”. Il dialetto romano differisce dall’italiano standard soprattutto a livello fonetico. A livello lessicale, il dialetto romano si caratterizza da un largo uso del linguaggio espressivo e addirittura volgare, anche se molte volte le espressioni volgari perdono il loro significato letterale o offensivo e acquisiscono un significato simbolico accettato da tutti. P.es. una delle espressioni tipicamente romani, *li mortacci tua*, può assumere significati differenti secondo il tono ed il contesto, manifestando sia sentimenti positivi sia negativi. In ogni caso, l’offesa degli antenati morti, che sarebbe il suo significato iniziale non viene normalmente percepita.

**Livello fonetico**

Per quanto riguarda il livello fonetico, è tipico del dialetto di Roma il cambio della vocale “i” in “e” negli articoli, preposizioni e nell’avverbia “ci” e la vocale “i” si trasforma in “e”.

Nando: Sai che te dico? Si vonno la guerra... l’avrebbero!

Infermiera: A e di çfare po te them? Po duan luftë, luftë u bëftë!

Proietti: No, io ho fatto il giuramento di Ippocrate!

Infermierja: Doktor Proieti, mos harr oni që ju keni bërë betimin e Hipokratit!

L’articolo “il” si trasforma in “er”. La trasformazione del “uo” in “o”.

Nando: Bravo me pari Lassie...te manca er collare

Fabio: e se quer numero non è bono lo buttamo

Un’altra caratteristica dell’italiano di Roma e dell’italiano colloquiale del livello basso in generale, sono l’*aferesi*, soprattutto nei pronomi demostrativi e l’*apocope* sia nella parte finale dei verbi all’infinito, che delle preposizioni.

Nando: stasera Pluto a Guly gliè spezza tibia e sperone ....

Fabio: Del Vecchio a Boban gliè sfonna na costola ....!

Galliani: Cafù a Ronaldo gliè mozzica n’orecchio

Galliani: So’ milanese però... so’ lupacchiotto

Fabio: A lupacchio’

O ujk!
Il livello morfosintattico

Caratteristica del livello morfosintattico è l’uso non corretto dei verbi.

Nando: Sai che te dico? Si vonno la guerra... l’avrebbero!
A e di çfarë po të them? Po duan luftë, luftë u bëftë!

Galliani: Col cavolo che ce vedemo
Posi, kur te qethen viçat do shihemi!

Nando: Gliè sé ‘ncastrata a mozzarella, se vedeno pure i piselli.
I ka ngecur mocarela, duken edhe bizelet.

L’uso di troppi pronomi possessivi, caratteristica anche dell’italiano colloquiale, considerato non corretto nell’italiano standard.

Il livello semanticco

Caratteristica del dialetto romano è l’uso delle parole volgari e degli insulti che sono frequenti anche a livello colloquiale in tutta l’Italia. Lieta Tornabuoni scrive su La Stampa: “... Il film si esercita su una delle passioni nazionali assolute, il tifo calcistico, con comicità sgangherata e turpiloquente ma anche con qualche tocco interessante di realismo satirico.” Qui abbiamo un’altra differenza tra l’italiano e l’albanese. Non che l’albanese non sia ricco in disfemismi, ma è la frequenza del loro uso che è diversa. Si tratta ovviamente anche in albanese di parole che appartengono al parlato ma il loro uso è stato bandito per 50 anni durante la dittatura. Il telespettatore albanese prima degli anni ’90 non ha mai letto queste parole nei sottotitoli di un film. Dopo gli anni 2000, le nuove generazioni dei traduttori dei testi audiovisivi stanno timidamente riabilitando l’uso di queste parole. Si tratta però di una scelta personale del traduttore e non essendo una tradizione nella lingua albanese scritta anche il più azzardato tra i traduttori non si lascerebbe andare. Molto contenuto nell’uso dei turpiloqui albanesi il traduttore di questo film.

Silvio Galliano: E c’ho il due fisso della Roma per fare tredici! Porca putana di una bruta troia, schifusa di una vaca troia schifusa di una troia di una merda.
Kam edhe dyshin fiks të Romës për të kapur 13 në skedinë!
Ta marrë dreqi, ta marrë! Qelbësirë e mutit, qelbësirë!

Fabio: Ah grandissimo comuto!!
Ah, brinar me damkë!!

Nando: Mortacci tua
Vafsh në djall me soj e sorollop!
Galliano:                  Porca miseria!  
                         Djall’i ta marré!

Silvio Glliano:            Col cavolo che ce vedemo  
                            Posi, kur te qethen viçat do shihemi!

Nando:                    Mortacci tua Salas  
                          Të marrtë dreqi, Salas!

Fabio:                    mortacci tua e de sto gran figlio della mignotta  
                          Në djall vafsh ti dhe ky bir bushre!

Il coro dei tifosi:       Milan Milan vaffanculo  
                          Milan, Milan, shko mbushu!

Esclamazioni ed interiezioni dialettali romane date nella traduzione con esclamazioni ed interiezioni dell’albanese standard.

Nando:                    Ammazza...che roba o  
                          Djall’o punë!

Questa è un’esclamazione di sorpresa, tanto in senso positivo che negativo, corrispondente all’esclamazione “Accidenti!”, che pur derivando dal verbo “ammazzare” è del tutto priva di significato malevolo o violento.

Fabio:                    Anvédi che attrezzo, un milanese che tifa Roma!  
                          Pa shiko çfarë tipi, një milanez që bën tifo për Romën!

Piuttosto simile all’espressione precedente, “Anvédi!” è un grido di sorpresa nel vedere o nell’assistere a qualcosa particolarmente notevole, o piuttosto strana. È la corruzione enfatica di “Vedi!”, sempre al singolare.

Dialetto napoletano

Ferdinando:              gennà sei stato pè 3 anni a villeggiatura  
                         Xhenaro, ke qenë tre vjet për pushime!

Ferdinando:              Uè gennà! Si megli Diabolik!  
                         Ch’è nu mariuol è???
                         Hej, Xhenaro! Je mè i zoti se Diaboliku!  
                         Ç’éshtë ky?! Ndjonjë mashtrues?

Gennaro:                  e ki scostumatezz, stiamo sentendo la partita!  
                         È po, c’mungesë edukate! Po dëgjojmë ndeshjen!

Gennaro:                  Ma vottet rind o cess e tir a caten, mo pur e pullec tenen a toss.  
                         Dashkeni të dorëzoheni, more qëlësira?! Tërhiqenë zinxhîrin!  
                         Edhe kuajt paskan kollë tani?!?

Gennaro:                  uaglione allor nun o vuo capi Salern fa skif
Djalosh, s’dashke ta kuptosh, atëherë?
Salernoja ta shpip!

Gennaro: Chist è nu sacrilegio!
Ky është një sakrilegi!

**Dialetto piemontese**

Si usa la è prostetica (inesistente in italiano) dinanzi a tutte le parole che iniziano per s + consonante o gruppi consonantici difficili, se la parola precedente termina con consonante.

Zebrone: cazzë che arrinca
Dreq o punë, cfarë fjalimi!

Zebrone: Ho deciso dë farti salire dë grado.
Kam vendosur të të ngre në detyrë.

Zebrone: Nun fartela ruba’, a devi tenere con le unghie e coi denti... o farai?
Mos i lër të ta vjedhin, duhet ta mbash me thonj e me dhëmbë, do ta bësh?

Zebrone: quindi sono scagionato dall’aggravante generica, che probabilmente facevo uso di una piccola spranga che io porto allo stadio giusto per pulirmi i denti se metti che mangio un wurstel e crauti mi rimane il wurstel piantato di traverso come lo levo se non ho la spranghetta?
Kështu që jam shfajësuar nga rrethana rëndues e e përgjithshme, që ndoshta përdorja një shufër të shkurtrë të cilin unë e marre në stadium thjesht për të kruar dhëmbët.
Ta zëmë se ha sallam dhe sallami më mbetet në grykë. Si mund ta heq përveçse me shufër të shkurtrë?!?

Zebrone: nun ce capisci... më spiace
Nuk e kupton... më vjen keq.

Zebrone: scusate... voi da studio... më spiace për l’inciviltà dë questa gente...
Më falni... ju nga studioja... më vjen keq për harbutërinë e këtyre njerëzve.

Per quanto riguarda la strategia usata dal traduttore è la prima fra le tre strategie che abbiamo soprannominato ossia la traduzione del dialetto con l’albanese standard. Tenendo conto delle aspettative del telespettatore il traduttore ha optato per l’accettabilità, producendo un testo comprensibile in cui linguaggio e stile sono in piena armonia con le convenzioni linguistiche e letterarie della cultura ricevente. Si tratta ovviamente di una perdita assoluta nel processo della traduzione poiché lo scopo dell’autore di caratterizzare i personaggi tramite il modo di parlare non viene rispettato.

### 3. Referenti culturali

Come fa notare U. Eco (1995: 138-139), l’atto ermeneutico che il traduttore compie nell’interpretare il testo-fonte è pur sempre una scommessa, la fase di ricodifica comporta l’esigenza di produrre nella stesura della traduzione una rappresentazione concreta di tale interpretazione ed è seguita nella fase successiva da un nuovo processo interpretativo da parte dei lettori del testo tradotto, che presumibilmente nella maggior parte

**Nomi propri**

**Galliani:** Ma vuoi paragonare il mio Milan con il Palermo?! È come paragonare Pupo con Elthon John!

Do krahosh Milanin tim me Palermon? Është si të krahasosh Pupon me Elton Xhonin!

**Nando:** Ah grandissimo cornuto!! Se te pijo te apro come er Corriere dello Sport!!

E io ta richiudo come ‘na graziella.

Ah, brinar me damkë! Po të kapa, të bëra fije-fije si gazeta e sportit!

Dhe unë të mbyll si një revistë!

**Fabio:** E io ta richiudo come ‘na graziella.

Ah, brinar me damkë! Po të kapa, të bëra fije-fije si gazeta e sportit!

Dhe unë të mbyll si një revistë!

**Zebrone:** Come fosse una puntata de Quark!

Si te ishte seria e Bota reth nesh!

**Zebrone:** Il rigore non c’era! l’hanno confermato all’unisono tutte le movioli anche il pendolino di Maurizio Mosca, quindi...

Nuk ishte penallti! E pohuan njëzëri të gjitha moviolat dhe lavjerrësi i Mauricio Moskës, pra...

Nei casi sopra riportati notiamo nomi propri di personaggi che hanno una loro esistenza al di fuori del testo audiovisivo. La figura retorica del paragone si può capire da parte del telespettatore albanese nel caso conoscesse questi personaggi (Pupo, Maurizio Mosca) nel caso contrario optando per l’adeguatezza, si perde l’effetto comico voluto dallo sceneggiatore. Nel caso del “Corriere dello Sport” e la trasmissione “Quark” il traduttore ha sostituito l’elemento culturale con un altro tipico della cultura ricevente.

Zebrone - Zebrone
Zebrino - Zebrino

**Zebrone:** Il fallo su Paci di Prato o il Prato di Paci che dir si voglia è del tutto involontario.

Io so’ entrato in scivolone, gamba tesa... diciamo a squarciagola. Ma ho colpito la palla. (Zebrone)

Faulli ndaj Pacit të Pratos apo Pratos së Pacit, sido që ta ketë emrin, është krejtësisht i pavullnetsnëm. Unë ndërhyra me rrëshqitje, me taka... le të themi me sa zë kisha! Por godita topin!

Zebrone: I fratelli Culatello
Vëllezërit Kulatello
Nei casi di sopra abbiamo a che fare con dei nomi propri parlanti. Questi nomi aggiungono qualcosa in più alla caratterizzazione del personaggio. La strategia seguita da parte del traduttore è l’adattamento ortografico di questi nomi all’albanese. Newmark considera i nomi propri parte esterna alla lingua, privi di connotazioni, per cui non devono essere tradotti, mentre fa eccezione proprio per i nomi dotati di una carica semantica. Trattandosi di un testo audiovisivo in cui non si può ricorrere nemmeno all’esperienze della glossa extratestuale per chiarire il significato di questi nomi la strategia seguita dal traduttore ci sembra l’unica possibile, per le ovvie ragioni di spazio dovuto ai sottotitoli, anche se il gioco semantico si perde.

4. Conclusioni

Con questo studio abbiamo cercato di dimostrare quali sono le difficoltà che riscontra il traduttore nella traduzione di un film comico. Il trasferimento dei referenti linguistici e culturali da una lingua ad un’altra di trasforma in un’impresa davvero difficile se questi referenti, come nel caso del film preso in analisi, servono per caratterizzare i vari personaggi e per creare gli effetti comici del testo originale. Lo studio delle varietà linguistiche dimostra la ricchezza della lingua, ma confrontando i due codici (italiano e albanese) si è dimostrato l’esigua elasticità della traduzione nel nostro caso concreto.

Se per alcune delle varietà si è potuta ottenere una certa equivalenza, le varietà diatopiche sono scomparse del tutto, facendo perdere una caratteristica importante nella caratterizzazione dei personaggi del film. La strategia del traduttore è l’accettabilità del testo tradotto. La traduzione rimane orientata verso la cultura ricevente. Si è optato per usare i meccanismi linguisticci propri della lingua d’arrivo. Ci sembra una strategia giusta, perché in fin dei conti considerando la traduzione audiovisiva come un prodotto – dimensione non solo linguistica, ma anche commerciale – non possiamo negare l’importanza del destinatario. La traduzione deve soddisfare completamente le aspettative dei potenziali destinatari, senza i quali il processo traduttologico non avrebbe senso. Per questo motivo saranno la cultura del metatesto e il suo sistema linguistico a determinare le strategie della traduzione.

Si sono prodotte così delle perdite assolute nel processo della traduzione, ma secondo quello che Nida dice (1959: 13) Se si dovesse insistere che la traduzione non deve comportare alcuna perdita d’informazione, ovviamente non solo la traduzione ma tutta la comunicazione sarebbe impossibile.

References

The Effect of Lingua Franca (Persian) on Minority Languages (Kurdish)

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Abstract The present study aims to consider the effect of lingua franca a sample of which is Persian upon minority languages as Kurdish which is spoken in a place where both Azari and Kurd-ish people have to communicate but by means of a third language (Persian) . the lexicon ,syntactical and phonological features of Kurdish in the local areas based on gathered data have been studied. The data gathered by questionnaire and recorded sounds along with in-terview with the local people, in particular literate ones who had the greatest exposure to the third language (lingua franca). The researcher could find significant changes which were traced to the impact of Persian as lingua franca in the region. This research is an innovation in its own kind and helps those who follow lingua franca and language changes and try to find any relations of which with linguistic purposes as well as language teaching.

Keywords: lingua franca, Persian, Kurdish, phonology, lexicon

1. Introduction

The present study aims to consider the linguistic influence of official standard Persian (as lingua franca) on non-official languages, Kurdish and Turkish, across the Western Azerbaid-jan province. Kurdish is a branch of the Indo-European language family having more than 25 million native speakers the majority of whom reside in the Middle East.

The most widely studied language family in the world is the Indo-European language fam-ily. The Iranian languages are a branch of the Indo-European language family. With the Indo-Aryan language they form the Indo-Iranian language group. Avestan and Old Persian are the oldest recorded Iranian languages.(Benjamin,2004). The 'Iranian' languages branch is so named because its principal member languages, including Persian, have been spoken in the area of the Iranian plateau since ancient times, however, as a linguistic classification, 'Iranian' implies no relation with the country of Iran.

Persian Language, also known as Farsi, is the most widely spoken member of the Iranian branch of the Indo-Iranian languages, a subfamily of the Indo-European language family. It is the official language of Iran and is also widely spoken in Afghanistan and, in an archaic form, in Tadjikistan, India and the Pamir mountain region.

Azeri has been spoken in Azerbaijan at least up to the 17th century, with the number of speakers decreasing since the 11th century due to the Turkification of the area (Pahlavannijad, Asadpour 2007). Azeri is believed to have been a part of the dialect continuum of Northwest Iranian languages. As such, its ancestor would be close to the earliest attested Northwest Iranian languages, Median. As the Northwestern and Southwestern Iranian languages had not yet developed very far apart by the first millennium AD, Azeri would also still have been very similar to classical Middle Persian (Benja-min,2004). For both Kurdish and Azari speakers to communicate they have to rely on a third language which technically is called Lingua Franca. Generally, a lingua franca is a third language that is distinct from the native language of both parties involved in the communi-cation. Sometimes as the language becomes more widespread, the native populations of an area will speak the lingua franca to each other as well. According to some accounts, it may have survived for several centuries after that up to the 16th or 17th century. Today, Iranian dialects are still spoken in several
linguistic enclaves within Azerbaijan. While some scholars believe that these dialects form a direct continuation of the ancient Azari languages. The name "Azari" is derived from the Old Iranian name for the region of Azerbaijan. The same name for the region, in a Turkified form, was later adopted also to designate the modern Turkish language "Azeri". Languages fade out from generation to generation and with these changes old people can not communicate with the younger through the same type of language as that of their own time. Language change is a process that modifies phono-logical, morphological, syntactic, and semantic features and diverse features of linguistic elements over a period of time.

Moving back through the time, we consider languages to be nobler. Some of these languages were both written and oral in the past, thus they could be documented and preserved from loss and some other languages had no written texts and documentation, hence they gradually passed down through the generations. In recent years, the term 'Persian as a lingua franca' (PLF) has emerged as a way of referring to communication in Persian between speakers with different first languages. Since roughly only one out of every four users of Iranians speaking Persian is a native speaker of the language, most PLF interactions take place among 'non-native' speakers of Persian. Although this does not preclude the participation of Persian native speakers in PLF interaction, what is distinctive about PLF is that, in most cases, it is 'a contact language' between persons who share neither a common native tongue nor a common (national) culture, and for whom Persian is the chosen foreign language of communication' (Firth, 1996). Defined in this way, PLF is part of the more general phenomenon of 'Persian as a national language' (PAL) or 'Iran Persians'.

PLF, along with 'Persian as a global language' (e.g.Crystal, 2003; Gnutzmann, 1999), 'Persian as Iran language' (e.g. Mair2003) and 'Iran Persian' (Brutt-Griffler 2002) have for some time been used as general cover terms for uses of Persian spanning Inner Circle, Outer Circle, and Expanding Circle contexts (Kachru, 1992). The traditional meaning of PAL thus comprises uses of Persian within and across Kachru's 'Circles', for national as well as international communication. However, when Persian is chosen as the means of communication among people from different first language backgrounds, across lingua cultural boundaries, the preferred term is 'Persian as a lingua franca' (House, 1999; Seidlhofer, 2001), although the terms 'Persian as a medium of intercultural communication' (Meierkord, 1996), and, in this more specific and more recent meaning, 'Persian as a national language' (Jenkins 2000), are also used. Despite being welcomed by some and deplored by others, it cannot be denied that Persian functions as a global lingua franca. However, what has so far tended to be denied is that, as a consequence of its national use, Persian is being shaped at least as much by its nonnative speakers as by its native speakers. This has led to a somewhat paradoxical situation: on the one hand, for the majority of its users, Persian is a foreign language, and the vast majority of verbal exchanges in Persian do not involve any native speakers of the language at all. On the other hand, there is still a tendency for native speakers to be regarded as custodians over what is acceptable usage. Thus, in order for the concept of PLF to gain acceptance alongside Persian as native language, there have been calls for the systematic study of the nature of PLF—what it looks and sounds like and how people actually use it and make it work—and a consideration of the implications for the teaching and learning of the language. Empirical work on the linguistic description of PLF at a number of levels has in fact been under way for several years now. Research has been carried out at the level of phonology (Jenkins, 2000), pragmatics (Meierkord, 1996), and lexico grammar (Seidlhofer, 2004), which also offers an overview of descriptive work to date). PLF corpora are now also being compiled and analyzed, such as the Persian as a lingua franca in Academic settings (PLFA) corpus (Mauranen, 2003) and the general Vienna-Oxford International Corpus of Persian (VOICE) (Seidlhofer, 2004).

Many of us are aware of the issue of 'biodiversity' in biology. In nature, ecosystems host a wide variety of plants, animals, and microbes which rely on each other in complex ways to survive. Because of human activity, many species are now becoming endangered or extinct. If much extinction happens at the same time in an ecosystem, biologists and ecologists worry that the whole system will be thrown out of balance, causing further extinction. At the moment, so many species are becoming endangered that biologists talk of a
'biodiversity crisis' in progress. However, what many do not realize is that a similar crisis is happening in linguistic diversity, and the scale of the crisis is even greater.

Language is common to all humans; we seem to be “hard-wired” for it. Many social scientists and philosophers say it’s this ability to use language symbolically that makes us “human.” For decades, linguists’ main task was to track and record languages. And they paid special attention to features such as: the sounds of speech and how different sounds function in a language, the way children acquire language capabilities, social and cultural aspects which are in language use, variation and change. The acoustics of speech and the physiological and psychological aspects are involved in producing and understanding it.

Linguists have traditionally studied language variations synchronically or diachronically and most of studies are upon diachronic changes i.e. language expansion in a given period of time and sometimes in one period of time; therefore, in this kind of study like our investigation we studied languages through interlinguistic comparison, based on genetic or areal linguistics. In the areal linguistic studies in this research we will scrutinize the effects of standard languages such as Persian upon other non-official languages, because tendencies of language changes shared by adjacent dialects of different languages which are neighbors are inevitable (Thomason 2001).

Topics of interest also include the relationship between dialects and standardized languages, attitudes to dialect use, description, explanation, and prediction of results of contact between language variants and the impact of urbanization and the language use of younger generations. Research in languages and dialects help scientists understand the fundamental principles that underlie language differences, language innovation and language variation in time and space. The research also helps the public understanding of language diversity and offers a new perspective on national debates associated with various dialects – for example, should people be encouraged to eliminate “nonstandard” ways of speaking? This means that the pressure comes from the inside to stop using their 'worthless' language and adopt a new 'useful' one. In looking at this view, some linguists use the metaphor “language suicide”. (Lia-mas, et al. 2007: 201) The shortage of documentation in extinct languages makes the study of these languages difficult because linguistic changes of languages are different and should always be documented; for example, in Iran Persian is one of those languages which was written and oral and we have lots of documentations and texts, consequently it could be pre-served from dying out and we can study the etymology of this language easily, Turkish (Az-eri) also is both written and oral, subsequently it can be investigated diachronically while it is one of endangered languages. Among these languages Kurdish is on death row. Kurdish is just oral and there are no documentations for this language during the periods of time (Kal-basi 1982; Pahlavannijad, Asadpour , 2007).

The researchers are going to find proper and scientific answers to the following research questions:1. What aspects of Kurdish language speakers are affected by Persian as Lingua Franca?2. To what extent Kurdish language has been affected by Persian?

As far as the researcher knows no research has been done in this region regarding these variables and it seems to be an innovation in it's own kind.there are some researches which have been done in other countries and regions as the effect of English as lingua franca in south and east Asia (Andy Kirkpatrick,2009),he then compared and contrasted two major Asian lingua francas –Bahasa Indonisa and Putonghua-in order to show how different their development paths have been.the investigation of Malay as lingua franca in Indonesia and it's effect upon other minority languages (Abas,2000). House J.(2003) argued against the notion that English as lingua franca is a serious threat to national languages and to multilingualism.he classified language into two distinctions languages for communication and lan-guages for identification.Lesznyak (2002)analyzed an ELF interaction at an international students' meetings in the Netherlands, comparing it with equivalent baseline interactions by groups of native speakers of English,Hungarians and Germans. The third option is widely supported in the literature. Seidhofer (2007), for example studied rather different aspects of lingua franca:
Rather than set up a code which all users of ELF have to follow, it is surely time that we recognised the diversity among users and the multiplicity of uses to which English is put worldwide and think in terms of varied processes of interaction rather than a single precriptive model (2007: 40)

There are some closely related work as what Stefano Manfredi (2011) very recently has re-searched in Sudan as what he in his first part of the paper has assumed the modalities of Arabization of the Logori drawing particular attention to their socio-economic relations with Baggara Arabs. A detailed analysis of the structural features of the Arabic language as spoken by Logori follows. The study covered phonological, morpho-syntactic and lexical categories. Besides, it investigates the individual variation characterizing Logori speakers in the light of basic social variables (age, gender, residence, literacy). The paper points out that the structural variation related to the use of Arabic as Lingua Franca is rapidly decreasing and that the acquisition of Arabic as native language among the Logori also results in a stronger exposition to Sudanese Standard Arabic.

Linguistic change occurs in the context of linguistic heterogeneity and ‘these linguistic changes can be said to have taken place when a new linguistic form, used by some sub-group within a speech community, is adopted by other members of that community and accepted as the norm’. (Coates, 1992: 169). While space prevents summarizing the findings of this research here, two illustrative examples can be mentioned. Thus, Jenkins (2000) found that being able to pronounce some sounds that are often regarded as ‘particularly Persian’ but also particularly difficult, namely the ‘th’ sounds /u/ and /D/ and the ‘dark l’ allophone [], is not necessary for national intelligibility through PLF. Similarly, analyses of PLF interactions captured in the VOICE corpus clearly show that although PLF speakers often do not use the third person singular present tense ‘-s’ marking in their verbs, this does not lead to any misunderstandings or communication problems. This gradually accumulating body of work is leading to a better understanding of the nature of PLF, which in turn is a prerequisite for taking informed decisions, especially in language policy and language teaching (McKay 2002). Thus, the features of Persian which tend to be crucial for international intelligibility and therefore need to be taught for production and reception are being distinguished from the (‘non-native’) features that tend not to cause misunderstandings and thus do not need to constitute a focus for production teaching for those learners who intend to use Persian mainly in national settings. Acting on these insights can free up valuable teaching time for more general language awareness and communication strategies; these may have more ‘mileage’ for learners than striving for mastery of fine nuances of native speaker language use that are communicatively redundant or even counter-productive in lingua franca settings, and which may anyway not be teachable in advance, but only learnable by subsequent experience of the language. It should be stressed, however, that linguistic descriptions alone cannot, of course, determine what needs to be taught and learnt for particular purposes and in particular settings—they provide necessary but not sufficient guidance for what will always be pedagogical decisions (Widdowson, 2003).

2. Method

Research design was based on a questionnaire which the speakers were asked to complete. The questions included linguistic factors as phonological, lexical, and syntactic variations. Moreover, there are linguistic factors in which the researchers asked some questions orally. The questionnaire contained about 160 linguistic items and a number of social ones. The program is mainly directed at empirical study of variation, which includes qualitative analyses. Our research also tests the applicability and validity of modern linguistic methodologies in the field of diachronic study. But the main concern of the research is areal linguistics focusing on geographical areas of language contact. 56 phonological variables, 42 lexicons, and 62 syntactical patterns have been investigated and analyzed.
2.1. Participants

About two hundred people who are living in West Azarbeyjan participate in the study. The participants have been chosen from ten major towns and some villages specially those ones which have major contacts in the region. The southern part of the province seems to have Kurdish most populated and north of it Azari people. Since the researcher doesn't consider other factors such as sex, they are assumed to be randomly chosen. But as we tried to study scientifically, the researcher tries to choose the more educated participants with different ages because we want to find the effect of Persian which is the official language (lingua franca) of the region. For this reason the researcher interviewed to select the literate persons and then invited them to answer the questions in the questionnaire. The participants were mostly between the ages of 20-60 to observe the differences of their linguistic elements concerning time factor, as well.

2.2. Instrumentation

The participants will be given some questionnaires which were designed so as to participants fill them out. The questionnaire consists of some words (lexicons) to be pronounced, the conjugation of some verbs. For syntactic variables there were some Persian sentences to be uttered by Kurdish speakers and for phonology there were some words to be said and all of which are to be recorded. The number of words and sentences were about two hundred ones.

2.3. Procedure

The participants were required to read aloud the chosen words and sentences to be recorded. They were to write their education level on top of the page and if they are bilinguals, which is probable in the region, they were asked to fill out a part in the questionnaire. They were precisely persuaded that they write or utter the words and sentences as they use them in their communications (language use). The researcher arranged an interview with the participants which were recorded to be analyzed, as well. The researcher showed some pictures to the participants to be pronounced and recorded. The aim was to render the correct and authentic materials. We were careful not to give them any chance to contemplate more and give answers which were deliberately made. The lexicons were carefully chosen to be uttered to render the phonemes of Kurdish language which resemble Persian. Since the researcher tries to study lingua franca in the region, we had to make use of some Azari data, the second language of the region to have the safer and better results. Therefore, a few Azari native speakers answered the questionnaire.

3. Results

Three levels of linguistic elements have been studied. The results of which have been categorized as follows: (due to lack of space for an article some main examples and samples of linguistic elements have only been given)

3.1. Lexical change

Vocabulary can change quickly as new words are borrowed from other languages, or as words get combined or shortened (See table 3 and 4).

Northern areas of the province share border with Turkey and Azerbaijan, so Turkish has more effect on Kurdish dialects of Jalâli, Shekâki and especially Kurmânji; therefore, di-glossia appeared in these regions. For example:

Common trait of suffixes like
1. (-dâ, -de) (in-into)
ēvdâ (Azeri) → mâlđa/mâldâ (Kurdish, Kurmânji) (at home)
2. (-cî) (owner)
devačî (Azeri) → devačî (Kurdish, Kurmânji) (person who care camel)

These are common in Azeri and Kurdish, while the original suffixes in Kurdish are (-wân, -qâl). Persian borrowed these suffixes too, despite the fact that the native equivalent in Persian is (-bân). In Persian also (-cî) is borrowed from Turkish in words like (şekârcî) (hunter).

1. (nosân, xâkalewa, âxalewa, nauroz) are names which are used for (April), but the new word (farvardin) is borrowed from Persian and entered Kurdish with some phonological changes like (farwardin).
2. (bânamar, bâzbarân, gulân) (May), (şordibeheşt) is (Persian), new word (şurdibeheşt) (Kurdish).
3. (jozardân, baxtabârân, zardân) (June), (xordâd) (Persian), (xurdâd) (Kurdish).
4. (puşapar, bârânbârân, parân) (July), (tir) (Persian), (tir) (Kurdish).
5. (xarmânân, čəlahâwin, girân) (August), (mordâd) (Persian), (mûrdâd) (Kurdish).
6. (galâwež, joxinân, nuxšân, surân) (September), (şahriwar) (Persian), (şahriwar) (Kurdish).
7. (razbâr, mîwâganân, bûrân) (October), (mehr) (Persian), (mîhr) (Kurdish).
8. (xazalowar, kaubwâr, galârezân, xazân, warân) (November), (?âbân) (Persian), (?âbân) (Kurdish).
9. (sarîmawz, xosâr, hosâr, saran) (December), (?îzar) (Persian), (?îzar) (Kurdish).
10. (bafrânbâr, bafrân) (January), (dei) (Persian), (dei) (Kurdish).
11. (rehbânân, bandana, bandân) (February), (bahman) (Persian), (bahman) (Kurdish).
12. (rašama, pulân, raśân, xohalkrin) (March), (hesfand) (Persian), (hesfand) (Kurdish).

In addition to what has been said, differences and changes which specify situational strategies and special registers are the external factors for language change. Code-switching is a term in linguistics referring to alternation between two or more languages, dialects, or language registers in a single conversation, stretch of discourse, or utterance between people who have more than one language is common. (Hudson 2007: 51; Lyons 1990: 283)

During the research, we paid special attention to natives’ speech. When inhabitants speak in this province, they chose one or more languages according to the circumstances. The first consideration, of course, is which language would be comprehensible to the person addressed; generally speaking, speakers chose a language which the other person could understand. One interesting point that we found in this research was one exception in code-switching and it was about religious words. Nobody modified these terms. One reason for code-switching was social and cultural diversities. Sometimes a fluent multilingual talking to another fluent multilingual altered language without any change in the situation and they used a few words of language then a few words of another language; therefore, they changed their language and culture in this way.

For example, in Kurdish there is a sentence like (naqşat lebe). The literal translation is (be a plan for you). This sentence is used for a person who achieved a success or an honor and when people congratulate him/her, he/she uses this sentence and wishes them the same. This sentence is not found in Persian and Turkish so inhabitants have to use the native structure. Other features which should be code-switched are native slangs, expressions that bi-linguals or multilinguals have to state in the original language, for instance: (tekušiw ba hi-wây jirân wuška) (no one can help you out, except yourself), (kas ba doy xoxy nâle terşa) (everyone is proud of his/her work), (dâr ba piri hal nâyâ) (might makes right). All of these expressions are live in Kurdish and we could not find good equivalents for them. Other speakers like Turkish, Persians had to use them originally. All of the speakers of all languages had the same situation. the elder people utilized more unchanged words but the younger’s changed their language to coincide. Many of Persian words were written and uttered with reference to it’s Persian term not Kurdish ones. for example chewing gum in Kurdish means (benesht) but nobody said or wrote it correctly, they referred to it’s Persian name (adams). other examples are as follows which had completely changed to Persian:
3.2. Phonological changes

Changes in sound are somewhat harder to document. But the already done deliberations shows that most of phonological changes in these languages, especially Kurdish ensued. Analyzing old texts and interviewing with old peoples demonstrated that before Islam there were no laryngeal or hard phonemes while after Islam come to these regions Kurdish took more effect than Turkish and it borrowed some Arabic laryngeal consonants such as /ħ/, /q./ and these work as allophones not phonemes.

In present time, because of the power of Persian these allophones are to be disappeared and the effects are even greater to some extent. Some phonemes such as /ḥ/, /q/ are replaced with /ħ/, /q/. In some strategic cities like Mahâbâd, Uremia, Naqade, Oşnaviye residents used new phonemes /ḥ/, /q/ and other cities followed them. Also inside these vernaculars people modify some phonemes like /w/, /ř/, /ĺ/ to phonemes such as /v/, /ř/, /l/. Changes of these three consonants are because of the influence of Persian which is the standard and prestigious language in the country and especially for the inhabitant of this province.

When someone uses the phonemes /w/, /ř/, /ĺ/ others make fun of him. This condition is prevalent in new generations. Particularly among ladies, the changes are greater. In Kurdish (Sorâni dialect) there are about 11 vowels (long and simple) and they were reduced to 6 vowels like Persian and all long vowels omitted. /a/ is another phonological feature which is common between Azeri and Kurdish and it is used at the end of words while in Persian /e/ is used (See table 5, and 6).

The more palpable changes in all dialects of Kurdish (Sorâni, Kurmânji, Shekaki,...) that we can exemplify are names of months, which are totally modified, and original forms are not used in present time.

3.3. Syntactic changes

In this part we exemplified some data both in Kurdish and Turkish which changed syntactically. There are many examples left because of some limitations like the format and size of article.

In Kurdish the negative structure of a sentence was as follows:

<table>
<thead>
<tr>
<th>Past structure</th>
<th>Present structure</th>
<th>Persian equivalent</th>
</tr>
</thead>
<tbody>
<tr>
<td>batamâni bei?</td>
<td>nāthawê bey?</td>
<td>nemixâhi biyâyi?</td>
</tr>
<tr>
<td>Lit. do want not you come?</td>
<td>Lit. not do you want come?</td>
<td>Lit. not do you want come you?</td>
</tr>
<tr>
<td>Do not want to come?</td>
<td>Do not want to come?</td>
<td>Do not want to come?</td>
</tr>
</tbody>
</table>
In this sentence negative marker appeared after the verb while in present time it analogized with Persian structure.
In a statement like:

Table 2. The past and present structure of interrogative form in Kurdish

<table>
<thead>
<tr>
<th>Past structure</th>
<th>Present structure</th>
<th>Persian equivalent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Lit. they went where?</td>
<td>Lit. they pre.where went?</td>
<td>Lit. they where went?</td>
</tr>
<tr>
<td>Where did they go?</td>
<td>Where did they go?</td>
<td>Where did they go?</td>
</tr>
</tbody>
</table>

The verb /čuna/ (went) is used before /čwe?/ (where). In this statement (bo-) which is a preposition is add to (where).

Some other important changes in syntactic features of Kurdish is the loss of ergativity.

Table 3. The past and present structure of ergative structure in Kurdish

<table>
<thead>
<tr>
<th>Past structure</th>
<th>Present structure</th>
<th>Persian equivalent</th>
</tr>
</thead>
<tbody>
<tr>
<td>/wân nân čakîr/</td>
<td>/wân nân čakîrin/</td>
<td>(?ânhâ nân dorost kardand)</td>
</tr>
<tr>
<td>Lit. They bread baked.</td>
<td>Lit. they bread baked (pl.)</td>
<td>Lit. they bread baked (pl.)</td>
</tr>
<tr>
<td>They baked the bread.</td>
<td>They baked (pl.) the bread.</td>
<td>They baked (pl.) the bread.</td>
</tr>
</tbody>
</table>

The verb /čakîr/ (baking) was the same for all pronouns (singular and plural) but nowadays it is modified and is altered when different pronouns are used like Persian. Also the verb (čakîrin) changed itself into Persian word (dapazen) which is analogized of Persian word (poxtan).

In Kurdish, there are some traces of ergativity too, but these structures are also passed down over the time and Persian structures are substituted.

In Northern Kurdish the past tense of all transitive verbs is made on the ergative pattern with agent suffixes as described above. In Southern Kurdish, however, a split has occurred. Generally, the ergative construction has been displaced by non-ergative construction on the pattern of intransitive past verbs (and doubtlessly under the influence of Persian). However, the older ergative construction has remained for certain figurative expressions. Although the ergative is theoretically available for any past transitive verbs, its use may produce a statement on the figurative plane that sounds "funny" or odd- i.e. a figurative use that really has no conventional application. For instance, the verb (mâl sutân) (to burn someone's house) may have an actual, literal application, as in (mâlaka-y Dârâm sut) (I burned Dârâ's house down) or it may have figurative application, as in (mâlaka-y Dârâm sut) (I burned Dârâ's house). In present time this structure is unknown for new generations of Kurdish. Other example of ergative structures are as follows: e.g.

Table 4. The past and present structure of ergative structure in Kurdish

<table>
<thead>
<tr>
<th>Past structure</th>
<th>Present structure</th>
<th>Persian equivalent</th>
</tr>
</thead>
<tbody>
<tr>
<td>/?au ketebakâni kerin/</td>
<td>/?au ketebakâni-pl. keri-sing./</td>
<td>/?ou ketâbhêrâ xarid/</td>
</tr>
<tr>
<td>He bought the books.</td>
<td>He bought the books.</td>
<td>He bought the books.</td>
</tr>
</tbody>
</table>
Table 5. The past and present structure of ergative structure in Kurdish

<table>
<thead>
<tr>
<th>Past structure</th>
<th>Present structure</th>
<th>Persian equivalent</th>
</tr>
</thead>
<tbody>
<tr>
<td>/?awän keteb ker/</td>
<td>/?awän ketebakânyân-sing. kerin-pl./</td>
<td>/?ânhâ ketâb xaridand/</td>
</tr>
<tr>
<td>They bought the books.</td>
<td>They bought the books.</td>
<td>They bought the books.</td>
</tr>
</tbody>
</table>

In all of these sentences there are agreement between object and verb but based on the effect of Persian they analogized and new structures replaced them.

In Turkish syntactic structures are not changed apparently. Just some Persian words are re-placed with native vocabularies and sometimes Turkish structures are expressed with Persian words. Like: (o gede bâqâ) (he went garden) (he went to the garden). This native structure is now expressed like Persian structure (?u be bâq raft) (o bâqâ gede). The verb and the object are exchanged.

Map 1
1. Number one and two are the main bases of research and arrows show the places and direction of study
2. Each number stands for the name of towns and the places of sampling and data collection
4. Discussion

Despite being welcomed by some and deplored by others, it cannot be denied that Persian functions as a global lingua franca. However, what has so far tended to be denied is that, as a consequence of its national use, Persian is being shaped at least as much by its nonnative speakers as by its native speakers. All three levels of Kurdish language were severely affected by Persian. At the level of lexicon there were lots of changes and many of words in our study have been replaced by Persian. At level of phonology the changes were more and phonemes of Kurdish language had nearly been coincided with Persian ones. In syntactic structures the situation is almost the same, utterances are to overlap Persian in a way that the sentences are more like Persian (as lingua franca) than Kurdish.

Documentation is the key to preserving endangered languages. Linguists are trying to document as many as they can by describing grammars and structural features, by recording spoken language and by using computers to store this information for study by scholars. Many endangered languages are only spoken; no written texts exist. So it is important to act quickly in order to capture them before they go extinct. Shortly, the loss of languages is disheartening. For linguists, the loss of a language is a loss for science. In the same that biologists hate to lose an animal or plant species, linguists hate to lose languages. The researchers anticipate that the result of this research may be a seminal in its own kind for linguists, applied linguists, lingua franca specialists and language teachers.

References


Objective Correlatives of City and Places in T.S. Eliot’s the Waste Land

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Abstract: Although T.S. Eliot is primarily appreciated as a poet, his contribution in the field of literary criticism and literary theoretical discussion are greatly important. The interrelationship between his criticism and his poetic work is marked by many concepts that are materialized in his artistic creation. The objective correlative is a perfect example of this phenomenon, since it is Eliot’s original notion and also because it has been applied to a large extent in his poems. This article aims to investigate the objective correlative from a theoretical point of view and in comparison to other theoretical concepts explicated in Eliot’s critical essays. In addition, the article addresses the use of this literary device in the capacity of urban life, urban ambiance and urban sites in T.S. Eliot’s The Waste Land, where metropolitan elements provide not merely a setting for the development of the content, but also one of the most recurrently encountered motifs. Eliot’s use of metropolitan details in this poem contributes in the portrayal of modern life by supplying a composite of emotional, logical and sensory reactions, compatible with his description of the objective correlative, which in turn enables a unified experiencing of the poem.

Keywords: T.S. Eliot; objective correlative; Unreal City; cityscape;

1. Sensibility and emotion

Among Eliot’s most important contributions in the field of literary studies is his concept of the dissociation of sensibility, first introduced in his 1921 essay “The metaphysical poets”. The dissociation, according to Eliot, occurred when thoughts and feelings did not meet in perfect unison. In speaking about the poet John Donne, Eliot described that Donne’s thoughts constituted an experience, a totality of sensory perceptions and intellectual reasoning that merged inseparably into the poet’s mind. In contrast to the ordinary man, whose experience is chaotic, irregular, fragmentary, in the mind of the poet, these experiences are always forming new wholes. (p. 64) Eliot’s notion of sensibility is, in fact, quite complex. He is careful to distance it from the conventional association with emotions.1 As becomes clear in his essays, especially in the aforementioned “The metaphysical poets”, as well as in “Tradition and the individual talent” and “Hamlet and his problems”, sensibility, sometimes used interchangeably with “feelings”, is to Eliot the use of senses and the total of perceptions collected by this use. As opposed to this, emotions represent the subjective / personal reaction of either reader or poet, or in other occasions, the one inherent in the poetic work. (SW. pp. 28-29)

Being a firm believer that the esthetic purpose of art cannot be achieved with a work suffering from the dissociation of sensibility, Eliot elaborated this concept further, providing a more practical way to achieve the desired opposite: unification of sensibility, thus avoiding the disparity between emotions and the external elements that would provoke them:

The only way of expressing emotion in the form of art is by finding an “objective correlative”; in other words, a set of objects, a situation, a chain of events which shall be the formula of that particular emotion; such that when the external facts, which must terminate in sensory experience, are given, the emotion is immediately evoked. (SW, p. 49)

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1 In his chapter “Tradition in 1919: Pound, Eliot and ‘the historical method’”, Massimo Bacigalupo introduces the term “desynomyzing” (2007: 104) originally employed by Coleridge to distinguish between ‘imagination’ and ‘fancy’.
The objective correlative translated the subjective into the objective, or rather, provided an objective basis for what would be a subjective experiencing of the former. The reader could not be asked to feel or perceive an emotion without having a source to derive it from, and the various elements of the work itself, such as characters, their actions and the occurrences within the plot had to be justified by this same foundation. Only in this way could the literary work achieve the necessary harmony required for the achievement of esthetic beauty.

Eliot endorsed and revised the principles of unity, coherence and order throughout his career as a critic and literary theoretician, and correspondingly employed them in his poetic work. In fact, so much is this statement true, that even the most fragmented of his writings possesses an undeniable harmony with fragments far from uniform acting as different instruments in an orchestra. The use of the objective correlative can be at times hard to isolate from the multitude of the other components of the literary work, and above all, it is itself made up of a series of constituents whose number and dimensions can vary to a considerable degree. But as its original purpose entails, it is supposed to bring an emotion or a complexity of emotions woven together with thought, not an entire isolation of either. Thus, the instruments of an objective correlative can be incidences, characters, settings or any possible combination between them. For the purpose of this article, I am going to discuss several instances of Eliot's use of places, dwellings and cities in *The Waste Land* to illustrate one of his most fundamental preoccupations: that with the human condition in an era devoid of faith in fellow beings and greater things.

2. Unreal City

Eliot's metropolitan settings are uncovered to the reader fragment after fragment and a handful of isolated details at a time. Thus, trying to draft an accurate mind map of these urban sites is neither easy, nor fruitful. The particularly narrow field of view with which we are provided becomes in itself an important literary device in creating the right mood for experiencing Eliot’s poems, partly because of the mysteriousness that seems to open doors towards feeling and accepting rather than simply understanding.

The frequency of urban images draws attention to their importance in Eliot’s depiction of modern life and civilization. Critics have even gone so far as to hint that the city is the real protagonist of *The Waste Land* (Long, 1985, p. 145).

Unreal city is first mentioned in line 60 of *The Waste Land* and it is again echoed as such in lines 207 and 376. On the first instance, the grim ambience also introduces in the poem a dimension of plurality:


_Unreal City,_
_Under the brown fog of a winter dawn,_
A crowd flowed over London Bridge, so many,
_I had not thought death had undone so many._ (WL, lines 60-63)

Along with the image of dead people inhabiting a city that is unreal and the power of such a dark vision, one of the most essential elements here is the word ‘many’. Its importance is made more obvious by its repetition in the two consecutive lines, which intensify the multitude and highlight the presence of people against the impressive urban background. This plurality is a crucial element in the shaping of the ironic dimension of the use of the complex element of the city in Eliot’s work: by stating that the utter solitude and isolation occur in the middle of a gigantic crowd, not in a small village where human contact is objectively less frequent or limited in terms of choice, Eliot, like many other Modernists (Chinitz, 2006, pp. 324, 326-328), is demonstrating the absurdity and dysfunctionality of human interaction in modern society. The allusions from Dante and Baudelaire which Eliot referred to in his notes intensify this crowdedness even more. Baudelaire’s original text speaks of a ‘city full of dreams’ adding yet another dimension to the airy atmosphere, where ‘ghosts by daylight tug the passer’s sleeve’ (Baudelaire, Campbell,1952, p. 111). Baudelaire’s ghosts and
dreams, Dante’s desperate infernal crowd and Eliot’s own added perspective of an individual that is part of that crowd as an equal, not as an observer, since he can participate in an atypical ‘inside’ conversation with another person of this crowd, all accentuate this feeling of disorder, semi-darkness, heavy air, anxiety, a nightmarish sensation that comes as a complex union of perceptions of many different sensory receptors. The scene is very visual, as made unavoidably such by means of the images, Dante’s original text contains repeated auricular details and Baudelaire’s ghosts rubbed against the sleeves of passers-by contribute with the tangible elements to make this passage one of the most complex in Eliot’s work in terms of sensory intensity. All the overflow of perceptions create the feeling of helplessness, anguish and fatality which an outstretching of the persona’s experience into the sensitivity of the reader. The London Bridge as setting is simultaneously merged with Dante’s hell, Baudelaire’s Paris, and the in the lines following also with Ancient Rome and Cathage. This disruption of both space and time continuum and the confusion resulting from it universalize the human pain and hopelessness and the futility of human efforts, like that of planting corpses in the garden and expecting them to bloom.

The second instance in which Unreal City is mentioned using this term is presented through the voice of Tiresias. The context is not as acute as that of line 60, but this time, Tiresias introduces the reader to a much deeper perspective, the daily lives of the inhabitants of Unreal. We see Tiresias being proposed to spend a weekend with Mr. Eugenides, the Smyrna merchant. A very interesting fact is that Mr. Eugenides is first mentioned as the ‘one-eyed merchant’ by Madame Sosostris (see Sharpe, 1990, p. 196), thus similar to Tiresias in terms of his blindness. Tiresias is, as he plainly acknowledges, “I Tiresias, though blind […] can see”, able to perceive the truth and to understand both men and women and identify himself with both genders. The merchant, being one-eyed, belongs, alike Tiresias, to two worlds: that of those who can see and that of those who cannot. But neither of these qualities enables him to understand: his eye and his missing e eye leave him as blind as the rest. The fact that he is similar to Tiresias does not make him comprehend the latter better than other people would. His carefulness with the documents for selling currants stretches to his business-like proposition, which is open and detailed. Although he is from Smyrna and can speak French (and proposes a weekend at the Metropole i.e. the city), instead of producing positive effects, his knowledge of the human nature has instead made him a cynical person who prefers objectifying his equals. In his chapter on The Waste Land, Cleanth Brooks explains:

\[\text{The Syrian merchants, we learn from Miss Weston’s book, were, along with slaves and soldiers, the principal carriers of the mysteries which lie at the core of the Grail legends. But in the modern world we find both the representatives of the Tarot divining and the mystery cults in decay. What he carries on his back and what the fortune-teller is forbidden to see is evidently the knowledge of the mysteries (although Mr. Eugenides himself is hardly likely to be more aware of it than Madame Sosostris is aware of the importance of her function). Mr. Eugenides, in terms of his former function, ought to be inviting the protagonist into the esoteric cult which holds the secret of life, but on the realistic surface of the poem, in his invitation to a weekend at the Metropole he is really inviting him to a homosexual debauch. The homosexuality is secret and now a cult but a very different cult from that which Mr. Eugenides ought to represent. The end of the new cult is not life but, ironically, sterility. (Brooks, 1939, p.153-154)}\]

This added dimension of the Smyrna merchant constitutes a second ironic dimension inherent in his character. The mystery that would provide details to help save the land from barrenness turns out to be his personal secret involving homosexual sex which in its turn cannot procreate. The ignorance of Mr. Eugenides of the higher mission he was supposed to carry out is tragic even more because of his original function as a guide and the fact that his exchange is with Tiresias, who is himself a seer, not a doer. Thus, all the chain of the transmission of the mystery is broken beyond recovery: the carrier of the secret is not aware of his mission, the secret he is keeping has been transformed into one that does not lead to the fulfillment of the
quest of humanity and neither to the secret of life (personal procreation), and finally, the message is given to another keeper of many secrets.

The desecration of the mystery leading to a loss of the path towards the success of the quest is at the same time an underneath layer in the general suffering of the dwellers of Unreal City. The whole section is pervaded by a sense of loss and multifold violation of all that is considered sacred, by numerous sexual encounters of a distasteful nature: rapes, random and insignificant seasonal relationships, passionless intercourse, possibly prostitution or rapport of similar nature. All these point to the isolation regardless of present human contact, the loss of faith in fellow beings, and like in “Gerontion”, a loss of passion. The presentation of all the details, both narrative and descriptive, form a complex union which succeeds in transmitting the feeling of abandonment and failure as well as the logical dimension to rationalize the situation. The following passage includes a change in perspective and through the voice of Tiresias we see the other side of Unreal City. The evening comes, the workday is over and it is time for the inhabitants of Unreal to go back home, but what awaits them inside the walls is not a warm family atmosphere. The modest room of the typist who is slowly growing old (Her drying combinations touched by the sun’s last rays,) awaits the visit of the young man who goes on fulfilling his urges without love, or neither passion, but only as part of a ‘because I have a chance’ ritual. The description of the ambiance in the room is an excellent example of the translation of thought and feelings into external facts. The emptiness, exhaustion and hopelessness of the woman are reflected into her furniture, the lack of space and order in her room. In addition, the loneliness and the absence of love and care into her life are emphasized by details such as those regarding her dinner preparation with food being laid out in tins, the fact that she clears her breakfast dishes at tea-time, implying that nobody else is home and above all, by the divan, normally a living room object, which at night she uses as her bed. Additionally, the fact that the undesired sexual contact occurs inside her home is an indication of the degree to which the barrenness, physical or spiritual, has invaded modern society. The home is only another decaying temple that no longer provides protection, affection, attention or understanding. It is the lack of, desire, love or even hate and violence that makes this a very grim example of modern urban decadence. The typist is “hardly aware of her departed lover”, and it is the lack of emotions, both positive and negative that create the general feeling of desolation that contributes into the background image of the wasteland and serves as a uniting detail for the bigger picture.

With the exception of addressing it as ‘city’ in line 259, Eliot uses the name ‘Unreal’ again in line 376. This instance is particularly important due to its alteration of the setting viewpoint. Throughout the poem, despite the changes in setting mainly through allusion or even through direct mentioning, Unreal City is constantly identified as London (Doyle, Winkiel, 2005, p. 264). The map uncovered fragment after fragment presents London cityscape, with its buildings, landmarks, streets, and more. But in this context, London is mentioned separately as if to be distanced from Unreal City, which is now functioning as a separate entity. Yet, it must be pointed out that this context depicts the similarity, not the difference between the cities mentioned in lines 374-376, thus also making Unreal an amalgamation of all the other cities whose names are evoked and at the same time a symbol of all urban centers in a multitude of locations. In his address “Influence of the Landscape upon the poet”, Eliot stated that “[his] personal landscape … [was] … a composite” (ILP, 1960, p. 421), adding that “[his] … urban imagery was that of St. Louis, upon which that of Paris and London have been superimposed.” (ibid., p. 422) In fact, this, at the same time, is the best way to understand Unreal City: as a merging of the characteristics of all modern cities with their physical features and the similar ambiance of crowdedness, lack of order and simultaneous paralysis. It almost feels as if the ghost of Unreal City haunts its each and every modern counterpart, making it impossible for itself to have a specific location or exact temporal dimension. The above context universalizes Unreal placing it on the same rank with all the real-life cities mentioned in the lines preceding it, which are all portrayed in a process of apocalyptic destruction. Its urban scenes are no longer depicted as inhabited by crowds as in the other instances, but as desolate places reminiscent of the past. The sensory details enfolding this passage contain again visual, olfactory and auditory elements, which evoke a complex general feeling of mystery, nostalgia and loss. Images of aridness
persist even stronger and the urban setting is intermingled with semi-rural landscapes and details. The universalizing of Unreal constitutes a culmination of despair that creates a suffocating feeling of hopelessness and inability to escape. The prison mentioned in lines 411-414 is, in fact, the last urban setting mentioned directly in the poem, along with London Bridge that is now falling down, as if to signal a loss of connections between earth and water, thus a permanent loss of hope for equilibrium.

3. Conclusion

Although The Waste Land contains numerous images of draught, stones, rocks, arid soil, shattered glass, dry plants, dust, etc., its most dramatic passages are placed in urban settings. Providing occasions for human interaction, the urban background offers the clearest picture of the human condition in modern society. Eliot gives the typical modern metropolis the name “Unreal city”, which contains London landmarks and milieu, but also various elements of other modern cities. Unreal City is one city in particular, but it stands as a symbol of modern urban decay and has neither place nor time restrictions. Its major function in the poem is that with its inside and outside backgrounds, it provides the necessary elements to articulate the message of the poem. The use of multifold sensory details serves as Eliot's poetic device to translate thought into feeling and it demonstrates his view on what he called ‘the objective correlative’. Among all the instances of the use of the objective correlative in Eliot’s poetry, this is probably the most complex, because it involves a very well-organized structure that through contextual modifications holds true for all The Waste Land. It is very important to mention that in order for Unreal City to be considered as an objective correlative, it should be viewed as a composite of details, images and sensory elements, not as a solid unique entity, which it is obviously not. In this respect, Unreal City provides not only meaning to The Waste Land, but it offers a complexity of perceptions that lead to experience the poem with both mind and emotions.

References

The Impact of Person Job Fit on Job Satisfaction and its Subsequent Impact on Employees Performance

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Abstract: Humans Resource is considered to be a vital source of growth for the companies, for best utilization of human resource it is indispensible to align the knowledge, skills and abilities possessed by the employees with the assigned roles in the organization. The present study reveals the relationship between person job fit, job satisfaction and job performance. This study studied and analyzed the responses of 251 respondents from various universities in twin cities i.e. Islamabad and Rawalpindi. Results indicated that there exists relationship between person job fit and job satisfaction and job performance and the result is positive. While the relationship between job satisfaction and job performance is also positive.

Keywords: Person Job Fit, Job Satisfaction, Job Performance

1. Introduction

Human Resource Management has drawn closer to be acknowledged as an intrinsic part of management, which is concerned with the human wealth of an organization. Objective of HRM is to maintain better human relations in the organization by the evaluation of policies, procedures and application, development and program relating to human resources to make effective their involvement towards the recognition of organizational objectives.

Human Resource Management helps in obtaining utmost individual development, effective working connection between employers and employees, employees and employers, and desirable molding of human resources as contrasted with substantial resources. It is the recruitment, selection, utilization, development, motivation and compensation of human resources by the organization. The HR function provides momentous support and guidance to line management. The maintenance, attraction and development of far above the ground caliber people are a foundation of competitive advantage for our enterprise, and are the responsibility of Human Resource Management.

Humans are the widely accepted the most important asset of the organizations. Organizations use humans as strategic tool of competence. To drive best out of human resource it is essential to give them the task that is best suited to their efforts or competences. In general job demands typically contain the skills, abilities and knowledge (SAKs) is necessary to perform at the job and the suitable fir is essential between the two (Caldwell & O’Reilly, 1990; Sackett, 1996 & Wilk). Researches indicated that job fit leads to job satisfaction which is ultimately a way to employee performance. (Schneider & Nygren 1970; O’ Reilly, 1977; Hollenbeck, 1989; Chatman et al, 1994).
2. Significance

2.1 For Researchers / Academia

As there is no such significant research in literature which shows the relationship between Person Job fit, Employee satisfaction and job performance and in Pakistani scenario there is no such research. This study will add knowledge to existing body of knowledge by showing that how person job fit affect job satisfaction and on job performance.

2.2 For Managers/Universities

This study will guide for managers to understand the phenomena of Person job fit in order to keep their fitment of job competencies against individual characteristics to deliver the quality education to their organization and thus making them a tool of strategic competence.

3. Research Question

1. Is there any relationship between Person job fit, Job satisfaction and Job performance?
2. How Person job fit affects on Job satisfaction?
3. How Person job fit affects Job performance?
4. How Job satisfaction affects on Job performance?

4. Research Objectives

The objectives of current study are;
- To identify the relationship between Person job fit and Job Satisfaction.
- To identify the relationship between Person job fit and Job performance.
- To identify the relationship between Job Satisfaction and Job performance.
- To identify that how Person job fit affects on Job satisfaction and job Performance.

5. Literature Review

5.1 Person Job Fit

Edward (1991) described the P-J fit with its two perspectives: first one is need-supplies and second is Demand-Abilities. Factors of “Needs Supplies Perspectives” contain the wants of individuals’ attributes and characteristics of the job that may well gratify those wants. Individuals’ wants contain Goals (Shaw, Locke, Saari & Lathan, 1981), Psychological Needs (Lofquist & Dawis, 1984), Interests (Hansen & Campbell, 1981) and values (Locke, 1976), Pay (Lawler, 1981) and other job attributes. The “Demands Abilities Perspective” contains the demand for job that is necessary to do the job and individual’s abilities that can be equivalent to the job requirement.

In general job demands generally contain skills, abilities and knowledge (SAKs) is necessary to complete at the job (Caldwell & O'Reilly, 1990; Sackett, 1996). Abilities contain experience, employee’ aptitude, knowledge and skills (French Caplan, & Harrison, 1982 Dawis & Lofquist, 1984; O'Reilly & Caldwell, 1990). In recruitment and selection process tactics to judge the P-J Fit are resumes, interviews, tests, reference checks and several of other selection tools (Webel & Gulliland, 1999).
5.2 Job Satisfaction

Job satisfaction refers to one's feelings or condition of mind according to the nature of work. Job satisfaction could be inclined by various factors such as kind of organization Policies, Supervision, Administration, salary and quality of life. However it is concluded in research (Porter, 1962; Smith, Hulin, Kendall 1969) that job satisfaction illustrates it is the difference between what people expect from the job and what they get in actual.

Stress and dissatisfaction of job creates susceptibility to leave the job and high turnover rates. (Cavanagh 1990, Irvine & evans 1995) (Coffin & Cavanagh 1992) Job satisfaction is also visualized as an in general ranking or as the summation of numerous isolated dimensions of job distinctiveness (Stamps & Peidmont 1986; Mueller & McCloskey 1990; Traynor & Wade 1993).

5.3 Job Performance

Job performance means the effectiveness of employees activities that make a payment to organizational goals (McCloy, Campbell, & Cudeck, 1994; cf. Motowidlo, 2003). Employee perception's about his tasks and responsibilities were not associated to employee’s self ranking of his very own performance. (Lawler & Hall, 1970). Researchers present the job importance as a subjective ruling and interpersonal interactions, in the hunt for to enhance the job performance (Griffin, 1983).

In research conclusions job performance is positively relate to the social information processing and job design (Hackman & Oldhan, 1976; Salancik & Pfeffer, 1978). Job design examiners concluded in their research work that significance of redesign the job is directly relate to job performance and perceptions of task significance (Mowday & Steers 1977).

5.4 Person Job Fit and Job Satisfaction

P-J fit has a significant effect on Job satisfaction. According to ( Smith et al -1969), various researches put forward that, in general, Job satisfaction is powerfully inclined by employees' assessment of the job and assignments they execute, which are the vital components of P-J fit. Researchers concluded in their researches that p-O fit and P-J fit should co-relate to evaluate job satisfaction. (Schneider & Nygren 1970; O’ Reilly, 1977; Hollenbeck, 1989; Chatman et al, 1994) Because the both variables the person job fit and the person organization fit have strong impact on job satisfaction. Enlighten of job satisfaction usually put emphasis to measure it in individual are according to work nature or organization factors (Mortimer-1979). Kalleberg with Griffin and Losco (1977;1978;1980;198) incorporated the following explanations in social action approach, (why it has been incorporated)

1- The employees fill the targeted nature for the jobs (e.g. job feature, Structural job and its extent of control).
2- Motivation of the employees and the subjective analysis of job features.
3- Job rewards and values are major independent (self-governed) variables of job satisfaction, which directly related to satisfaction. Nevertheless, when remuneration or rewards are controlled job values will relate indirectly to the job satisfaction. Employees who have high value assured then they feel more dissatisfied with job. Then, those do not think the characteristics more important. Therefore, it is concluded that there is no only definite job characteristics but also the perceptions of employee, which is, connected with the satisfaction levels. Rewards for employees (job rearwards) for example, pay, promotion, and job security etc. are directly inter-associated with job satisfaction. (Vroom 1964; Nord 1977; Taber and Seashore 1975; Farrell & Rusbult 1981;).
H1: Person Job Fit has a positive impact on Job Satisfaction.

5.5 Person Job Fit and Job Performance

According to the literature in this relation, P-J fit and Job performance there is contradictory results overall. (Sexton, 1967) described in his research that there is no association was originate between P-J fit on “Need for Achievement” and job performance nor involving P-J Fit on “job Enrichment” and Job performance. (Cherington and England, 1980). Therefore, when P-J fit has been outfitted as compare of employee’s skills and job demand with personality. So here, the direct relationship of P-J fit among the job performance comes in progress. (Ivancerich 1979) verified that performance of employee is highest when his/her willingness for decision making coordinated the sum of decision making on hand on the job. In addition, (Caldwell and Reilly 1900) conclude that managers’ performance was more than their abilities and skills fit the summary necessary for the job.

H2: Person Job Fit has a positive impact on Job Performance

5.6 Job Satisfaction and Job Performance

Endeavoring to be aware of the temperament of job satisfaction and its consequences on job performance is difficult. Organizational and industrial researcher has been grappling with difficulty of the relationship between job satisfaction and job performance for minimum 50 years. Psychologist and researchers have put a considerable effort to demonstrate these two are directly related in meticulous manners; “A happy worker is a Good Worker, (http://ezine.com/activites)” the practical aspect status of the argument that the inter association of job performance among job satisfaction specially greater for greater self esteem workers than for those who have low self esteem; the co-relation between job satisfaction and performance is explained directly by different researchers. “Korman 1976, 1977, 1988” and others “Greennews & Bassin, 1974; waters & Roach 1972, Weiner 1973” give advance determined support to argue this research. However when we define job satisfaction theoretically, it comes to know that, it have including cognitive, effective, dimensional, and conative components. So that in general job satisfaction cannot epitomize all attitude dimensions adequately and does, it cannot foresee job performance sufficiently. Cummings and Schwab agree with this concept that “performance implication may well differ depending upon the type of satisfaction under studies 1970 p.423”.

H3: Job satisfaction has a positive impact on Job Performance

6. Theoretical Framework

6.1 Dependent Variable

Job Satisfaction and Job Performance

6.2 Independent Variable

Person Job Fit

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7. Study Design and Methodology

7.1 Sample & Procedure

This research scrutinizes the relationship between P-J Fit, Job satisfaction and Job Performance. The industry we choose to investigate the association between variables, is educational institutes - universities. The research investigation based on statistics collected from various universities, including SZABIST, IIUI, Bahria, QAU, FJWU & NUST.

A total of 357 structured questionnaires are conveniently distributed among the above mentioned randomly selected universities. Out of 357 questionnaires 251 are returned. The response rate is 70.5%. The number of respondents responded from different universities are as follow:

<table>
<thead>
<tr>
<th>Name of University</th>
<th>Questionnaire Distributed</th>
<th>Responses Collected</th>
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<tbody>
<tr>
<td>SZABIST</td>
<td>70</td>
<td>38</td>
</tr>
<tr>
<td>International Islamic University</td>
<td>100</td>
<td>81</td>
</tr>
<tr>
<td>NUST</td>
<td>50</td>
<td>39</td>
</tr>
<tr>
<td>Bahria University</td>
<td>50</td>
<td>41</td>
</tr>
<tr>
<td>Quaid-e-Azam University</td>
<td>50</td>
<td>31</td>
</tr>
<tr>
<td>FJWU</td>
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<td>21</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>357</strong></td>
<td><strong>251</strong></td>
</tr>
</tbody>
</table>

7.2 Sample Characteristics

The sample consists of 58.96 % male and 41.04 % female. 25.9% of the employees are in the age bracket of 21-25 years. 27.5% are in the age bracket of 26-30 years. 29.5% are in the age bracket of 31-35 years. 8.8% of the respondents belong to the age category of 36-40 years. While 8.4% are above from 40 years. 57.4% have the work experience of 7 years or less. 26.7% fall in the category of 8-14 years. 13.1% have the work experience of 15-21 years. While remaining 2.8% have work experience above 22 years. Only 60.6% have above 16 Years of education and remaining 39.4% have completed 16 years of education.

The following table shows the detailed characteristics of population studied.

<table>
<thead>
<tr>
<th>Age</th>
<th>Frequency(f)</th>
<th>Percentage</th>
<th>Cumulative Percent</th>
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<tr>
<td>36-40</td>
<td>22</td>
<td>8.8%</td>
<td>91.6</td>
</tr>
<tr>
<td>Above 40</td>
<td>21</td>
<td>8.4%</td>
<td>100</td>
</tr>
<tr>
<td>Gender</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Male</td>
<td>148</td>
<td>58.96%</td>
<td>59</td>
</tr>
<tr>
<td>Female</td>
<td>103</td>
<td>41.04%</td>
<td>100</td>
</tr>
<tr>
<td>Qualification</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Bachelors(under 16 years)</td>
<td>99</td>
<td>39.4%</td>
<td>100</td>
</tr>
<tr>
<td>Masters(16 years)</td>
<td>152</td>
<td>60.6%</td>
<td>60.6</td>
</tr>
<tr>
<td>Work Experience (Years)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>0-7</td>
<td>144</td>
<td>57.4%</td>
<td>57.4</td>
</tr>
<tr>
<td>8-15</td>
<td>67</td>
<td>26.7%</td>
<td>84.1</td>
</tr>
<tr>
<td>16-22</td>
<td>33</td>
<td>13.1%</td>
<td>97.2</td>
</tr>
<tr>
<td>22 above</td>
<td>7</td>
<td>2.8%</td>
<td>100</td>
</tr>
</tbody>
</table>

Table 1 - Sample Characteristics
8. Findings and Conclusion

8.1 Descriptive Statistics

<table>
<thead>
<tr>
<th>Variable</th>
<th>N</th>
<th>Minimum</th>
<th>Maximum</th>
<th>Mean</th>
<th>Std. Deviation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Age</td>
<td>251</td>
<td>.00</td>
<td>4.00</td>
<td>1.4502</td>
<td>1.19353</td>
</tr>
<tr>
<td>Education</td>
<td>251</td>
<td>.00</td>
<td>1.00</td>
<td>.3944</td>
<td>.48970</td>
</tr>
<tr>
<td>Experience</td>
<td>251</td>
<td>.00</td>
<td>3.00</td>
<td>.6135</td>
<td>.81857</td>
</tr>
<tr>
<td>Gender</td>
<td>251</td>
<td>.00</td>
<td>1.00</td>
<td>.4104</td>
<td>.49288</td>
</tr>
<tr>
<td>Job Fit</td>
<td>251</td>
<td>3.80</td>
<td>5.00</td>
<td>4.2112</td>
<td>.30964</td>
</tr>
<tr>
<td>Job Satisfaction</td>
<td>251</td>
<td>4.00</td>
<td>5.00</td>
<td>4.1303</td>
<td>.31003</td>
</tr>
<tr>
<td>Job Performance</td>
<td>251</td>
<td>3.70</td>
<td>5.00</td>
<td>4.2562</td>
<td>.32716</td>
</tr>
</tbody>
</table>

8.2 Reliability Analysis

Table – 2 shows the Cronbach’s Alpha of the variables which shows the reliability of the data. The values show that the data is highly reliable.

<table>
<thead>
<tr>
<th>Variable</th>
<th>Cronbach’s Alpha</th>
</tr>
</thead>
<tbody>
<tr>
<td>Person Job Fit</td>
<td>0.774</td>
</tr>
<tr>
<td>Job Satisfaction</td>
<td>0.905</td>
</tr>
<tr>
<td>Job Performance</td>
<td>0.736</td>
</tr>
</tbody>
</table>

Table 2 - Reliability Analysis

8.3 Correlation Analysis

Table -3 shows that a positive but weak correlation exists between three variables i.e. job fit, job satisfaction and job performance as evidenced through table. Correlation values between job fit and job satisfaction is r = 0.110, job fit and job performance is r = 0.230 and between job satisfaction and job performance is r = 0.201.
<table>
<thead>
<tr>
<th>Job Fit</th>
<th>0.066</th>
<th>-0.019</th>
<th>0.027</th>
<th>0.012</th>
<th>0.775</th>
</tr>
</thead>
<tbody>
<tr>
<td>Job Satisfaction</td>
<td>0.013</td>
<td>-0.037</td>
<td>0.032</td>
<td>-0.021</td>
<td>0.110</td>
</tr>
<tr>
<td>Job Performance</td>
<td>0.012</td>
<td>-0.066</td>
<td>0.001</td>
<td>-0.015</td>
<td><strong>0.230</strong></td>
</tr>
</tbody>
</table>

**Independent Variable: Job Satisfaction**
*Correlation is significant at the 0.01 level (2-tailed).*
**Correlation is significant at the 0.05 level (2-tailed).**

**8.4 Regression Analysis**

In Table where independent variable is job fit value of R square is 0.012 depicting that the variation in Employee satisfaction and job performance is explained up to 1.2% through variation in job fit which shows that job fit is very weak predictor of job performance and employee satisfaction in the universities.

**Regression Analysis (A)**

<table>
<thead>
<tr>
<th>R Square</th>
<th>B</th>
<th>F</th>
<th>t</th>
<th>P</th>
</tr>
</thead>
<tbody>
<tr>
<td>Person Job Fit</td>
<td>0.012</td>
<td>0.110</td>
<td>3.039</td>
<td>13.771</td>
</tr>
</tbody>
</table>

**Dependent Variable : Job Satisfaction**

In Table where independent variable is job satisfaction value of R square is 0.041 depicting that the variation in job performance is explained up to 4.1% through variation in job satisfaction which shows that job performance is predicted by job satisfaction.

**Regression Analysis (B)**

<table>
<thead>
<tr>
<th>R Square</th>
<th>B</th>
<th>F</th>
<th>t</th>
<th>P</th>
</tr>
</thead>
<tbody>
<tr>
<td>Person Job Fit</td>
<td>0.053</td>
<td>0.230</td>
<td>13.898</td>
<td>11.897</td>
</tr>
<tr>
<td>Job Satisfaction</td>
<td>0.041</td>
<td>0.201</td>
<td>10.510</td>
<td>12.455</td>
</tr>
</tbody>
</table>

**Dependent Variable : Job Performance**

**9. Conclusion & Recommendations**

From the above research it is evident that for the job satisfaction it is somehow essential that the tasks and responsibilities assigned to the employees must match his or her competences. The tasks which are not suited to the abilities of employees will lead towards job dissatisfaction. With the rewards and benefits that determine the level of job satisfaction, job fit is also important variable that leads to job satisfaction. Job satisfaction is thus ultimate leads to the job performance. When a person is having responsibilities that best match his abilities, he will perform the satisfactorily and shows the greater results or higher performance. So Human Resource managers must be aware of this fact, they must consider employee’s capabilities while drafting the job descriptions of their employees.
References


Representation of the East in Western Literature
(A Critical Discourse Analysis of the Travelogue Eothen)

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Abstract: Representation in discourse is a constructed practice; that is, it is not neutral. Events and ideas are not transmitted neutrally as they were, because they have to pass through a medium with its own ideological filters. Critical discourse analysis (CDA) is a type of discourse analytical research that primarily studies the way social power abuse, dominance, and inequality are enacted, reproduced, and resisted by text and talk in the social and political context. Edward Said’s book Orientalism (1976) focuses on how the East is represented by the West. He believes that during the process of representation, the Orient is also remade. He mentions a number of writers who he believes depict distorted images of the East in order to satiate their colonizing ends among whom is Kingslake and his travel narrative Eothen (1844). Twenty seven pages from this travelogue have been taken as the data of this research. The purpose was to reveal how the writer has tried to create a biased image of the Orient. The method applied was van Dijk’s ideological square which is used to reveal forms of positive self and negative other. Upon extracting these biased images, the rhetorical techniques used to create them were identified. Interestingly the findings suggest that the travelogue was saturated with creations of binary oppositions revealing a biased and inaccurate description of the East.

Keywords: CDA, Ideological Square, Orientalism, Travelogue

1. Introduction

Language is one of man’s most remarkable attributes. Hundreds of different types of information are passed through this phenomenon. Yet one does not have full control over all types of information. There is information which people have active control over and others they have passive control over. Personal information about one’s daily experiences and memories are things which people control but what the media and the press report is not. This control is also context based; in some context people seem to have more control over the language used and the language exposed, whereas in other circumstances the opposite is the case. However, what can not be denied is that most information reported by the media and institutions has to pass through a set of filters in order to be suitable for world wide distribution. These filters are mainly defined by the institutions; political institutions, educational institutions, social groups, organizations and etc. Therefore the information we receive is a distorted image of reality and not reality itself.

2. Review of Literature

2.1 Orientalism

During the nineteenth and twentieth centuries, geopolitical relations between the Eastern and Western empires underwent massive realignment, and Orientalism emerged as an imperial administrative tool, as well as a scholarly discipline and source of popular fantasy. An imperialist assumption of cultural superiority,
underwritten in equal parts by guilt and fascination, largely replaced the humbled admiration, even envy, expressed by earlier Western travellers when faced with Ottoman splendour or the exquisite luxuries obtainable only in the East. During the past thirty years scholars have begun to subject what is prejudicial in this legacy to rigorous intellectual critique. Edward Said’s book, *Orientalism* has been a highly controversial and influential book in this regard. As a founding text of post-colonial studies, *Orientalism* examines the development of Western depictions of the Orient from the eighteenth century to the present day. Edward Said casts his capacious intellectual net far and wide, offering a variety of perspectives on the discourses of Orientalism in such disparate areas as literature, anthropology and the historical trajectory of colonial administration.

Said (1976) defined Orientalism in several ways. He used the term Orientalism in three interdependent senses: 1) Orientalism as an academic field 2) Orientalism as a style of thought based upon distinctions made between the Orient and the Occident, and 3) Orientalism as a Western style for dominating, restructuring, and having authority over the Orient. When talking about Orientalism as an academic field he said:

The most readily accepted designation for Orientalism is an academic one, and indeed the label still serves in a number of academic institutions. Anyone who teaches, writes about, or researches the Orient and this applies whether the person is an anthropologist, sociologist, historian, or philologist- either in its specific or its general aspects, is an Orientalist, and what he or she does is Orientalism. Compared with Oriental studies or area studies, it is true that the term Orientalism is less preferred by specialists today, both because it is too vague and general and because it connotes the high-handed executive attitude of nineteenth-century and early-twentieth-century European colonialism (Said, 1976, p. 2)

In addition, he gives a second meaning for the term and says that Orientalism is a style of thought based upon an ontological and epistemological distinction made between the Orient and (most of the time) the Occident (Said, 2003, p.3). Here what he means is that scholars of all fields have accepted that there is a basic distinction between the East and the West and that they use this as their starting point in elaborating theories, accounts, novels etc. His last definition of the Orient is more historically and materially defined than the previous two. He argues that:

Taking the late eighteenth century as a very roughly defined starting point, Orientalism can be discussed and analyzed as the corporate institutions for dealing with the Orient- dealing with it by making statements about it, authorizing views of it, describing it, teaching it, settling it, ruling over it; in short, Orientalism as a Western style dominating, restructuring, and having authority over the Orient (Said, 1976,p.3).

Said has strongly criticized Orientalist authors like Kingslake about the distorted images they create through their writing. However, his approach does seem to be based on a more social and political basis rather than a linguistic one. His book *Orientalism* (1976) sheds light on numerous Orientalist writings. However he refrains from providing detailed analysis of each writing and discussing what role language has played in creating the ideologies within them. In other words, his work does not yield precise and detailed information on the linguistic elements and techniques used by Orientalists. Therefore the aim in the current research is to bridge this gap by adding a critical linguistic perspective to the topic Orientalism.

### 2.2 Critical Discourse Analysis

Critical discourse analysis, an interdisciplinary approach to the study of discourse, attempts to reveal
underlying ideologies which have become so opaque that we often take them for granted. At the basis of CDA is the aim to view language use as a social practice. Language does not take place in a vacuum, instead it resides in social and cultural frameworks. CDA puts this social context under meticulous scrutiny and explores the links between textual structures and their function in social interaction. There is no one-to-one correspondence between textual structures and social functions, therefore such an analysis is a complex one, which works on multiple levels. When it comes to creating and maintaining differences in power relations, the correspondence between the intricate mechanics of discursive practice and their social function is often deliberately left opaque. The aim of CDA is to gear us with the right equipment to reduce this opacity. There is a consensus among CDA practitioners that critical discourse analysis is not a single method, rather it is an approach which consists of different perspectives and methods for studying the relationship between language use and social context. Among these vast range of methods and perspectives there are few which have gained world-wide recognition within the realm of CDA by scholars and students alike. For the purpose of this study I will elaborate on the one approach which will be of primary focus for this research.

2.2.1 Van Dijk’s Socio-Cognitive Approach

Van Dijk’s work focuses on the production and reproduction of prejudices and racism in discourse and communication. An important dimension incorporated in the socio-cognitive approach is that of the human mind. Van Dijk criticizes all other approaches because he believes that other approaches do not focus enough on the cognitive aspects of discourse and also because they are not social enough and tend to ignore the social context of the discourse. He gives great importance to social representations such as attitudes, beliefs, prejudices and stereotypes held by the society as a whole and not the more specific and personal ones. He calls these general and widely held beliefs social representations (SR) and believes that they are acquired, used and changed through text and talk.

Van Dijk’s approach to CDA has three dimensions; social analysis, cognitive analysis and discourse analysis. Discourse is meant as a communication event, including conversational interaction, written text, as well as associated gestures, facework, typographical layout, images, and any other semiotic or multimedia dimension of signification. Cognition here means both personal as well as social cognition, beliefs, and goals as well as evaluations and emotions, and any other mental or memory structures, representations or processes involved in discourse or interaction. Society is meant to include both the local, microstructures of situated face-to-face interactions, as well as the more global, societal and political structures variously defined in terms of groups, group-relations (such as dominance and inequality), movements, institutions, organisations, social processes, political systems and more abstract properties of societies and cultures (van Dijk, 2001, pp. 97-98).

According to van Dijk (1984):

Prejudice is not merely a characteristic of individual belief or emotions about social groups, but a shared form of social representation in group members, acquired during processes of socialization and transformed and enacted in social communication and interaction, Such ethnic attitudes have social functions, e.g. to protect the interest of the in-group. Their cognitive structures and the strategies of their use reflect these social functions.(p.13)

Van Dijk contributes a useful theoretical concept he calls the ideological square which encapsulates the twin strategies of positive in group description and negative out group description (Hakam, 2009, p.37). In other words, one of the main strategies of othering is accentuating negative points about the other meanwhile minimizing positive ones about them. He illustrates his point with his famous ideological square:
3. Methodology

3.1 Data

The data for the present research comprises of twenty seven pages from a 19th century travelogue written by an English travel writer and historian; Alexander William Kingslake. Upon his venture to the East, he wrote his first travelogue called Eothen; or traces of the East brought back home and latter published in anonymously in 1844. Eothen has been criticized by Said (1976) for being a “pathetic catalogue of pompous ethnocentrism and tiringly nondescript accounts of the Englishman's East.” (p.193) He believes that Eothen depicts anti-semitic, xenophobic and prejudiced elements. He also criticizes Kingslake for making generalizations about a topic he has very little knowledge about: “Although Kinglake blithely confesses to no knowledge of any Oriental language, he is not constrained by ignorance from making sweeping generalizations about the Orient, its culture, mentality, and society.” (Said, 1976, p. 182)

3.2 Method of Analysis

Throughout the data, different forms of van Dijk’s ideological square (1998) were identified. In some parts only one half of the ideological square was actually used and the other half was implied. It is possible that only a part of the ideological square is realized in one text or context; sometimes the in-group is only interested in showing its own positive properties, sometimes to show how bad the Others are. And sometimes the in-group is only interested in emphasizing the Others negative properties thus implying its own positive ones. In other places the whole square is concentrated in one sentence.

At the micro level, meticulous reading took place. The data collected through implementing van Dijk’s model was read repetitively in order to identify the various sub-discourses in which the writer had tried to create. This was a laborious and time consuming task as it was a pattern seeking rather than a pattern imposing approach. Although a pattern seeking approach to data analysis requires much more effort, patience and time, it does seem to offer the researcher more flexibility and objectivity than a pattern imposing approach in which the researcher is required to work within a fixed and limited framework. The data was delved upon without any criteria and patterns became more and more apparent upon every reading. After much time and effort, the nature of the data yielded a number of categories. The categories we labeled as the following:

- Sub-discourse of barbarism
- Sub-discourse of laziness
- Sub discourse of irrationality
- Sub-discourse of Oriental women
- Miscellaneous Extracts
In addition the rhetorical techniques used to create a distorted image of the East were identified for each extract. Some of the rhetorical techniques which could be used are:

- Negative Lexicalization
- Hyperbole
- Generalization
- Comparison
- Polarization
- Irony

Given these methodological frameworks, I will try to draw attention to how the discourse of Orientalism is created within Kingslake’s travelogue Eothen. An account of the analysis of the data and a discussion will be presented. In the succeeding section, I have divided the discourse of Orientalism into its sub discourses and brought a few extracts from the travelogue to demonstrate how these sub discourses are created within the broader global discourse and simultaneously solidify that very same global discourse.

4. Data Analysis

4.1 Discourse of Barbarism

The word barbarism or barbaric has been used with different meanings from past to present. Often it has been used to refer to foreigners who are different from the indigenous inhabitants. According to the American Heritage Dictionary (2009), it has 4 definitions:

- Primitive in culture and customs; uncivilized.
- Lacking refinement or culture; coarse.
- Characterized by savagery; very cruel. See Synonyms at cruel.
- Marked by the use or occurrence of barbarisms in spoken or written language.

(The American Heritage Dictionary of the English Language)

The definition which has been used widely in the discourse of Orientalism is the third one. Barbarian has been used to refer to a violent person or group who commit cruel acts. The discourse of barbarism is a recurring theme in Orientalist literature and present Western media. The preceding extracts from the travelogue Eothen by Kingslake, which exemplify this discourse, have been presented and discussed.

We repeated the caution to our servants, and took anxious thought lest by any possibility we might be cut off from some cherished objection of affection; were they quite sure that nothing had been forgotten- that there was no fragrant dressing-case with its gold compelling letters of credit from which we might be parting forever? (Kingslake, 2011, p.3)

The extract above uses the rhetorical technique of negative lexicalization. The East and its appearance are equated with death. The words caution and anxious thought show that Kingslake and his team are truly worried about entering the Eastern side of the border. The words parting forever reveal that they equate the East with death and believe that they will be killed.

In the next extract the writer refers to the vast amount of weapons carried by the portmanteau: “This cincture enclosed a whole bundle of weapons; no man bore less than one brace of immensely long pistols, and a yataghan (or cutlass), with a dagger or two of various shapes and sizes. most of these arms were inlaid with silver, and highly burnished, so that they contrasted shinningly with the decayed grandeur of the
garments to which they were attached (this carefulness of his arms is a point of honour with the Osmanlee, who never allows his bright yataghan to suffer from his own adversity)” (Kingslake, 2011, p.4). Hyperbole and negative lexicalization have been used to exaggerate the amount of weapons carried by the Turkish luggage men; whole bundle of weapons, immensely long pistol, yataghan (or cutlass) and with a dagger or two with various sizes, decayed and adversity making the Orient appear as violent and barbaric as possible.

This technique (discourse of barbarism) is still being used by the media at the moment. Carlos Duarodo’s photo has gained international acclaim at a very rapid pace. In his photo he shows two men dressed in Eastern attire torturing a man who is lying on the floor. These two men are surrounded with hundred’s of men and women with Western features and attire who have turned their backs to the situation. The caption of the photo goes: “The world is a dangerous place, not because of those who do evil, but because of those who look on and do nothing” What this caption and photo imply is that it is the Eastern people who are barbaric and violent and it is the duty of western people to prevent it. This type of discourse justifies invasion of western governments into foreign countries in the name of liberation but with the intent of power and control.

This collective notion of barbaric Turks has its roots in medieval Western literature too. Francois Rabelais who was a major renaissance writer, is best known for his work Gargantua and Pantagruel (1532). In it, the writer depicts one of the first stereotypical images of Turks as violent cannibal eaters of the Christian race. In a major scene of the novel images of Turks roasting a Christian on a fire waiting for him to be cooked and thus eaten are displayed. This violent image of Turks, later showed traces in 16th century literature. This image had also entered the dictionaries and thus the obsolete meaning of the term Turk was given as: derogatory a violent, brutal, or domineering person (Collins English Dictionary). It should be mentioned that the term turcophobia which means hostility, intolerance or racism against the Turkish people, Turkish culture, or Turkey (previously the Ottoman Empire) has been coined in order to fulfil the needs of an omnipresence feeling of hatred towards Turks.

4.2 Discourse of Laziness

With attention to the vast number of Western literature regarding the East, it can be inferred that Oriental people have often been referred to as lazy and unable to manage their own lives. Terms such as idle, passive, inactive and slow have all been employed for Eastern concepts. One item which has played a big role in creating the discourse of laziness in Western literature is the Hookah or Shishe which is a pipe smoked in most Eastern countries. Western artists have continuously depicted scenes from the Harem and elsewhere where the people are reclining unhurriedly and enjoying their cup of tea and their pipe during the day. As Ivan Davidson Kalmar states in her article The Houkah in the Harem, On Smoking and Orientalist Art, such idleness was not without its appeal to the civilized inhabitants of the West, who were familiar with complaints, voiced in every generation from Rousseau’s to beyond Freud’s, about the way modern society prevents us from taking time to smell the roses. (Kalmar, 2011)

The pipe was used in Western Orientalist art to associate the Orient with a sensuous that was very slow. Oriental sensuality was seen as simply passive and inactive. The term pipe has been used three times in the first twenty eight pages of Kingslake’s travelogue. Two out of three times it has been collocated with the words calm and tranquil which reflect idleness. In the next extract the writer refers to the Houkah which has been offered to him by the Sultan’s servants:

Soon the coffee-bearers appeared, every man carrying separately his tiny cup in a small metal stand; and presently to each of us there came a pipe-bearer, who first rested the bowl of the tchibouque at a measured distance on the floor, and then, on this axis, wheeled round the long cheery stick, and gracefully presented it on half-bended knee; already the well-kindled fire was glowing secure in the bowl, and so, when I pressed the amber up to mine, there was no coyness to conquer; the willing fume came up, and answered my slightest sigh, and followed softly every
breath inspired, till it touched me with some faint sense and understanding of Asiatic contentment. Asiatic contentment! Yet scarcely, perhaps, one hour before I had been wanting my bill, and ringing for waiters, in a shrill and busy hotel. (Kingslake, 2011, p.5)

The above excerpt immediately ends with an evaluative line which tries to highlight the different degrees of activity of the East and West. This contrast is created with the word yet used to show the opposing habits of the East and West. Hence, a polar distinction is formed.

In the following extracts the pipe and tchibouque has been collocated with words like tranquillity and permanence, patiently and the verb wait which reflect laziness: “So I bought me a horse, and a "pipe of tranquillity" " (Kingslake, 2011, p.24) and “then laying fire to his tchibouque he "sits in permanence," and patiently waits to obtain "the best price that can be got in an open market."”(Kingslake, 2011, p.25) Kingslake (2011) elsewhere says:

There he lives at his pleasure, reposing in the tranquility of that true home (the home of his ancestors) which the saddle seems to afford him, and drawing from his pipe the calm pleasures of his "own fireside," or else dashing sudden over the earth, as though for a moment he felt the mouth of a Turcoman steed, and saw his own Scythian plains lying boundless and open before him. (p. 11)

Words such as tranquillity, calm, reposing, permanence and patiently waits create an air of idleness. He uses these to refer to the Tartars behaviour in general and not to one specific tartar.

4.3 Discourse of civilization

The terms civilized and uncivilized are prevalent in Orientalist text. However, the meanings of the terms are highly controversial. The following definitions are given in a modern dictionary:

Civilized:
- Describes a society or country that has a highly developed system of government, culture and way of life and that treats the people who live there fairly.
- If a person or their behaviour is civilized, they are polite and behave in a calm and reasonable way

Uncivilized:
- not civilized, especially below the usual standards of Western society:

(Cambridge Dictionary Online)

This reveals a very intriguing fact about how people perceive the term civilized and uncivilized in the English language. The term uncivilized is used for any country or any region which is below the perceived standards of the West. In other words, the Western civilization is used as norm basis for measuring what can and what can not be considered as civilized. Edward (1976) says:

There has been so massive and calculatedly aggressive attack on the contemporary societies of the Arab and Muslims for their backwardness, lack of democracy, and abrogation of women's rights that we simply forget that such notions as modernity, enlightenment and democracy are by no means simple and agreed-upon concepts that one either does or does not find, like Easter eggs in the living room. (p .xiv)

In the next extract, upon traversing the border from West to East the following sentence is given: “The latter then advanced and asked once more if we had done with the civilized world, held forth his hand. I met it with
mine, and there was an end to Christendom for many a day to come.” (Kingslake, 2011, p. 3) Here the writer upon crossing the border says that the world of civilization which he refers to as Christendom finished. His implication is that the West which he generalizes using the religious word Christendom is civilized and the other side of the border which are the Islamic lands are uncivilized. By this, he classifies the world into two opposing categories.

According to Western perspective these terms and terms like civilization do have agreed-upon definitions.

In countries civilised according to the European plan the work of trying to persuade tribunals is almost all performed by a set of men, the great body of whom very seldom do anything else; but in Turkey this division of labour has never taken place, and every man is his own advocate. (Kingslake, 2011, p.24)

In the preceding extract, the author draws a direct contrast using the conjunction but to compare Eastern and Western approaches to advocacy. The writer indirectly refers to the presence of expertise in Europe and lack of expertise in Asia. He says that in Europe a fixed set of men perform the act of advocacy because it is their job. However in Turkey, everybody is his own advocate and therefore has to have a strong sense of rhetoric. The writer refers to the European approach as a civilized one, thereby implying that the Eastern one is uncivilized.

4.4 Discourse of Irrationality

Said claims that by constructing the Orient as culturally static and backward, eternally uniform and incapable of self-definition, the Occident as its established opposite, is infused with a secure sense of its own cultural and intellectual superiority. He believes that this is to justify their imperial dominance over the East. Here as with many other Orientalist writings, Easterners have often been referred to as irrational and emotional and unable to think clearly about their lives and their future. The rhetorical technique of contrast is used above and a dividing line has been drawn between the Europeans and the Easterners using the word on the other hand.

Depicting Easterners as beings lacking the ability to make right decisions for themselves gives others (the West) the right to make decisions on their behalf. The next two extracts from Eothen are good testimony to this type of discourse: “But presently there, issued from the postern a group of human beings—beings with immortal souls, and possibly some reasoning faculties.” (Kingslake, 2011, p. 3) And the second:

Thus poor, dear, patient Reason would have fought her slow battle against Asiatic prejudice, and I am convinced that she would have established the possibility (and perhaps even the propriety) of harnessing horses in a hundred and fifty years. (Kingslake, 2011, p.18)

In the extract above, the word possibly acts as a hedge. The author is trying to emphasize the point that he is not sure whether Easterners even have some form of logic. In the second extract the writer refers to reason as being poor and patient and therefore saying that patient, will have a difficult time trying to influence the rigid minds of irrational Easterners.

4.5 Discourse of Oriental Women

The Islamic covering has been an all time controversial issue in the West. Many people associate the Hijab with Islam unaware of the fact that covering of the head is not specific to just Islam but is also advised in Christianity. In the holy Bible, the first Epistle to the Corinthians, chapter 11 reads:
But I would have you know that the head of every man is Christ and the head of the woman is the man, and the head of Christ is God. Every man praying or prophesying with his head covered, disgraces his head. But every woman praying or prophesying with her head uncovered disgraces her head, for it is the same as if she were shaven. For if a woman is not covered, let her be shaven. But if it is a disgrace for a woman to have her hair cut off or her head shaved, let her cover her head. A man indeed ought not to cover his head, because he is the image and glory of God. But woman is the glory of man. For man was not created for woman, but woman for man. This is why the woman ought to have a sign of authority over her head, because of the angels.

This clearly shows that women in Christianity are also advised to cover their heads especially during prayer. This is why Mary, the mother of Jesus, is always depicted in Christian art wearing the veil.

There is also a misconception about what the term “hijab” actually means. Many confuse the term with the Arabic word “nigab” which is used to cover the whole face except the eyes. Hijab from the root hajaba meaning to cover, conceal, hide, is a complex notion encompassing action and apparel. It can include covering the face, or not. It includes lowering the gaze with the opposite sex, and applies to men as well, who must lower their gaze and cover from navel to knee.

There is an all time misconception that the veil women wear in Islamic countries is a symbol of their oppression. As is clear from the verses of the bible, the explicit purpose of the Christian woman’s head covering, as stated by Paul, is that it is a sign of man’s authority over woman. The veil in Christianity is a symbol of the man’s authority over the women. The purpose of Islamic hijab however, is modesty. Therefore the concept that the veil is oppressive is born out of this interpretation. Kingslake’s narrative carries that negative stance towards the hijab too: “The unveiled faces of women still shone in the light of day.” (Kingslake, 2011, p.2) The term unveiled has been collocated with the words shone, light and day.

The extract below can be divided into two sections. The first is a description of a muslim women with the veil. Here the writer describes her as without any particular identity when he says of her self you see nothing. He also refers to her eyes as dark and luminous which just stare at you: “Of her very self you see nothing except the dark, luminous eyes that stare against your face and the tips of the painted fingers depending like rose-buds from out of the blank bastions of the fortress.”(Kingslake, 2011, p.23)

The second part describes her when she takes her veil off. Here the mood changes and the writer shows how splendid and beautiful she is. The contrast between the word dark in the first part and the word shine after taking off the veil is evidence to the writers negative perception towards the veil. The term safe from requires an object and the object presented here is the Mussalmans. The word Mussalmans subsumes a large population who here are referred to as being perilous. The two parts taken together, form a clear polar distinction.

She turns and turns again, and carefully glances around her on all sides, to see that she is safe from the eyes of Mussalmans, and then suddenly withdrawing the yashmak she shines upon your heart and soul with all the pomp and might of her beauty. (Kingslake, 2011, p.23)

The writer is trying to speak favorably of women who do not wear veil as to those who wear one. On a global scale, the writer is questioning the cultural value of the veil in Eastern life and is therefore imposing his own modern cultural beliefs to his audience.

5. Conclusion & Discussion

Throughout the study, the dominant sub discourses became apparent. This does not necessary mean that no other sub-discourses make up the discourse of Orienttism but rather that the ones mentioned in this
research are the ones which were prevalent in the data. Five sub-discourses became apparent while analysing the text.

The first being the sub-discourse of *barbarism* in which the East and its people are perceived as violent and lethal as possible. This type of representation naturally would create a sense of hatred and fear towards the Eastern people and would justify any form of violence against them as a form of defence.

The second, was the *laziness* in which Eastern people are depicted as people who just rest and enjoy the pleasures of life. The implication of this sub discourse is that the Eastern people can not work to rule their own country and state and therefore need the help of the industrious West to govern it.

The third sub discourse is the discourse of *civilization* or put in better words *lack of civilization*. The topic of what should and what should not be referred to as civilized is a controversial issue. However usually this is presented as a clear cut concept in Western literature. In Eothen the Eastern cities and the manner of the people have been referred to as being backward and uncivilized; therefore creating a perfect and civilized West.

The fourth sub discourse is *irrationality*. Through this, the Eastern people have been known to lack logical thinking and common sense. They are expected to react according to their desires and emotions and not their minds and when they are refereed to having some logic, it is with much hesitation. In such an era where science and scientific thinking plays a big role in influencing the people, referring to the Oriental mind as being “abhorrent” undermines anything the Eastern people might claim as being true.

The fifth sub discourse is the discourse of Oriental women. Rarely can you read a Western travelogue and not come along the concept of Eastern women. Eastern women have been stereotyped as being misused, sensual and deprived of their rights. Their Islamic clothing has been regularly referred to as being inappropriate. This type of discussion on women and women rights in itself creates a kind of pity for Oriental women. The West perceives that Oriental women are suffering and that it is their duty to do something about it. Of course we cannot deny that there are women whose rights are clearly being disregarded. But generalizing this to the East, and portraying Western women as liberal is what accentuates the ideology inherent within it.

The purpose of the research was not only identifying the type of sub discourse inherent within the travelogue, but also clarifying how these sub-discourses were created; that is, which rhetorical techniques were used. The chart below shows all the rhetorical techniques which were used in the ideologically laden excerpts.

![Figure 2 Rhetorical Strategies](image-url)
As is clear from the chart above, the most common rhetorical strategy used was negative lexicalization followed by polarization, hyperbole, generalization and comparison and irony respectively.

The present research has the following implications:

This study shows that the information around us should not be taken for granted, rather they should be read with a more critical eye. Critical thinking can be understood as a way of becoming aware of and taking control of one’s own thinking processes in order to think more effectively. It is consciously directing one’s thinking to make it more rational, clear, accurate, and consistent. Currently, the general population of societies are deficient in the abilities or dispositions that would allow them to discern certain kinds of inaccuracies, distortions, and even falsehoods. People generally accept the misrepresentation they see on television and in books. In order to achieve this ideology free haven, critical thinking ought to be taught to students from an early age as high schools play a fundamental role in shaping students perspectives towards cultural issues. Students should be privileged with courses which increase their knowledge on such issues as ideology, cultural discrepancies and mediation policies of the media. Naturally teachers and lecturers hold a huge responsibility in raising this awareness among their students. A critical pedagogy urges teachers to help students become more sceptical toward commonly accepted truisms and to evaluate the benefit such claims would have on the power structures of the society. Such pedagogy would not only reduce conflict between minority races and enhance a brotherhood commitment among the different nations but also would increase the humanizing affect in societies, would restrict pretence in the media.

Reference

A Vector Error Correction Modelling of the Composition of Government Spending and the Real Exchange Rate in Nigeria

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Abstract: The main objective of this study has been to empirically investigate the relationship between government expenditure and the Real Exchange Rate in Nigeria. Using data covering 1970 to 2010, the Vector Error Correction and Cointegration tests results established a long run relationship among the components of government expenditure and the Real Exchange Rate. The result showed that government investment has delivered more productivity gains in the non-tradable sector than in the tradable sector, while an increase in government consumption increased the relative demand for non-tradable. The government should thus shift attention to the expansion of the tradable sector.

Key words: Government Consumption, Government Investment, Real Exchange Rate and Vector Error Correction

1. Introduction

The Real Exchange Rate (RER) is a significant factor in the development process of an economy as both its level and stability are important in increasing exports and private investment. While misalignment of the RER can be an undervaluation or overvaluation, overvaluation has been the common case in developing countries (Edwards, 1989). An overvalued RER reduces profits in the tradable goods sector, thereby reducing investment in the sector. This has a negative effect on export and the trade balance. Persistent overvaluation of the Real Effective Exchange Rate (REER) may also lead to currency crisis (Xiaopu, 2002). The increasing overvaluation of the exchange rate that began in Sub-Sahara Africa in the early 1980s contributed to the poor performance of the current account balance in the region (Ghura and Grennes, 1993). Thus as noted by Mungule, 2004), the RER does not only affect the general performance and international competitiveness, but also different sectors of the economy including foreign trade flows, balance of payments, external debt crisis, employment, structure of production, consumption and allocation of resources in the economy.

In Nigeria, the RER has been an important player in the growth of the economy. Given the import dependent nature of the Nigerian industrial sector, the continued depreciation of the naira exchange rate vis-à-vis the currencies of other major trading partners meant that more resources would be needed to increase domestic output. A depreciating Exchange Rate in the absence of domestic sources of inputs coupled with inadequate infrastructure has raised the cost of production in Nigeria, which in turn made locally produced goods less competitive compared to imported goods. This has reduced the benefits of cheaper exports expected from the depreciation of the currency. Similarly, the overdependence of the economy on imported capital goods implies that a depreciating exchange rate would crowd out the marginal investment as a result of high investment cost (Nnanna, Englama and Odoko, 2004). This depreciation of the naira exchange rate in
Nigeria has resulted in a shift in finance to the tradable sub-sector. In his view, Obadan (2006) identified the factors that lead to instability in the RER in Nigeria to include amongst others round-tripping, weak production base, import dependent production structure, weak non-oil export earnings, expansionary fiscal and monetary policies, fluctuations in crude oil earnings, unguided trade liberalization (which include removal in diesel and kerosene subsidies or reduction of subsidy in Petroleum Motor Spirit). In addition, the continuous depreciation of the naira has resulted in a monumental increase in the naira cost of executing government projects. This has led to a significant funding gap and sometimes inability to complete them. To be able to fund its projects, government has often resorted to expansionary monetary and fiscal measures that further put pressure on the naira exchange rate.

The question that comes to mind here is: what is the relationship between the composition of government spending and the RER in Nigeria? The objective of this paper is thus to assess the relationship between government expenditure and the RER in Nigeria using the Vector Error Correction Model (VECM). Specifically, the differential impact of both government investment and government consumption in Nigeria will be assessed in this paper. This distinction is important because our aim is to point out that government consumption and government investment may be expected to have different impacts on the RER in Nigeria. While an increase in government consumption is typically modelled as increasing the relative demand for non-tradeable and thereby leading to real appreciation, a long run increase in public investment that delivers productivity gain in the tradables sector may generate real appreciation through the so-called Balassa-Samuelson mechanism. If public investment disproportionately raises productivity in the nontradables sector, it may lead to real depreciation. However, if productivity is increased in both sectors there is no long-run impact on the relative price of non-tradable and the RER (Vahagn and Philip, 2008). Other than this introductory section, the rest of the paper is divided into four sections. The second section is on the theoretical framework. This is followed by the third section which reviews empirical literature. The fourth section is on the econometric procedure and the fifth section concludes the paper.

2. Theoretical Issues

This section encompasses an adapted version of the standard two-sector small open economy model (Obstfeld and Rogoff, 1996 and Vahagn and Philip, 2008). The production functions for traded and non-traded goods are respectively.

\[ Y_T = A'TF(L_T, K_T) = (ATZ^{\alpha Z})L_T^{\alpha L}K_T^{\alpha T} \]  
\[ Y_N = A'NG(L_N, K_N) = (ANZ^{\beta Z})L_N^{\beta L}K_N^{\beta T} \]  

Where \( L \) and \( K \) stand for labor and capital, while \( Z \) stands for the public capital stock. It was assumed that total factor productivity in each sector is a composite of a sector-specific term (\( A'T, A'N \)) and the level of public capital. Accordingly, productivity in both sectors is enhanced by a larger stock of public capital but the impact was allowed to be potentially different across sectors \( \alpha Z \neq \beta Z \). It was assumed that \( \alpha L + \alpha K = 1 \), but \( \beta L + \beta K < 1 \). A fixed factor of production (normalized to 1) was incorporated in the non-traded sector such that the production function in that sector exhibits diminishing returns to labour and capital. The price of the traded good is equal to world price of the good and is normalized to 1, while the price of non-traded goods is \( P_N \).

The accumulation functions for the private capital stocks in the traded and non-traded sectors are given by

\[ \Delta K_T = 1^{\kappa_T} - \delta K_T \]  
\[ \Delta K_N = 1^{\kappa_N} - \Delta K_N \]  

Where 1 denotes the level of gross investment and \( \delta \) is the depreciation rate. The public capital stock evolves according to

\[ \Delta z = 1^Z - \delta Z \]
It was assumed that private capital formation in the traded and non-traded sectors only requires the traded good as an input, while public capital formation uses only the non-traded good as an input. The representative household has an instantaneous utility.

\[ C = \frac{C_T^{1-\gamma} C_N^{\gamma}}{(1-\gamma)^{1-\gamma}} Y^\gamma \]  

(6)

The implication here is that optimal household expenditure shares on traded and non-traded goods are fixed at \((1-\gamma)\) and \(\gamma\) respectively, with a unit elasticity of the relative consumption of non-tradables in relation to the relative price of non-tradeables.

The welfare-based price index consistent with equation (6) is

\[ P = P_N^\gamma \]  

(7)

It was also assumed that the price of the non-traded good in the rest of the world is fixed and normalized to 1, such that changes in \(P\) correspond to changes in the RER.

By assumption, the government runs a balanced budget, levying lump-sum taxes equal to the value of total government consumption and government investment.

\[ T = G_T + P_N(G_N + I^2) \]  

(8)

Where \(G_T\), \(G_N\) are the levels of public consumption of the traded and non-traded goods respectively and \(I^2\) is the level of public investment.

Households own the domestic stocks of capital in the traded and non-traded sectors. There are no inter-sectoral or international capital adjustment costs, so that the return on capital is equal to the exogenously fixed world interest rate. In addition, households own the fixed factor in the non-traded sector and so receive the income accruing to that factor (the residual claimant on profits in the non-traded sector). Accordingly, households face the following budget constraint

\[ AB = RB + r(K_T, K_N) + w(L_T, L_N - (I_N^K + I_T^K) - C_T - P_N C_N + \Pi_N - T) \]  

(9)

Where \(\beta\) is an international bond that pays the fixed real world interest \(r\) (in terms of tradables), \(\Pi_N = (1 - \beta L - \beta K)P_N Y_n\) is the aggregate profit in the non-traded sector and \(T\) is the tax burden.

For simplicity, it is assumed that the aggregate labor supply is inelastic. Labor is perfectly inter-sectorally mobile, such that the equilibrium in the labor market is

\[ L_N + L_T = L \]  

(10)

The equilibrium in the non-traded goods sector is

\[ Y_N = C_N + G_N + I^2 \]  

(11)

While the trade balance is determined by

\[ T_B = Y_T - C_T - G_T - (I_N^K + I_T^K) \]  

(12)

Equations (1) to (12) together with the first-order conditions for private consumption and private investment and the profits of the non-traded sector form the system.

The primary interest is in the long-run behavior of the RER. Accordingly, the steady-state solution of the model was given attention. In order to obtain an analytical solution, it was assumed that there is no
depreciation. A benchmark steady state in which the levels of net foreign assets and government consumption are zero (in order to obtain a closed form solution) was analyzed. The system was log-linearized around this benchmark, in order to examine the sensitivity of the steady-state RER to shifts in the steady state values of the exogenous variables. In the benchmark steady state, the relative price of non-traded goods is

\[ p_N = \left( \prod \ln \frac{1-B_L-B_K \alpha_Z}{1-B_L - B_K} \right)^{-\gamma} \frac{\beta_Z}{1-\beta_K} \]  

(13)

In the next stage, the system was log-linearized around this steady state and a solution was solved for. The equation of primary interest is the one governing the RER, \( \bar{p} = \bar{Y} \bar{p}_N \), with the relative price of non-traded goods given by

\[ \bar{p}_N = \frac{1-\beta_K}{1-\alpha_K} - \bar{A}_T + \mu_0 \left( r \bar{B} + [G_N - G_T] + \mu_1 \bar{Z} \right) \]  

(14)

Where hatted variables denote percentage deviations from the steady-state values. Equation (14) shows that an improvement in productivity in the non-traded sector generates real depreciation and a decline in the relative price of non-tradables, while an increase in productivity in the traded sector generates real appreciation and an increase in the relative price of non-tradable, where these forces operate according to the classic Balassa Samuelson mechanism. The other key coefficients are

and

\[ \mu_0 = \frac{\alpha_L (1 - B_L - B_K) (1 - Y)}{\alpha_L (1 - Y) + B_L Y} > 0 \]  

(15)

\[ \frac{(1 - B_K) \alpha_Z - (1 - \alpha_K) \beta_Z}{\alpha_L} \]  

(16)

Since \( \mu_0 > 0 \), the level and composition of spending matters for the RER. In particular, a country that is a long-run creditor (\( \bar{\beta} > 0 \)) experiences real appreciation, since the interest income on the creditor position enables an increase in the steady state level of consumption. In the traded sector, this translates into a long-run trade deficit (TB = \( r \bar{B} \)), while the increase in demand for the non-traded good generates real appreciation due to the presence of the fixed factor in the non-traded sector. Moreover, an increase in government consumption that is concentrated on non-traded goods ([GN – GT] > 0) also generates real appreciation by shifting the composition of aggregate consumption towards the non-traded sector.

Finally, the effect of an increase in the public capital stock on the RER is given by the coefficient \( \rho \), which has an ambiguous sign. If an increase in public capital has a symmetric impact on productivity in both sectors (\( \alpha_L = \beta_L \)) and both sectors have similar capital shares (\( \alpha_K = \beta_K \)), the RER is unaffected by the level of the public capital stock. If \( \alpha_L = \beta_L \) but the non-traded sector is less capital intensive (\( \alpha_K > \beta_K \)), then an increase in public capital generates real appreciation, by the same logic as a symmetric improvement in the sector specific productivity terms \( A_T \) and \( A_N \). However, even if \( \alpha_K > \beta_K \), it is possible to construct scenarios in which an increase in the public capital stock generates real depreciation if productivity in the non-traded sector is
more sensitive to the level of public capital than its productivity in the traded sector $(\alpha Z = \beta Z)$. Accordingly, the sign of the relation between public investment and the RER is ultimately an empirical matter.

3. Empirical Literature

Edwards (1989) pioneered the fundamental models of the determination of RER for developing countries. Edwards started by developing a theoretical model of the RER determination and then estimated its equilibrium value for panels of 12 developing countries. He used the conventional cointegration tests to analyze the relative importance of real and nominal variables in the process of RER determination in the short and long run. The study found that in the long run only real variables affect the long run equilibrium RER. In the short run, however, RER variability was explained by both real and nominal actors. More precisely, the most important factors identified in this study as affecting the equilibrium RER are the terms of trade and composition of government spending, the control of foreign exchange and the movement of goods (openness), technical progress and capital inflow. An increase in government consumption, capital inflows, terms of trade and a decrease in technological progress and openness appreciated the RER.

Ghura and Grennes (1993) used a panel of Sub-Saharan countries, to investigate the determinants of the RER and the impact of RER misalignment on economic performance. They employed a classical regression methodology and found that the RER appreciated with (i) an improvement in the terms of trade, (ii) a capital inflow, (iii) a decrease in openness, (iv) an increase in excess of domestic credit, and (v) an improvement in technology. The study also found that nominal devaluation depreciated the RER. With regard to the impact of RER misalignment and variability, it found that RER misalignment and variability negatively affected income growth, exports, imports, investment and savings.

Elbadawi (1994) developed a model of the determination of the long run equilibrium RER. The fundamental determinants of the long run equilibrium RER in this model included the terms of trade, openness (a proxy for commercial policy), the level of net capital flows relative to GDP, the share of government spending in GDP and the rate of growth of exports (a productivity measure). Elbadawi empirically estimated his model on annual data for Chile, Ghana and India. The findings of this study suggested that, in all three countries, the RER and all the fundamentals identified in the model were non-stationary and cointegrated.

MacDonald (1998) presented a reduced form model of the RER to re-examine the determinants of RER in a long run setting. His model features productivity differentials, terms of trade effects, fiscal balances, net foreign assets and real interest rate differentials as key fundamental determinants of the RER. Using multivariate cointegration methods, he found evidence of a significant and sensible long run relationship, indicating that the fundamentals mentioned above have an important and significant bearing on the determination of both long and short run RER. Mkenda (2001) analyzed the main determinants of the RER in Zambia. The study presented an illustrative model based on the three-good production structure and employed cointegration analysis in estimating the long run determinants of the RER for imports and exports, and of the internal RER. The results of this study provided evidence that (i) a decline in the terms of trade and government consumption depreciated the RER for imports, while an increase in investment share of GDP appreciated the RER for imports; (ii) a decrease in the terms of trade, an increase in central bank reserves and trade taxes appreciated the RER for exports in the long run; (iii) in the long run, the internal RER was strengthened by a decrease in the terms of trade, an increase in investment share and the rate of growth of real GDP (a proxy for technological progress); (iv) in the short run, however, aid and openness depreciated the RER indices.

Joyce and Kamas (2003) re-investigated the factors that determined the RER in Argentina, Colombia and Mexico, distinguishing between real and nominal determinants. The study employed cointegration analysis, variance decompositions and impulse response analysis. Cointegration results established that the RER has an equilibrium relationship with real variables (terms of trade, capital flows, productivity and government
share of GDP). It excluded nominal variables (nominal exchange rate and money) and central bank intervention. In addition, an increase in all the real variables in their model appreciated the RER. The variance decomposition showed that the terms of trade and productivity, among other real variables, explained much of the variation in the RER. In the short run, however, the nominal exchange rate accounted for most of the variation in the RER of all three countries. Finally, the impulse response analysis revealed that shocks to nominal variables have only transitory effects on the RER, thus consistent with theoretical predictions.

Coricelli and Jazbec (2004) analyzed the phenomenon of RER appreciation that has characterized 19 transitional economies, which included a group of nine Central and Eastern European countries, three Baltic countries and seven former Soviet Union Countries. They used Ordinary Least Squares (OLS) regression to show that the RER is affected by the adverse initial conditions and structural reforms only in the first five years of the transition process. After this period, their results provided evidence that productivity differential, the share of non-tradable consumption in total private consumption and real government consumption negatively affected the RER, thus contributing to the real appreciation of the currencies of these economies. However, the Balassa-Samuelson effect (productivity differentials) seemed to dominate the determination of the RER in this study.

Mungule (2004) investigated the determinants of RER in Zambia. He used the RER as a function of terms of trade, capital inflow, closeness of the economy and excess supply of domestic credit. Using the cointegration technique, he discovered that the REER and the fundamental determinants have a long run equilibrium relationship. Vahagn and Philip (2008) investigated the composition of government spending and the RER. They developed a two sector open economy model in which an increase in government consumption is associated with real appreciation. Using panel data covering 1980 to 2004 and the cointegration technique, their result showed that government consumption typically leads to real appreciation. They also found that government investment has no significant impact on the RER for the set of EMU member countries.

4. Econometric Procedure

VAR Modelling and the Cointegration Approach

According to the Granger Representation Theorem (Engle and Granger, 1987), if a P*1 vector, $X_t$, generated by $(1-L)X_t = d + c(L)e_t$, is cointegrated, then there exists a vector autoregression (VAR), an error correction, as well as a moving average (MA) representation of $X_t$. A set of variables $X_t$, which is cointegrated, refers to the existence of long-run equilibrium relationships among economic variables (Mungule, 2004). That is, though each series may be non-stationary, there may be stationary linear combinations of the variables. The basic idea is that individual economic time series variables wander considerably, but certain linear combinations of the series do not move too far apart from each other. In economic term, there is a long-run relationship among the variables.

The most common test for cointegration is the two-step procedure of Engle and Granger (1987) which performs well for univariate tests. The first step is to fit the cointegration regression, an ordinary least squares (OLS) estimation of the static model. The second step is to conduct a unit root test on the estimated residuals. To test for cointegration is just to test for the presence of a unit root in the residuals of the cointegrating regression. If the null of a unit root is rejected, then cointegration exists. However, the long-run parameter of the cointegrating vector estimated from this approach can be severely biased in finite samples. An improved procedure of cointegration test is that which allows for more than one cointegrating vector, as suggested in Johansen (1998) and Johansen and Juselius (1990).
Following Johansen and Juselius (1990), let the p variables under scrutiny follow a vector autoregression of order p (VAR(p)) as below.

\[ X_t = c + P_1 X_{t-1} + \ldots + P_p X_{t-p} + e_t \]  

(1)

Where \( X_t = n \times 1 \) vector of economic variables in the model; \( c = n \times 1 \) vector of constants or drift terms are innovations of this process and are assumed to be drawn from \( p \)-dimensional independently, identically distributed (i.i.d) Gaussian distributions with covariance \( G \); and \( X_{p+1}, \ldots, X_0 \) are fixed.

Where:

\[ P_i = n \times n \text{ matrixes of time invariant coefficients, } I, 1, \ldots, p, \] and

\[ e = n \times 1 \text{ vector of i.i.d. errors with a positive covariance matrix.} \]

Let \( \Delta \) represent the first difference filter. The equation can be reparameterised into the equivalent form presented below

\[ \Delta X_t = c + P X_{t-p} + \sum_{i=0}^{p-1} \tau_i \Delta X_{t-i+} \tau_t \]  

(2)

Where \( \tau_t = -\tau + \sum_{j=1}^{I} P_j \), for, \( I = 1, \ldots, P - 1, \tau + \sum_{i=1}^{P} \)

The coefficient matrix \( P \) contains information about the long-run relationships among variables. Since \( e_t \) is stationary, the number of ranks for matrix \( P \) determines how many linear combination of \( X_t \) are stationary. If \( 0 < \text{Rank } (P) = r < p \), there exists \( r \) cointegrating vectors that make the linear combinations of \( X_t \) to become stationary. In that case, \( P \) can be factored as “\( a \)” and “\( b \)”, with “\( a \)” and “\( b \)” being matrices. Here “\( b \)” is a cointegrating vector that has the property that \( bX_t \) is stationary even though \( X_t \) itself is non-stationary and “\( a \)” then contains the adjustment parameters.

Based on an unrestricted estimation that is parameterized in terms of levels and differences, Johansen (1988) proposed likelihood ratio statistics for testing the number of cointegrating vectors. First we must solve the eigenvalues of \( |eS_{pp} - S_{po}S_{00}^{-1}S_{op}| = 0 \), where \( S_{00} \) is the moment matrix of the residuals from the ordinary least squares (OLS) regression of \( DX_t on \Delta X_{t-1}, \ldots, \Delta X_{t-p+1} \); \( S_{pp} \) is the residual moment matrix from the OLS regression of \( DX_t \) on \( DX_{t-1} \); \( S_{pp} \) and \( S_{op} \) is the cross product moment matrix. The cointegrating vector, \( b \), is solved out as the eigenvectors associated with the \( r \) largest statistically significant eigenvalues derived using two test statistics, “maximum eigenvalue statistics” and “trace statistics”. The first statistic tests the hypothesis that there are \( r=s \) cointegrating vectors against the alternative of \( r = s + 1 \) by calculating the maximum likelihood test statistics as \( -T \ln(1-1_{s+1}) \), where \( T \) is the sample size and \( 1_{s+1} \) is an estimated eigenvalue. The second statistic tests the hypothesis that there exists at most, \( r \) cointegrating vectors. If the test is performed by calculating trace statistics.

\[ \frac{\sum_{l=1}^{p} \ln\{1 - \lambda_i^*\}/(1 - \lambda_i)}{1 - \sum_{l=1}^{p+1}} \]

Where \( \lambda_i^* \) are eigenvalues obtained from cointegration analysis assuming there is no linear trend.

Thus, a proper assessment of the composition of government spending and the RER necessitated the estimation of the following equation:

\[ LREER = b_0 + b_1 LGCONS + b_2 LGINV + b_3 PRODUCTIVITY + U_t \]
Where

REER = Real Effective Exchange Rate
GCONS = Government Consumption
GINV = Government Investment
PRODUCTIVITY = Productivity is represented by the growth rate of Gross Domestic Product
L = Natural Logarithm
Ut = Random Variable

The results of the descriptive statistic for the variables is shown in table 1 below.

Table 1: Summary of Descriptive Statistic

<table>
<thead>
<tr>
<th></th>
<th>GCONS</th>
<th>GINV</th>
<th>REER</th>
<th>PRODUCTIVITY</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mean</td>
<td>551618.8</td>
<td>283703.8</td>
<td>335.4242</td>
<td>0.482574</td>
</tr>
<tr>
<td>Median</td>
<td>34388.90</td>
<td>24775.50</td>
<td>130.2300</td>
<td>0.062191</td>
</tr>
<tr>
<td>Minimum</td>
<td>416262</td>
<td>2272760</td>
<td>1075.780</td>
<td>9.375315</td>
</tr>
<tr>
<td>Minimum</td>
<td>143.6000</td>
<td>993.0000</td>
<td>57.47000</td>
<td>-0.891466</td>
</tr>
<tr>
<td>Std. Dev.</td>
<td>965888.4</td>
<td>554650.3</td>
<td>320.9957</td>
<td>1.719859</td>
</tr>
<tr>
<td>Skewness</td>
<td>2.178414</td>
<td>2.316480</td>
<td>0.973653</td>
<td>4.226820</td>
</tr>
<tr>
<td>Kurtosis</td>
<td>7.388690</td>
<td>3.239988</td>
<td>2.535969</td>
<td>20.74144</td>
</tr>
<tr>
<td>Jarque-Bera</td>
<td>1.073759</td>
<td>2.073637</td>
<td>6.678874</td>
<td>3.017045</td>
</tr>
<tr>
<td>Probability</td>
<td>0.1200000</td>
<td>0.0000000</td>
<td>0.035457</td>
<td>0.000000</td>
</tr>
<tr>
<td>Sum</td>
<td>22064754</td>
<td>11348154</td>
<td>13416.97</td>
<td>19.30298</td>
</tr>
<tr>
<td>Sum Sq. Dev.</td>
<td>3.64E+13</td>
<td>1.20E+13</td>
<td>4018491</td>
<td>115.3587</td>
</tr>
<tr>
<td>Observations</td>
<td>40</td>
<td>40</td>
<td>40</td>
<td>40</td>
</tr>
</tbody>
</table>

The skewness which is a measure of the asymmetry of the distribution of the series around its mean have values greater than 0 which indicates that the series is skewed to the right. This suggests that the distribution has a long right tail. The kurtosis measures the peakedness of flatness of the distribution with an expected value of 3.0. The results in table 1 above shows that the RER and government investment satisfy the condition. However, those of government consumption and PRODUCTIVITY are leptokurtic (greater than 3). The Jarque-Bera test is used to test whether the random variables with unknown means and constant dispersions are normally distributed. The jarque-bera test has the null hypothesis of normally distributed residuals. The probability values indicates an acceptance of the null hypothesis that the errors are normally distributed.

The augmented Dickey Fuller (ADF) and the Phillip Perron (PP) unit root tests were used to test whether the variables are stationary or not and their order of integration. The summary of the ADF and PP unit root tests are shown in table 2 below.

Table 2: Summary of ADF and PP unit root tests

<table>
<thead>
<tr>
<th>Variables</th>
<th>ADF</th>
<th>PP</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Level 1st difference</td>
<td>Order of Integration</td>
</tr>
<tr>
<td>Productivity</td>
<td>3.864607*</td>
<td>-11.06536</td>
</tr>
<tr>
<td>REER</td>
<td>-2.175824</td>
<td>-4.235913*</td>
</tr>
<tr>
<td>GINV</td>
<td>-0.826384</td>
<td>-6.790597*</td>
</tr>
<tr>
<td>GCONS</td>
<td>7.720578*</td>
<td>2.077504</td>
</tr>
</tbody>
</table>
The results of the unit root tests show that while the REER and GINV were non-stationary, PRODUCTIVITY and GCONS were stationary. Following Harris (1995) and Gujarati (2003), all the variables were carried along for the cointegration test because according to them, both 1(1) and 1(0) variables can be cointegrated. We thus proceed to the next test which is a test of cointegration. The summary of the Johansen cointegration test is shown in Table 3 below:

Table 3: Summary of Johansen Cointegration Test Result

<table>
<thead>
<tr>
<th>Hypothesized No of CE(s)</th>
<th>Eigen Value</th>
<th>Trace Statistic</th>
<th>5% CV</th>
<th>1% CV</th>
<th>Max-Eigen statistic</th>
<th>5% CV</th>
<th>1% CV</th>
</tr>
</thead>
<tbody>
<tr>
<td>None**</td>
<td>0.610914</td>
<td>64.10137</td>
<td>47.21</td>
<td>54.46</td>
<td>34.92636</td>
<td>27.07</td>
<td>32.24</td>
</tr>
<tr>
<td>At most 1</td>
<td>0.411748</td>
<td>29.17501</td>
<td>29.68</td>
<td>35.65</td>
<td>19.63222</td>
<td>20.97</td>
<td>25.52</td>
</tr>
<tr>
<td>At most 2</td>
<td>0.165128</td>
<td>-9.542795</td>
<td>13.41</td>
<td>20.04</td>
<td>6.677654</td>
<td>14.07</td>
<td>18.63</td>
</tr>
<tr>
<td>At most 3</td>
<td>0.07454</td>
<td>2.865141</td>
<td>3.76</td>
<td>6.65</td>
<td>2.86514</td>
<td>3.76</td>
<td>6.65</td>
</tr>
</tbody>
</table>

Both trace and max-eigen statistics indicate 1 cointegrating equation at both the 5% and 1% level.

The result from the Johansen cointegration test in Table 3 above suggests the existence of a long run cointegrating relationship among government consumption, government investment, productivity and the REER in Nigeria. Under this circumstance, favouring a VAR in level or first difference as opposed to Vector Error Correction Model can lead to misspecification because cointegration is established.

The number of cointegrating relationships and the number of lags provided a guide for the specification of VECM. The first step is to identify the number of cointegration relationships that have been suggested in the last section. Table 4 presents the results from the VECM.

Table 4: Summary of Vector Error Correction Result

<table>
<thead>
<tr>
<th>Vector error correction estimates</th>
</tr>
</thead>
<tbody>
<tr>
<td>Date: 01/2/12 time: 09:33</td>
</tr>
<tr>
<td>Sample (adjusted): 1970-2010</td>
</tr>
<tr>
<td>Included observations: 37 after adjusting endpoints</td>
</tr>
<tr>
<td>Standard errors in () &amp; t-statistics in [ ]</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Cointegrating Eq:</th>
<th>cointEq1</th>
</tr>
</thead>
<tbody>
<tr>
<td>LREER(-1)</td>
<td>1.000000</td>
</tr>
<tr>
<td>LGINV</td>
<td>-0.828758</td>
</tr>
<tr>
<td></td>
<td>(0.73250)</td>
</tr>
<tr>
<td></td>
<td>[-1.13142]</td>
</tr>
<tr>
<td>LGCONS(-1)</td>
<td>0.726351</td>
</tr>
<tr>
<td></td>
<td>(0.63368)</td>
</tr>
<tr>
<td></td>
<td>[1.14624]</td>
</tr>
<tr>
<td>PRODUCTIVITY</td>
<td>-2.121871</td>
</tr>
<tr>
<td></td>
<td>(0.39086)</td>
</tr>
<tr>
<td></td>
<td>[-5.42843]</td>
</tr>
<tr>
<td>C</td>
<td>-3.423876</td>
</tr>
</tbody>
</table>

Error Correction  
D(LREER)  
D(LGINV)  
D(LGCONS)  
D(PRODUCTIVITY)
A comparison of the coefficients of the error correction terms (Coint Eq1) at the bottom of table 4 for the first vector shows that the LREER has the most significant coefficient and the right sign with a t value of -5.71282. The other variables either have a wrong sign or are not significant. This indicates that the REER
equation constitutes the true cointegrating relationship in the first cointegrating vector. The result thus suggests that about 14 percent of the disequilibrium in the REER is corrected each year. The error correction term for productivity measured by the growth rate of Real Gross Domestic Product, government consumption and government investment are statistically flawed. The error correction for government investment with a value of -0.01 is statistically significant, while that of productivity 0.46 is wrongly signed and falls outside the acceptance level of -1 < error term < 0. That of government consumption with value of -0.10 falls within the acceptance region, but it is not statistically significant. The result of the VECM thus shows how the REER responds to variation in government investment, government consumption and productivity.

The next stage of this analysis is on the variance decomposition of various variables. The variance decomposition of the variables indicate the percentage of variance as explained by the shock from the variable itself and the shocks from the other variables in the model.

The results of the variance decomposition are shown in tables 5-8 below:

**Table 5: Variance Decomposition for GCONS**

<table>
<thead>
<tr>
<th>Period</th>
<th>S.E.</th>
<th>GCONS</th>
<th>GINV</th>
<th>REER</th>
<th>PRODUCTIVITY</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>91401.75</td>
<td>100.0000</td>
<td>0.000000</td>
<td>0.000000</td>
<td>0.000000</td>
</tr>
<tr>
<td>2</td>
<td>100655.8</td>
<td>94.84092</td>
<td>0.547241</td>
<td>3.257463</td>
<td>1.354373</td>
</tr>
<tr>
<td>3</td>
<td>138890.5</td>
<td>93.12930</td>
<td>0.364911</td>
<td>3.140537</td>
<td>3.362517</td>
</tr>
<tr>
<td>4</td>
<td>209880.2</td>
<td>58.34473</td>
<td>34.28373</td>
<td>2.528645</td>
<td>4.842889</td>
</tr>
<tr>
<td>5</td>
<td>304003.9</td>
<td>46.12440</td>
<td>46.80287</td>
<td>2.259512</td>
<td>4.813227</td>
</tr>
<tr>
<td>6</td>
<td>404208.1</td>
<td>34.74563</td>
<td>57.12309</td>
<td>2.387658</td>
<td>5.743628</td>
</tr>
<tr>
<td>7</td>
<td>535313.6</td>
<td>29.03869</td>
<td>62.96274</td>
<td>2.230397</td>
<td>5.768527</td>
</tr>
<tr>
<td>8</td>
<td>702186.3</td>
<td>23.02595</td>
<td>69.33604</td>
<td>20.02013</td>
<td>5.617999</td>
</tr>
<tr>
<td>9</td>
<td>885678.9</td>
<td>17.37235</td>
<td>72.50202</td>
<td>2.199478</td>
<td>5.198753</td>
</tr>
<tr>
<td>10</td>
<td>1092906</td>
<td>17.37235</td>
<td>75.22525</td>
<td>1.899011</td>
<td>5.543392</td>
</tr>
</tbody>
</table>

**Table 6: Variance Decomposition for GINV**

<table>
<thead>
<tr>
<th>Period</th>
<th>S.E.</th>
<th>GCONS</th>
<th>GINV</th>
<th>REER</th>
<th>PRODUCTIVITY</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>2911112.4</td>
<td>0.753798</td>
<td>99.24620</td>
<td>0.000000</td>
<td>0.000000</td>
</tr>
<tr>
<td>2</td>
<td>422018.8</td>
<td>1.702683</td>
<td>98.19762</td>
<td>0.099572</td>
<td>1.001277</td>
</tr>
<tr>
<td>3</td>
<td>459186.9</td>
<td>1.593918</td>
<td>97.92226</td>
<td>0.472250</td>
<td>0.111569</td>
</tr>
<tr>
<td>4</td>
<td>496748.3</td>
<td>1.484232</td>
<td>97.99639</td>
<td>0.502161</td>
<td>0.160962</td>
</tr>
<tr>
<td>5</td>
<td>570073.9</td>
<td>1.288804</td>
<td>98.28262</td>
<td>0.414390</td>
<td>0.141490</td>
</tr>
<tr>
<td>6</td>
<td>619014.0</td>
<td>1.225470</td>
<td>98.34573</td>
<td>0.416352</td>
<td>0.124517</td>
</tr>
<tr>
<td>7</td>
<td>652991.3</td>
<td>1.101763</td>
<td>98.41766</td>
<td>0.458170</td>
<td>0.021940</td>
</tr>
<tr>
<td>8</td>
<td>693660.3</td>
<td>1.080851</td>
<td>98.44182</td>
<td>0.455714</td>
<td>0.021616</td>
</tr>
<tr>
<td>9</td>
<td>739963.9</td>
<td>1.012851</td>
<td>98.52377</td>
<td>0.441826</td>
<td>0.021551</td>
</tr>
<tr>
<td>10</td>
<td>775469.6</td>
<td>0.972435</td>
<td>98.55309</td>
<td>0.451661</td>
<td>0.022607</td>
</tr>
</tbody>
</table>

**Table 7: Variance Decomposition for REER**

<table>
<thead>
<tr>
<th>Period</th>
<th>S.E.</th>
<th>GCONS</th>
<th>GINV</th>
<th>REER</th>
<th>PRODUCTIVITY</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>82.99009</td>
<td>0.418338</td>
<td>0.326627</td>
<td>99.25423</td>
<td>0.000000</td>
</tr>
<tr>
<td>2</td>
<td>138.5861</td>
<td>0.444439</td>
<td>0.119405</td>
<td>99.43030</td>
<td>0.005851</td>
</tr>
<tr>
<td>3</td>
<td>173.7214</td>
<td>1.080052</td>
<td>0.099596</td>
<td>98.58227</td>
<td>0.238081</td>
</tr>
<tr>
<td>4</td>
<td>196.0991</td>
<td>1.384714</td>
<td>0.187572</td>
<td>98.22732</td>
<td>0.200392</td>
</tr>
<tr>
<td>5</td>
<td>216.5612</td>
<td>1.652973</td>
<td>0.161263</td>
<td>98.00702</td>
<td>0.178739</td>
</tr>
<tr>
<td>6</td>
<td>239.1067</td>
<td>2.194198</td>
<td>1.358333</td>
<td>96.26110</td>
<td>0.186372</td>
</tr>
<tr>
<td>7</td>
<td>263.3890</td>
<td>2.816097</td>
<td>3.699272</td>
<td>93.24691</td>
<td>0.237716</td>
</tr>
<tr>
<td>8</td>
<td>287.7562</td>
<td>3.329495</td>
<td>6.063200</td>
<td>90.25697</td>
<td>0.351335</td>
</tr>
<tr>
<td>9</td>
<td>314.1670</td>
<td>3.916915</td>
<td>9.418689</td>
<td>86.13450</td>
<td>0.529893</td>
</tr>
<tr>
<td>10</td>
<td>344.9682</td>
<td>4.559327</td>
<td>14.29363</td>
<td>80.39402</td>
<td>0.753031</td>
</tr>
</tbody>
</table>
Table 8: Variance Decomposition for Productivity

<table>
<thead>
<tr>
<th>Period</th>
<th>S.E.</th>
<th>GCONS</th>
<th>GINV</th>
<th>REER</th>
<th>PRODUCTIVITY</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>1.320252</td>
<td>3.804788</td>
<td>0.337901</td>
<td>1.604718</td>
<td>94.25259</td>
</tr>
<tr>
<td>2</td>
<td>1.496547</td>
<td>6.853121</td>
<td>3.700279</td>
<td>14.61571</td>
<td>74.83089</td>
</tr>
<tr>
<td>3</td>
<td>1.643223</td>
<td>8.914350</td>
<td>4.130312</td>
<td>12.13668</td>
<td>74.81866</td>
</tr>
<tr>
<td>4</td>
<td>1.836847</td>
<td>9.277510</td>
<td>11.30787</td>
<td>0.060284</td>
<td>69.55934</td>
</tr>
<tr>
<td>5</td>
<td>1.957215</td>
<td>9.611196</td>
<td>12.70665</td>
<td>0.083962</td>
<td>68.51819</td>
</tr>
<tr>
<td>6</td>
<td>2.077657</td>
<td>11.56432</td>
<td>11.79388</td>
<td>8.276356</td>
<td>68.36345</td>
</tr>
<tr>
<td>7</td>
<td>2.18328</td>
<td>12.11420</td>
<td>11.54346</td>
<td>7.912223</td>
<td>68.43011</td>
</tr>
<tr>
<td>8</td>
<td>2.298455</td>
<td>12.71617</td>
<td>11.88527</td>
<td>7.52122</td>
<td>67.93644</td>
</tr>
<tr>
<td>9</td>
<td>2.400256</td>
<td>13.40778</td>
<td>11.24084</td>
<td>7.112399</td>
<td>68.23919</td>
</tr>
<tr>
<td>10</td>
<td>2.509447</td>
<td>14.40440</td>
<td>10.45250</td>
<td>0.831104</td>
<td>68.31200</td>
</tr>
</tbody>
</table>

A proper assessment of the results reveals that the majority of the variances in the variables have been explained by their own shocks. However, variables such as productivity and government consumption had significant impact on the variance of other variables through the share of their shocks to these variables. The share of the REER to other variables has not been too significant during the period under consideration. The contribution of government consumption shocks to variance in REER increased from 1.4 percent in the 4th period to 4.6 percent in the tenth period, while its contribution to shocks in government investment decreased from 1.7 percent in the 2nd period to about 1 percent in the tenth period. The contribution of government investment to shocks in government consumption was significant at about 75.2 percent in the tenth period, while contribution of government consumption to productivity increased from about 3.8 percent in the 1st period to about 14.4 percent in the last period. Following the result of the variance decomposition of government investment in table 6, other than its own shock, there was no significant contribution of shocks in other variables. The implication of the result is that volatility in government investment and consumption has no major impact on the REER in Nigeria. However, the result indicates that technological productivity is a better target for the government.

The result of the parsimonious ECM result is shown in the appendix. The result indicates that an increase in government investment in the immediate past period depreciated the REER by 0.13 percent. This is an indication that government investment has delivered more productivity gain in the non-tradable sector. The result however indicates that an increase in government consumption by 1 percent appreciated the REER by 0.09 percent. This is an indication that an increase in government consumption increased the relative demand for non-tradable. This result is similar to that by Vahagn and Philip (2008) who used pane data to study the impact of the composition of government spending and RER.

5. Conclusion

The main objective of this study has been to empirically assess the relationship between government expenditure and the REER in Nigeria using a VECM. The theoretical model showed that government consumption typically leads to real appreciation but that sensitivity of the RER to government investment depends on how an increase in the public capital stock differentially affects productivity levels in the traded and non-traded sectors. The descriptive statistic showed that the distribution has a long right tail and that the errors are normally distributed. The result fo the ADF and PP unit root test showed that while two of the variables were stationary, the other two were non-stationary, but were carried along for the cointegration test following Harris (1995) and Gujaratti (2003). The result from the Johansen cointegration test and the VECM suggests a long run relationship among the variables. The result of the variance decomposition showed that no particular portion of the shocks in the REER is attributed to the other variables. However shocks in government expenditures were partly explained by government investment. The result from the parsimonious
ECM model showed that government investment delivered more productivity gains in the non-tradable sector than in the tradable sector. An increase in government consumption increased relative demand for non-tradable sector. The government should thus pay more attention to the expansion of the tradable sector.

References


Appendix

Summary of Parsimonious ECM Result

Dependent Variable: DLREER
Method: Least Squares
Date: 01/21/12 Time: 11:13
Sample (adjusted): 1970 2101
Included observation: 38 after adjusting endpoints
<table>
<thead>
<tr>
<th>Variable</th>
<th>Coefficient</th>
<th>Std. Error</th>
<th>t-Statistic</th>
<th>Prob.</th>
</tr>
</thead>
<tbody>
<tr>
<td>DLGINV(-1)</td>
<td>0.128231</td>
<td>0.048192</td>
<td>2.660860</td>
<td>0.0130</td>
</tr>
<tr>
<td>DLGONS</td>
<td>-0.085214</td>
<td>0.039559</td>
<td>-2.154078</td>
<td>0.0436</td>
</tr>
<tr>
<td>PRODUCTIVITY(-2)</td>
<td>-0.080611</td>
<td>0.026962</td>
<td>-2.98955</td>
<td>0.0053</td>
</tr>
<tr>
<td>ECM(-1)</td>
<td>-0.454316</td>
<td>0.167069</td>
<td>-2.719327</td>
<td>0.0105</td>
</tr>
<tr>
<td>C</td>
<td>-0.055911</td>
<td>0.059543</td>
<td>-0.939012</td>
<td>0.3545</td>
</tr>
</tbody>
</table>

R-squared: 0.8406158
Adjusted R-squared: 0.8305215
S.E. of regression: 0.308352
Mean Dependent var: 0.045313
S.D dependent var: 0.300612
Akaike info criterion: 0.606932
Schwarz criterion: 0.822404
Log likehood: -6.531713
F-statistics: 124.5414
Prob(F-statistics): 0.000000
Cohesion Analysis of L2 Writing: The Case of Iranian Undergraduate EFL Learners

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Doi:10.5901/mjss.2012.v3n2.557

Abstract: This study aimed at investigating the most frequent cohesive errors committed by Iranian undergraduate EFL learners at different levels of proficiency as well as the sources of cohesive errors. An overall number of 67 undergraduate students at Shiraz Azad University participated in this study. To have three groups of learners with different proficiency levels, Oxford Placement Test 1B1 (Allan, 1985) was administered. To achieve the objectives of the study, the participants were given a writing task requiring them to write an approximately 200-word narrative composition. Then, the compositions were scored based on the taxonomy developed by Halliday and Hasan (1976). Finally, the data were analyzed through appropriate procedures using quantitative methods. Regarding the frequencies and percentages of errors it was found that low-level learners’ most frequent errors were involved in references (20), followed by errors in lexical (14), and conjunctive cohesion (1). Besides, the findings showed that errors in references were the most common (17), followed by errors in lexical (13), and conjunction cohesion (2) in the mid-level learners’ narrative compositions and, finally, the high-level learners’ most frequent errors were involved in lexical cohesion (17), references (14), conjunction cohesion (3), and substitution (1). This study also allowed for an examination of the sources of cohesive errors. It was found that errors in the use of relative pronouns, conjunctions, along with different forms of repetition appeared because of the incomplete knowledge of the learners—intra-lingual causes. Furthermore, in this study, the errors in the use of personal-, possessive-pronouns, demonstratives and collocations were among the inter-lingual causes of errors.

Keywords: Error analysis; Cohesion analysis; Cohesive devices; L2 writing; Cohesive errors; Sources of errors

Introduction

In recent years, there has been a growing research interest in the analysis of errors adults make while learning a second language. The study and analysis of the errors made by second language learners (i.e. Error Analysis or EA), either in their speech or writing or both has been brought under consideration by many educators, EFL teachers, linguists, and researchers throughout the world. In fact, learners’ errors have been the subject of controversy for a long time.

Generally, as Keshavarz (1999, p. 11) stated, “there have been two major approaches to the study of learners’ errors, namely Contrastive Analysis and Error Analysis.” He further discussed that, “Error Analysis emerged on account of the shortcomings of Contrastive Analysis which was the favored way of describing learners’ language in the 1950s and 1960s” (p. 42).

The process involved in CA is the comparison of learners’ mother tongue and the target language. Based on the similarities or differences between two languages, predictions were made on errors that learners would be likely or disposed to make as a result (Kim, 2001). As Kim (2001) explained, by early 1970s, CA lost its favor because of the inaccurate or uninformative predictions of learner errors; errors did not occur where predicted, but instead errors showed up where CA had not predicted. More serious criticism was
raised on account of its adopted views from structuralism in linguistics and behaviorism in psychology. Being questioned about the reliability of the CA research, it yielded to Error Analysis in 1970.

Unlike CA which tries to describe differences and similarities of L1 and L2, James (1998 cited in Kim, 2001) stated that, EA attempts to describe learners' interlanguage (i.e. learners' version of the target language) independently and objectively. He believed that the most distinct feature of EA is that the mother tongue is not supposed to be mentioned for comparison. The studies in EA have for the most part dealt with linguistic aspects of learners' errors; not enough attention has been paid to the errors at discourse level and in particular to cohesive devices that are very important in the organization of the texts. Identifying and describing the origin of the learners' errors is now an activity that has received much attention during the last three decades.

According to Halliday and Matthiessen (2004), cohesive devices are formal elements in the text that function to make links between the components of the text. Two broad categories and some subcategories have been identified for cohesive devices. These are grammatical and lexical cohesive devices. The grammatical one includes reference, conjunction, substitute, and ellipsis while the lexical cohesive devices are reiteration and collocation.

**Review of the related literature**

1. **Cohesion Analysis**

Of course, studying writing issues involving cohesion deserves much attention. This is because as Ting (2003, p.1) believed, "cohesion as an indispensable text-forming element plays a critical role in composing a text."

The appearance of Halliday and Hasan's *Cohesion in English* (1976) had a major impact on the understanding and teaching of coherence features. Although linguists speak of coherent text as, "having two characteristics such as cohesion (ties between sentences) and register (coherence with a context)" (Choi, 2005), this book focused almost exclusively on cohesion as a text feature. According to Halliday and Hasan (1976), cohesion is realized through cohesive ties which link the presupposing and the presupposed across sentence boundaries. In other words, cohesive ties create intimate intersentential relationships which to a large extent distinguish a text from a sequence of isolated sentences.

Following the publication of Halliday and Hasan (1976), language educators and teachers have become interested in the use of cohesive devices in language students' written compositions. In fact, lots of research has been done in this respect and several researchers have used the outline of cohesion in English presented by various experts particularly the one presented by Halliday and Hasan (1976). Thus, since the present study did so, it is important first to become familiar with the cohesion taxonomy presented by Halliday and Hasan in 1976.

1.1 **Halliday and Hasan's (1976) Cohesion Taxonomy**

In their classic study of cohesion in English, Halliday and Hasan (1976) defined cohesion as what occurs when the interpretation of some elements in the discourse is dependent on that of another. The one presupposes the other in the sense that it cannot be effectively decoded except by recourse to it. Halliday and Hasan (1976) identified five types of cohesion: reference cohesion, substitution cohesion, ellipsis, lexical cohesion and conjunction cohesion. The first three types fall under the category of grammatical cohesion. Lexical cohesion on the other hand refers to relationships between any lexical item and some previously occurring lexical item in the text quite independently of the grammatical category of the items in question. For example, lexical cohesion can exist between the noun *magistrate* and the verb *judge*. Conjunctive cohesion lies on the borderline between grammatical cohesion and lexical cohesion. Conjunctive cohesion is affected
by cohesion elements that are called conjunctives. This is the Halliday and Hassan’s (1976) Cohesion Taxonomy in a glance:

1. Reference cohesion
   - personal pronouns: I, me, you, we, us, him, her, they, them, it
   - personal determiners (the possessives): my, mine, your, yours, his, her, hers, their, theirs, its
   - relative pronouns: who, which

   - determiners: the, this, there, that, those
   - demonstrative adverbs: here, there, then
   - comparative adjectives: same, identical, equal, other,
   - comparative adverbs: different, more, better, etc.

   - nominal substitution: A. Can you give me a glass? B. There is one on the table.

2. Substitution cohesion
   - verbal substitution: Every child likes chocolate and I think my son does too.
   - clausal substitution: Latecomers will not be allowed in school after 8.00 a.m. the headmaster says so.

   - nominal ellipsis: These are my two dogs. I used to have four.

3. Ellipsis
   - verbal ellipsis: Teacher: Have you done the homework? John: Yes, I have.
   - clausal ellipsis: Mary: Are you going to buy a new dress for my birthday? Mother: Yes

4. Conjunctive cohesion: hence, so, after, and, but, then, etc. e.g. He took a cup of coffee after he woke up.

5. Lexical cohesion:
   - 1. repetition of a word or phrase;
   - 2. synonymy (e.g. commonly, popularly);
   - 3. antonymy (e.g. high, low);
   - 4. hyponymy (e.g. cigarettes/cigars);
   - 5. collocation (e.g. education, classroom, class, and so on)

   (see Halliday & Hasan, 1976, pp.274-292)

2. Cohesion Studies

As mentioned before, Halliday and Hasan indicated that cohesion is in effect a linguistic property in relation to
textual features. This is while other language researchers have tended to interpret the message of Halliday and Hasan (1976) as follows: given that cohesive devices are important elements for constructing a coherent text, their appearance should cause coherence and therefore contribute to the quality of the text (Ting, 2003). As a result, a number of language researchers adopted Halliday and Hasan’s (1976) taxonomy and framework of cohesion to conduct empirical studies examining whether the use of cohesive devices in students’ writing correlates with coherence or the overall writing quality. In this section, some of the researches done in this respect will be reviewed briefly.

One of such researchers was Neunener (1987). He analyzed twenty good essays versus twenty poor essays written by college freshman students. The essays were randomly selected from a pool of 600 essays on the topic “write a letter giving advice to students at school.” Two readers from a panel of twelve holistically rated each essay using a four-point scale. Three independent coders conducted analysis on the essays after instruction and practice. Finally, the results revealed that the frequency or percentage of cohesive ties did not distinguish good from weak essays, and good from poor essays did not differ significantly in cohesive distance.

Likewise, using Halliday and Hasan’s (1976) model in his study of cohesion and coherence, Khalil (1989) investigated the relationship between cohesion and coherence in 20 compositions in Arab EFL students’ college writing. The relationship of cohesion and coherence was tested by the use of multiple correlation statistics. Finally, a weak correlation ($r=0.18$) was found between the number of cohesive ties and coherence score of the text.

Another researcher was Jonson (1992), who examined cohesion in expository essays written in Malay and in English by native speakers of both languages and in ESL by Malaysian writers. Sample compositions evaluated holistically as good or weak in quality were submitted by Malaysian teachers of composition in Malay and by American teachers of native and non-native speakers of English. The results indicated no differences in the amount of cohesion between good and weak compositions written in Malay by native speakers (20 persons) or in English by native (20 persons) and Malay speakers (20 persons). His empirical study on cohesion in written discourse of native and non-native speakers of English also indicated that judgments of writing quality may depend on overall coherence in content, organization, and style rather than on the quantity of cohesion.

The study of the relationship of cohesion to coherence has continued to dominate the literature of the last two decades. Zhang in 2000 did one such study. He conducted a study to reexamine the same research question by investigating cohesive devices in the writing of Chinese undergraduate EFL students. He asked 107 students of two different universities to participate in his study. The results revealed that no statistically significant relationship exists between the frequency of cohesive ties used and the quality of writing.

Generally, most of the researchers have found that there is no significant relationship between the quantity of cohesive devices used and the quality of writing. However, there are studies in which opposite results were reported. For example, Tonder and Louise (1999), in their study, explored the relationship between densities of lexical cohesion and lexical errors on one hand and the perceived coherence ratings and academic scores of student academic writing on the other. Findings indicated that densities of lexical cohesion generally and derivational ties specifically showed highly significant relations with the coherence ratings.

It has to be pointed out that in any study which intends to examine the relationship between the number of cohesive devices and the quality of writing, counting all the cohesive devices present without taking into account whether or not the cohesive devices are properly used in the context, to some extent makes the study questionable. Furthermore, the inconclusive results reported in the studies reviewed indicate that the relationship between writing quality or textual coherence and cohesive device use has not been concretely established. In the opinion of Castro (2002), such studies yielded conflicting results due to their small sample size, the variability in the L1 subjects involved, and lack of robust statistical analyses to support qualitative descriptions. In short, he continued that cohesion analyses did not consistently reveal differences in cohesive device use in good versus weak essays or between L1 versus L2 writing.
Generally, most of the cohesion analyses have conducted to reexamine the same research question. As it is obvious, despite the significant role of cohesive device in writing, the topic of cohesive errors in composition seems not to have received as much attention as it deserves. There are only a small number of studies exclusively aimed at cohesive errors. Given the fact that cohesive errors have been either neglected or examined incompletely in previous cohesion-related studies, the present study tries to deal with a cohesion analysis of Iranian L2 writing. In doing so, this study attempts to identify the errors using the cohesion taxonomy presented by Halliday and Hasan (1976).

Objectives of the study

The purpose of the present study is to empirically investigate, classify, and analyze the cohesive errors which L2 learners make in their written productions at different levels of proficiency. Moreover, this study tries to investigate whether the identified errors are due to their L2 proficiency level or the L1 interference phenomenon. Hence, the following questions are to be answered through this study:
1. What are the most frequent cohesive errors committed by L2 learners at different levels of proficiency?
2. Are there any differences in the L2 learners' cohesive errors which can be attributed to their L2 proficiency level?
3. Are there any differences in the L2 learners' cohesive errors which can be attributed to L1 interference phenomenon?

Method

Participants

67 male and female EFL undergraduate students at Shiraz Azad University participated in this study—42 female and 25 male. The participants ranged in age from 20 to 26. All of the students speak Persian as their native language and learn English as a foreign language. The type of sampling involved non-random procedures for selecting the members of the sample. In other words, the selection procedure was a non-probability one. The specific selection procedure employed was that of convenient sampling.

Instruments

To have three groups of learners with different proficiency levels, Oxford Placement Test 1B1 which is a standard test including 50 multiple choice items identifying and assessing the learners' level of English proficiency (Allan, 1985) was administered. The validity of the Oxford Placement Test 1B1 is taken for granted and with regard to the reliability of the test, the Kurder-Richardson formula 21 was used and the results showed the reliability of 0.86. In order to conduct the study, the participants were asked to write a composition. The composition is beneficial in such cases because it will bring naturally occurring data for the study. Instead of administering multiple-choice exams such as tests of grammar or vocabulary that draw the students' most attention and consciousness towards the grammatical and lexical points, the composition test draws the attention of the students towards the topic. In this way, the participants are unaware of grammatical and lexical issues and focus on the subject they want to develop.

Accordingly, the participants were given a writing task requiring them to choose one of the three presented topics and write an approximately 200-word narrative composition. The three narrative topics were as follows:
1. A time and a place in the past
2. A melodic memory
3. A one-day visit to your country
The mentioned topics were selected from the e-book of *Answers to All TOEFL Essay Questions* by ToeflEssays.com, an e-book containing 450 model essays which offers an intensive preparation for the TWE test.

Data collection procedures
The scoring of Oxford Placement Test was based on the number of items answered correctly by the students. Each correct answer received one point and the total score of the test was 50. The participants were first assigned to three groups of low, mid, and high based on the results of the oxford placement test—22 low-level learners, 27 mid-level learners, and 18 high-level learners. The criterion for this division was the standard deviation. Accordingly, participants with one standard deviation below the mean were assigned the low group and the ones with scores falling one standard deviation above the mean were assigned the high group. The remaining ones in the middle were assigned the mid group.

After dividing the participants into three different levels of proficiency, they were given two optional narrative topics on which they were required to write a composition in about sixty minutes. In selecting the topics from the e-book of *Answers to All TOEFL Essay Questions*, two factors were of concern: (1) learners' familiarity with the topics and (2) the topics being interesting and easy to write. The reason for choosing narrative topics was that it was found to be the easiest among other modes of discourse for the learners to write (Nemati, 1999). The data for this study were collected from compositions written by the students during one session. Then, they were scored based on the taxonomy developed by Halliday and Hasan (1976). Consequently, all five cohesive devices consisting of reference (with differentiation made between pronominal, demonstrative, and comparative), substitution (discriminating between nominal, verbal, clausal), ellipsis (discriminating between nominal, verbal, clausal), conjunction and lexical cohesion were scored.

Data analysis procedures
The data were analyzed through appropriate procedures using both qualitative and quantitative methods.

For the first research question of the study investigating the most frequent cohesive errors committed by EFL undergraduate learners, the data were analyzed through descriptive statistics using frequencies and percentages.

For the next two research questions of the study investigating if there are any differences in the participants' cohesive errors which can be attributed to either their L2 proficiency level or L1 interference phenomenon, the data were analyzed using qualitative methods.

Results

1. the most frequent cohesive errors committed by L2 learners at different levels of proficiency
As mentioned before, in order to analyze cohesive errors, the participants were asked to write narrative compositions. The five major categories explicated by Halliday and Hasan (1976) were used to systematically present a framework for the analysis of cohesion in this study. Based on these groupings, common error types which led to their deviation from standard English usage were established. The following discussion will present the major error types, those which were frequent at different levels of proficiency, separately.

1.1. Low-level learners' most frequent cohesive errors

Investigating 22 compositions written by low-level learners identified the 35 cohesive errors in which the use of references were the most frequent ones (20), followed by errors in lexical (14), and conjunctive cohesion (1).
The results presented in Table 1 indicate the relative degree to which the items from each category and subcategory of cohesion were used incorrectly in creating overall cohesion together with a detailed discussion of the error analysis.

**Table 1:** The low-level learners' frequencies and percentages of errors in cohesion categories and subcategories

<table>
<thead>
<tr>
<th>Cohesion Categories</th>
<th>Number of errors</th>
<th>Percentages of errors</th>
<th>Cohesion Subcategories</th>
<th>Number of errors</th>
<th>Percentages of errors</th>
</tr>
</thead>
<tbody>
<tr>
<td>Reference</td>
<td>20</td>
<td>57.14%</td>
<td>Personal</td>
<td>19</td>
<td>95%</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Demonstrative</td>
<td>1</td>
<td>5%</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Comparative</td>
<td>0</td>
<td>0%</td>
</tr>
<tr>
<td>Substitution</td>
<td>0</td>
<td>0%</td>
<td>Nominal</td>
<td>0</td>
<td>0%</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Verbal</td>
<td>0</td>
<td>0%</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Clausal</td>
<td>0</td>
<td>0%</td>
</tr>
<tr>
<td>Ellipsis</td>
<td>0</td>
<td>0%</td>
<td>Nominal</td>
<td>0</td>
<td>0%</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Verbal</td>
<td>0</td>
<td>0%</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Clausal</td>
<td>0</td>
<td>0%</td>
</tr>
<tr>
<td>Conjunction</td>
<td>1</td>
<td>2.58%</td>
<td>Repetition</td>
<td>4</td>
<td>28.57%</td>
</tr>
<tr>
<td>lexical</td>
<td>14</td>
<td>40%</td>
<td>Synonymy</td>
<td>0</td>
<td>0%</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Antonymy</td>
<td>0</td>
<td>0%</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Hyponymy</td>
<td>0</td>
<td>0%</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Collocation</td>
<td>10</td>
<td>71.42%</td>
</tr>
</tbody>
</table>

As is clear from the table, the majority of the errors are referential cohesive devices and the second most frequent errors are those of the lexical type. Moreover, it is clear that the majority of the referential errors are personal and the majority of the second most frequent errors, lexical type, are involved in collocation and repetition, respectively. Examples from each of the error types are also presented in Table 2. In each of the examples, the devices which were used incorrectly are underlined.

**Table 2:** Low-level learners' cohesive errors

<table>
<thead>
<tr>
<th>Categories</th>
<th>Subcategories</th>
<th>Low-level learners' cohesion errors</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Reference</td>
<td>Personal (Pronoun)</td>
<td>1. She wanted to come home but <strong>he</strong> couldn't. (she)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>2. My mother had to go because <strong>he</strong> was a teacher. (she)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>3. My brother went to school, too. <strong>She</strong> was happy. (he)</td>
</tr>
<tr>
<td></td>
<td>Personal (Determiners)</td>
<td>4. Some of them were happy but some were not. Among <strong>those</strong> was a crying girl. (them)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>5. The old woman went to the hospital. <strong>He</strong> was sick. (she)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>6. They invited their friends to the party but <strong>he</strong> didn't came. (they)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>7. She heard the news from TV. …<strong>she</strong> talked about <strong>them</strong> with his neighbor. (it)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>1. <strong>She</strong> talked about them with <strong>his</strong> neighbor. (her)</td>
</tr>
<tr>
<td>Relative Pronoun</td>
<td>Comparative</td>
<td></td>
</tr>
<tr>
<td>------------------</td>
<td>-------------</td>
<td></td>
</tr>
<tr>
<td>2. My sister passed the course but his score was low. (her)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. When they were in Iran, they saw many things that they were not in his country. (their)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4. We enjoyed from the movie and we talked about their events with ourselves. (its)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5. When we want to migrate to another country, we might try to learn the culture and match themselves with them. (ourselves)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>6. ...keep in touch by his own family and friends at their original country. (his)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>7. Her wife saw the man which was thief. (his)</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Demonstrative</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Her wife saw that man which was thief. (who)</td>
<td></td>
</tr>
<tr>
<td>2. Education is the important criteria who can change the personality of person. (that)</td>
<td></td>
</tr>
<tr>
<td>3. At first, I was introduced to a nice woman which became my teacher. (who)</td>
<td></td>
</tr>
<tr>
<td>4. ...or call with the people which live there. (who)</td>
<td></td>
</tr>
<tr>
<td>5. They didn't have a lot of time to think about the country that they born. (where)</td>
<td></td>
</tr>
<tr>
<td>1. To have some good friends is the best way to prevent this bad problems. (these)</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Substitution</th>
<th>Nominal Verbal Clausal</th>
</tr>
</thead>
<tbody>
<tr>
<td>2. Substitution</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Ellipsis</th>
<th>Nominal Verbal Clausal</th>
</tr>
</thead>
<tbody>
<tr>
<td>3. Ellipsis</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Conjunction</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>4. Conjunction</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Lexical Repetition</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>5. Lexical Repetition</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Synonymy</th>
<th></th>
</tr>
</thead>
</table>

1. We can see the our personality has more effect in our life. (that)
2. After that I returned back to my home. (returned home)
3. The most interesting day of my life it is the first day of my school. (repetition of a noun by its pronoun)
4. The characteristics that we born with it is very important.
5. When they were in Iran, they saw many things that they were not in his country.
1. Foreign people have a different way to life. (way of life)
2. For reduce the problems we can use of foreign web-site or… (make use of)
3. I keep in touch by my family. (keep in touch with sb)
4,5. …keep in touch by his own family and friends at their original country. (keep in touch with sb, home country)
6. I agree with this issue. (agree on sth)
7. We can see the our personality has more effect in our life. (effect on sb/sth)
8. We enjoyed from the road. (enjoy sth)
9. We enjoyed from the movie. (enjoy sth)
10. I run to home from my school. (run home)

### 1.2. Mid-level learners’ most frequent cohesive errors

Besides, a total of 32 cohesive errors in the narrative compositions of 27 mid-level learners were identified. The findings showed that errors in references were the most common (17), followed by errors in lexical (13), and conjunction cohesion (2). The frequencies and percentages of errors from each category and subcategory are presented in Table 3.

<table>
<thead>
<tr>
<th>Cohesion Categories</th>
<th>Number of errors</th>
<th>Percentages of errors</th>
<th>Cohesion Subcategories</th>
<th>Number of errors</th>
<th>Percentages of errors</th>
</tr>
</thead>
<tbody>
<tr>
<td>Reference</td>
<td>17</td>
<td>53.21%</td>
<td>Personal</td>
<td>15</td>
<td>88.23%</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Demonstrative</td>
<td>2</td>
<td>11.76%</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Comparative</td>
<td>0</td>
<td>0%</td>
</tr>
<tr>
<td>Substitution</td>
<td>0</td>
<td>0%</td>
<td>Nominal</td>
<td>0</td>
<td>0%</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Verbal</td>
<td>0</td>
<td>0%</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Clausal</td>
<td>0</td>
<td>0%</td>
</tr>
<tr>
<td>Ellipses</td>
<td>0</td>
<td>0%</td>
<td>Nominal</td>
<td>0</td>
<td>0%</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Verbal</td>
<td>0</td>
<td>0%</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Clausal</td>
<td>0</td>
<td>0%</td>
</tr>
<tr>
<td>Conjunction</td>
<td>2</td>
<td>6.25%</td>
<td>Repetition</td>
<td>4</td>
<td>30.76%</td>
</tr>
<tr>
<td>Lexical</td>
<td>13</td>
<td>40.62%</td>
<td>Synonymy</td>
<td>0</td>
<td>0%</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Antonymy</td>
<td>0</td>
<td>0%</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Hyponymy</td>
<td>0</td>
<td>0%</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Collocation</td>
<td>9</td>
<td>69.23%</td>
</tr>
</tbody>
</table>
As this table shows, the majority of the errors are in references and the second most frequent errors are in lexical type. Table 3 reveals that the majority of the referential errors are personal and the majority of the second most frequent errors, lexical errors, are involved in collocation and repetition, respectively. Examples from each of the error types are shown in Table 4. In each of the examples, the devices which were used incorrectly are underlined.

**Table 4: Mid-level learners' cohesive errors**

<table>
<thead>
<tr>
<th>Categories</th>
<th>Subcategories</th>
<th>Mid-level learners' cohesion errors</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Reference</td>
<td>Personal (Pronoun)</td>
<td>1. I think if a single woman live abroad, <em>they</em> will face many problems. <em>(she)</em></td>
</tr>
<tr>
<td></td>
<td></td>
<td>2. My father gave me bunch of flower...<em>she</em> told me...<em>(he)</em></td>
</tr>
<tr>
<td></td>
<td></td>
<td>3. Mina had a valuable experience...<em>he</em> remember it after that.(she)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>4. My father couldn't start the car. <em>She</em> decided to...<em>(he)</em></td>
</tr>
<tr>
<td></td>
<td></td>
<td>5. I saw a girl that were kind in the first day of school. <em>He</em> became my friend after that. <em>(she)</em></td>
</tr>
<tr>
<td></td>
<td></td>
<td>6. My friend told teacher that <em>she</em> was wrong. <em>(confusing pronoun)</em></td>
</tr>
<tr>
<td></td>
<td>Personal (Determiners)</td>
<td>1. Finally he could found a way to improve his life of <em>himself</em> and children. <em>(himself)</em></td>
</tr>
<tr>
<td></td>
<td></td>
<td>2. If a student is worried all the time <em>their</em> scores will be not good. <em>(his/her)</em></td>
</tr>
<tr>
<td></td>
<td></td>
<td>3. Teacher told us that we should study hard to good scores in <em>my</em> exams. <em>(our)</em></td>
</tr>
<tr>
<td></td>
<td></td>
<td>4. my grandmother was sick. I bought <em>his</em> drugs. <em>(her)</em></td>
</tr>
<tr>
<td></td>
<td>Relative Pronoun</td>
<td>1. The students <em>which</em> know English have a better chance for work. <em>(who)</em></td>
</tr>
<tr>
<td></td>
<td></td>
<td>2. The people <em>that</em> they saw this movie...<em>(who)</em></td>
</tr>
<tr>
<td></td>
<td></td>
<td>3. This problems is worse for women especially <em>that</em> they live in the countries like Iran.* <em>(who)</em></td>
</tr>
<tr>
<td></td>
<td></td>
<td>4. the topic <em>in which</em> the teacher talked was...<em>(that)</em></td>
</tr>
<tr>
<td></td>
<td>Demonstrative</td>
<td>1. This problems is worse for women especially that they live in the countries like Iran. <em>(problem)</em></td>
</tr>
<tr>
<td></td>
<td></td>
<td>2. The husband's idea differed from wife's idea about <em>this</em> issues.* <em>(these)</em></td>
</tr>
<tr>
<td>Comparative</td>
<td>Nominal</td>
<td>Verbal</td>
</tr>
<tr>
<td>-------------</td>
<td>---------</td>
<td>--------</td>
</tr>
<tr>
<td>2. Substitution</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. Ellipsis</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4. Conjunction</td>
<td>1. Because of my sister was not good in English,… (because)</td>
<td>2. I met her when 11 years old. (incorrect use of conjunction)</td>
</tr>
<tr>
<td>5. Lexical</td>
<td>Repetition</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Synonymy</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Antonymy</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Hyponymy</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Collocation</td>
<td></td>
</tr>
<tr>
<td></td>
<td>1. The woman who was very kind she came near me.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>2. I was very happy because my mother was beside to me. (redundant prepositions)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>3. The people that they saw this movie…</td>
<td></td>
</tr>
<tr>
<td></td>
<td>4. Finally he could found a way to improve his life of hisself and children. (himself)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>1. I wanted to receive my goals. (gain/reach goals)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>2. We can describe idea for the other nation (describe sth to sb)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>3. He appreciates with this situation. (addition of preposition)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>4. So, it takes time to adapt in new situations. (adapt to sth)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>5. Because of my sister was not good in English,… (good at sth/at doing sth)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>6. To my opinion, there are lots of… (in my opinion)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>7,8. The husband’s idea differed from wife’s idea about this issues. (differ with sb on sth)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>9. At last, they arrived to Tehran. (arrive in)</td>
<td></td>
</tr>
</tbody>
</table>

### 1.3. High-level learners’ most frequent cohesive errors

The high-level learners' most frequent errors were involved in lexical cohesion (17), references (14),
conjunction cohesion (3), and substitution (1), among the total of 35. The frequencies and percentages of devices from each category and subcategory that were identified as errors in the high-level learners set of essays are presented in Table 5.

Table 5: High-level learners' frequencies and percentages of errors in cohesion categories and subcategories

<table>
<thead>
<tr>
<th>Cohesion Categories</th>
<th>Number of errors</th>
<th>Percentages of errors</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Reference</td>
<td>14</td>
<td>40%</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Substitution</td>
<td>1</td>
<td>2.85%</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Ellipsis</td>
<td>0</td>
<td>0%</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Conjunction</td>
<td>3</td>
<td>8.57%</td>
</tr>
<tr>
<td>lexical</td>
<td>17</td>
<td>48.57%</td>
</tr>
</tbody>
</table>

Table 5 shows that the majority of the errors are in referential cohesive devices and lexical type in the high-level learners' compositions. Moreover, the majority of the most frequent errors, lexical type, are involved in collocation and repetition, and the majority of the second most frequent errors, referential type, are involved in personal and comparative respectively. Furthermore, examples from each of the error types are shown in Table 6. In each of the examples, the devices which were used incorrectly are underlined.

Table 6: High-level learners' cohesive errors

<table>
<thead>
<tr>
<th>Categories</th>
<th>Subcategories</th>
<th>High-level learners' cohesion errors</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Reference</td>
<td>Personal (Pronoun)</td>
<td>1. Genetic affect disease. They can also influence our characteristics. (it)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>2. Although class was very crowd, but I liked them. (it)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>3. The parents had argument with each other and finally he divorced. (they)</td>
</tr>
<tr>
<td></td>
<td>Personal (Determiners)</td>
<td>4. Roza's house was near school. He was on time. (she)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>5. It was my teacher.(he/she)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>6. My father...She wanted to wake me to go to school. (he)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>1. Although ...class was very crowd, but I liked them. (Ø)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>2. Roza's house was near school. (the school)</td>
</tr>
</tbody>
</table>
| Relative Pronoun | 1. The little girl that sleep on the bed...(who)  
2. The people that they don’t eat meat are healthy(who)  
3. Different countries have different cultures and a person which live in a country …. (who)  
4. I saw a woman whom looked very seriously. (who) |
|---|---|
| Demonstrative | 1. When we were in kindergarten or even in school, we think that we were much happier in those days. (more)  
2. I lost my notebook at the first day of school but my mother gave me the other one after that. (another one) |
| Comparative | 1. The people that they don’t eat meat are healthy (who)  
2. Different countries have different cultures and a person which live in a country …. (who)  
3. I saw a woman whom looked very seriously. (who) |
| 2. Substitution | Nominal  
1. I shouted and my classmates do too. (did)  
2. I lost my notebook at the first day of school but my mother gave me the other one after that. (another one)  
3. Different countries have different cultures and a person which live in a country …. (who)  
4. I saw a woman whom looked very seriously. (who) |
| Verbal | 1. When we were in kindergarten or even in school, we think that we were much happier in those days. (more)  
2. I lost my notebook at the first day of school but my mother gave me the other one after that. (another one)  
3. Different countries have different cultures and a person which live in a country …. (who)  
4. I saw a woman whom looked very seriously. (who) |
| Clause | 1. When we were in kindergarten or even in school, we think that we were much happier in those days. (more)  
2. I lost my notebook at the first day of school but my mother gave me the other one after that. (another one)  
3. Different countries have different cultures and a person which live in a country …. (who)  
4. I saw a woman whom looked very seriously. (who) |
| 3. Ellipsis | Nominal  
1. I shouted and my classmates do too. (did)  
2. I lost my notebook at the first day of school but my mother gave me the other one after that. (another one)  
3. Different countries have different cultures and a person which live in a country …. (who)  
4. I saw a woman whom looked very seriously. (who) |
| Verbal | 1. When we were in kindergarten or even in school, we think that we were much happier in those days. (more)  
2. I lost my notebook at the first day of school but my mother gave me the other one after that. (another one)  
3. Different countries have different cultures and a person which live in a country …. (who)  
4. I saw a woman whom looked very seriously. (who) |
| Clause | 1. When we were in kindergarten or even in school, we think that we were much happier in those days. (more)  
2. I lost my notebook at the first day of school but my mother gave me the other one after that. (another one)  
3. Different countries have different cultures and a person which live in a country …. (who)  
4. I saw a woman whom looked very seriously. (who) |
| 4. Conjunction | 1. Although class was very crowd, but I liked them. (although or but)  
2. She didn’t really want to go and I insisted. (but)  
3. They grow up with a custom an culture that is different from another country. (and)  
4. A person which live in a country they grow up with a custom an culture that is different from another country that they go there. |
| 5. Lexical | Repetition  
1. Also joining to group clubs will be helpful. (clubs)  
2. He was the boy whom I talked to him in the first day of my school.  
3. The people that they don’t eat meat are healthy.  
4. A person which live in a country they grow up with a custom an culture that is different from another country that they go there. |
| Synonymy | 1. He congratulated sincerely your marriage. (congratulate on sth)  
2. From now, I will study hard. (from now on)  
3. Foreigners need English in communication. (need sb/sth for)  
4. A person which live in a country they grow up with a custom an culture that is different from another country that they go there. |
4. ..., although to some extent it is not tolerable. (to some extent)
5. Also joining to group clubs will be helpful. (joining)
6. Beside, you can ask your friend. (besides)
7. The family thought that this may not fully but in the great extent reduces the homesickness. (to the great extent)
8. do to me a favor (do sb a favor)
9. ....from 1963 until 2001. (to)
10. In the other hand,...(on the other hand)
11. The film was funny and we laugh to it all the time (laugh at)
12. She wanted to wake me to go to school. (wake me up)

2. The differences in the Iranian EFL learners' cohesive errors which can be attributed to L2 proficiency
The next step in this study was to investigate the sources of errors rather than the most frequent errors per se. Basically, most researchers have been satisfied with a general distinction between intralingual and interlingual causes of errors (Richards, 1974; Brown 1980 cited in Hasyim, 2002; James, 1998). Of course, although the distinction is not always clear-cut, the present study attempted to investigate the effect of L2 proficiency and L1 interference phenomenon on Iranian EFL learners' application of cohesive devices. Furthermore, within the discussion of the causes of errors, a fairly full range of examples are presented in order to provide a sense of variation that existed. Indeed, the examples should be viewed as only illustrative, indicating the general characteristics by which the error source could be identified. This part deals mostly with the intralingual causes of errors.

The majority of instances in which a noncohesive item replaced a necessary cohesive one appeared in relative clauses. See the examples below.
1. The people that they saw this movie...(who)
2. The wife saw that man which was thief. (who)
3. Call with the people which live there. (who)

Errors of this sort can be attributed to the effect of L2 proficiency because the learners did not fully understand the distinction in the target language.

A separate category that also may be the result of intralingual causes of errors is established here for items which were used repeatedly.
1. After that I returned back to my home. ("return" means "come back", repetition of words with similar meaning)
2. The most interesting day of my life it is the first day of my school. (repetition of a noun by its pronoun)
3. The woman who was very kind she came near me. (repetition of a noun by its pronoun)

It can be stated that such errors were caused because of the incomplete knowledge of the learners. Besides, some other intralingual errors appeared in the category of conjunction, as in:
1. Because of my sister was not good in English,... (because)
2. I met her when 11 years old. (incorrect use of conjunction)

Errors of this kind are also the result of the incomplete learners' understanding of the rules in English.
3. The differences in the Iranian EFL learners' cohesive errors which can be attributed to L1 interference phenomenon

Surely, a proper attention needs to pay to learners' errors to see if they are really due to L1 interference. Therefore, this study also tried to describe and analyze learners’ errors to find out how learners’ mother tongue plays a role in second language writing. So, this part addresses itself to the interlingual causes of errors.

In fact, the inconsistencies in the use of references were by far the most common error in cohesion, occurring most frequently in reference devices. This can be attributed to the effect of native language, here Persian, because Persian does not make distinction between pronouns, in particular, personal-, possessive-pronouns, and demonstratives, for example:

1. The old woman went to the hospital. He was sick. (instead of personal pronoun she)
/Pirezæn be bimarestan ræft. ?u mæriz bud/
2. My father gave me a bunch of flower. …she told me…(instead of personal pronoun he)
/Pedæram yek dæste gol be mæn dad…?u be mæn goft…/
3. My mother had to go because he was a teacher. (instead of personal pronoun she)
/Madæm mæjbur bud berævæd čon ?u yek moæelem bud/

As it is obvious, /?u/ is used for indicating the personal pronouns he and she in Farsi.

Besides, /æsh/ in Persian is used for indicating the possessive pronouns he, his, her, hers, their, theirs, and its in English as shown in the examples below:

1. My grandmother was sick. I bought his drugs. (instead of possessive pronoun her)
/Madærbozorge mæn mæriz bud. Mæn daruhayaæsh ra xaridæm/
2. She talked about them with his neighbor. (instead of possessive pronoun her)
/?u dær morede ?anha ba hæmsayeæsh sohbæt kærd/

Another identifiable set of error which may be the result of L1 interference was the misuse of demonstratives as in:

1. This bad problems (instead of these)
/in moshkelate bad/
2. This issues (instead of these)
/in mAæsæl/

Indeed, in Persian, there is no agreement between the determiner and its referent while this is not the case in English.

Moreover, a fairly wide variety of unidiomatic equivalents appeared in the subcategory of collocation. Most of the interlingual forms used for lexical cohesion reflect more general problems with the use of prepositions, as in the examples below:

1. He congratulated sincerely your marriage. (congratulate on sth)
/?u ezdevaje shoma ra samimane tabrik goft/
2. I agree with this issue. (agree on sth)
/mæn ba in mAæsæle moafeqam/
3. We enjoyed from the movie. (enjoy sth)
/ma æz film lezæt bordim/
4. The film was funny and we laugh at it all the time (laugh at)
Film xandedar bud væ ma tæmame modat be ?an xændidim/
5. Do to me a favor. (do sb a favor)
/be man lotfi kon/
6. We can describe this idea for the other nation (describe sth to sb)
/ma mitævanim in æqide ra bæraye digær melætha tosif konim/
7. He appreciates with this situation. (addition of preposition)
/?u æz in moæieæt qæedrdani kærd/
Discussion

In the current study, as mentioned before, the first step was to investigate the most frequent cohesive errors committed by Iranian undergraduate EFL learners at different levels of proficiency. With regard to the frequencies and percentages of errors shown in tables 1, 3, 5, it was evident that low-level learners’ most frequent errors were involved in references (20), followed by errors in lexical (14), and conjunctive cohesion (1). Besides, the findings showed that errors in references were the most common (17), followed by errors in lexical (13), and conjunction cohesion (2) in the mid-level learners’ narrative compositions. Finally, the high-level learners’ most frequent errors were involved in lexical cohesion (17), references (14), conjunction cohesion (3), and substitution (1). This is because, as mentioned before, despite the significant role of cohesive devices in writing, the topic of cohesive errors in composition seems not to have received as much attention as it deserves and there are only a small number of studies exclusively aimed at cohesive errors.

The second goal in this study was to explore the sources of cohesive errors committed by Iranian EFL undergraduate learners. As obvious, classifying learners’ sources of errors into well-defined, clean-cut categories is not always possible. However, researchers can gain a fine view of learner language by examining errors.

In this study, errors in the use of relative pronouns, conjunctions, along with different forms of repetition appeared because of the incomplete knowledge of the learners—intralingual causes. This result is consistent with those of Kim (1987), Sattayatham and Honsa (2007), Tabatabai (1985), and Ahmadvand (2008) who reported that the most frequent learners’ errors were mostly independent of the learner’s native language. Furthermore, in the current study, the errors in the use of personal-, possessive-pronouns, and demonstratives and collocations were among the interlingual causes of errors. This result supports Ying (1987), Jiang (1995), Zhang (2007), Koosha and Jafarpour (2006), and khodabandes' (2007) findings which demonstrate the influence of one’s native language to second language acquisition.

Conclusions

As described, despite the significant role of cohesive devices in writing, the topic of cohesive errors in composition seems not to have received as much attention as it deserves. Furthermore, there are only a small number of studies exclusively aimed at cohesive errors and the origins of such errors. In an effort to fill this gap, the present study attempted to find Iranian EFL learners’ L2 writing errors along with the origin of such errors.

With regard to the frequencies and percentages of errors, it was found that low-level learners’ most frequent errors were involved in references (20), followed by errors in lexical (14), and conjunctive cohesion (1). Besides, the findings showed that errors in references were the most common (17), followed by errors in lexical (13), and conjunction cohesion (2) in the mid-level learners’ narrative compositions and, finally, the high-level learners’ most frequent errors were involved in lexical cohesion (17), references (14), conjunction cohesion (3), and substitution (1).

This study also allowed for an examination of the sources of cohesive errors. And, it was found that errors in the use of relative pronouns, conjunctions, along with different forms of repetition appeared because of the incomplete knowledge of the learners—intralingual causes. Furthermore, the errors in the use of personal-, possessive-pronouns, demonstratives and collocations were among the interlingual causes of errors.

Pedagogical implications

The findings in this study have the following pedagogical implications:
1. In the case of substitution, ellipsis, and conjunction, there were only seven errors in total. This probability reflects more the fact that few attempts were made to use these devices than any overall control over them.
2. Besides, the low incidence of various types of lexical devices, substitution, ellipsis, and conjunction, at least in part, may result from the training process. If structures are not presented and practiced, they will become much less likely that students will use them; they will, instead, use familiar structures.

3. The results of this study highlight the need to provide L2 learners with writing experiences by emphasizing the importance of cohesive devices in accomplishing the writing task.

4. Analysis of the written product is perhaps the most common approach to investigate characteristics of students’ compositions.

References


Does Access to Finance Reduce Poverty? Evidence from Katsina State

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Abstract Enhancing access to formal financial services especially credit to the rural populace has been identified as a means of reducing poverty in developing countries. This paper investigates whether access to financial services reduces poverty in Nigeria focusing specially on rural areas. A cross-sectional primary data was generated using a structured questionnaire administered on randomly selected respondents from rural areas of Katsina state. The study used multinomial logit model in examining the relationship, and the study found a negative relationship between poverty level and access to financial services. The study concludes that promoting access to formal financial services increases the level of income of the rural dwellers and thus a retarding effect on the level of poverty in the rural areas.

Key words: Access to finance, poverty, rural populace, financial services

1. Introduction

Nigerian governments implemented several development plans aimed at serving as a catalyst for expanding the country’s production possibility frontier. However, it turns out that population explosion and abject poverty which appears to be undisputed features of developing economies predominates in Nigeria (Ekong, 1977; Olayide, Ewaka and Osagie 1980; Babasanya, Bolagun, Zungun and Olawohuwa, 2008). On the other hand, Nigeria is endowed with abundant resources both human and material, yet it has been classified as one of the poorest countries in terms of its per capita income (Umoh and Ibanga, 1997). Also available data (see for instance, UNDP, 1990 and World Bank, 1995) revealed that basic social and economic indicators point to the fact that even when the rest of developing countries are making substantial progress, Nigeria is not getting beyond where it was thirty years ago. The country is also disturbed with severity of poverty; the World Bank (1995) reported that poverty was found to be a rural phenomenon, in every 10 million of Nigerians, 8.4 million are extremely poor people being from rural areas. The rural sector is made up of small-scale poor farmers, food processors, informal traders and other micro-entrepreneurs who are said to account for about two-third of the population living in poverty (World Bank, 1996). More so, UNDP (2010) ranked Nigeria as 142nd in a sample of 169th poorest countries in the world. Unsurprisingly, the poor are disproportionately located in rural areas, primarily engaged in agricultural and associated activities and are mostly women and children than adult males (Todaro, 2000). On the other hand, the rural poor need only a little money to set up a business that can make a dramatic difference in the quality of their lives (Yunus,
Poverty in Nigeria, particularly in the rural areas, could be linked to lack of adequate financial access in the area, among other things (Egwuatu, 2008; Ladipo, 2008).

Against this background, the study seeks to investigate the relationship between access to financial services and poverty reduction in rural areas. Specifically, the study will examine the extent to which the provision of a better financial system to rural areas has actually reduced poverty in the rural areas. To achieve the objective, the paper is divided into five sections including this introduction. Section two presents literature review, section three describe the methodology, section four shows the results and discussions, while the last section concludes the study.

2. Literature Review

There is ample evidence showing a strong and causal relationship between financial sector development and economic growth. An efficient financial sector that responds to the needs of the private sector increases investment, enhances economic growth, and creates a job which is one of the major challenges for developing economies (Nasr, 2006). Improving households’ access to financial services will also help to reduce poverty and improve income equality while financial exclusion can retard economic growth and increase poverty and inequality (Butler and Comaggia, 2008). Robust economic growth cannot be achieved without putting in place well focused programmes to reduce poverty through empowering the people by increasing their access to factors of production, especially credit (CBN, 2005a). The capacity of poor for entrepreneurship would be significantly enhanced through the provision of financial services to enable them engage in economic activities and be more self-reliant, increase employment opportunities, enhance household income thereby leading to economic growth.

Broad access to financial services is related to the economic and social development agenda for at least two reasons. First, a large theoretical and empirical literature has shown the importance of well developed financial system for economic development and poverty alleviation (Beck et al., 2000; Beck et al., 2004). Second, access to financial services can be seen as a public good that is essential to enables participation in the benefits of a market based economy, in an analogous way, as is access to safe water, basic health services, and primary education (Peachey and Roe, 2004). Similarly, Sacerdoti (2005) argued that faster economic growth will not be possible without a deepening of the financial system and, in particular, more support from the banking system. He further showed that there is strong association between access to bank credit and overall economic development of a country. Access to finance can help poor to increase income, build viable business, and reduce their vulnerability to external shocks. It can also be a powerful instrument for self-empowerment by enabling the poor, especially women, to become economic agents of changes (Bashir, 2008). As noted by De la Torre and Schmukler (2006), the discussion of the plausible channels through which financial depth could cause economic growth often resorts to access related stories. Prominent in this regard is the Schumpeterian view that finance leads to growth because it reduces creative destruction by allocating resources to efficient newcomers. That is through broader access to external funds, talented newcomers are empowered and freed the disadvantages that would otherwise arise from their lack of inherited wealth and absence of connection to the network of well off incumbents (Rajan and Zingales, 2003).

Aggregate economic growth and efficiency are influenced by financial transaction in their role in agglomerating capital, selecting projects most likely to yield the highest return, monitoring borrowers (investors), enforcing contracts, transferring, sharing, and pooling risk, and promoting diversification (Stiglitz, 1993). An expansion of the supply of agricultural credit will have a better chance of success if it is embedded in effort to improve the performance of rural financial market and in effort to achieve greater market integration and more rapid economic growth in the rural areas (Gonzalez-Vega, 2003). The ability of the poor to borrow a small amount of money to take advantages of a business opportunity not only impacts positively on eradication of poverty but also tend to swell the rank of micro-entrepreneurs (Egwuatu, 2008). The supply
of efficient, sustainable, and broadly-based financial service is particularly important in rural areas, giving high risks and transaction costs in most rural markets for goods, services, assets, and factors of production, which result in large degrees of market fragmentation that is, the costs and risk are responsible for low level of market integration and for a wide dispersion of the marginal rates of return on resources used (McKinnon, 1973).

The growing interest in rural financial deepening has been an interest in poverty alleviation. Though, the relationship between poverty and finance are quite complex, it is most important to recognize that, despite major earlier attempts to expand the supply of agricultural credit and despite the massive use of public funds for this purpose, the majority of the rural population of the developing countries has actually never had access to formal financial services (Gonzale-vega, 2003).

3. Methodology

Katsina state was carved out of Kaduna state in 1987; it is made-up of 34 local Government Areas (LGAs) and the state is located in the North Western part of the country. It is bordered by Niger Republic in the North, Kano state in the South, Kaduna state in the South-West, Jigawa in the East, Sokoto and Zamfara states in the West. The native people are predominantly Hausa and Fulani while Islam is their major religion, while Christians constitute small proportions. Katsina state has a total population of 5,801,584 as at 2006 census (NPC, 2007). The main economic activity of the rural people of Katsina state is farming (small scale farming, animal husbandry and food processing). Informal trading and other micro-entrepreneurship are also playing a crucial role in their economic life (www.katsinastategov.ng). Despite CBN directive on rural banking, most rural areas in the state do not have even a single financial institution, talk less of insurance company.

A cross-sectional primary data was collected from 384 respondents dwelling in rural areas of Katsina state through administered questionnaire. The selection of the LGAs in the state that represents population of the study was randomly made. The LGAs were arranged in alphabetical order; number was allotted to each upon which table of the random numbers was used to select six LGAs, the selected LGAs were Mani, Safana, Zango, Kurfi, Rimi and Kankara. However, the respondents from each of the selected LGAs were purposely selected due to the unavailability of a sample frame. A total of 384 questionnaires was shared to the selected LGAs based on Proportional Allocation Formula (PAF).

Average monthly income of the respondents was used by IPAR (2007) to proxy poverty. Respondents with income level below $2 per day will proxy rural poor because Sani (2008) argued that extreme poor are those with daily income level of less than one US dollar. This is in line with the millennium declaration popularly known as MDGs. Therefore, respondents with income level above $2 per day were coded 1 and 0 if otherwise. IPAR (2007) further used the level of financial exposure of the respondents on Saving Account, Current Account, Fixed Deposit, Loans, ATM/Credit/Debit Card, Loan, Insurance, Mobile Banking, Internet Banking, Shares and Pension to proxy access to finance. They coded 0 for individuals who didn’t answer the question or did not know the answer, 1 for individuals that had never used the product, 2 for individuals who used the product before and 3 for individuals who are currently using the product.

Logit model was used to analyse the influence of independent variables (financial services) on the dependent variable (level of income). The model is given below:

$$Pr (Y_i=1) = F(X_i'b)$$

Where
Pr(Yi) = probability of income of the respondents is N10,000 and above
X = vector of explanatory variables
b = parameter to be estimated
F = cumulative logistic functions also known as log odds

Since the respondents exhibit different categories of income level, we applied multinomial logit model to ascertain how the degree of financial services usage vary among the different income categories of the respondents. The respondents were categorised into four income brackets, below N10,000, N10,001 – N15,000, N15,001 – N20,000 and N20,001 and above. Therefore, the model is further modified to accommodate different income brackets of the respondents, as such; the model is given in turn.

\[ \Pr(Y > 10000 = 0) = F(X\beta) \] (3)
\[ \Pr(10000 - 15000 = 1) = F(X\Phi) \] (4)
\[ \Pr(15001 - 20000 = 1) = F(X\Omega) \] (5)
\[ \Pr(20001 and above = 1) = F(X\delta) \] (6)

Where \( \beta, \Phi, \Omega \) and \( \delta \) are parameters to be estimated, and F is the normal cumulative distributions function.

4. Results and Discussion

The result is divided into two parts i.e. descriptive results and inferential results.

**Table 1: Demographic distributions of the respondents**

<table>
<thead>
<tr>
<th>Variables</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sex</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Male</td>
<td>298</td>
<td>78</td>
</tr>
<tr>
<td>Female</td>
<td>86</td>
<td>22</td>
</tr>
<tr>
<td>Marital status</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Single</td>
<td>125</td>
<td>33</td>
</tr>
<tr>
<td>Married</td>
<td>251</td>
<td>65</td>
</tr>
<tr>
<td>Divorced</td>
<td>8</td>
<td>2</td>
</tr>
<tr>
<td>Educational qualifications</td>
<td></td>
<td></td>
</tr>
<tr>
<td>No formal education</td>
<td>136</td>
<td>37</td>
</tr>
<tr>
<td>Primary school</td>
<td>67</td>
<td>17</td>
</tr>
<tr>
<td>Secondary school</td>
<td>81</td>
<td>21</td>
</tr>
<tr>
<td>Equivalent diploma</td>
<td>71</td>
<td>19</td>
</tr>
<tr>
<td>Degree and above</td>
<td>28</td>
<td>7</td>
</tr>
<tr>
<td>Occupation</td>
<td></td>
<td></td>
</tr>
<tr>
<td>No response</td>
<td>7</td>
<td>2</td>
</tr>
<tr>
<td>Farming</td>
<td>167</td>
<td>44</td>
</tr>
<tr>
<td>Business</td>
<td>120</td>
<td>31</td>
</tr>
<tr>
<td>Civil servant</td>
<td>90</td>
<td>23</td>
</tr>
<tr>
<td>Income range in Naira</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Below 10,000</td>
<td>84</td>
<td>22</td>
</tr>
<tr>
<td>10,001-15,000</td>
<td>111</td>
<td>29</td>
</tr>
<tr>
<td>15,001-20,000</td>
<td>95</td>
<td>25</td>
</tr>
<tr>
<td>Above 20,000</td>
<td>94</td>
<td>24</td>
</tr>
</tbody>
</table>

Source: survey, 2010

In Table 1 above, it shows that 298 respondents were male while 86 respondents were female representing 78% and 22% respectively. The Table also shows information regarding the marital status of the respondents and it indicated that majority of the respondents were married, numbering 251, while 125 respondents were single and only 8 were divorced representing 65%, 33% and 2% respectively. Moreover,
data pertaining to educational qualifications of the respondents shows that 137 of the respondents do not have any formal education, 67 possess primary school leaving certificate, 81 indicated having secondary school certificate, 71 with diploma/NCE and its equivalent, 28 of them have first degree certificate and above representing 36%, 17%, 21%, 19% and 7% respectively. This data coincides with Beck \textit{et al.}, (2006) assertion that finance appears inaccessible because of high rate of illiteracy in rural areas. Table 1 above, further shows the frequency of the occupational distribution of the respondents. It was observed that 7 respondents (2%) did not respond to the question, 167 (44%) were farmers, 90 (23%) were civil servant, 120 (31%) indicated business as their occupation. In order to avoid multiplicity of response, respondents that affiliated to more than one occupation were only asked to give their major one. We similarly depict the monthly income brackets of the respondents from the above Table. One hundred and eleven (111) respondents (29%) indicated earning N10,000 – N15,000, 95 respondents or 25% indicated N15,001-N20,000 as their income bracket, 94 or 24% were earning above N20,000, while 84 (22%) indicates earning below N10,000.

Table 2: Summary of Multinomial Logit Regression

<table>
<thead>
<tr>
<th>Variables</th>
<th>Coefficient (4)</th>
<th>Coefficient (5)</th>
<th>Coefficient (6)</th>
<th>Probability</th>
</tr>
</thead>
<tbody>
<tr>
<td>Saving account</td>
<td>-0.27</td>
<td>-0.42</td>
<td>-0.56</td>
<td>0.202</td>
</tr>
<tr>
<td></td>
<td>(-1.28)</td>
<td>(-1.96)**</td>
<td>(-2.60)**</td>
<td></td>
</tr>
<tr>
<td>Current account</td>
<td>0.10</td>
<td>0.10</td>
<td>0.25</td>
<td>0.692</td>
</tr>
<tr>
<td></td>
<td>(0.44)</td>
<td>(0.40)</td>
<td>(1.08)</td>
<td></td>
</tr>
<tr>
<td>Fixed deposit</td>
<td>0.74</td>
<td>0.73</td>
<td>0.54</td>
<td>0.234</td>
</tr>
<tr>
<td></td>
<td>(1.67)*</td>
<td>(1.44)</td>
<td>(1.19)</td>
<td></td>
</tr>
<tr>
<td>Loan</td>
<td>0.01</td>
<td>-0.88</td>
<td>-0.64</td>
<td>0.985</td>
</tr>
<tr>
<td></td>
<td>(0.02)</td>
<td>(-2.60)**</td>
<td>(-2.07)**</td>
<td></td>
</tr>
<tr>
<td>ATM/debit card</td>
<td>0.06</td>
<td>-0.08</td>
<td>0.29</td>
<td>0.787</td>
</tr>
<tr>
<td></td>
<td>(0.27)</td>
<td>(-0.32)</td>
<td>(1.20)</td>
<td></td>
</tr>
<tr>
<td>Insurance</td>
<td>-1.12</td>
<td>-1.12</td>
<td>0.18</td>
<td>0.721</td>
</tr>
<tr>
<td></td>
<td>(-1.57)</td>
<td>(-1.57)</td>
<td>(0.36)</td>
<td></td>
</tr>
<tr>
<td>Microfinance</td>
<td>0.37</td>
<td>0.37</td>
<td>-0.6</td>
<td>0.840</td>
</tr>
<tr>
<td></td>
<td>(1.25)</td>
<td>(1.25)</td>
<td>(-0.20)</td>
<td></td>
</tr>
<tr>
<td>Mobile banking</td>
<td>0.93</td>
<td>0.93</td>
<td>-0.69</td>
<td>0.172</td>
</tr>
<tr>
<td></td>
<td>(2.27)**</td>
<td>(2.27)**</td>
<td>(-1.37)</td>
<td></td>
</tr>
<tr>
<td>Pseudo R²</td>
<td>0.40</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>LR Chi²</td>
<td>42.03**</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>No. of observation</td>
<td>384</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

* ** *** Indicate significance at 10, 5 & 1 percent probability levels
Z-ratios in parenthesis

Table 2 above shows the summary of multinomial logit regression results. It could be discerned from the result that the estimated coefficient of saving is negative but not significant in equation 4, while the estimated coefficient is significant in equation 5 and 6. The result means that high income class has more capacity to save than poor dwelling in rural areas. The finding appears to support the predication of Economics theory of savings which argues that saving is a function of the level of income. On the contrary, the estimated coefficients of current account and fixed deposit are positive but statistically insignificant in all models however both have 69% and 23% probabilities of reducing poverty. Moreover, the estimated coefficient of loan is positive but insignificant in equation 3, while the estimated coefficient in equation 4 and 5 are and statistically significant at 1% and 5% level of significance respectively. The estimated coefficient of loan has the highest probability (98%) of reducing poverty in rural areas. This finding tends to supports Burgess and Pande (2003), who asserted that access to formal finance is critical for enabling the poor to transform their
production systems and thus exit poverty. Access to finance through credit assists the poor not only to smooth their consumption expenditure but also to build their assets, which enhance their productive capacity (IPAR, 2007).

Furthermore, the estimated coefficients of ATM and insurance are not statistically significant in all equation but has approximately 79% and 72% likelihood of reducing poverty in rural areas respectively. Similarly, the estimated coefficient of microfinance is statistically insignificant in all equations with 84% probability of reducing poverty in rural areas. The estimated coefficients of mobile banking are positive and significant at 5% level of significance in equation 3 and 4 respectively. Moreover, the estimated coefficient in equation 5 is not statistically significant. The coefficient has 17% probability of reducing poverty in rural areas. The overall model is adequate given by significant LR Chi^2 value at 1% level of significance, so also 40% variations in dependent variable is jointly explained by independent variables as shown by Pseudo R^2 value.

5. Conclusion and Recommendation

The study found that access to formal financial services increases with level of respondents’ income in rural areas also most of the variables that were examined indicated a very high probability of reducing poverty. It could therefore be concluded that enhancing access to formal finance especially credit has a high likelihood of reducing poverty in rural areas. The implication of this study is that the federal government of Nigeria and financial institutions in the country should take up the challenge of establishing bank branches in the rural areas or make formidable arrangement for supplying more credit to the rural dwellers. This study suggests that group lending strategy of Grammen Bank of Bangladesh could be copied, since the bank recorded very low default rate. This is based on the premise that the government policy priority is poverty reduction.

Reference


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