

ISSN 1911-2017

ASIAN SOCIAL SCIENCE

Vol. 4, No. 2
February 2008

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Canadian Center of Science and Education



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An Analysis of Malay-Sino Relations in Malaysia

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Abstract

Having recently celebrated her fiftieth year of independence, Malaysia now needs to take a re-look at some critical issues concerning ethnic relations in the country. With increasing public pressure towards human rights and social equity, certain government initiatives such as the New Economic Policy may warrant a thorough overhaul. Such exercise, however, should only begin based on an improved understanding of the past and present associations among the various ethnic groups. With that in mind the current study sets out to paint a fresh and candid picture of the relationships between the two largest ethnic communities in Malaysia: the Malays and Chinese. This is sought through a review of the literature as well as an analysis of macro-level statistics, in particular the vital statistics, industry figures and mean incomes.

Keywords: Malaysia, Ethnic relations, Values, Economic performance

1. Introduction

Ethnic relations have always been central to nation-building in a multi-cultural, multi-religious society such as Malaysia. In her fifty years of nationhood friction among particular ethnic groups has surfaced from time to time which affects social and economic developments, and necessitates changes in government policies and programs. Understanding ethnic relations issues in the country is, therefore, critical to its future stability and wellbeing - especially as the population becomes increasingly globalized, more open and more educated. In this paper, focus is given on the two biggest ethnic groups in Malaysia: the Malays and Chinese. The study begins with a historical account of their relationships - from the early days to the present - and proceeds with a comparative analysis of their overall demographics, cultural values, management styles, and economic positions. As the intention is to paint a macro-level picture of the differentials, secondary data are used in the analysis such as vital statistics, industry figures and mean incomes. The findings are expected to provide the basis for further studies in the area, particularly those using primary data from smaller and more specific samples.

2. The History of Malay-Sino Relations in Malaysia

The migration of the Malay peoples from Southern China to the Malayan peninsular happened so long ago - estimated at 2,500 to 1,500 B.C. - that they are generally considered as the indigenous, or Bumiputera, population (Hirschman, 1975). Although their origins were rooted in Southern China, these earliest boatmen who came to Malaya through Indochina, Siam and Indonesia, slowly developed their own identity and culture as Malays. Subsequent contact between the Malays and various ethnic groups arose mostly due to religious missionaries and trade relations. Since the coming of the first Indian, Chinese and Arab ships prior to 1,000 A.D. and later the Portuguese envoys in 1511, the Malays have always been exposed to a multitude of external influences in their political, economic and cultural practices. In the present section, the history of Malay and Chinese ethnic relations in Peninsular Malaysia is traced; the findings are organized in three parts, according to chronological order, from pre-independence to post-independence to the future.

2.1 Pre-Independence (Early History to 1957)

Malay-Sino relations in the Malayan peninsular began more than a thousand years ago. According to Purcell (1948), the earliest Chinese visits to Malaya in the first millennium were by Buddhist monks and it was not until the 14th. Century that trading was mentioned in any Chinese records. The earliest Chinese settlement in Malaya can be traced back to the times of the Malacca Sultanate in the fifteenth century (Yen, 2000). Because of its strategic location, Malacca attracted Chinese traders who remained in the kingdom to conduct their business. To help administer the Chinese community the Sultan appointed a Chinese as one of the four port officials or Shahbandar. Three patterns of Chinese settlement can be observed from the end of the 18th. century to the early part of the 20th. century (Yen, 2000): The urban port settlement, the mining settlement and the rural agricultural settlement. Out of the three, the urban port community - distributed mainly in the Malaccan Straits trading centres especially Malacca and Penang - was relatively the most open and interacted the most with the Malays. This resulted in a new sub-cultural group called the

“Cina-Selat”, a Chinese community which until today has observed a great deal of Malay culture, whilst maintaining their ethnic identity. In the other two settlements, Chinese cultures were more closely guarded; secret societies were also common which perpetuated the Chinese’ protectiveness over their dialects, kinship and cultural autonomy.

During the British’ colonial rule, migration of the Chinese into Malaya flourished as they were encouraged by the British to develop commercial activities especially in tin mining and cash crops such as coffee and sugar cane (Hirschman, 1975). Since these immigrants had little interest in local politics, their relationship with the British administration was considerably better than the Malays’. It is believed (Shaffie and Zainuddin, 2000) that unlike the Malays who viewed the colonials as oppressors who had to be ousted, Chinese immigrants cooperated rather well with the British in their pursuit of economic interests. It was also during this period that the Malays’ entrepreneurial class – which was largely sponsored by the Malay Sultans – began to dwindle as the loss of sovereignty resulted in trade monopolization by the British and the Malays’ refusal to foster working relationships with the latter (Zamani, 2002).

Political events in China at the turn of the twentieth century affected greatly the overseas Chinese communities. The crushing defeat of China in the first Sino-Japanese War led to the formation of a political group in 1897 in Malacca known as “The Eighteen Saviours” who pledged to overthrow the Manchus in China. Subsequent events such as the “Penang Conference” organized by Sun Yat-Sen in 1910 (Yen, 2000) indicated the strong affinity that the Chinese immigrants had with their homeland, and although internal feuds were rife between the Chinese reformists and revolutionaries in Malaya, overall there was a heightened political awareness among them and gradually a sense of unity emerged. When the Japanese invaded Malaya in 1942, the Chinese community suffered the most (Lee and Heng, 2000). Several thousand Chinese were executed during the “sook-ching” or ethnic cleansing exercise and this prompted some to take up arms against the Japanese Army. One of the more well-known movements was the Malayan People’s Anti-Japanese Army (MPAJA), the military wing of the Malayan Communist Party (MCP). Although the British did not support communist ideologies, their more pressing need to regain control over Malaya led them to provide aid to the MPAJA guerillas (Shaffie and Zainuddin, 2000). When the war ended in 1945 – and presumably as a mark of appreciation for the Chinese’ resistance against the Japanese – the British announced proposals for the “Malayan Union” which, among other objectives, sought to protect the rights of Chinese immigrants by granting them citizenships equal with the Malays upon independence.

Not surprisingly, the Malayan Union was rejected outright by the Malays. Through dialogues between the British and the Malay elite, the Federation of Malaya was inaugurated in 1948 (Stubbs, 1989) that was more protective of Malay rights and status. However, talks within the All-Malaya Council of Joint Action (AMCJA) between Malay and Chinese representatives failed to reach an agreement on the constitution for an independent Malaya. At around the same time, in response to the British’ negative post-war treatment of the communists, the MPAJA guerillas retreated to their jungle bases to wage a rebellion against the British. In the ensuing struggles, many Malays and Chinese found themselves on opposite sides of the conflict – the former as members of the local security forces and the latter as insurgents. Inter-ethnic relations were deeply strained (Stubbs, 1989) and the more moderate wings in both communities realized that this could jeopardise their mutual hope for independence. In the following years the two wings, manifested in the form of political parties – United Malay National Organisation (UMNO) for the Malays and Malayan Chinese Association (MCA) for the Chinese – formed an alliance which agreed to work towards joint success in the 1952 Kuala Lumpur municipal election. Having won that, and together with the Malayan Indian Congress (MIC), they later secured victory in the first national election in 1955 (Lee and Heng, 2000). The alliance then proceeded to negotiate a constitution that was perceived as an acceptable compromise by the British and finally won independence for the country in 1957.

2.2 Post-Independence (1957 to 2006)

After independence was proclaimed on 31 August, 1957, the greatest challenge faced by the alliance government was to develop national unity and equity. Considering the huge discrepancies which existed among the three major ethnic groups – especially between the Malays and Chinese – this was no mean feat. More than a century of British colonization had reduced the Malays to the backwater of the nation as small-time farmers and fishermen while the Chinese had prospered as merchants in urban Malaya (Al-Attas, 1991). Therefore, the few years after the initial post-independence euphoria had settled were laced with a strong racial undercurrent. The tension became more pronounced after Singapore was expelled from the federation in 1965 mainly because of irreconcilable differences between Singapore and UMNO regarding Malay-Sino relations (Shaffie and Zainuddin, 2000). The Malays’ dissatisfaction with the government’s continuing failure to ensure an equitable distribution of wealth finally erupted in the worst racial disturbance ever recorded in the country in what is now known as “Tragedi 13 Mei, 1969”.

In an effort to address the social imbalances which led to the bloody incident on May 13, 1969, the government thereafter drafted and implemented the “New Economic Policy” or NEP (Hashim, 2003), an economic plan intended to improve the position of the marginalized – in particular the Malays and Bumiputera – within a period of 20 years (1970 – 1990). At the end of 1990, although the status of the Malays had indeed been elevated, many of the objectives of

NEP were still unattainable; for instance the targeted 30% equity ownership by Malay-Bumiputera was still approximately 10% short (Economic Planning Unit, 1991). When the NEP expired, new drafts called the “National Development Policy (NDP: 1991-2000)” and “National Vision Policy (NVP: 2001-2010)” were adopted by the Mahathir administration as a continuing effort to achieve the original objectives set out in the NEP. During the NEP-NDP period the Malay business class grew substantially – in some sectors such as the wholesale and retail, by as much as 10 times – partly as a result of collaboration with Chinese entrepreneurs (Heng and Sieh, 2000). Ranging from the highly notorious rentier-like “Ali-Baba” relationships to genuine partnerships, many Malay-Sino business ventures prospered by capitalizing on the Malays’ political connections and the Chinese’ business acumen.

The implementation of government-controlled economic policies such as the NEP-NDP-NVP has inevitably led to a high connection between business and politics in Malaysia (Jomo, 1986). Although UMNO has often used their election victories as evidence of the people’s support for these policies, some quarters have been known to perceive them as institutionalised discrimination. Many Chinese politicians and scholars (Siasah, 3-16 Nov. 2006) have questioned the need to provide further support to the Malays when in fact all necessary assistance had already been granted in the first twenty years – with apparently very little result. They also question the validity of official data, suggesting that the Malays have actually secured more than the targeted 30% equity ownership. Outside the ruling Barisan Nasional, the Malay-based Parti Islam Se-Malaysia (PAS) and the multi-racial Parti Keadilan Rakyat (PKR) have also argued that the above economic policies are discriminatory – and thus immoral – because they favour only selected groups of people who are closely connected to the ruling party (Harakah, 16-30 Nov. 2006). The *reformasi* movement, mooted in 1998 by the sacked Deputy Prime Minister, Anwar Ibrahim who is now the advisor of PKR, has consistently called for the abolishment of cronyism in public procurement.

In retaliation, conservative Malays have accused dissenting Chinese as communist-sympathisers and traitors who have turned their backs on the “social contract” forged between their forefathers during the pre-independence days (www.malaysia-today.net/Blog-e/2005/08/dont-raise-social-contract-issue-umno.htm). The new generation of Chinese is said to be history-blind; hence the UMNO-led initiative to introduce a new curriculum on inter-ethnic relations in higher learning institutions (The Sun, 20 July 2006) that aim to create awareness among the other ethnic groups of this so-called social contract and perhaps curb their hostile attitude towards the Malays’ special privileges.

Malay-Sino relations in post-independence Malaysia have also been inundated with other “sensitive” issues such as educational and cultural freedom. In keeping with the tradition to uphold their ethnic identity, the Chinese in Peninsular Malaysia have always asserted their right for Mandarin-based education and to practise age-old customs such as playing mahjong and worshipping deities. From time to time this has resulted in clashes with some Malay quarters, and been used to the advantage of others, especially politically. For example, the points raised in November 2000 by Suqiu, a Chinese association which champions Chinese education is believed (Lee, 2004) to have caused the Barisan Nasional to lose their Lunas seat to the opposition in a state by-election. Likewise, PAS has often been criticized for demanding a total implementation of an Islamic state which, to the Chinese, will result in the marginalization of the cultural identity (Lee, 2004). With so many issues clouding inter-ethnic unity in Malaysia, the future maintenance of positive Malay-Sino relations remains a challenge. In the next section several perspectives on the subject are presented, particularly with respect to Malaysia’s position in a global environment.

2.3 Now and Beyond

Having recently celebrated her 50th birthday, Malaysia, as a nation, is still relatively young. Despite her youth, the country boasts of political and economic stability much envied by others far older than she. In the past, however, that stability has been created and maintained through a combination of affirmative action policies such as the NEP, and tough laws such as the infamous Internal Security Act and Official Secrets Act (The Sun, 5 Feb. 2007). As more and more Malaysians start questioning the relevance of such strategies to a society that is becoming increasingly open, educated and modern, the government is now faced with the challenge of maintaining stability through more “democratic” measures. There are calls (Navaratnam, 2007) for the present government to stop focusing on ethnic-based equity ownership and start assessing the effectiveness of past measures in reducing poverty regardless of race and ethnicity. It is argued that the government has deviated from the original objectives of the NEP, which was never really intended to discriminate others in favour of the Malay-Bumiputera group. It is further recommended that Malaysians, of all races, put aside their differences and work together to build the national competitive advantage instead of competing among themselves. This line of thought appears to emphasize the challenges of globalization and liberalization, and expresses concern for the ability of certain ethnic groups to succeed in an open business environment if they are perpetually cloaked in protectionism. In fact such views have gradually gained momentum since the days of the NDP. Ling Liong Sik (1995), the previous president of the MCA, suggests that:

“The main economic goal should be to create a dynamic, resilient and competitive economic structure through policies that are based on the principles of equality of opportunities and merit. In the years beyond 1990, efforts to strengthen

the economic foundations of our country through policies that reward risk, hard work and enterprise, irrespective of race, must be redoubled." (Ling, 1995, p.22)

Not surprisingly efforts to promote meritocracy and national unity are often met with resistance, especially by Malay and Chinese right-wings. Prior to his resignation in 2003 the then Prime Minister, Dr. Mahathir Mohamad, campaigned for English – due to its international status – to be adopted as the medium in private higher learning institutions; he also introduced the concept of meritocracy in the student intake process in public universities. These moves, although implemented, have been accused (Ali, 2004) of being detrimental to the growth of Malay intellectualism. Likewise, Mahathir's concept of national unity and "Bangsa Malaysia" or the Malaysian Nation has been regarded by some as a threat to the preservation of individual ethnic as well as religious identities (Nawawi, 1989). It appears then that the process of acculturation as described by Western psychologists (Berry and Sam, 1997) is viewed rather negatively by some Malaysians.

There is hope, however, for increased cooperation towards mutual economic benefit – without any community having to sacrifice its ethnic identity. In fact logic dictates that the philosophy of "Unity in Diversity" in multi-ethnic societies is highly relevant to business collaborations because in such organisations, all parties involved share one common goal – the success of the firm – which is attainable through the diverse skills and attributes of its members. In modern management this logic explains the growing tendency, especially among multinational companies, to move away from ethnocentrism towards pluralism (Schermerhorn et al, 1994). From a Muslim's point of view, such a paradigm is reflective of that held by more moderate Muslim scholars including AlQardhawi (1999) and Abdul Rauf (1991) who maintain that cooperation between Muslims and non-Muslims is encouraged, but not to the point of acculturation. Whereas acculturation (Berry and Sam, 1997) describes the transformation of individual ethnic groups into a single nation with common values, the moderate Islamic perspective upholds the need to preserve Islamic identity among Muslims while giving the liberty to non-Muslims to exercise the tenets of their culture and religion, even if they are forbidden in Islam, such as drinking wine and eating pork (Abdul Rauf, 1991).

3. Analysis of Malay-Sino Differences

Cross-cultural analysis of the Malay and Chinese communities in Peninsular Malaysia have been a major area of research in various branches of social science including arts, politics, education (Osman, 1988; Kua, 1990) and business (Abdullah, 1996; Lrong, 1998; Sloane, 1999; Fontaine and Richardson, 2003; Omar, 2003). The interest is typically on variances in cultural values, management styles and business performance or economic achievements. Here a review of available literature on these issues is presented; additionally, as background information, differences in some vital statistics such as birth and mortality rates are also provided.

3.1 Vital Statistics

Vital statistics refer to population data with respect to its distribution, birth and mortality rates, sex ratio, life expectancy, et cetera (Weeks, 2005) which, in most modern societies, are often used as an indication of the quality and style of life they lead. For instance, a study by Rogers et al (2000) suggests that in the United States higher mortality or death rate among African-Americans compared to whites may be explained by their relatively lower income, higher incidence of infectious diseases such as HIV/AIDS and higher exposure to crimes. These possible causes may, in turn, reflect more underlying cultural values such as their attitude to education and work (Weeks, 2005).

Based on records released by the Malaysian Department of Statistics (2001), the Malay and Chinese ethnic groups in Peninsular Malaysia appear to have vital statistics which are quite distinct from each other. The major differences are compiled in Table 1. The data demonstrates that since the inception of Malaysia the Malays make up the largest ethnic group in Peninsular Malaysia and the Chinese, the second; together the two ethnic groups constitute more than 85% of the entire population. However, while the Malay population - as a percentage of the whole - shows a generally upward trend, the figure for the Chinese continues to slide downwards. A viable explanation for this may be had by examining the other vital statistics, as follows.

Overall improvements in quality of life are evident in both societies from the trends in death rate and life expectancy and may indicate the success of various social programmes implemented by the government since independence, especially in the areas of health and economy. A snapshot view of the data on life expectancy suggests that the Chinese may have a relatively better health status; for instance in 2000, the life expectancy for the Chinese was 75 years compared to 71 years for the Malays. This may be explained by the former's greater access to more advanced health and medical facilities; it may also reflect their generally healthier attitude towards life. However, if one were to conduct a longitudinal analysis, the improvements are much more noticeable for the Malays who have recorded a higher reduction in death rate and increase in life expectancy. This event is remarkable considering the Malays' more backward status prior to independence; thus Malaysia's social re-engineering seems to have been quite effective in bridging the "quality of life" gap between the two groups. In terms of birth rate, although both groups have recorded a decreasing trend, the Chinese' decline appears to be more drastic. From 1965 to 2000, their rate of birth plummeted by

17.4% while the Malays' went down by only 9.9%. Two possible reasons for this are: One, compared to the Malays, the Chinese may have a more open attitude towards Western medical practices such as contraception and family planning and two, they may have values which emphasise quality over quantity of people.

The above differences in birth and death rates and life expectancy have helped explain why the Malay population has grown at a much higher rate than the Chinese. They also suggest differences in socio-economic status, as well as attitudes and cultural values between the two groups. In the next section, this subject of cultural differences is delved further.

3.2 Cultural Values

Studies on ethnic values in Malaysia are mostly conceptual and based on personal experience, rather than strong quantitative analysis. Despite that they are able to provide an initial understanding of the cultural profiles of the individual ethnic groups in the country. The following discussion entails a review of literature on values among the Malay and Chinese societies in Peninsular Malaysia. Although there are similarities in the two cultures, for instance both the Malays and Chinese observe filial piety, courtesy towards others and certain superstitious rituals (Abdullah, 1992), the main objective of the exercise is to emphasise the differences between them.

In "The Malay Ideals", Zamani (2002) argues that the Malays' cultural identity is inevitably associated with Islam but their interpretations of its teachings are often confused and inaccurate. The Malays are said to be simple-minded, tolerant, loyal, unquestioning and shy, although Islam itself does not advocate unconditional observation of these values. The author cites examples of the Malays' adherence to the notion of sincerity or "ikhlas" and posits that their undue interpretation of the word – i.e. not asking for any form of remuneration – contributes to their simple nature and lack of ambition. Other rigid (mis?)perceptions of certain Islamic concepts such as fate or "takdir", and gratitude or "syukur" are also highlighted to explain the Malays' passive attitude to life. Malay children are said to be discouraged from asking too many questions as it is often interpreted as a sign of impertinence. As a result, they grow up to be obedient and accepting. Some literature on Malay culture (Mohamad, 1981; Karim, 1990) further suggests that the Malays are an emotional race, plagued by outbursts of tantrum or "amuk", and arguably the polar opposite to the Chinese who are often considered practical and pragmatic.

At the same time, the Malays have also been associated with many positive attributes. Idioms such as "Sikit-sikit lama-lama jadi bukit" (Bit by bit, a mountain is built) and "Seperti aur dengan tebing" (Like the river and its bank) respectively describe their patience and cohesiveness. Moreover, the Malays are known for being resourceful as evidenced by the saying "Tiada rotan, akar pun berguna" (When cane is scarce, use roots) while another Malay expression "Biar lambat asalkan selamat" (Slow and steady gets you there safely) indicates their prudence and carefulness. From the Western point of view (Metzger, 1994; Sloane, 1999), the Malays are outstanding for their respect for tradition and "adat" (ancient customs) although there are Muslim scholars (Omar, 2003) who challenge the practise of un-Islamic customs such as "potong jambul" (shaving of the forehead of a newborn) and "bersanding" (bride and groom seated together on a dais in front of the guests), which are believed to have originated from Hinduism. The above views of the Malay ideals, both positive and negative, are ubiquitous in many anthropological studies (Othman, 1993; Wan, 1993) which offer values as the primary explanation for the Malays' social behaviour.

Whereas Malay values accentuate obedience and a strict allegiance to Islam, the Chinese are known more for their openness and free spirit. Purcell (1948) purports that the Chinese have a very liberal attitude towards many aspects of life such as food, clothing and religion. It is said that even though approximately 70% of Malaysian Chinese are Buddhists (Lee and Heng, 2000), other faiths including Confucianism, Taoism and spiritualism are also embraced simultaneously. In fact many do not identify themselves with any particular religion and merely refer to it as "bai shen" or worshipping deities. The Chinese are also seen to be risk-taking and thrifty (Chee, 1986; Syed et al, 2003), adaptable (Maniam, 1986), as well as ambitious, pragmatic, materialistic and driven by meritocracy (Abdullah, 1992). Some of the above attitudes among Malaysian Chinese appear to be in direct contradiction with the more traditional Confucian values prevalent in Chinese-majority countries such as Mainland China, Taiwan and Hong Kong. According to Ying (2000), the common values in these societies include a strict sense of propriety or morality, veneration for tradition and the elderly, not being guided by profit, and contentment with the present. A study by Pan and Zhang (2003) suggests that the Chinese in the PRC are risk-avoiding. These differences between traditional Confucian values and those observed among Malaysian Chinese – namely propriety versus flexibility, veneration for the elderly versus meritocracy, people-oriented versus profit-oriented, contentment versus ambitiousness and risk-avoiding versus risk-taking – have been attributed by some scholars (Syed et al, 2003; Kuah-Pierce, 2003) to the immigrant history of the Chinese in Southeast Asia; the hardship they experienced as immigrants and minority groups are believed to have reshaped their value orientation towards becoming more venturesome, money-driven and adaptable to their new surroundings.

In terms of Hofstede's cultural dimensions (1980), there have been very few attempts – especially empirical ones – to directly compare the Malay and Chinese societies in Peninsular Malaysia. Nevertheless, there are studies (Mohamad,

1981; Chee, 1986; Sloane, 1999; Syed et al, 2003) which imply the Malays' association with high collectivism, uncertainty avoidance and power distance, and low masculinity; and the Chinese with high collectivism, power distance and masculinity, and low uncertainty avoidance. However, the above inferences are deduced only through liberal interpretations of other related attitudes and practices because none of the studies specifically employs Hofstede's theoretical framework. For instance from Patricia Sloan's (1999) *Islam, Modernity and Entrepreneurship among the Malays*, the Malays' collectiveness is concluded based on their spirit of "gotong-royong" rather than a direct reference to collectivism by the author herself. This is perhaps the greatest challenge faced by scholars such as Lrong (1998) who – based on a review of literature – attempts to categorise Malay and Chinese values according to the dimensions of culture proposed by Hofstede (1980). His analysis of extant literature not only helps to sketch an overall picture of the Malays' and Chinese' relationships with the said dimensions, it also contains additional information on the direction and content of the relationships. For instance, he explains:

"In the dimensions of power distance and collectivism, although sharing conceptual similarities, they differ in content. The Malays may be said to be slightly more hierarchical and oriented towards relationship building, and the Malaysian Chinese prefer to incorporate business dealings into the hierarchical relationships as well." (Lrong, 1998)

Lrong (1998) asserts that since the Malays propagate a hierarchical society, stability, a sense of responsibility to the general public and are relationship-oriented, they may be said to have high power distance and uncertainty avoidance, quite high collectivism and low masculinity. The Chinese, on the other hand, are materialistic, very obedient to the family and loyal to their business clans, and have an open attitude to risks and the unknown; thus they are said to have high masculinity and power distance, quite high collectivism and low uncertainty avoidance. Based on these observations, it is evident that the primary value differences between the Malays and Chinese in Malaysia exist in two dimensions: Masculinity and Uncertainty Avoidance.

3.3 Management Styles

Most scholars (Fontaine and Richarson, 2003) agree that Western management theories on national and organizational cultures do to some extent explain Malaysian workplace behaviour; however, they are unable to capture the richness of inter and intra-ethnic relationships which have surfaced following differences in cultural values. Thus it has come as a surprise that there are very few localized cross-cultural studies on Malaysian managers (Fontaine and Richarson, 2003). This section reviews some literature which attempts to explain differences between the Malays' and Chinese' management styles in relation to their cultural values.

Among the more prominent authors on the subject is Abdullah (1992) whose insights have been consulted extensively by multinational corporations operating in the country. In her works she asserts that Malay and Chinese managers, as a result of their culture, have simultaneously similar and contrasting styles of communicating, leading and making decisions. She finds that even though Malaysian managers generally appreciate interpersonal relationships, are religious and put high emphasis on "maruah" (face), some inter-ethnic differences still exist with regards to goal-setting and reward systems. The Malays are said to equate success with good interpersonal relationships and communal wellbeing, and stress these as business goals. The Chinese, on the other hand, place a higher importance on material success; but interestingly, they are more modest in demonstrating their wealth, often describing their business performance as "just enough" or "cukup makan". According to Syed et al (2003), the Chinese appreciate financial incentives more because they view them as appropriate returns to their hard work and commitment. The Chinese' emphasis on wealth-building should not lead to the conclusion that Chinese managers underestimate the value of interpersonal relationships. On the contrary, studies (Nonini, 1997) show that the concept of "guanxi" or networking is very essential to Chinese organizations. However, while the Malays build relationships to maintain harmony and avoid conflict (Zamani, 2002), the Chinese treat them as opportunities for business growth (Nonini, 1997). They are also more focused on building long-term prosperity for the family; this may explain to some degree their preoccupation with family businesses and succession lines (Liao, 1997; Yu, 2001). Due to the high incidence of family business in the Chinese society, most Chinese managers are paternalistic and controlling (Yeung, 1997). They also look upon business ventures as battles and wars which must be won through the survival of the fittest, a principle in line with Sun Tzu's *The Art of War* (Syed et al, 2003).

In contrast, Malay managers are widely associated with Islamic management concepts such as "syura" (mediation and consultation), "khalifah" (a wholesome view towards leadership) and "adil" (justice). Muslim managers are not only responsible for the material success of the organization but also for the spiritual well-being of their subordinates (Al-Buraey, 1990). The concepts of "syura" and "khalifah" thus may explain why it is quite common for Malay managers to take interest in employee religiosity, for instance by encouraging their subordinates to pray and fast. The Chinese' style of paternalism cannot be equated with these concepts of "syura" and "khalifah" for the following reason: The former stems from the Chinese' concern for financial success (Yeung, 1997) whereas the latter are aimed at nurturing Muslims' relationship with God. Other Malay management styles which distinguish them from the non-Malays' include conducting business as a "fardhu kifayah" or service to other Muslims – which may explain why

there is a high incidence of Malay entrepreneurs in the supply of “halal” products such as food and cosmetics. Most Malay managers and entrepreneurs also conscientiously abstain from “haram” or sinful business activities such as gambling, prostitution and selling alcohol as well as participating in “riba” or usury (Ismail, 2001).

3.4 Economic Structure and Performance

Much has been said about the differences in work-related values and styles between the Malays and Chinese societies; more importantly they have been attributed as possible reasons for the differences in other aspects of the society particularly its economic structure and performance. The following discussion examines the issue by comparing the industry participation and mean household income for the two ethnic groups. Table 2 shows the industry participation of the Malay and Chinese communities in Malaysia in year 2003 (Department of Statistics, 2004). The last column in the table indicates the percentage difference between the two groups for each industry. It is evident from this column that the largest discrepancies exist in three industries: Wholesale/retail and repair services, public administration/defence and social security, and agriculture/hunting/forestry.

The data suggest an association between the Malay society and public administration as well as agriculture-related industries while the Chinese appear to be associated with trading and more commercial activities. In terms of economic performance, the latter’s predominance in trading and commerce appears to be reflected by a distinctly higher household income (Economic Planning Unit, 2000), as shown in Table 3. These findings generally help to strengthen the propositions forwarded by earlier researchers (Lrong, 1998; Omar, 2003) on Malay-Sino differences. In particular the Chinese’ connection with enterprise, risk-taking and wealth-building affirms the higher association between the Chinese and masculinity as well as uncertainty avoidance.

4. Conclusion

The above study demonstrates the importance of values in social and economic developments. Despite huge government aid to the Malays over the last few decades, they have not been able to achieve the same successes recorded by the Chinese – a situation which suggests problems at a much deeper level than mere infrastructure, training and financial assistance. Future efforts to improve the Malays’ economic position should, therefore, concentrate on changing their mindset rather than pumping millions into building more retail spaces and IT supercorridors. In fact questions should be asked as to whether it is the free “handouts” that have nourished the Malays’ overdependence on the government, and in turn limited their prospective for growth. At the same time, if greater cooperation is to be fostered between the Malays and Chinese, the latter also needs to go through some value changes. In particular their preoccupation with profit-margins, possibly at the expense of social responsibility, is something that many Malays frown upon and will surely dampen a lot of collaborative potential. The challenge remains for policy-makers and practitioners alike in developing more innovative measures to create a half-way meeting point for these two communities.

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Table 1. Vital Statistics of Malay and Chinese Ethnic Groups in Peninsular Malaysia

Vital Event Year	Population Distribution (%)		Birth Rate (per 1,000)		Death Rate (per 1,000)		Life Expectancy* (yrs)	
	Malay	Chinese	Malay	Chinese	Malay	Chinese	Malay	Chinese
1965	51.9	36.4	37.9	34.4	8.6	6.8	61.9	69.2
1970	52.7	35.8	34.2	30.5	7.3	6.2	61.8	67.6
1975	54.0	34.9	33.2	26.9	6.2	5.8	65.5	69.5
1980	55.1	33.9	33.6	25.0	5.3	5.4	67.7	71.0
1985	57.6	31.7	36.6	23.2	5.0	5.3	69.6	72.5
1990	60.3	29.4	30.9	21.0	4.5	5.3	70.7	73.4
1995	57.1	28.0	30.2	20.2	4.7	5.1	70.5	74.6
2000	57.7	27.5	28.0	17.0	4.7	4.9	70.6	74.8

* Average between male and female.

Source: Department of Statistics, Malaysia, 2001.

Table 2. Industry participation for the Malay and Chinese Ethnic Groups, 2003

Industry	Malay (%)	Chinese (%)	Diff. (M-C) (%)
Agriculture, hunting and forestry	10.5	4.9	5.6
Fishing	1.0	0.7	0.3
Mining and quarrying	0.3	0.2	0.1
Manufacturing	22.8	20.2	2.6
Electricity, water and gas supply	0.9	0.2	0.7
Construction	7.7	12.4	- 4.7
Wholesale and retail; repair services	12.0	30.0	-18.0
Hotels and restaurants	7.0	7.5	- 0.5
Transport, storage and communication	5.6	4.3	1.3
Financial intermediation	2.4	3.3	- 0.9
Real estate, renting and business activities	3.9	5.8	- 1.9
Public administration and defence; compulsory social activity	11.1	1.1	10.0
Education	8.6	4.1	4.5
Health and social work	2.9	1.2	1.7
Others	3.1	4.0	- 0.9
Total	100.0	100.0	-

Source: Department of Statistics, Malaysia, 2004.

Table 3. Mean Household Income (RM) for the Malay and Chinese Ethnic Groups, 1990-2000

Year	Mean Household Income (RM)	
	Malay*	Chinese
1990	940	1,631
1995	1,604	2,890
2000	1,984	3,456

*Data are for the entire Bumiputera community, including the other indigenous groups; however the figures are considered reasonable estimates for the Malays as the other indigenous groups make up only 20% of the total Bumiputera population.

Source: Economic Planning Unit, Malaysia, 2000.



A Rebel against Colonization A Comparative Study of Cesaire's Caliban in *A Tempest* with Shakespeare's Caliban in *the Tempest*

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Abstract

This thesis makes a comparative study of French playwright Aime Cesaire's *A Tempest* and Shakespeare's *The Tempest* to present the conflicts between two important characters in both plays, Prospero and Caliban. By analyzing the relationship between the two characters, it is easily acknowledged that the relationship between the two characters is that of the colonizer and the colonized, which is the main theme of the two plays. However, the author points out that Cesaire's Caliban is different from Shakespeare's Caliban in that Cesaire's Caliban incarnates the rebellious image of the colonized people in a more vivid way and proves to be more powerful than Shakespeare's Caliban in their struggle against colonization for liberty, freedom, and equality.

Keywords: Rebel, Colonization, Struggle, Freedom

William Shakespeare's *The Tempest* is publicly known to have possessed some European biases in the justification of colonization among the colonized countries while Aime Cesaire's *A Tempest* is written as a postcolonial response to William Shakespeare's *The Tempest* and embodies the spirit of rebellion of the oppressed peoples against the European colonization among the colonized American and African countries. What makes Cesaire's *A Tempest* a different version of the drama with a different look at it is the strong political message behind the play. Cesaire draws out the common issue of colonization and makes it the centerpiece in his play. The conflict, to be more exact, the struggle between colonizers and the colonized is fully displayed and consequent result to the people in colonized countries is thoroughly depicted through two major characters, Prospero and Caliban, of whom the former is the representative of colonizers while the latter the representative of the colonized. The colonizer Prospero is the exploitative usurper of the self-determinism, land, property, dignity, and even identity of the colonized peoples while Caliban is portrayed as the oppressed native and a rebel against colonization fighting vigorously through various means including a rebellion to assert his right to freedom.

For centuries, Shakespearean critics have puzzled over the meaning and importance of this marginal character Caliban who is one of the most interesting of Shakespeare's characters. As is portrayed in Shakespeare's *The Tempest*, Caliban is either a man or a beast, who is dismissed as a "poisonous slave," "savage," and "hag-seed" by the other characters in the play. Being a minor character with considerably lower status, few lines, and shorter stage presence, Caliban is regarded as genetically (rather than culturally) inferior, inherently incapable of civilized behavior: a feral, sullen, deformed human somewhat like a bearded fish, an untamed, vicious denizen of the natural world, son of the witch Sycorax, and servant of the noble wizard Prospero who views Caliban as "a devil, a born devil on whose nature/ Nurture can never stick; on whom my pains/ Humanely taken, all, all lost, quite lost..." (Shakespeare, p. 135). Caliban is seen as inferior by the Europeans, though he is seen as capable of goodness, able only poorly to distinguish good masters from evil masters, and apparently must be controlled by threats and punishments from his master Prospero. Caliban has no definite concept of freedom. His desire of freedom does not come from any noble perspectives, but from his hatred of his master he is serving, which makes him a rather pathetic figure and a villain in the play. Contrary to Shakespeare's Caliban in *The Tempest*, Cesaire's Caliban becomes the major character with almost the same importance as Prospero in the play. In some way, Cesaire transforms Caliban from Shakespeare's ignorant savage to a colonized black native whose language and culture have been displaced by Prospero's. Cesaire's Caliban is much more vocal and articulate, and his arguments for freedom are much forceful and to the point, revealing his strong indignation about the situation of being conquered and enslaved. Though there is much description of the appearance of Shakespeare's Caliban, nearly no reference is made to the haggard appearance of Cesaire's Caliban, suggesting that the only ugliness of Cesaire's Caliban's might be the color of his skin. Shakespeare contemplates on Caliban's misbehavior, making Caliban out to be the villain of the play. However, in Cesaire's version Caliban is the rebellious character fighting

against the villain Prospero, who is drawn as a slave-driving exploiter, preying on Caliban's weaknesses and using his magic to deprive Caliban of his freedom. Prospero has no patience or sympathy for Caliban, and insults his mother, his island, his native language and his hopes and dreams. Prospero is in a position of power, but it is obvious that he knows that position is tenuous, as Caliban is a threat. Fully acknowledged of the evil perceptions and deeds imposed on him by the colonizer and oppressor, Caliban has a clear understanding of the meaning of freedom and makes it the ultimate goal of his life's struggle with his master Prospero.

From the very beginning of the play, Césaire's Caliban shows his great indignation towards colonization and his great desire for freedom, the main theme that runs through the whole play. It's interesting to note that Césaire's Caliban's first phrase as he enters the play "Uhuru!" is a Swahili word which means liberty and was the watchword for the Mau Mau rebellions in Kenya as early as the 1940s. Caliban's first word becomes more emotive, with implications of the colonial conflict in Africa in the early half of the twentieth century. The word *uhuru* has been exclaimed by Caliban several times when in conversation with Prospero who considers such a word an insult to his white identity. He also sings of *Shango*, who is an African god of thunder. These references to his native culture and language serve much like the work songs of African American slaves in the early years of their nation's existence. These verbal phrases are the ways of his to quietly protest against his master and the slavery. Césaire's Caliban, who has already been "civilized" by Prospero, has become a fighter fighting with the colonizer for his identity and freedom in vocal, tactful and violent ways. He uses colorful phrases and double meanings of words to almost make a mockery of Prospero out of the language he has been taught by Prospero. When Prospero tries to belittle Caliban by calling him an "ugly ape", Caliban retorts forcefully by saying "I don't think you're so handsome yourself. With that big hooked nose, you look just like some old vulture. (*Laughing*) An old vulture with a scrawny neck!" (Césaire, p. 11) In Shakespeare's *The Tempest*, Caliban is seen as the victim of the language he has been taught, and he only has the ability to represent his powerlessness and express his resentment. "You taught me language; and my profit on 't/Is I know how to curse. The red plague rid you/For learning me your language!" (Shakespeare, p. 39). As to the process of being forced to consume Prospero's language and culture, Césaire's Caliban finds it disgusting and wants to vomit Prospero's "white poison". As to the rape charge against him, Caliban protests against such a charge by saying "you are the one that put those dirty thoughts in my head" (Césaire, p. 13). Caliban is skillful enough to foist it on Prospero himself and refuses to be the scapegoat of illicit sexual urges as "I couldn't care less about your daughter, or about your cave, for that matter" (Césaire, p. 13). Whilst in Shakespeare's *The Tempest*, Caliban not only shows great lust for Miranda but also admits his attempted rape of Miranda. It's his regret that if his such act has not been stopped instantly, "I had peopled else/This isle with Calibans" (Shakespeare, p. 37). We can see clearly that he is of evil disposition of raw dynastic lust and his ultimate desire is just to people this island.

Caliban's indignation against the oppressor is also displayed in his response to his master calling him Caliban. At one point in *A Tempest*, Caliban contemptuously informs Prospero that he wishes to be called "X", "like a man without a name - or, more precisely, like a man who has had his name stolen" (Césaire, p. 15), as "Every time you summon me it reminds me of a basic fact, the fact that you've stolen everything from me, even my identity! Uhuru!" (Césaire, p. 15) His former name was a slave name, and, as so many decided during the civil rights movement, another name was more appropriate. It seems that Caliban is extremely unhappy when his name Caliban is associated with a savage, Cannibal. With such an "X", it's impossible not to specifically identify the character with Malcolm X, or any number of other Black radicals in many countries who assumed the role of revolutionaries.

As compared with Shakespeare's Caliban, Césaire's Caliban is more violent and braver in his struggle for freedom. For example, when Ariel and Caliban argue over what is the best strategy for achieving freedom, Caliban ridicules Ariel for his cowardice and Uncle Tom-ism. The conservative and sensitive Ariel insists that it is only by creating a conscience in Prospero, thus paradoxically including the slave driver in the liberation, that they will achieve their ends. However, Caliban's approach to freedom is through rebellion and considers Ariel's appeal to Prospero's moral conscience a fantasy. He conceives that "Prospero is an old scoundrel who has no conscience" (Césaire, p. 22) and that Ariel's expectation for Prospero to acquire a conscience is just like "ask a stone to grow flowers" (Césaire, p.22). When Ariel says that Prospero has promised him his freedom, Caliban brings Ariel to face the reality: "He'll promise you a thousand times and take it back a thousand times. Anyway, tomorrow doesn't interest me. What I want is (shouting) "freedom now!" (Césaire, p.21). His proclamation is no more than a familiar ring as the slogan of the Black Power movement. With his insight of the impossibility of the colonizer to show mercy to the colonized and to emancipate the oppressed, Caliban is always ready for the fight with the colonizer. He shows great courage and determination to wipe out the colonization despite all the terror and even sacrifice of his own life, as he considers it "better death than humiliation and injustice" (Césaire, p. 23).

Like Shakespeare's Caliban, Césaire's Caliban takes action to win his freedom. Caliban's plot to overthrow Prospero in both Shakespeare's and Césaire's *Tempests* are almost the same as regards their process and result, although there are some differences as far as the purpose is concerned. In Shakespeare's *Tempest*, Caliban's conspiracy with Stephano and Trinculo is used by Shakespeare as a test to see whether they can do evil and get away with it. Caliban is not civilized enough to sense the possibility of liberty. He only knows that his master treats him bad and his hatred to his master

derives from his hatred of doing hard labor. He obviously fears the incomprehensible power of Prospero, and all he can do is to obey and curse. It is only when Stephano and Trinculo appear and ridiculously impoverish specimens of humanity, with their shallow understandings and vulgar greed, is this poor earth-monster Caliban possessed by a sudden fanaticism for liberty. His scheme is also simple: Caliban expects that Stephano kills Prospero, takes Miranda, and becomes the ruler of the island so that he can be his loyal subject. However, in Cesaire's *Tempest*, Caliban's plot is clearly meant as an act of winning freedom. But as he starts to carry it out with the hope of joint force from Stephano and Trinculo, two drunkards who make themselves powerless and senseless with the alcohol, he begins to realise he has fallen in with fools, who, in common with many Europeans, have used alcohol to gain influence over the natives. Cesaire's Caliban is brought back to reality, as "How could I ever have thought I could create the Revolution with swollen guts and fat faces! Oh well! History won't blame me for not having been able to win my freedom all by myself" (Cesaire, p.56). Thus, without any compliance as Shakespeare's Caliban is armed with, he stands up to face Prospero all alone, and, with weapon in hand, he charges towards Prospero. It's funny and somewhat ironical that Caliban is totally at a loss with what to do when he really stands face to face with Prospero. Significantly, Cesaire appears to allow Caliban the chance to defeat Prospero, but he refuses to take it. Here, complex psychological reasons are suggested from Caliban's refusal to murder Prospero. It is not clear whether Prospero is genuinely physically defenceless, but in any case he manages to paralyse Caliban's action merely with words. Firstly, he orders Caliban to strike him. This immediately maintains the master-slave relation: Caliban's act of freedom would thus be to obey his master's orders. Second, Prospero refuses to arm himself, placing Caliban not only in the role of slave, but also in that of assassin—he allows Caliban not civilized way out. By denying him the typically Shakespearean duel, he also refuses to treat Caliban as an equal human being. Unlike Prospero, who is content with a sham victory over a powerless and unaware victim, Caliban yearns for a real victory. It seems to me that though Caliban fails in his rebellious act, he wins the respect from Prospero, and his dignity and identity are restored to him, as Prospero no longer treats him as a slave; he is just as stupid as a slave.

It is ironical that, like Shakespeare's Caliban, Cesaire's Caliban also fails in his revolt. But Shakespeare's Caliban is rightly humiliated and punished at the end of the play when he gets dunked in horse-urine. He even recognizes that his rebellion was a sin against the law of god and nature and the great chain of being: "I'll be wise hereafter/and seek for grace. What a thrice-double ass/was I to take this drunkard for a god, /And worship this dull fool!"(Shakespeare, p.167). We today may find Caliban's punishment inhumane and unfair, but we must remember that Shakespeare and his contemporaries lived before the rise of our modern democratic glorification of the common man. However, in contrast, Cesaire's Caliban has his identity acknowledged by Prospero. After the revolt initiated by Caliban, Prospero as the colonizer becomes weaker in power. Prospero is no longer what he used to be. According to the stage directions, "In semi-darkness Prospero appears, aged and weary. His gestures are jerky and automatic, his speech weak, toneless, trite" (Cesaire, p.68). We can easily see Cesaire's hint that colonization is on its edge of decline and the colonizers are losing their power over the colonized peoples, as Prospero has to confess to Caliban: "For it is you who have made me doubt myself for the first time" (Cesaire, p. 66). This can be viewed as a moral victory for Caliban, the colonized.

So far, the relationship between the colonizer and the colonized has drastically changed, though the struggle between them doesn't seem to end, and Caliban's determination of fighting for freedom, to be his own master, remains unchanged. When Prospero asks him what his hope was in his revolt as Caliban shows his regret of the failure, Caliban blurts out: "To get back my island and regain my freedom" (Cesaire, p. 63). Here we see the image of a true fighter who shows no fear in face of his enemy. When Prospero decides to return to the civilized world of Europe to enjoy life and asks Caliban what he would do alone on the island, Caliban answers: "First of all, I'd rid of you! I'd spit you out, all your works and pomps! Your white magic!" (Cesaire, p. 63) Here again, Caliban's hatred towards white colonizers, their language and culture, and his persistency in his struggle are fully displayed.

As Prospero offers to make peace with him, Caliban refuses to comply and shows his determination by replying "You know very well that I'm not interested in peace. I'm interested in being free! Free, you hear?" (Cesaire, p. 63) This is the manifestation of the people in the colonized countries for their desire of freedom, and it is also a declaration of violent actions they may take for the purpose of obtaining freedom. Caliban, the representative of the colonized people, is definitely aware of colonizer's intention and shows his idea of and attitude towards colonization that the colonizer imposes on the colonized all kinds of lies. The colonizer makes the colonized feel unworthy of living. Let's see how Cesaire's Caliban shows his dissatisfaction and agitation in the face of his master: "... Prospero, you're a great magician: you're an old hand at deception. And you lied to me so much, about the world, about myself, that you ended up by imposing on me an image of myself: underdeveloped, in your words, undercompetent that's how you made me see myself! ... And I know that one day my bare fist, just that, will be enough to crush your world! The old world is crumbling down! ..." (Cesaire, p. 65)

This speech, taken as viewpoint, locates angrier Malcolm X, and even of the speeches of Dr. Martin Luther King at their most passionate protest. It is, again, the cry of the oppressed for self-determination and freedom; the rejection of the mindset of the slave; and the search to define oneself. It is Caliban's understanding that Prospero has deprived him of

his dignity, or, the colonizer deprived the dignity of the colonized. Caliban charges Prospero with lying to him and holding him inferior. It is a classic example of the colonized rejecting the colonizer. However, as Césaire replays Shakespeare, the end to colonialism was not close at hand, and the struggle between the colonized and colonizers remains unresolved. Caliban is unable to wave goodbye to the oppressors and reclaim his freedom because he and Prospero remain trapped together on the island. In his monologue of the final scene of the play, Prospero shows his dilemma: "Well, Caliban, old fellow, it's just us two now, here on the island...only you and me. You and me. You-me...me-you!" (Césaire, p. 68) Probably it is also Césaire's dilemma about the real solution to the colonization, as being affected by a lifetime of political service, by the time when Césaire wrote the play, he became less able to be hopeful about the future prospects of liberation for himself and his people. Perhaps to him struggle against colonization is a difficult, confusing and painful process.

It is necessary to note that Césaire's Caliban is not perfect in his figuration and we can easily find faults with him and his understanding of the world. But one of Césaire's ideas is definitely conveyed through Caliban: the rights of man are inalienable and should be granted to all men. By setting up the rebellious image of Caliban, we have somewhat clear perception of Caliban's basic human rights to life and liberty, to self-government. While Shakespeare's Caliban is portrayed as completely powerless against Prospero, Césaire's Caliban shows great courage facing a crucial moment in which destiny appears to be in his hands. After several hundreds years of colonization imposed on some of the American and African countries by the colonizers and justified by Shakespeare in his works, Caliban's cry for liberty and freedom is still echoing around the world: "In the distance, above the sound of the surf and the chirping of birds, we hear snatches of Caliban's song: FREEDOM HI-DAY, FREEDOM HI-DAY!" (Césaire, P. 68)

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Shock Therapy versus Gradualism: The End of the Debate

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Abstract

China's economy has undergone a fundamental change from planned economy to market economy. The economic strength of the country was intensified constantly. Meanwhile, East European countries and Baltic States advocated radical reforms and rapid transformation. So, it is difficult to say which is better between Shock Therapy and Gradualism. According to different views, this essay will explain the debate in detail.

Keywords: Shock Therapy, Gradualism, Transition, Reform

Introduction

The countries in central and Eastern Europe have undergone fundamental change since the fall of the Berlin Wall. A substantial amount of state property has been privatised and most markets for goods and services are now liberalised. In the transition process, Central and Eastern Europe (CEE) opened to Western business in 1989 expecting a positive contribution to the transition process. Meanwhile, East European countries and Baltic States advocated radical reforms and rapid transformation, i.e. Shock therapy. Unfortunately, the result was these countries suffered 2 to 3 years fall in output, while their CIS counterparts were doing much worse. (Vladimir. 2000)

On the contrary, in the two decades after the initiation of reform and opening to the outside world, China's economy has undergone a fundamental change from planned economy to market economy. The economic strength of the country was intensified constantly. Now China is called the fastest developing country in the world. Why can China avoid recession and get high growth rates? Some people argued that the reason is China takes the step-by-step approach (gradualism) to economic transformation.

So most people think that the Chinese model of economic reform represents a gradual two-track approach, which is different from the radical "Big-Bang" (Shock therapy) approach pursued in Central and Eastern Europe and the former Soviet Union. The result is in a recent debate about relative merit of gradual versus shock therapy approaches to the transition, the gradualist view was overwhelmingly dominant (Roland, 2000 and Sachs and Woo, 1999).

Now, it is time to finish the debate: Shock Therapy Versus Gradualism. This essay will present an explanation from another completely new scale to analysis the reason why CIS countries and China have the different results during the transition process. This essay will demonstrate it with a special explanation in detail.

1. Why will be the debate finished?

More than a decade ago, on the eve of transition, there was a famous debate between shock therapists and gradualists. As (Vladimir. 2000) pointed that shock therapists advocated radical reforms and rapid transformation, instead gradualists justified a more cautious and piecemeal approach to reforms. In fact, some East European countries, Baltic states and CIS counterparts suffered nervous recession, even several countries were doing much worse than expectation. So many economists thought gradualism was better than shock therapy; however, some economists argued that the reason that shock therapy failed was those countries did not fulfil the shock therapy carefully and completely.

However, there is an exception is Vietnamese reformers introduced Polish style shock therapy treatment. Comparing with China, these two countries shared a lot of similarities in initial conditions and achieved basically the same results (immediate growth of output without transformational recession) despite different reform strategies. (Vladimir. 2000)

In addition, concentrating on the example of the differing performance of the former Soviet Union (FSU) states, Vladimir (2000) pointed out that liberalization and stabilization of the Baltic States were the best, whereas Uzbekistan was one of the worst procrastinators. However, in Uzbekistan the level of reduction of output was much better than in Baltic's. Furthermore, in Uzbekistan, the economy recovered fast, however, the Baltic's output was still below the pre-recession maximum.

How to explain the series of phenomena? Not only shock therapy but also gradualism cannot simply analysis the examples mentioned above. So here it is necessary to give several explanations from another scale to finish the debate.

2. Other new explanations

Since the shock therapy and gradualism cannot explain the above complex phenomena. It is necessary to explain this phenomenon from another scale. Kornai (1998) thought that any generalization about Eastern Europe and the former

Soviet Union was correct because these countries were very different. One cannot put them all in one basket. The changes in Russia are different from the changes in Poland or Hungary or the Czech Republic, so he thought that people couldn't oversimplify, contrast China as "gradualist" and Eastern Europe as "Big Bang." And people couldn't just look at the economy as one big entity, and then either change everything in the economy by a "Big Bang", or change everything gradually. It depends on what component of the economy you are looking at. Therefore, next sections will analysis it from different aspects.

2.1 Economic transition is only part of the transition.

According to (Jeffrey Sachs, Wing Thye Woo and Xiaokai Yang, 2000), there are two major approaches to study economic transition. One of them surveyed by Dewatripont and Roland (1996), McMillan (1996), Blanchard (1997), Qian (1999), Maskin and Xu (1999), and Roland (2000), uses formal models of endogenous transaction costs to analyze economic transition. But, the formal models are too simple to capture the complexity of institutional. The core of transition is a large-scale shift of constitutional rules (Sachs and Pistor, 1997). So, economic transition (i.e., price liberalization and privatization) is only part of the transition. (Vladimir, 2000) Considering constitutional reform with economic transition is the best way to analysis transformational recession.

Due to the lack of constitutional thinking among economists, some economists easily jump to the conclusions by looking only at the short-term economic effects of different approaches to the transition. Now according to (Vladimir, 2000), by anglicizing the financial strength of government and the trust of businesses, individuals in various institutions and a series of the construction of the aggregate index of the efficiency of institutions, it is useful to understand the importance of the institutional factor. Just as (Polterovich, 1998) argued, the importance of the institutional factor was pointed out more than once for various countries and regions, including transitional economies.

From the exception of the success of gradual reforms in China and shock therapy in Vietnam, it is clear that strong institutional framework does work very well. Furthermore, for the relative success of radical reforms in East European, especially in Central European countries, strong democratic regimes and new market institutions emerged quickly. In addition, comparing Gorbachev reforms with Yeltsin reforms in Russia, the former reforms failed not because they were gradual, but due to the weak of the state institutional capacity leading to the inability of the government to control the flow of events; the later forms as well as failed not because of the shock therapy, but due to the collapse of the institutions needed to enforce law and order and carry out manageable transition.

In all, when the vacuum in the rule of law via authoritarian regimes (including communist) is filled by gradually building property rights and institutions, the transition process tends to success. However, without the newly developed democratic mechanisms needed to guarantee property rights, contracts and law and order, these countries deemed to have a devastating impact on output.

In a sense, the process of the collapse of output in transition economies is best described by the strength of institutions. However, as mentioned before, there are many differences during the transition economy among the transition countries. So this paper not only focuses on the institution but also concentrates on the initial conditions and distortions in industrial structure and trade patterns to illustrate the collapse of output.

2.2 Distortions in industrial structure and trade patterns

Although strong institutional capacity of the state can ensure good performance, the initial conditions cannot be ignoring. Because the worse initial conditions for transformation, the greater the probability of the deep transformational recession, and hence the more likely delays in liberalization. (Janez, 1999) The next section will explain it completely.

Among former soviet republics and socialist countries, Vladimir (2000) thought that there existed disproportions inherited from the centrally planned economy (CPE)- high militarization, over industrialization and underdevelopment of the service sector, 'under- openness' of the economy, the perverse structure of trade. And also he mentioned, the greater the magnitude of these distortions inherited from the CPE, the more pronounced the reduction of GDP during the transformational recession. Because there are barriers to capital and labour flows, such as poorly developed banking system and securities market, the lack of accepted bankruptcy and liquidation procedures, and so on. The reallocation of resources is associated with temporary loss of output. The first initial condition will be explained is high defence expenditure.

2.2.1 High defence expenditure

It is clear from Vladimir (2000) that, this is one of the most obvious cases of inevitable restructuring leading to the temporary decline of output. In most socialist countries, defence expenditure was very high. So the reduction of this expenditure was not offset by increase in non-defence output. The obvious example is former Soviet Union, the highest defence expenditure, the worst transformation recession comparing Chinese and East European countries' transition. At the same time, Vladimir (2000) though, distortions in industrial structure were very important.

2.2.2 Distortions in industrial structure

Generally, all CPEs were over- industrialized at the expense of the underdevelopment of the service sector, especially

the trade and finance sectors. However, Chinese and Vietnam reforms were not constrained by distorted infrastructure in industry and especially in agriculture. From the results of the two different reforms it is easy to understand that, during transition period, the countries with huge distortions in fixed capital stock (infrastructure in industry) were doomed to experience transformational recession. As Vladimir (2000) said, even in China large state enterprises in heavy industry proved to be the bottleneck in the whole reform process. So it is clear that the restructuring from industry to services was the major reasons for the transformational recession, rather than depended on shock therapy or gradualism.

2.2.3 External trade distortions and other distortions

Next important initial condition is considered by Vladimir (2000) is external trade distortions. Comparing the degree of openness of socialist economies with market economies, it is obvious that in many socialist countries, their external trade was relatively larger than it was in similar market economies. However, as Vladimir (2000) mentioned that, after the transition in most countries, trade was relatively underdeveloped. The reason was distortions existed in the external trade. For example, the prices used in the former Soviet republic trade were completely different from those on international markets. When trade flows among are recalculated in world prices, Russia had a surplus of about 6% of GDP, whereas 10 out of the remaining 14 former Soviet republics ran absolutely non-sustainable trade deficits in the range of 9% to 30% of GDP. (Vladimir. 2000)

In addition, there are many disproportions created by central planning at the micro level. There is a valuable example is the disproportions associated with the size and specialization of enterprises. Compared most enterprises in the CPEs were very large and with China, Vietnam, where enterprises were relatively smaller. As Vladimir (2000) presented the example, less than 500 employees accounted for 25% or more of total industrial employment in Mongolia, Cuba, and China. On the contrary, half of all employees worked at large enterprises with personnel of over 1000 in Czech, Romania and Soviet republics. So restructuring should have been accompanied by greater reduction of output in East European countries rather than in China and Vietnam.

All in all, differences in performance during transition not only depend on the institutional capacity but also on the pre-transition levels of GDP per capita and distortions in industrial structure and external trade patterns. However, institutional reform is dominant strength. With strong institutions, it turns out that the fall in output in transition economies was associated mostly with the initial conditions

Conclusion

In a recent debate about relative merit of gradual versus shock therapy approaches to economic transition, different people have different ideas about these two approaches. In fact, it is difficult to use one approach to explain the complex transition economy. So this essay attempts to explain the differences in transition process from another scale.

Due to the lack of constitutional thinking among economists, it is obvious that it will tend to focus on the surface phenomenon. With the strong institutions, accounting for the initial conditions and external environment, it is easy to understand the differences in different countries and different transition economies. In conclusion, forget the shock therapy and gradualism because it is time to apply another approach to analysis the transformational recession.

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A Memetic Approach to the Use of Bilingual Signs

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This work was supported by the Fund for Scientific Research from Nanjing University of Finance and Economics under Grant No. B0544

Abstract

This paper first investigates the relationship between memes and public signs and then discusses the imitation of public signs as memes and finally explores the feasibility of meme therapy, an analogy with gene therapy, that is, English words and expressions most frequently used in public signage are imitated or copied for the purpose of correct use of bilingual signs.

Keywords: Bilingual signage, Memes and imitation, Meme therapy, Standardization

1. Introduction

To help tourists, many cities in China have set up information signs in Chinese and English at the public places, such as airport, railway station, bus stops, main streets, shops, scenic spots, museums, parks and hotels. But difficulty to understand bilingual signs is the worst problem in terms of language environment in some big cities. Many tourists from English speaking countries think the English translations do not give as much information as their Chinese equivalents. In order to eliminate language barriers and provide a fine, standardized service for domestic and foreign tourists, we are expected to have a high sense of international communication and language used in public signs should all meet international standards.

2. Memes and Imitation

In our attack on the problem, we take the memetic theory of Dawkins as our starting point. The term meme was coined by Dawkins, who described memes as units of cultural transmission which “propagate themselves in the meme pool by ... a process which, in the broad sense, can be called imitation” (Dawkins, 1976, p.206). He said: “examples of memes are tunes, ideas, catch-phrases, clothes fashions, ways of making pots or of building arches” (Dawkins, 1976, p.206); “a meme should be regarded as a unit of information residing in a brain... It has a definite structure, realized in whatever physical medium the brain uses for storing information.” (Dawkins, 1982, p.109); “The phenotypic effects of a meme may be in the form of words, music, visual images, styles of clothes, facial or hand gestures...” (Dawkins, 1982, p.109). In a general way, Dawkins’ initial treatment of memes is still how memes are principally conceived. The Oxford English Dictionary defines a meme as follows: “meme (mi:m), n. Biol. (shortened from mimeme ... that which is imitated, after GENE n.). An element of a culture that may be considered to be passed on by non-genetic means, esp. imitation”.

The dictionary definition, and Dawkins’s original conception of the meme, both include the critical point that memes are cultural information that is copied, and that it is copied by imitation. And the psychologist, Thorndike (1898), was possibly the first to provide a clear definition of imitation as “learning to do an act from seeing it done”. Thorndike’s definition captures the essential idea that in imitation a new behaviour is learned by copying it from someone else. Blackmore (1998) argued that “the definition of the meme depends on, and should depend on, the concept of imitation. Therefore, only those things that can be passed on by imitation should count as memes.” If we stick with the original definition of the meme as transmitted by imitation, then public signs passed on by this copying process are memes.

3. Problems

Bilingual signs are quite helpful to non-Chinese speaking people working and living in China. But many existing bilingual signs are funny and mistranslated, which is not rare in public places. In the following chart, the incorrect signs in need of a massive improvement are now in use and can be found in many cities, and the idiomatic signs used in English speaking countries are their equivalents.

The incorrect signs that can be seen in many Chinese cities hardly make sense and are unable to assist foreigners. And this state of confusion is shared by many visitors to China. Measures must be adopted to settle the confusion of the current public signs in English. From the China Daily website, we learn that a campaign named “Use Accurate English

to Welcome the Olympics---Public Bilingual Sign Standardization Drive” is launched. The campaign is aimed at improving the country’s international image by using correct English on bilingual signs and correcting existing bilingual public signs and printed materials as the website says. Hopefully the utilization of English equivalents that are most frequently used for public signs used internationally is one of the effective answers. It is helpful at least to some extent for the common mistakes to be corrected easily.

4. Public Signs as Memes

We believe that the memetic approach has much to offer in the area of language using and therefore we have tried to explore the correct use of public signs, which is based on its main concepts. All transmitted knowledge is memetic. An idea or information pattern is not a meme until it causes someone to replicate it, to repeat it to someone else. Dawkins (1976) suggested three conditions of a meme that gave it a high survival value: fidelity, fecundity, and longevity. In other words, a good meme must be copied accurately, many copies must be made, and the copies must last a long time. Commonly-used public signs satisfy all three of the necessary conditions and act as dynamic memes. Memes pass information across populations, and, we think, can also be used to fulfil the same role with necessary involvement of human intentionality.

5. Meme Therapy

It is a truism to point out that Chinese is exotic to the English language-culture substructure, which means that there is a massive linguistic distance between English and Chinese. And the fact is that native speakers have a vast store of public signs. When it comes to language use, perhaps it might be useful for us to take the meme’s point of view and consider them as a meme pool ready to be used to produce accurate and meaningful bilingual signs. Common English signs in public places from English-speaking countries can, and should be used by imitation, as when the shape of a manuscript submitted to Asian Social Science is meticulously copied, a memetic approach.

Just as gene therapy which is used as an effective strategy to disease treating, we examine the potential of using common public signs for error or mistake correcting, which we call meme therapy, an analogy with gene therapy. This implies a shift from gene therapy as a practical gene transfer method to a new type of language therapy: the introduction of commonly used English into bilingual signs. As the memetic approach suggests, the correct sign produces another sign, its interpretant (then another, and so on), to represent the same reality, or, in some cases, a closely related reality. A good case in point is offered as follows.

We know that Scotland’s smoking ban in enclosed public places (including pubs and restaurants, and public transport) takes effect on March 26, 2006. And besides Smoke-free Scotland, the detailed guidance on smoking policies, we find that copies of sample signage are provided and can be downloaded from www.clearingtheairscotland.com. On the one hand, it will be an easy and effective practice for those who have difficulty in developing their own signs to have the copies of sample signage which can be imitated and used readily. And on the other hand, in this way, the “NO SMOKING” sign, a useful meme, is more likely to be used effectively and spreads successfully.

6. Practical Application

6.1 Keep Distance Meme

What follows is written by Jay Shen (2006), who is from United States: “The first English sign that caught my eyes when I just arrived in Beijing was a traffic sign along the airport freeway, it reads: ‘keep space’. I believe that it is to warn the drivers not to get too close to the vehicles ahead, so as not to kiss the ass of another vehicle. However, space refers to an area with two or three dimensions, such as in ‘space shuttle’. The correct word should be ‘distance’ that refers to the length between two points. This traffic sign is greeting every single person arriving in Beijing for at least fifteen years...”

The incorrect English sign is not regular English by common sense, or simply wrong. Travelers from English speaking countries get the first impression of a city after they step down the foot ladder of the airplane and get into a taxi, or walk out of the railway station and into the subway. If we are giving the city a facelift, signs of this type are in great need of improvement. The simplest way to change the present awkward situation is to copy the Keep Distance meme directly.

6.2 No Swimming Meme

There is a newly-posted sign at the side of a lake in a scenic spot in Nanjing. It reads “OR YOUR SATETY, DO NOR SWIM IN THE PURPLE CLOUDS CAKE, NOLATORS SHALL BEAR ALL SONSEQUENCES OF THEIA ACTONS!” which means “For your safety, do not swim in the purple clouds lake. Violators shall bear all consequences of their actions”. Such simplest spelling errors in English signage happen because there is no uniform criterion for bilingual use and people are negligent when translating.

A good sign in this context should draw attention to itself and then convey its message as clearly as possible. In English speaking countries a similar sign would simply read: “No Swimming!” The No Swimming meme used here is a recognizable transcription of components of the original script. It is very easy to reproduce, and due to its brevity the

copying fidelity can be very high. Ted Utoft (2005) said that many people coming to China do not speak Chinese, but English may not be their first language either, and their knowledge of English may be limited. Therefore, keeping the language simple makes the signs much more effective in addressing the warning or behaviour that the sign dictates.

7. Conclusion

What we have tried to do in this paper is to take the memetic approach to the use of public signs in English. The value of meme therapy is demonstrated by analyzing how public signage is typically used both in China and in English speaking countries. In that way we show that in most cases a word-for-word translation does not help, when previously perhaps it is thought that it might do to sling together a few words picked up from the dictionary.

Meme therapy is readily applied for the purpose of correcting common mistakes in translated signage and a lot of time and effort in creating bilingual signs will be saved. Also, it is a great help in using the English signs appropriately and accurately and it is beneficial to the official agencies concerned for a better regulation of China’s public signs in English.

The adoption of meme therapy has the potential to improve and standardize bilingual signs in China. We hope our contribution will stimulate further efforts of both the research and applications of the memetic theory.

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Table 1. Comparison between incorrect signs and idiomatic signs.

Incorrect Signs	Idiomatic Signs
A Forest Is Prevented Fires	FIRE, NAKED FLAME & SMOKING PROHIBITED
Collecting money toilet	Pay toilet
Don’t Fall!	Watch your step
Flower Room Visitor Stop	Staff Only
Little grass is smiling slightly, please walk on the pavement.	Keep off the grass
Office area, please do not coming.	Staff Only
Preserve green grass and retain the green color	Keep off the grass
Stop cashier	Cashier Closed



An Acoustic Phonetic Study of the Intonation of Sentence-Final Particles in Hong Kong Cantonese

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Abstract

This paper attempts to illustrate the interaction of sentence-final particles and intonation in Hong Kong Cantonese using acoustic phonetic analysis. The system of sentence-final particles is very rich in Cantonese, and these particles serve similar functions as intonation in intonation languages. How intonation and sentence-final particles work in the language, and how the pitch levels and contours on the sentence-final particles compare to the lexical tones in the language are discussed.

Keywords: Hong Kong Cantonese, Pitch, Tone, Intonation, Sentence-final particles, Phonetics

1. Introduction

Cantonese, like other Chinese dialects, is a tonal language in which each syllable is associated with a lexical tone. The system of lexical tones uses pitch height and pitch contour to distinguish between lexical meanings. Yet variations of pitch are also used as intonation in the language to convey meanings related to speaker attitudes and emotions and grammar, like the case in an intonation language such as English. The interaction of tone and intonation in a Chinese language is interesting from the phonetic point of view as both are manifestations of pitch, and it has long attracted linguists' attention (e.g., Chao 1933). In addition to intonation, Cantonese has a class of words called sentence-final particles, mostly one syllable long, which serve the functions of intonation, conveying the speaker's attitude and emotions, and expressing the moods of sentences (Luke 1990). As a result, the relationship between tone and intonation in this word class is worth studying.

2. Lexical tones & sentence-final particles

2.1 Lexical tones

The variety of Cantonese discussed in this paper is the one used in Hong Kong, which will be referred to as Hong Kong Cantonese. There are six contrastive lexical tones in Hong Kong Cantonese (Bauer and Benedict 1997; Zee 1999), which are Tone 1: High-Level, Tone 2: High-Rising, Tone 3: Mid-Level, Tone 4: Low-Level/Falling, Tone 5: Low-Rising, and Tone 6: Low-mid Level. The contours of these tones are shown in Figure 1; the syllable used is [ji], which happens to be meaningful with all the six tones: Tone 1: "clothes", Tone 2: "to rely on", Tone 3: "meaning", Tone 4: "to suspect", Tone 5: "ear", Tone 6: "two". The six syllables were recorded by a male native speaker of Hong Kong Cantonese; the pitch tracings are the output of the speech analysis software WASP (Huckvale 2007).

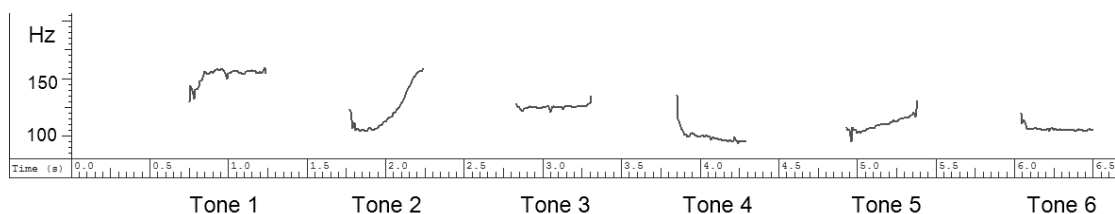


Figure 1. the six contrastive tones of Hong Kong Cantonese

In the following discussion, the syllables and tones are transcribed using the International Phonetic Alphabet as illustrated in Zee (1999). The symbols of Tones 1 to 6 are respectively $\acute{}$, $\acute{}$, $\acute{}$, $\acute{}$ and $\acute{}$.

2.2 Cantonese Sentence-final particles

The word class "sentence-final particles", abbreviated as SFPs hereafter, is also known by other names including "utterance-final particles", "utterance particles", "modal particles" and "final particles". These particles are a group of syllables which appear in sentence-final positions and are used to convey "emotive and/or epistemic nuances within a

particular discourse context” (Li 2006). SFPs are a prominent characteristic of the Chinese dialects.

Cantonese has a much higher number of SFPs than Modern Standard Chinese (Putonghua) does. Most researchers (e.g., Cheung 1972, Kwok 1984, Luke 1990, Leung 1992, Matthews & Yip 1994, Fang 2003) consider Cantonese SFPs as mainly conveying the speaker’s emotions and attitudes. The Cantonese SFPs can be classified as monosyllables and particle clusters consisting of two or three syllables. The reported number of sentence-final particles in Cantonese varies from studies to studies, ranging from around thirty (Kwok 1984) to over seventy (Ball 1924) basic monosyllabic forms, and as many as forty-five particle-clusters (Leung 1992).

To give an example of how Cantonese SFPs work, the monosyllabic SFP 咩 [μE ɿ] is used as an illustration. This SFP is usually used to convert a statement into a question of disbelief or surprise, as a “query to the truth of something” (Kwok 1984: 88). When the SFP [μE ɿ] is suffixed to the declarative sentence 你好熱 [vɛɿ | ηου | φɪτ) which means “You are feeling very hot”, the resulting utterance 你好熱咩 [vɛɿ | ηου | φɪτ) μE ɿ] is a question, and the speaker is conveying his surprise or disbelief that the listener is feeling very hot, similar to saying “Oh, are you really feeling very hot?”

The main functions of intonation are expressing attitude and emotion. The general findings of intonation in other languages may also be applicable to Cantonese. For example, excitement can be signalled by raising the pitch of the voice; emphasis can be conveyed by lengthening the syllables, stressing the syllable or pitch changes. But the use of SFPs in addition to the sentence intonation is characteristic of the Cantonese system.

The four basic moods of Cantonese utterances are declarative, interrogative, imperative and exclamative. Fang (2003: 25-30) points out that there are three kinds of relationship between SFPs and the moods of the utterance: (1) an SFP is suffixed to a sentence and does not change the mood of the utterance; (2) an SFP is suffixed to a sentence but changes the mood; (3) in some utterances, an SFP must appear together with intonation in the sentence to make a grammatical sentence, and the SFP determines the sentence mood. She also maintains that the information conveyed by SFPs must be shown by the linguistic context and the interaction between the semantic content and suprasegmental features. Her view on the interaction between tone of SFPs and intonation in Cantonese is that Cantonese particles have lexical tones, and their tones assimilate with the intonation.

Law (1990) holds a different view towards the claim that all SFPs have inherent tones. She discusses several SFPs including [λɑ], [E], [ɑ] and [λO] and believes that these SFPs do not have inherent lexical tones, and that in different contexts they will become different phonetic forms, having particular pitch features, which share similar meanings but have different degrees of strength, that is to say, how strongly the speaker believes in the truth of the assertion of the statement that he is making.

3. Research focus and test materials

3.1 Research focus

Relating to the phonetics and semantics of Cantonese SFPs and Cantonese intonation, the following are important themes for investigation:

(1) If SFPs are said to have lexical tones, like other syllables in Cantonese, then is it the tone of the SFPs that determines the mood of the utterance? Or is it that, as Li (2006) suggests, each phoneme in an SFP has meaning and the summation of these phonemes determines the mood of the utterance which contains the SFP?

Most studies on Cantonese SFPs refer to them as syllables with particular tones, but it is interesting to note that if we refer to SFP as having lexical tones, among the six lexical tones, one tone is missing: we do not find a Cantonese SFP which is with the Low-Level contour, that is Tone 6. In Fang (2003: 35), among the 39 frequently used monosyllabic SFPs listed, 8 are with Tone 1, 6 with Tone 2, 15 with Tone 3, 8 with Tone 4 and 2 with Tone 5. It is intriguing why, given the large number of monosyllabic Cantonese SFPs, no Low-Level contour is found.

Nevertheless, in the present paper, the tone numbers are used to refer to the pitch level and contour of the SFPs for the ease of presentation and discussion. In Section 4, some pitch tracings will be presented to discuss the “tones” of the SFPs.

(2) If we refer to the SFPs as having inherent lexical tones, how do the tones of these particles compare to the lexical tones of other word-classes acoustically?

(3) When an utterance has an SFP suffixed to it, will the intonation of the utterance body be affected or changed?

3.2 Test materials

Two sets of test sentences were used, and a female Hong Kong Cantonese speaker was invited to record the test sentences for acoustic phonetic analyses.

3.2.1 Set 1

The first set consists of six pairs of sentences and illustrates how a rising intonation in a question affects the final syllable. In each pair, the same carrier sentence 佢寫嗰個字係_____ “The character he wrote was _____” was used, with

the test syllable [φɿ] appearing at the end of the sentence; the first sentence of the pair was a declarative sentence and the second was an interrogative sentence formed from the declarative sentence using a rising intonation. The six pairs of sentences differed in the tone of the test syllable, that is, all the six contrastive tones were tested. The first test sentence, containing the test syllable [φɿ] in Tone 1 (meaning “clothing”), is provided below:

佢	寫	個	個	字	係	衣
[κ8ψ]	σE	κO	κO]	τσɿ\	η6ɿ\	φɿ ɿ]
he	write	that	classifier	character	was	clothing

“The character he wrote was ‘clothing’.”

The second test sentence was an intonation question formed from the above sentence: “The character he wrote was ‘clothing’?” The remaining test syllables in this set of test sentences were 倚 [φɿ] “to rely on”, 意 [φɿ]

3.2.2 Set 2

The second set of test sentences consists of five pairs of sentences, devised to illustrate the characteristics of utterance-body intonation, and the features of the intonation of SFPs with different “tones”. In each pair, both sentences consisted of syllables with the same lexical tones; the first sentence was a declarative sentence without an SFP, and the other sentence was formed by suffixing an SFP of the same “tone” to the declarative sentence. For example, in the first pair, the declarative sentence consisted of all Tone 1 syllables, shown below,

晶晶	聽朝	返	東京
[τσIN ɿ τσIN ɿ	τ IN ɿ	φαv ɿ	τYN ɿ
	τσɿɿ ɿ		κIN ɿ]
Jing-jing (name of a girl)	tomorrow	go back	Tokyo

“Jing-jing is going back to Tokyo tomorrow”.

and the second sentence was formed by suffixing the “Tone 1” SFP 咩 [μE ɿ], to the first sentence: 晶晶聽朝返東京咩? [τσIN ɿ τσIN ɿ τ IN ɿ τσɿɿ ɿ φαv ɿ τYN ɿ κIN ɿ μE ɿ] “Jing-jing is returning to Tokyo tomorrow morning?”.

In the second pair of sentences, the declarative sentence consisted of all syllables with Tone 2, and the SFP chosen had “Tone” 2. Similarly, the third, fourth and fifth pairs of sentences were made up of all syllables having Tone 3, Tone 4 and Tone 5 respectively.

The five SFPs chosen were [μE ɿ], [κE], [αJ], [α] and [ωO], and they are in “Tones” 1, 2, 3, 4 and 5 respectively. The meanings of these SFPs are discussed below.

3.3 Meanings of the five SFPs

(1) [μE ɿ]

[μE ɿ] is suffixed to a declarative sentence to turn it into a question. The question contains a hint of surprise or doubt. The test sentence without this SFP is a statement: 晶晶聽朝返東京 [τσIN ɿ τσIN ɿ τ IN ɿ τσɿɿ ɿ φαv ɿ τYN ɿ κIN ɿ μE ɿ] “Jing-jing (a girl’s name) is returning to Tokyo tomorrow morning.” The test sentence with this SFP is a question, which may be asked when the speaker is surprised to learn that Jing-jing is leaving the next morning; maybe in the speaker’s mind, Jing-jing is not leaving at all, or is leaving at a different time, or going to a different place, and this question may be followed by utterances such as “Are you sure?” or “I thought she’s leaving next week.”

(2) [κE]

The particle [κE] in the test sentence is a statement particle. Such a statement particle may be used by a speaker to plead for himself or the third person referred to in his utterance (Leung 1992: 97-98). The test sentence without this particle is a statement: 小寶揀睇水彩畫 [σɿɿ | που | καν | τ 6ɿ | σ8ψ | τσ Oɿ | ωα] “Siu-bo (a boy’s name) chooses to watch water-colour painting”. One context where the [κE]-suffixed sentence may appear is the circumstance where the speaker assures the listener that Siu-bo is choosing to go to the gallery and not somewhere else and that the listener needs not worry about him.

(3) [αJ]

The particle [αJ] may appear in neutral questions or in affirmative statements. In the present study, its use was in an affirmative statement, where it functions to soften the tone of the statement, making it sound less abrupt. The test sentence without this SFP is a statement: 宋泰再欠債 [σYN] τ αJ τσOɿ ημJ τσαJ] “Sung Tai is again in debt.” The [αJ]-suffixed test sentence is a declarative sentence used by the speaker to tell the listener the fact in a gentle manner.

(4) [α]

The particle [α] is suffixed to a statement and turns it into a question. The question having this particle is not a neutral

question like the yes-no question but “expresses a measure of doubt” (Kwok 1984: 86). Such a question may be put forward in order to get a confirmation from the listener, or in a context where the speaker did not hear clearly what the hearer had just said, or as an echo question. The test sentence without this SFP is 人群仍然和平遊行 [φ6v | κ | 6v | φIN | φtv | ωO | π IN | φ6v | η6N |] “The crowd are still marching peacefully.” And so in the [α |]-suffixed sentence, the speaker could be asking for confirmation from the listener whether the march is still peaceful.

(5) [ωO |]

The particle [ωO |] is a hearsay particle (Matthews 1998), that is, it is used by the speaker to indicate that the statement is something he has heard and is not necessarily what the speaker believes in. This particle can be used alone as a reported speech marker, or together with expressions such as “he said” which explicitly state the source of the hearsay. The test sentence without the particle is a statement: 佢晚晚買蟹 [κ 8ψ | μαν | μαν | μαν | ηα |] “He buys crabs every night.” The [ωO |]-suffixed test sentence is equivalent to saying “I heard people say that he buys crabs every night.” The use of this particle puts the responsibility of the validity of the statement on someone else.

4. Results

4.1 Comparing statements and intonation questions

Figure 2 below shows the spectrogram (above) and pitch tracings (below) of the statement “The character that he wrote was ‘clothing’.” and its intonation question. The test syllable is the Tone 1 [ji |]; the syllables in these two sentences are [κ8ψ | σE | κO | κO | τσι | η6ι | φι |] (Section 3.2).

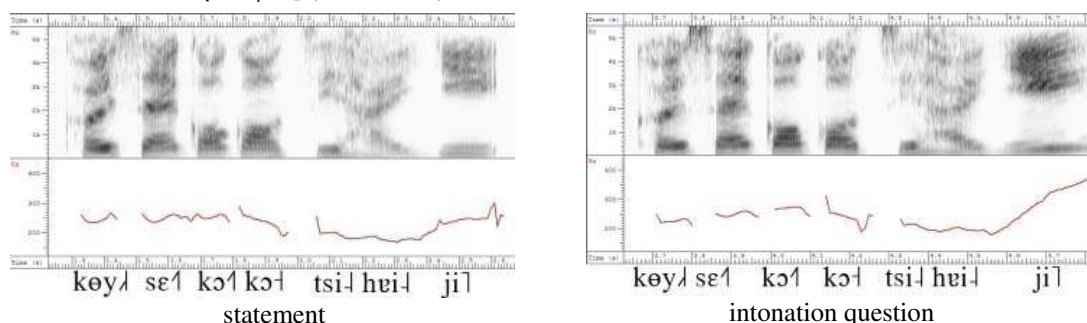


Figure 2. Pitch tracings of a statement and its intonation question

The general observation from the above pitch tracings is that the intonation patterns of the statement and the intonation question are similar except the final syllable, which is the test syllable. For the interrogative sentence, a rising intonation on the final syllable is observed, and the rise in pitch is very high, with the final pitch reaching to a level much higher than the pitch for Tone 1.

For the six pairs of statements and intonation questions, the following are the pitch contours and the measurements of the fundamental frequency (F_x) of the final syllables:

statements	intonation questions
Tone 1: level; about 247 Hz	Tone 1: 193 Hz rising to 367 Hz
Tone 2: rising; 156 Hz to 208 Hz	Tone 2: 168 Hz rising to 360 Hz
Tone 3: level; about 199 Hz	Tone 3: 209 Hz rising to 324 Hz
Tone 4: falling; 170 Hz to 149 Hz	Tone 4: falling from 170 Hz to 159 Hz, then rising to 335 Hz
Tone 5: rising; 165 Hz to 185 Hz	Tone 5: 175 Hz rising to 368 Hz
Tone 6: level; about 174 Hz	Tone 6: 200 Hz rising to 338 Hz

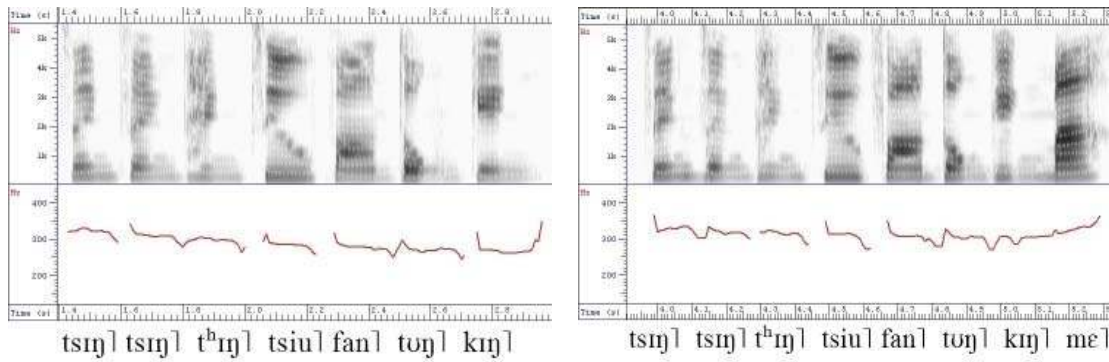
For the final syllables with Tones 1, 3, 6, it can be said that the intonation is superimposed on the lexical tone, and the rise starts right at the beginning of the tone and the pitch contour shows a sharp rise in pitch. The pitch height is much higher than the normal lexical tone 1, about 48.6% increase in Hz for Tone 1. For Tones 3 and 6, the final pitch values are comparable to that for Tone 1, rising to above 300 Hz.

For the final syllables with Tones 2 and 5, which have rising contours, the rising intonation also raises the final target F_x of the tone but does not affect the starting pitch. The ending pitch values for questions ending with Tones 2 and 5 are comparable to that for Tone 1, ending above 300 Hz.

For the final syllables with Tone 4, where the citation tone is falling, it can be observed that the rising intonation of question is added at the end of the falling pitch, and so there is “successive addition” of intonation to the lexical tone.

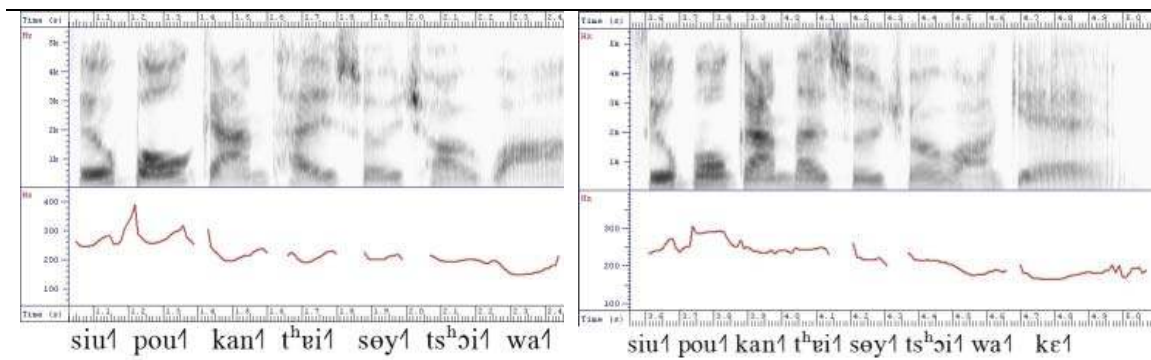
4.2 Comparing the intonation of sentences with and without SFPs

Figure 3 below shows the pitch tracings of the five pairs of sentences of Set 2 test materials (Section 3.2):



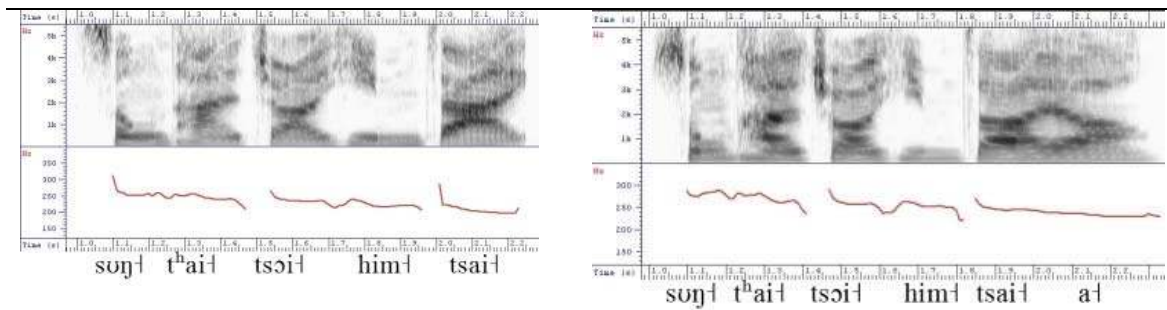
Tone 1 syllables, no SFP

Tone 1 syllables, SFP [μE ǀ]



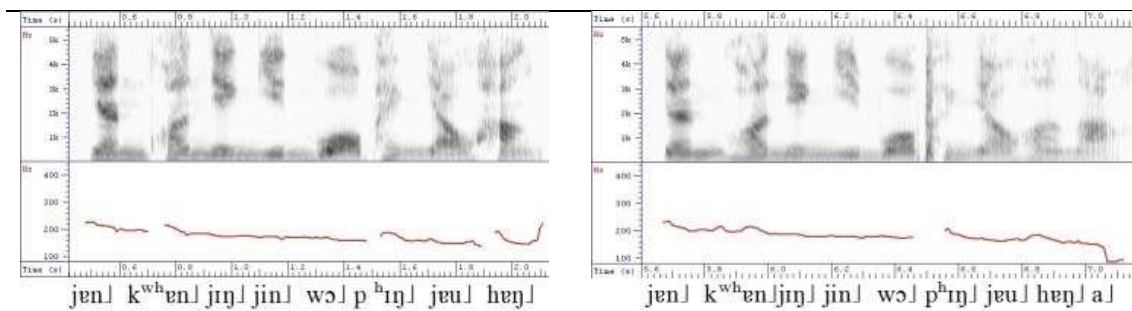
Tone 2 syllables, no SFP

Tone 2 syllables, SFP [κE ǀ]



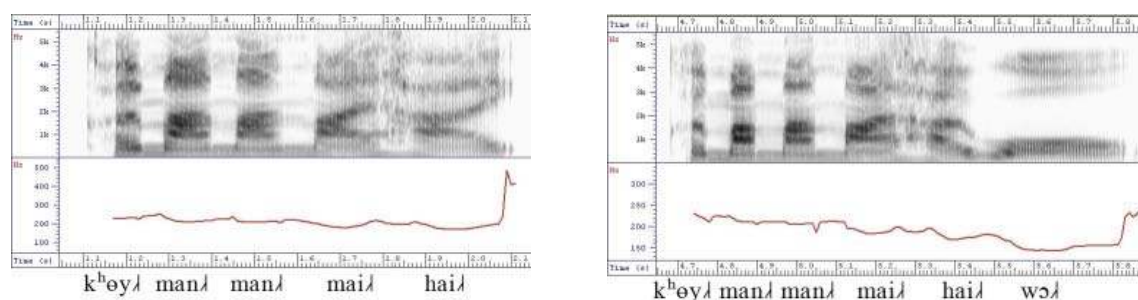
Tone 3 syllables, no SFP

Tone 3 syllables, SFP [αJ ǀ]



Tone 4 syllables, no SFP

Tone 4 syllables, SFP [α ǀ]



Tone 5 syllables, no SFP

Tone 5 syllables, SFP [ωO]

Figure 3. The pitch tracings of five pairs of sentences (the first in each pair is without an SFP, and the second contains an SFP)

From the pitch tracings, it can be seen that pitch declination occurs for all the above sentences in Cantonese. For example, in the sentence consisting of Tone 1 syllables and without an SFP, the Fx values for the seven syllables are respectively 322 Hz, 308 Hz, 301 Hz, 285 Hz, 278 Hz, 266 Hz and 264 Hz. On the first glance, the presence of an SFP does not seem to affect much the intonation pattern of the utterance body. For example, when the sentence consisting of Tone 1 syllables is suffixed with the SFP [μE ˩], the pitch pattern of the utterance body is the same as the sentence without an SFP, and similar pitch declination can be seen. But it is noticed that the pitch declination is less sharp in slope, as reflected by the Fx values of the syllables in the [μE ˩]-suffixed sentence: 321 Hz, 317 Hz, 313 Hz, 292 Hz, 290 Hz, 287 Hz and 282 Hz.

How similar are the “tones” of the SFPs and the lexical tones of the syllables in the sentence-final position are compared now:

(i) SFP [μE ˩] compared with Tone 1 syllable [κIN ˩] in the sentence-final position:

For the final syllable [κIN ˩], the pitch contour is quite level, and the Fx value is approximately 264 Hz. In contrast, the pitch contour of [μE ˩] is rising, with Fx values rising from 321 Hz to 332 Hz. This is reminiscent of the pitch contour of the interrogative sentences we saw in Section 4.1. Since “Tone 1” SFP [μE ˩] is a question particle, the “tone” we hear for this particle at the utterance-final position may in fact be the intonation of the interrogative sentence.

(ii) SFP [κE ˩] compared with Tone 2 syllable [ωα ˩] in final position:

The final [ωα ˩] syllable has a pitch contour which is a dipping followed by a rise. The SFP [κE ˩] also exhibits such kind of dipping-rising pitch contour. In terms of Fx values, those for the final [ωα ˩] syllable are 196 Hz – 152 Hz – 204 Hz (starting – lowest – finishing), and [κE ˩] have values of 199 Hz – 166 Hz – 181 Hz. Therefore, the pitch level and contour of the “Tone 2” SFP [κE ˩] are very comparable to a final syllable with Tone 2.

(iii) SFP [α ˩] compared with Tone 3 syllable [τσα ˩] in final position:

The final Tone 3 syllable [τσα ˩] has a lowering pitch contour and has Fx values decreasing from 251 Hz to 196 Hz. This is the effect of the pitch declination and the falling intonation of a declarative sentence. The SFP [α ˩] also has a lowering pitch contour, with a final Fx value of 229 Hz, comparable to that of the final Tone 3 syllable.

(iv) SFP [α ˩] compared with Tone 4 syllable [η6N ˩] in final position:

The falling pitch contour of the final Tone 4 syllable [η6N ˩] can be clearly seen, and the Fx value drops from 195 Hz to 151 Hz. The SFP [α ˩] has a much sharper drop in pitch contour, with the Fx dropping from 190 Hz to 100 Hz.

(v) SFP [ωO ˩] compared with Tone 5 syllable [ηα ˩] in final position:

Similar to Tone 2, the final Tone 5 syllable [ηα ˩] also exhibits a dip-before-rise pitch contour, with Fx values of 205 Hz – 168 Hz – 194 Hz. For the SFP [ωO ˩], the pitch contour is also lowering and then rising, towards a final Fx value of 156 Hz.

5. Summary and Conclusions

This paper puts forward some questions about how we should consider the “tones” of the SFPs, and presents some basic acoustic analyses of several SFPs, which reveal that the “tones” of the SFPs are likely to be the product of the interaction between tone and intonation in Cantonese. The most obvious example is the “Tone 1” question particle [μE ˩], where the pitch contour is not a level one but a rising one, equivalent to that of an intonation question. For the other SFPs that are studied in the present paper, it seems that the “tone” on the question SFP [κE ˩] is also intonation, corresponding to the interrogative intonation, and that the “tone” on [α ˩] is also intonation corresponding to the declarative intonation. For the particles [α ˩] and [ωO ˩], they may be said to have their own lexical tones and the

meanings of the utterances which possess them are conveyed mainly by their segmental phonemes and tones.

The fact that the SFPs are usually referred to by having “lexical tones” may be a shorthand or for convenience sake, making it easier to make reference to them just like other syllables in the language as having particular lexical tones. Since the native speakers are very familiar auditorily with the contrastive lexical tones, when a syllable which has Fx values close to one of the tone categories, the native speakers are likely to group this syllable into one of the contrastive tones, that is to say, the Fx values within the range of Fx values of contrastive tones would be considered and perceived as a particular lexical tone. However, in the linguistic analysis of SFPs, it may be better to make a distinction between their tones and their interaction with intonation. There are quite a number of SFPs in Cantonese which are segmentally identical (having the same phonemes and “tones”), and some previous researchers treat them as the same SFP, while others discuss them as separate entities. As we have suggested in this paper that the “tone” of an SFP may well be a product of the intonation and its inherent tone, it is important to distinguish between the different intonation patterns associated with the system of SFPs and relate to both their tones and intonation in every discussion of the meanings of individual SFPs.

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Study on Product Design and Space Environment

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Abstract

The function of the product design is prominent in the modern society day by day, and lead the change of people space environment. Considering from the space angle that the product design can provide a theories basis for its depth, we can also see the restriction of product design in the meantime, because the product guided space variety, so the space environment has influence it in turn, namely space restriction or influence product design. In the design process, both product and space must carry on unceasingly dialogue, then will has the good product connotation and can undergo the test in the intense competition of the market environment, and can the better satisfied person's need.

Keywords: Product design, Space environment

In the product design, we want to satisfy the function and the form at the same time, which depend on the designer “art intuition force” and the acquaintance to the technology to a great extent. However, as early as in the last century 70's, some outstanding designer have brought forward a few question to the tradition design idea, they thought that the combination form and function rigidly in the process of design would restrict our inspiration on the contrary. Many times, when emphasize excessively on the product function or energy to be concentrated on the new form, we will always do much detour. Many personages have agreed with to this viewpoint, a few senior personages have mentioned directly the close relationship between product design and the space environment.

Above all, as some kind of shape entity product design object, inevitably occupies the certain space. But, in actual product design, we ought to consider that part nihility space built by product. There are such few words in “Lao Zi”: “we show appreciation being that we use clay regiment to become a household utensil, bringing the household utensil function's into play really is really not that clay entity, but is that part nihility space built by this entity; We use wall to build the able building, but bringing the building function's into play really is not that the wall is such entity, but be that part nihility space built by this entity”. The truth is very simple, the entity is the embodiment thing, but truly displays the function is the abstract space. Does not have the embodiment the entity also not to matter the abstract space, however the significance of the entity existence also lay in which constructed the nihility space. It will provide one new kind angle for our design original intention and design procedures when we put this mode of thinking into product design, it is necessary to discuss emphatically and to apply in the design process.

Saying from the philosophy significance, at the same time, these two kinds of space-product entity occupies and it constructs the nihility one are mutual contradict and unifies, existence depending on each other, is that the actual situation and nihility are mutual promotion. Briefly, the relation of the product and the space is the one of content and form, if the form is content's representation, it must be getting in touch with content intensely , if you want to be allotted out it from content , that means that have wiped out content; Conversely also the same. (“Pin up Linsiji study of thesis”, new literature and art press printing in 1958) The beautiful content and form, are also interdependent and restrict each other, there is no absolute boundary between content and form. Under the certain condition, as some one kind of beautiful content forms, it can become the content of another kind of beautiful form. Product sculpt is the product manifestation, at the same time it also is the spatial environment content which locates. In dialectical relations between the content and the form, the content is in the status of decision; Product decide on form, but the form is not negative and passive factor, it has significantly activity on the content; and proposed the new request to the product design in turn, by this to design the product adapt to the spatial environment demand.

The content of product is the part of the space, then product design also have it's own venation and way. Product design is different with the pure art, because it has both the practical value and individual emotion color and experiences by oneself. It is also different with natural thing, the first is man-made, the second is function, in short, it built a conveniently and more enjoyable life space. Because of this, the product and person's life space has a very complicated relation. The concentrated manifestation is product design lead a different content space, in this kind of different spatial environment, there could be different life style, different cultural inheritance and different spatial complex. Space will become uncertain if no product, the product define space if you say architecture partition the space, in other words , the product give space the concrete character and function.

1. Function of the product and space

We can say that the emergence of the function of space follow the product which has some certain function. There are many examples in our daily lives, office is office because there are many kinds of equipment which we need in work, a hospital is different from others because there is a series medical equipment in it. We can associate a building with a kindergarten because there are many toys and many full spice products; a space is precisely defined as kitchen because we equipped with the stove, the microwave oven, the refrigerator, drains oil and smoke machine, kitchenware and so on. We defined a piece of ground as a sport stage when we placed some exercise instrument. Therefore, generally speaking, the product can express the spatial function at the most, in other words, the spatial readability may directly relate the function of the product which lies in it. So when design product, we must take the conception of space into account, since the product is not only used by people, but is laid in specifically space for use.

The products' reasonable design can express the beauty space. The scale to measure designing function is to release the human's manual labor and realize the spirited freedom. The design is not only the change for materialized form, but also the mental creation. So the Products' function beauty mainly manifests the favorable environment for our life. For example, the television design needs to satisfy multi-function of seeing and hearing effect, and beauty, simultaneously, we needs to consider from the use space, this kind of shape, color, and technology content television would be laid aside, is the family living room, KTV, the electrification classroom or other spaces. The television lies in a space as the seeing and hearing equipment, in the ordinary circumstances, this space has made a definition, this is a space which has seeing and hearing equipment, the people once enter into such space, can understand naturally the function of the space, can do what, should do what, then how to use this product. At the same time, Whether its form harmonize with the environment; whether the color and other product are harmony; Whether the style harmony and so on, all of this need to be considered by the consumer when they purchase it , this question is the design needs to solve, too. But, in the final analysis, all beautiful form must add to its function, taking this as basic when design, the product should be created for the suitable survival, the fine environment for the humanity, thus fully unfolds the function and use.

2. The form of the product and space

Among the several main elements of the product, the form is the soul in product design, it decide the existent form of the product. Certainly, this kind of existent form has intent relation with space, its form decide or influence the spatial form. Generally speaking, the reality form can be divided into natural form and artificial form.

We live in the man-made world because of the rapid development of the industry, for example, we live in storied building made by armored concrete, work in the transparent glass building, and walk through the underground path. The chance that we contact nature is less and less. but our nature sentiment by born become more and more, not decrease, we long to approach natural, delighted taste organism's thing more intensely. Therefore, in the daily life, we can see many originally forms which are designed on the basis of natural form. The user can feel kindness and nature from these products because of these nature forms. For instance, as the essential furniture in our actual life, the chair has emerged many kinds form following the machining technology improves. Many chairs' modeling design is also take the nature form as the primary form, through analyses structure and function principle, refines its representative characteristic, achieved excellent likeness but not in resembles simply, like swan chair, ant chair, egg chair and so on. People have the return natural feeling because of these extremely familiar elements.

Artificial configuration is that the man machining with purposeful by using natural or man-made matter by refining natural matter. Among the product form which the human made in early time, most of them get material from nature directly and by machining simply became special form, such as zax, stone hammer and so on. The human didn't satisfy this simply process that got directly. The variety, quality and paten of the product had taken place many change when the man mastered the technique like make pottery, refine bronze and so on. The man-made product became more and more beautiful because of the rapid development of technology. The space where these man-made products are giving off the flavor of simple and unsophisticated, kindness and practicality. The integration of space and man-made product brought the rational and kindness space.

3. The effect of material of product on space

Speaking commonly, the material of product divided into four kinds: metal material, project material, industrial pottery and porcelain and composite material. Certainly, different material has different characteristic. The metal has good polish on it's surface and the sense of rigidity and noblest, is processed easily. Project material has light mass, high intensity, good elasticity, gentle quality, and can give people a sense of affable and soft. Industrial pottery and porcelain is able to endure high temperature, don't transfigured easily, has little the chrematistic of transmit heat. It's a good material of insulated heat. Composite material is compound that mix different characteristic material, which is a useful material.

The quality and texture of product material affect on the pattern of space. What is called quality, on the one hand, is physical and chemic character of material, on the other hand, is feeling that the effect the material give people. For

example, steel is rigidity, plastic is lubricity, glasses is clear, bamboo is legerity. When these products are laid in a space, people can feel cool and steady of steel, smooth and bright of plastic, fine and clear of glass, rustic and gliding of bamboo. The texture is taste experience that the structure, the form, the vein of the material surface give people the feeling. The texture effect have mainly two kinds: one is experience effect that the scraggly of material surface can give people the feeling of granulation or flowing; the other is the texture and the density of color produce visual effect. Different product design use different material texture that can exhibit the pattern of space. Generally speaking, the pattern of space which is transferred by the texture effect of material have mainly several facets:

(1) The shape effect: use the means of repetition and the change of orientation and space distance, contrast and arrange, then by creating the solid and unilateralism space exhibit the shape effect.

(2) The effect of light in space: the material have brightness and irradiance character, this kind of brightness transfer the material have a clear and bright degree with give out light function, the person is in its space through the variety of position, these light feeling texture, deliver to the public reason clear quick, flowing freely, sport change of appreciate beauty effect, such as marble product, glass product, the product of metals material, the product of synthesize material.

(3) The visual effect of space: when contacting the material, people usually feel warm, painful, strain and vibration and acquire smooth, soft, clean, moist, clearness etc. of feeling, this is conditioned reflex that is produced when human get in touch with body material. But this kind of touch effect form common sense in vision, namely not get in touch with, just see or lay in this kind of style space will have these feelings.

Therefore, we can say, the material is the muscle of product, it influences the shape of product, in the meantime the shape decides spatial style and effect again.

Product design is constantly changing our living space, with an existence of space environment, so there will have a series of antinomy, these conflict will urge a new product of development, develop, create more in keeping with time of space, because time is in the transformation, the person is change, unique constant of be change.

The product design is outstanding in the function of the modern society day by day, if the theory of product and space have a conversation is fitting, the product design guided the variety of people's the space environment and also provide theories for the depth of the product design basis; In the meantime, we can also see the limits of product design, because the product guided the variety of space, the space environment by all means has recoil to it, namely space restriction or influence product design. Only this both must carry on continuous dialogue, there is a good product content, then can experience a test in the competition in the vigorous market environment, then can be better to satisfy the person's need.

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A Study on the Reform of Tax System that Drives Enterprises' Self-Innovation

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Abstract

Enterprises' ability of self-innovation determines the fate of one country or nation. The 5th Plenum of 16th CPC Central Committee advocates enhancing Chinese enterprises' self-innovation, which is an important strategic decision, aiming at prospering Chinese nationality. Self-innovation determines China's Advantage of Backwardness. From this point of view, this paper argues that present tax policies in China could not support the self-innovation enterprises strongly because of deficiencies in regulations of income tax and value-added tax. Finally, based on introducing the tax policies that support self-innovation enterprises in foreign countries, this paper puts forward relevant countermeasures and suggestions for the reform of China's tax system. For example, reform the income tax and value-added tax. At the same time, official branches should impose strict supervision on tax, avoiding enterprises illegally taking advantages over China's favorable tax policies.

Keywords: Self-innovation, Tax system, Advantage of Backwardness

CPC Proposals for formulating the 11th Five-Year Plans for National Economic and Social Development issued in the 5th Plenum of 16th CPC Central Committee point out important strategic decisions in order to prosper Chinese nationality based on the new features of China economic development. Implement the strategy of developing China by science-education and strengthening China by talents perfectly. Take the enhancement of self-innovation as the strategic base for science & technology development, and the central ring of industrial structure adjustment and growth mode transform. Improve the abilities of initial innovation, integrated innovation, and re-innovation after the introduction of foreign latest technology. In order to reach this target, official sections at different levels should cooperate closely and provide with policy support. This paper makes explorations on the reform of tax system that benefits self-innovation.

1. Self-innovation determines China's Advantage of Backwardness.

"Innovation" was firstly put forward by Schumpeter, an Austria economist. In 1912, Schumpeter advanced the systematic innovation theory in his work *The Theory of Economic Development* for the first time. In his opinion, technological innovation refers to managers re-combining production factors. The new combination includes five aspects. (1) Develop a new product or new quality; (2) Adopt a new production method; (3) Explore a new market; (4) Obtain a new supply source of raw materials or finished products; (5) Realize a new organizational form. Schumpeter also thought that there was close relationship between innovation and economic growth, and the target of innovation was to increase economic effectiveness.

According to the spirits of the 5th Plenum of 16th CPC Central Committee, self-innovation has three meanings. One is the initial innovation, namely being the first one who generates new theory, new method, new product, new handcraft, new organization, etc. The second is the integrated innovation, namely combining relevant technologies and management methods organically to form new technology and new way. The third is the re-innovation after introduction and assimilation, namely assimilating, absorbing, and reforming the introduced technologies and management methods to form new technology and new management way. There-into, the third is common in developing countries, which is also the most proper way for China at present.

Self-innovation is vital for China's economic development. It determines China's Advantage of Backwardness. The Advantage of Backwardness is firstly put forward by evolvement economics. According to a history economist, the Advantage of Backwardness is especially possessed by developing countries that lag behind developed countries in economic development (Genliang Jia, 2004). And developed countries do not have this advantage. Reasons include: (1) Technology development always follows a path from the lower grade toward the upper grade. Introducing advanced technologies from developed country can not only reduce the developing countries' costs in researching and developing new technologies but also save time. (2) The application of advanced technologies in developing countries can generate positive effects on their economic development, which may lead to higher investment ratio than that in developed

countries. As a result, the return on capital employed in developing countries will be higher than that in developed countries. (3) Generally speaking, the productivity in industrial section is faster than that in agricultural section. Therefore, in developing countries the rural surplus laborers will move toward the industrial section, which will inevitably cause the improvement of national productivity. However, developing countries' Advantage of Backwardness is merely potential. Its realization is based on developing countries' technological accumulation and fast development. In other words, developing countries have to assimilate and absorb the essence of the introduced technologies and cultivate their own innovation abilities, instead of merely imitating new technologies. In contrast with developed countries, China has Advantage of Backwardness. And China has to depend on its own self-innovation ability, especially enterprises' self-innovation ability, to realize its Advantage of Backwardness.

2. Present tax policies in China fail to support the self-innovative enterprises energetically.

At present, Chinese enterprises' self-innovation abilities do not exert their best effects. Many reasons contribute to this fact. As far as tax system is concerned, present tax policies fail to provide with policy support for enterprise's self-innovation. It chiefly focuses on the income tax and the value-added tax.

2.1 The income tax

(1) Domestic enterprises and foreign-funded enterprises have different income taxes. Present income tax system in China is composed of the law of income tax for domestic enterprises (including self-innovative enterprises) and the law of income tax for foreign-funded enterprises. In other words, China adopts different tax systems for domestic enterprises and foreign-funded enterprises respectively. According to the Provisional Regulations of the People's Republic of China on Enterprises Income Tax for domestic enterprises, the name income tax ratio for domestic enterprises is 33%. But the actual ratio is about 23% or so. In contrast, according to the Income Tax Law of the People's Republic of China for Enterprises with Foreign Investment and Foreign Enterprises, the name income tax ratio is different from 15%, 24%, to 30% for the foreign-funded enterprises due to their different registered regions. And their actual ratio is about 11% or so (Genliang Jia, 2004).

Many problems exist in China's present separated tax system. Firstly, present tax system is not in accord with the principles of WTO. One of the WTO principles is the national treatment principle, which aims at avoiding foreign-funded enterprises' low taxes than that of domestic enterprises in similar industry. However, the present problem is the "super national treatment" enjoyed by foreign-funded enterprises in China. Foreign-funded enterprises have lower income tax ratio than that of domestic enterprises. Besides, they enjoy favorable treatment in income tax. For example, the productive foreign-funded enterprises are free from income tax for two years since their first profitable year if they operate more than ten years. And in the successive third, fourth, and fifth year, they merely bear half of income tax. Secondly, present tax system is not in accord with the principle of fair competition. In the income tax aspect, foreign-funded enterprises benefit from more favorable treatment than domestic enterprises, what means kind of discrimination toward the later, which betrays the principle of fair competition in market economy. Foreign-funded enterprises and domestic enterprises bear different taxes. Their difference in actual tax burden even reaches more than 10 percent. As a result, domestic enterprises face an unfair competitive environment, which severely affects their existence and development. Besides, this fact may lead to unsatisfactory emotions in domestic enterprises.

(2) The law of income tax for domestic enterprises treats the self-innovative enterprises and common enterprises equally. Self-innovative enterprises have to invest amounts of capital in research & development. They face unpredictable risks of failure. Once they fail, all investments will lose. Therefore, if domestic enterprises focus on short-term profits and their investments in research & development are not allowed to be deducted from their income taxes in China, these enterprises will lose motivation in self-innovation. Data show that in China domestic enterprises merely input 0.56% in research & development but in developed countries about 5% or so (Keyi Bi, 2006).

2.2 The value-added tax

According to the tax base, there are three types of value-added taxes. The first type is productive value-added tax. In calculating this kind of tax, the assets and other capitals purchased by enterprises are not allowed to be deducted from the added value. The second type is income value-added tax. In calculating this kind of tax, the productive materials purchased by enterprises can be deducted from the added value, which is similar to productive value-added tax. Besides, the fixed assets can be deducted as costs from added value in form of depreciation. The third type is consumptive value-added tax. In calculating this kind of tax, the value-added tax equals the result of sales income deducting middle productive materials and fixed assets purchased at the same time.

China demands for productive value-added tax that connects closely with the capital composition of industry. In the industry with high capital composition, such as industries with more self-innovative enterprises, enterprises usually have more fixed assets purchased from foreign countries. Because the value-added taxes in these fixed assets are not allowed to be deducted, these enterprises usually have to burden higher taxes than that in other industries. As a matter of fact, this tax system affects social investments in high-tax industry, which will hurt the adjustment and optimization of

national economic structure, and the transform of economic growth way. As far as present situation in China is concerned, the optimization and upgrade of economic structure and the transform of economic growth way can be realized by investing more in self-innovative enterprises, such as updating present equipments or reforming present technologies in enterprises. However, the productive value-added tax makes enterprises burden more taxes for updating equipments, reforming technologies, and introducing advanced techniques. Besides, the higher risks in innovation restrain enterprises' motivation in innovation, affecting the optimization of national economic structure.

3. Tax policies and regulations in foreign countries that support self-innovative enterprises

Developed countries lay more stresses on enterprises' innovation. Many countries are inclined to provide with favorable tax treatments for innovative enterprises. Here, this paper summarizes the favorable tax policies and regulations for innovative enterprises in America, Germany, and Japan. China can take references from their reasonable policies to reform its tax system (Why we choose these three countries is for their representative. America and Germany have caught up with and surpassed England since their system innovation in late 19th century. Japan has stepped into the list of developed countries after the World War II. Besides, even at present, these three countries still provide with favorable treatments for their innovative enterprises. Therefore, they are representative in the aspect of favorable tax policies).

(1) The tax deduction for innovative enterprises. According to the Law of Tax for Economic Revival issued by USA government in 1981, taxpayers can deducted the expenditure in trade- or commerce- related researches or experiments from taxes as costs. If the expenditure in one year exceeds the expenditure in former three years, 25 percent of the increasing expenditure can be deducted. If the enterprise does not make profits or has no income tax in one year, the increasing expenditure can be deducted from former three years or later seven years. And the longest period for tax deduction can reach fifteen years. If an enterprise invests in updating or reforming technologies and equipments, 10 percent of investment can be deducted from supposed income tax in one year.

According to Japan's Tax Deduction for Adding Expenses in Experiments and Researches, as an enterprise's added expenses in researches exceed the highest in previous time, 20 percent of added expenses can be deducted from income tax (the highest deduction ratio can reach 10 percent of legal person's income tax). In the Law of Enhancing Small- and Medium-Enterprises' Technology Base, 6 percent of expenses in technology development in small- and medium-enterprises can be deducted from income tax (the highest deduction ratio can reach 15 percent of legal person's income tax). And 70 percent of the increasing fund in enterprises' technology development can be deducted from income tax. As expenses in experiments and researches are higher than the highest in previous time, 20 percent of increasing expenses can be deducted from income tax. And 70 percent of expenses in purchasing machines, equipments, raw materials for scientific and technological research & development can be deducted from income tax.

Germany has also set up policies for deducting innovative enterprises' income tax. For example, since 1984 Germany has begun to provide with especially favorable treatments for small- and medium- innovative enterprises. Today, this policy has been changed. Most small- and medium-innovative handcraft enterprises are free from sales tax. But if the sales reach 32,500 Mark, instead of former 25,000 Mark, enterprises have to pay sales tax. After the unification, in eastern Germany if the sales reach 1,000,000 Mark, instead of former 150,000, enterprises have to pay sales taxes. And the lowest income tax ratio is merely 19 percent.

(2) The accelerated depreciation of fixed assets in innovative enterprises can shorten the fixed assets' legal employing age. According to the Law of Tax for Economic Revival, the legal employing age of equipments for scientific researches is three year, or machines five years, and for workshops and buildings ten years. At the same time, it simplified the way of depreciation. If enterprises donate their equipments and machines for scientific researches to high colleges and non-profitable institutions that focus on scientific researches, relevant expenses can be deducted from enterprises' income taxes as donation.

Germany has also set up specific policies for the depreciation of fixed assets. The fixed assets in scientific research & development can enjoy special depreciation policy. For example, in Germany for the environment-protective equipments in high-tech industry, the depreciation ratio of moveable assets is 50 percent, and that of fixed assets is 30 percent. And the depreciation ratio of equipments in small- and medium-innovative enterprises is increasing from 10 percent to 20 percent.

According to Japan's Tax Deduction for Adding Expenses in Experiments and Researches, in the science and technology developing zone, the high-tech enterprises that have more than 1,000,000,000 Japanese Yuan assets follow common rules of depreciation for their new fixed assets used for research & development. Besides, in first year, the new purchased assets can enjoy special depreciation ratio. For certain special industries and items, the depreciation ratio can even reach 55 percent. The equipments introduced or purchased by Japan's important branches or industries can depreciate half of their values, and can be deducted from the total profits.

(3) Make best use of favorable tax policies that encourage venture investment and help innovative enterprise to gain financial support. According to the Law of Tax for Economic Revival in USA, for venture investment enterprises, they can enjoy lower taxes and their investments can be deducted as costs before taxation, which can decrease venture

investment enterprises' risks, income taxes, and their employees' individual income taxes, reducing their risks in ventures and businesses.

The government support in Germany for enterprises' technology innovation, first of all, focuses on capital investment. Germany is one of countries that invest highest capital in science and technology researches and innovations. Among these investments, one third is coming from government directly. And the financial support from government chiefly focuses on universities, scientific researching institutions, state laboratories, and other important fields and subjects. Besides, the government provides with many favorable treatments in the aspect of taxation concerning with these investments. For example, innovative enterprises and researching institutions are free from taxes even they gain profits. And enterprises sponsored by the government are also free from taxes.

4. The countermeasures and suggestions on the reform of tax system in order to encourage enterprises to invest more in self-innovation.

In order to exert China's Advantage of Backwardness thoroughly, China should provide with more policy support for self-innovative enterprises, building China into an innovative country. According to the international standard, the innovative country is such a country that invests 2 percent of its GDP in research & development. But in China this index was only 1.3 percent in 2005. Therefore, to enhance the ability of self-innovation is still the tough work of Chinese enterprises. In order to encourage enterprises to invest more in self-innovation, this paper puts forward following countermeasures and suggestions for the reform of tax system.

4.1 The countermeasures and suggestions on the reform of income tax

(1) Equalize the income taxes for foreign-funded enterprises and domestic enterprises. Differences in income taxes make domestic enterprises lag behind in technology update, scale expansion, and further development. To equalize the income taxes means China must constitute a general Law of Income Tax that is not only in accord with the WTO principles but also meeting China's needs for socialist market economy development. By this way, it can thoroughly change present situation in which foreign-funded enterprises and domestic enterprises shoulder different taxes. Besides, it can help to create a fair and reasonable competitive environment for domestic enterprises' existence and development. And it also provides with more feasibility for enterprises investing more in self-innovation.

(2) Encourage enterprises to improve their self-innovation by favorable income taxes. In this aspect, we can take references from the successful experiences of developed countries, such as America, Germany, and Japan. In specific, we can take three points into consideration.

(1) Permit self-innovative enterprises to deduct their actual total expenses spent in technology development from their income taxes in one year. If in the same year the actual total expenses exceed the income taxes, more expenses can be deducted from the income taxes in the future. (2) Allow self-innovative enterprises to quicken the depreciation of their fixed assets used for research & development, what can inspire enterprises' motivation in investing more in research & development. (3) Permit self-innovative enterprises to deduct the salaries of researchers and relevant employees' from the income taxes in one year.

4.2 The countermeasures and suggestions on the reform of value-added tax

In the value-added tax aspect, the best way is to transform the type of value-added tax. In other words, it is to turn productive value-added tax into consumptive value-added type. As we calculate the consumptive value-added tax, the semi-finished products and the fixed assets purchased at the same period can be deducted from costs. Therefore, it is proper for self-innovative enterprises that may purchase many priceless fixed assets. Besides, if self-innovative enterprises purchase or build fixed assets, or develop virtual assets by themselves, relevant expenses can be deducted from the costs. For example, expenses in machines, equipments, and virtual assets can be deducted from costs. But expenses in buildings and workshops can't be deducted from costs. This tax arrangement can encourage self-innovative enterprises to invest more in introducing or updating technologies and equipments. Moreover, it is simpler and more feasible.

4.3 The suggestions for the government

The favorable policies provided by government for self-innovative enterprises in fields of income tax and value-added tax may generate certain negative effects. For example, enterprise may illegally take advantages over government's tax policies, which will cause loses in national finance. Therefore, it is necessary for government to constitute special policies to supervise enterprises' behaviors. For example, the government can set up strict policies for taxation. Once illegal activities are identified, enterprises will be punished severely. Besides, they will pay taxes evaded formerly. And they may even be charged for money many times of taxes evaded. For another instance, the government can impose detailed accounting rules on enterprises, and ask enterprises to perform individual accounting in different departments.

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The Influence of Education Background on Compliment Responses

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Abstract

Education influences people's social life to a large extent. Nonetheless, the researches on Chinese complimenting behavior chiefly focus on the influences of many social factors have been studied except education background. Based on Herbert's classification of 12 types of compliment responses, data analysis of a questionnaire, this study compares the compliment responses of Chinese participants with different education background and explores the influence of education background on compliment response with an expectation of smoother communications.

Keywords: Compliment response, Education background, Compare, Influence

1. Introduction

Complimenting as a speech event has been one of the major areas on which linguists have focused their attention and drawn insights into the phenomenon of linguistic politeness in the last two decades (Pomerantz 1978, Wolfson and Manes 1981, Wolfson 1983, Holmes 1988, Holmes and Brown 1987, Wierzbickz 1991, Nelson, 1996, Herbert 1989, Herbert 1990). Delivering, identifying and responding to compliments appropriately is an aspect of communicative competence which may differ in a variety of ways from one culture to another (Holmes, 1987).

Wolfson (1983) notes that social factors such as sex, status, intimacy and cultural background should be carefully considered when analyzing compliments. Among the small number of studies on Chinese compliments, the influence of factors such as gender, social status, intimacy and the like have been probed (Wei Yaozhang 2001, Hu Ping, 2001, Feng Jianghong 2003, Zhang Yongmei, 2003); education background, however, has never been studied particularly. In fact, education is one of the most influential factors in people's social life, and it works to shape one's mind and behavior. So this paper intends to explore the differences on compliment responses given by Chinese participants with different education background so as to reflect their different attitudes and ways of thinking, and accordingly participants in communications will take more practical strategies to have smoother communications.

2. The Present Study

This study adopts Robert K. Herbert's classification system of compliment responses with an analysis of the data collected from a Compliment Situation Task questionnaire. A comparative approach is employed to compare compliment responses of participants with different education background, aiming to explore the influence of education on smooth communications.

2.1 Herbert's classification system of compliment responses

Robert K. Herbert (1986, 1989) distinguished 12 types of compliment responses. In his quantitative analysis of compliment response types and their frequency (1989), he grouped the responses as (a) Agreement, (b) Nonagreement, or (c) Request interpretation, with a few subtypes.

(1) Appreciation Token. A verbal or nonverbal acceptance of the compliment, acceptance not being tied to the specific semantics of the stimulus (e.g. Thanks, Thank you, [nod]).

(2) Comment acceptance-single. Addressee accepts the complimentary force and offers a relevant comment on the appreciated topic (e.g., Yeah, it's my favorite, too.)

(3) Praise upgrade. Addressee accepts the compliment and asserts that the compliment force is insufficient (e.g., I'm really a great cook).

(4) Comment history. Addressee offers a comment (or series of comments) on the object complimented; these comments differ from (2) in that the latter are impersonal, that is, they shift the force of the compliment from the address (e.g., I bought it for the trip to Arizona).

(5) Reassignment. Addressee agrees with the compliment assertion, but the complimentary force is transferred to some

third person (e.g., My brother gave it to me) or to the object itself (e.g., It really knitted itself.)

(6) Return. As with (5) except that the praise is shifted (or returned) to the first speaker (e.g., So's yours.)

(7) Scale down. Addressee disagrees with the complimentary force, pointing to some flaw in the object or claiming that the praise is overstated (e.g., It's really quite old).

(8) Question. Addressees question the sincerity or the appropriateness of the compliment (e.g., Do you really think so?).

(9) Disagreement. Addressee asserts that the object complimented is not worthy of praise: the first speaker's assertion is in error (e.g., I hate it).

(10) Qualification. Weaker than (9): addressee merely qualifies the original assertion, usually with *though*, *but*, *well*, etc. (e.g., It's all right, but I want to retake some pictures).

(11) No acknowledgment. Addressee gives no indication of having heard the compliment: The addressee either (a) responds with an irrelevant comment (i.e., topic shift) or (b) gives no response.

(12) Request interpretation. Addressee, consciously or not, interprets the compliments as a request rather than a simple compliment. Such responses are not compliment responses since the addressee does not perceive the previous speech act as a compliment (e.g., You wanna borrow this one too?)

Herbert's classification system has been widely quoted and developed by linguistics and sociologists in complimenting speech event studies, and it includes almost all types of compliment responses which the study involve.

2.2 Data Collection and Methodology

The data in this study were collected from a Compliment Situation Task (CST) questionnaire (in Chinese, ideas drawn from Ye Lei, 1995.), which consists of 8 situations for responding to compliments. These 8 situations are designed around the generally agreed topics of compliments: appearance/possession and performance/skill. Gender, compliment topic and social distance are controlled in each situation.

With the bachelor degree as criteria, all of the 120 CST forms were collected from Chinese, within whom there were 55 respondents with low-level education background and 65 with high-level education background. The paper, hereafter, refers to them respectively as Respondents A and Respondents B for short in the following analysis. Respondents A are from various walks of life and they have the degree lower than bachelor. Most of them live in a town and range from 19 to over 40 in age. Respondents B are the university students along with a certain number of university teachers, all of whom have the academic degree of bachelor or even master.

The paper mainly delves into the comparison between Respondents A and B. The data from them are classified and processed with computer and the software SPSS.

2.3 Results and Discussion

The relevant data on the actual occurrence frequencies of the various response strategies are given in the following table.

As to the two kinds of Chinese respondents, they are remarkably similar ($\chi^2=5.706, p=0.892 > 0.05$). Both of them are more likely to make use of the Agreement category as the responding type. The most frequently used strategies are Appreciation Token, Disagreement and Scale Down as the figures indicate.

However, there exist some differences between them. Generally speaking, respondents with high-level education background (Respondents B) are more likely to agree with the compliments (54.87%) than to disagree with them (38.33%), while for respondents with low-level education background (Respondents A), the frequencies of the two responding types do not differ much (48.64% vs. 43.63%), which indicates that they have no special preference for either of the two responding categories.

In Acceptance category, the frequency of Appreciation Token is higher in Respondents B's data (22.64%) than in Respondents A's (17.57%), which may be explained by the fact that the overwhelming Respondents B corpus are young university students and they are more influenced by the Western social norms. Comparatively speaking, Respondents A have less chance to get in touch with the Western norms, and consequently they are more reluctant to accept compliments with the direct "Thank you" and the like.

Additionally, Respondents A make more use of the strategy of Praise Upgrade while responding to a compliment (6.18%) than Respondents B (3.47%). This strategy often occurs between intimate friends in a joking way. Respondents B corpus is mainly made up of workers in their 20s and 30s, and joking is a good way to strengthen the relation between them, so it is natural for these respondents to answer compliments in a casual way.

In Disagreement category, the difference mainly lies in the Question type: the frequency is 8.49% for Respondents A, and 5.45% for Respondents B. This strategy helps respondents to avoid answering the compliments directly, and it

seems more preferred by Respondents A. The reason may be that traditional Chinese culture holds direct acceptance of compliments as impolite and Chinese people tend to reject compliments. When they find it more appropriate to accept the force of complimenting, they are likely to use the implicit strategy. Therefore, it is not surprising that Respondents A adopt Question strategy to answer compliments. Respondents B, however, have relatively more access to the Western norms due to their higher education, so that they show a less preference for this strategy than Respondents A. and are more inclined to accept a compliment directly.

3. Conclusion

Through the comparative study of compliment responses, this paper attempts to offer some useful information about different attitudinal ideas of Chinese people with different education backgrounds. Being aware of these differences, participants in communications are more conscious to adapt their communication strategies to the others' values, in order to make the communication smoother.

Although Chinese compliments in this study were not observed under natural conditions and participants may respond to compliments a little divergently from what they might do in the actual situations, the findings are consistent with other Chinese researchers (Zuo Huanqi, 1988; Shi Ning, 1997, etc). This similarity suggests the reliability of this study's methodology and data.

Moreover, as this paper only deals with compliment responses of Chinese respondents with different education backgrounds, other factors like age, gender, family, and profession are also influential to people's behaviors. Further studies are needed to paint a more complete picture of Chinese complimenting behaviors, so as to provide more guides for successful intercultural communications.

Table 1. The frequencies of responses types (x²=5.706,p=0.892)

Response Type	Respondents A		Respondents B	
	No.	%	No.	%
Agreement				
Acceptance	176	33.98	222	36.69
Appreciation Token	91	17.57	137	22.64
Comment Acceptance	53	10.23	64	10.58
Praise Upgrade	32	6.18	21	3.47
Nonacceptance	76	14.66	110	18.18
Comment History	8	1.54	11	1.82
Reassignment	29	5.60	49	8.10
Return	39	7.52	50	8.26
Subtotal	252	48.64	332	54.87
Nonagreement				
Scale Down	60	11.58	63	10.41
Question	44	8.49	33	5.45
Disagreement	87	16.8	93	15.37
Qualification	5	0.97	12	1.98
No Acknowledgment	30	5.79	31	5.12
Subtotal	226	43.63	232	38.33
Request Interpretation	40	7.72	41	6.78
Total	518	99.99	605	99.98

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Designs of Simplicity and Reality

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Abstract

As is well known, design is human oriented. Then, how can we realize human oriented when designing? The products are not made by way of designers' imagination; rather various design elements of the circumstance are integrated into the products so that the products are teemed with meanings. In modern society, the industrial products flood our life and various and mixed designs make us dazing. How to push modern design to move towards simplicity and reality is a question that deserves each designer's reflection. "Simplicity" refers to that a design must have explicit aim and solve the comparatively simplex problem; and the design language must be clear and express and the shape be unsophisticated. "Reality" refers to rational design concept and attitude and the maneuverability of the design.

Keywords: Industrial design, Shape, Simplicity, Reality

A traditional Chinese description of artworks is "being in possession of shape as well as bearing". This compliment means that the artwork is not only similar to the object described in shape, but also in bearing. In the shape design of modern industrial products, new shape images shall be pursued in accordance with the proper and intrinsic functions of the products. The symbolism connotation of the products shall not only reflect the intrinsic functions of the products, but also reflect the spiritual demands of the users on the products, which is the modernism connotation of "being in possession of shape as well as bearing" in industrial products.

When conducting shape design for products, initially, the designers will usually feel shriveled. The reason for it is that the designers have not gained profound comprehension on this kind of products and do not have deep understanding and feeling towards the products; to put it in other words, the designers do not have profound understanding and master of the shape languages.

The essential of shape is form. In our experience system, form that can be seen and touched is "reality form", while form that cannot be directly felt through vision and touch is "concept form".

Sullivan mentioned many times his views on function and form. He said that "forms follow functions". This sentence must have great influence on Wright who had studied under the instruction of Sullivan for many years. Wright afterwards developed this sentence and put it into "functions are the same as forms", which shows his stand of functionalism. He believed that functions and forms could not be fully separated at all in designs. In the designs of Wright, a great many basic geometry graphics were adopted, such as squareness, rotundity and triangle, etc; in general design, gridding phalanx was adopted; together with various abstract detailed disposal, so a special decorating effect was reached. A strong characteristic of the design of Wright is that he endeavored to search harmonious elements between his designs and their surrounding natural environment, and tried to harmonize his designs with the nature and reach harmoniousness. His designs are organic components of the natural environment, which few other designers of his times tried to do.

The forms of products, being the first essential in conveying information of products, can promote the essential elements, such as intrinsic quality, tissues, structures and connotation up to external representation elements, and can cause people to generate physical and psychological process through vision. The "form" being closely connected with feeling, configuration, structure, material quality, color, space and function is the material body of products. The shape of a product refers to the external shape of the product; the "bearing" refers to the external condition and manner of a product that can be felt and it can be interpreted as the expression elements of the appearance of a product. The design thoughts of designers will ultimately be presented by way of material products so that their aims of presenting their design intention can be realized; to put it in detail, the design thoughts will be represented through the visualization of originality with drawings, sketch maps, structure modals and the material products. Therefore, to certain extent, it can be said that the industrial design is a "form endowing" activity where the design exists and is being sensed as an art shape design. The industrial designers usually will take advantage of special shape languages to conduct the form designs for products and will rely on proper forms of products to convey to the outside world their thoughts and concepts.

When coming to modern design, we have to discuss the "neoplasticism" with Modrian as representative. For artists of "neoplasticism", pure abstract and strict geometric bodies arrangement provides genuine aesthetic concept for modern

technology and industrial society. Furthermore, they consider art as the pioneer of society, so pure externalism is brought into every field of life to create new, harmonious, orderly and independent nature. The strict concept on forms and their refusal against fussy decoration break the influence of traditional theories, gradually exert influence on the projects of modern design, and serve the demands of functionalism and the technology of industrial production.

Symbolism is a very remarkable art movement genre in the 19th century. This art genre influenced the “New Art” movement. For example, the works of Gustav Klimt, an important painter of Vienna “Secession”, the glass household utensils of Emily Geller, French designer, both have strong symbolism features. Symbolism is shown through the application of curves of “New Art” style. In 1889, designer Crane repeatedly emphasized the importance of curves and line representation. The importance and stress attached to curves makes this movement possess strong plane feature as well as evident trace of eastern art, especially the trace of Japanese Yamato-e style.

Industrial design is no doubt immense and intensive, but there is no need to purposely pretend to be abstruse and mysterious. The author believes that the principle of industrial design lies in simplicity and reality. The said “simplicity” refers to that a design must have explicit aim and solve the comparatively simplex problem; and the design language must be clear and express and the shape be unsophisticated. The said “reality” refers to rational design concept and attitude and the maneuverability of the design.

Designing is not a process being “assuming as a matter of course”. Rigorous logicity is a simple but effective design thought. Design is a precise activity and is a comprehensive and systematic project. Regretfully, many people just extract a branch from this system and misinterpret the whole design system project as “design only means to draw a shape”. This unilateral understanding intangibly fosters the random of designing and some will consider that designing is very easy or that designing is just a “assuming as a matter of course” production of a shape. They neglect that in this system, multi-disciplinary knowledge covering marketing, psychology, engineering, material science, methodology and design methods is an integrative unity and thus, they exclude the logic relevancy of design.

Each tache in industrial design is worked out through rigorous logicity. Taches are closely connected with each other in order. When running into “assuming as a matter of course” area, the design has fundamentally lost its direction; the design will not have rigorous design procedure, not place its aim at the market, and not have suitable techniques for production. Without logic procedure, it is impossible to scientifically analyze problems, even it cannot be figured out that which tache in the design has gone wrong, and the adjustment and modification of the design will have nowhere to start. Those who assume that to “draw shapes” is a short cut are actually doing repeated and meaningless work. They think they will obtain a “good” form which is actually of no realistic value at all.

Joseph Elbers had once put forward such a question to his students, “why should we use four legs when three legs are enough to keep stable”. Substantially, this question indicates a direction to adjust thoughts for us. “Four legs” are not always needed for sustaining, but “four legs” are needed in some sustaining, and there exists logic relevancy between “three legs” and “four legs”. The stability of sustaining does not depend on the number of legs; the choice of number of legs shall be based on the specific positioning of a design rather than on the need of shapes. After simplifying the problem, you will have more choices and your thoughts will be broadened. Design is sometimes so magical. Therefore, although a lot of problems have to be considered when designing, logic can help you to judge and pick and reject rationally. To pursue rigorousness is not to complicate designs subjectively; rather it aims at making design thoughts more simple and effective under the guide of logicity.

William Wagenfield pointed out in his book *A Discussion on the Works of Golden Workshop* that, “.....functions generate forms, which is an explicit requirement on the design of forms and functions. To simplify the shapes to the simplest essentials, sphere, cylinder, cube and cone; the simplicity provides a necessary comparison”. The superiority of “simplicity” lies in that the functions are stressed, the language meanings of operation and maneuverability are explicit, the visual effect is outstanding, and the touch feeling is comfortable. The IMac computer of “Apple” company executes the design concept being “focusing on individual rather than big and dispersed groups (focus user groups)”. The computer is designed with transparent shell. No connecting lines can be seen from the outside. Many people call this type of computers “blue eggs” for their simple shapes, but still you can feel the sophisticated design in each detailed design. This shows that simple forms do not mean the immobility of forms or visual baldness and that simple forms do not mean the neglect of design requirements.

The aesthetic feeling of shapes and forms are connected with functions and are represented by aesthetics and engineering aesthetics principles. Each line and block has its own language meaning. Any redundant lines, blocks or inappropriate decoration is useless and will bring along excessive design and unfavorable result. The simplicity of design shall be guided by design concepts. Large scale and industrialized production determines that the wholeness and module of shape designs are easier to realize production values. The rapid rhythm of modern life makes people more widely to accept the simple aesthetics towards objects. The modernism design concepts of Mies Vander Rohe “less is more” and the designs of postwar internationalism style are of simple forms, oppose decoration, and stress functions. From methodology, their design directions are more systematic and of high rationality. The “no decoration design style”, popular in the 1920s, takes simplicity as aesthetic standard and is also suitable for batch production. The “no decoration

forms” exhibition held by Germany Industry Alliance in Stuttgart in 1924 is an example for it. Up to now, when the industrial production feature is more distinct, which is that the market needs to produce products more quickly to meet demands and batch industrialized production is needed, simplicity principle becomes systematic design methodology in design theories. The design thought “to pursue more with less” advocated by Joseph Albers is accepted by more and more people. That to pursue simplified shapes and forms has become the main trend in modern design. Design concept is at the same pace with times, shapes and forms should be harmonized with the problems to be solved, so the simplification of shapes and forms are realized and recognized.

The simplification of shapes and forms does not mean a simple application of simple elements (for example geometric bodies), while it ascertains shapes and forms according to the need of solve “the target problems”. What should be avoided is that at the very beginning, a “simple” shape is drawn or the wrong understanding that the simplification of shapes and forms will be realized by just choosing to use “simple” elements. The representative of simple design style Dittel Rums believed that simple style was only the result of solving systematic problems and was not style for style sake. As the initiator and prolocutor of new functionalism, he explained that, “the aesthetic requirements of industrial products shall be simple, delicate, sincere, balanced and implicative”, from which we can see that the said “simple” shapes and forms do not refer to design style because the shapes and forms are just presentative images and there are many ways to realize simplified shapes. From the designs of Scandinavian, it can be seen that through the near perfect man-and-machine effect design and the application of the special features of materials, the simplification of shapes and forms is best explained. Joseph Albers taught his students to design through “the economical use of materials” so as to form simplicity as well as “different hierarchy in vision and structure”. This opinion on the relationship between materials and shapes is the prime in “no decoration” design and for the pursuit of simplicity and delicacy.

The “reality” of design is shown in the rational design concept. Rationality is the capacity to acknowledge and understand; it does not view things as single and isolated; rather, it views things from general as a whole; and it comprehends each matter from this systematic, comprehensive, and orderly principle.

The rational design concept is a must for market positioning. The market prohibits random of form. There is no pure emotional design because design concepts are formed on the basis of designers’ objective understanding of the material world. To understand, we need to analyze, choose and reject, which needs rationality. The market exists objectively; the products designed are the forms of the “substances”; to just do researches on “substances” and not on the objective world is just putting the cart before the horse. The author believes that a design without rational thoughts is only a design of bad taste. The author’s understanding of the “rationality” of industrial design is rigorous market investigation and research, systematic science analysis, reasonable function arrangement, precise components configuration, logic shape details and simple appearance vision.

Gropius said, “to try to design produces of simplicity and reality lies in the consistency of rules. It aims at the populace. The products of Bauhaus are not modern; the appearances of his products are the results of art harmony, which is realized through thinking and processing process of the technology, economy and appearance shaping that people do not notice.” When referring to architecture art, he said, “the appearances of architecture art must constantly set off under the premise of times spirit, society and technology and follow rational development, are not generated by the so said modern architects who pursue new things and the fantastic oddity in exaction of innovation.”

Eugon Weis, German designer, wrote in 1972 in his works *Stenmetzart und Stainmetzgeist*, “Our art style is no longer that immense but unromantic singleness and rigidity as of the Greek style; rather, it is the greatness and eminence that can inspire people; it is not horizontal, but vertical; not ‘not tall and upright’, but curved; not symmetrical, but balanced; not beautiful, but rich in expressions. If a word is needed to describe the afore mentioned alluring title, that will be exhibition.” It is organic, dramatic, and constantly growing style and is totally opposite to the ragescent Greek style; it discards horizontal style and resumes the road leading to the climax of vertical style.

What common people see is the forms of the produces, while what the designers see is the products’ humanism care towards the society; what common people see is a certain part of a product, while what the designers see is the whole system of the product; what common people see is the detailed design, while what the designers see is the whole operation; what common people see is the specific products, while what the designers see is the whole market. “Simplicity and reality” shall be the principle for industrial design.

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Choosing to Teach Music: Reflections of Elementary Music Teachers in Vancouver and Hong Kong

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Abstract

This qualitative multiple-case study explores elementary schools music teachers' career choice in Vancouver and Hong Kong. Face-to-face open-ended interviews were used for collecting data. The results of this study demonstrated the long-term processes of social learning of music teachers that contributed to their development of personal musical interests to become a teacher. Teachers of the Vancouver cases and Hong Kong cases made their choices according to job opportunities and training opportunities respectively. The factors that had contributed to these teachers' musical interests were very similar; but the crucial factors that had determined their choice of occupation differed remarkably. The socio-cultural differences of the two societies had noticeable influences on these elementary music teachers' choice of occupation.

Keywords: Career choice, Music education, Comparative education, Qualitative research, Multiple case studies, Sociology

1. Introduction

People's choice of career has been of interests in the field of social sciences. Besides Lortie's (2002) study that explored the reasons why people chose teaching as their career, there have been studies written on the career choice of pre-service teachers of various subjects other than music (Hayes, 1995; Serow, 1994; Zimpher, 1989). These studies revealed some of the possible reasons that pre-service teachers made their choice of career. In the United States, quantitative studies were done to investigate the career choice of orchestra musicians (Bernstein, 1986) and undergraduate strings music students (Gillespie & Hamann, 1999). These studies revealed that role models had inspired students to consider pursuing a career in music. However, there is no literature found to investigate the career choice of music teachers.

2. Contextual information

2.1 Demographics and school systems

Greater Vancouver area of the province of British Columbia, Canada has over 2.1 million people, with about 0.58 million people residing in the City of Vancouver. The Vancouver School District is an urban and multicultural school district under the Vancouver School Board [VSB] which administers all public schools in Vancouver. Schools in Vancouver follow the curriculum set by the British Columbia Ministry of Education. There are 91 elementary schools and annexes in the Vancouver School District (VSB, 2006). In recent years, although there is a steady increase in population in Greater Vancouver area (O'neil, 2007), there is a continue decline in school enrolment due to the low birth rate (VSB, 2006). Due to the decline of enrolments, more than 20 elementary schools experienced loss of teaching staff (VSB, 2006).

Hong Kong has become a Special Administration Region [HKSAR] of China since 1997. It is a densely populated urban city with over 6.8 million people. The Education Bureau is in charge of educational policy, curriculum and school development in the HKSAR. Government schools are managed by the Education Bureau while government-aided schools are managed by the school management committee of each school. There are 669 primary schools in Hong Kong (Education Bureau, 2007). Although the low fertility rate has led to the decline of students' enrollment and foreseeable closure of schools (Audit Commission, 2002); the rapidly growing number of mainland women giving birth in Hong Kong may lead to high demand of school places when these children reach the age of six and study in Hong Kong primary schools (Clem, 2006).

School systems of Vancouver and Hong Kong differ. In Vancouver, schools are divided into Preschool for students aged

3-4, Elementary (Grades K-7 for students aged 5-12) and secondary (Grades 8-12 for students aged 13-17). In Hong Kong, schools are divided into Kindergarten (Kindergarten 1-3 for students aged 3-5), Primary (Primary 1-6 for students aged 6-11) and Secondary (Secondary 1-7 for students aged 12-18).

2.2 Teacher education for elementary music teachers

Based on my experience in music teacher education in both cities, elementary music education for music teachers in Vancouver and Hong Kong are different. In Vancouver, elementary school teachers are usually generalists who teach multiple subjects. Teacher education programs for elementary teachers are offered by universities in the Greater Vancouver Area. Pre-service elementary teachers, regardless of their experience of music training, may take music education courses so as to facilitate them to integrate the subject into their curriculum. In addition, there are some organizations such as the British Columbia Orff Chapter and the Vancouver Community College that provide short courses on Orff methodology or Kodaly methodology for elementary teachers. In Hong Kong, primary school teachers are mainly subject specialists. Teacher education programs for primary teachers are offered by tertiary education institutions and universities in the territory. Pre-service teachers who choose to study music education are required to have basic knowledge in music theory and practical skills of playing a musical instrument. In addition, there are some short music courses offered by the Hong Kong Professional Teachers' Union for teachers.

2.3 Music teachers in elementary schools

The allocation of human resources for elementary classroom music varies in both cities. In Vancouver, elementary students usually follow a generalist homeroom teacher who is expected to integrate various subject areas into the class-based curriculum to cater for the needs of students. In schools where instrumental (band or string) programs are offered for students in Grade 4 or above, a specialist music teacher may be hired to teach these instrumental programs. However, specialist music teachers usually have to teach instrumental programs in several schools rather than stationing in one school. The arrangement of music lessons and implementation of the fine arts curriculum in elementary schools depends on the resources of the VSB, the professional strength of teachers and the administrative concerns of school principals.

Primary students in Hong Kong are taught by several teachers who teach different subjects. Except language teachers, primary teachers usually have to teach at least two subjects. There are usually several music teachers in a primary school. Some music teachers are trained music teachers who studied music in their teacher education course, while some may be trained in other subjects but with some knowledge and skills in music, such as the ability to play piano. Trained music teachers may be allocated to take up more music teaching. Besides general music classes, schools may offer choir training or instrumental classes as extra-curricular activities taught by schoolteachers or part-time instructors. The assignment of teaching duties depends on the administrative concerns of school principals and the professional strengths of teachers.

The contextual differences of Vancouver and Hong Kong led my interests to investigate the career choice of classroom music teachers in these two cities. Since there is no literature found written about the career choice of classroom music teachers, nor any existing literature about teachers' career decision was designed as cross-cultural study, this present study is designed as a qualitative exploratory study to collect reflections of in-service classroom music teachers in elementary schools of Vancouver and Hong Kong on their career choice. I hope that the findings of this study can fill the gap in literature, contribute to the field of music teacher education and inform school administrators as well as parents.

3. Analytical framework

Since the classical study of Ginzberg and his associates (1951) on occupational choice, scholars have developed various models and approaches to occupational choice and career development. Such as the theory of Roe (1956) that relates early childhood environments to people's occupational choice; the trait-and-factor model of Holland (1997); the developmental theory of occupational aspirations by Gottfredson (1981), social cognitive career theory of Lent and his associates (1994), the social learning theory of career decision making of Krumboltz (1994). However, these theories on career choice and development are mainly based on the experience of American scholars and there may not be applicable to all types of people because of the differences in education systems across nations (Johnson & Mortimer, 2002).

As a cross-cultural comparative study, it is necessary to relate the findings to the contextual factors, sociological perspective and educational ideologies of the two cities instead of reading from the face value of the data (Masemann, 1999). Therefore the theoretical perspective of career choice and educational thoughts that prevail in Vancouver and Hong Kong will also be taken as part of the analytical framework for discussion of the findings.

3.1 Sociological perspective of career choice

According to Krumboltz (1994), there are four categories of factors that influence a person's career choice. The first

category is *genetic endowment and special abilities*, such as race, sex, physical appearance, and intelligence of a person, which affects his/her ability to benefit from the environmental experiences. The second category is *environmental conditions and events*, which include social, cultural, political and economic resources available to a person, such as job opportunities, training opportunities, monetary return, policies and procedures for selecting trainees, family experiences and community influences. The third category is *learning experiences*. A person's past learning experiences may have influence his/her education preferences and career choice. The fourth category is *task approach skills*, which result from the interactions among *genetic endowment and special abilities*, *environmental conditions and events*, and *learning experiences*. A person would employ his/her task approach skills such as work habits, performance ability, mind sets and emotional responses, to tackle and solve daily problems. Since this study focuses on career choice and Krumboltz's social learning theory of career choice discusses various categories of factors that might influence people's career choice, it forms a part of analytical framework for explaining the findings.

3.2 Educational ideologies

Children-centered approach that based on Progressivism, which emphasizes the individual development of the child's creativity, experience, and growth through discovery and play, has been the mainstream in the education system of Vancouver (Wilson, 1983). Progressivism in education emphasizes students learn through collaborative group activities and individual experience. Parents and teachers value children's musical growth as well as their enjoyment and preferences in learning (Bauer, 2001). Students' rights and interests are being recognized, and they are given the opportunities to acquire the skills for participating in the free and democratic society of Canada (VSB, 2006). Therefore teachers are expected to be a facilitator of learning rather than a transmitter of knowledge and skills on subject matter.

Hong Kong had been a British colony for 150 years before 1997. As a city where Chinese and Western values meet, people in Hong Kong enjoy freedom of living and the government's efforts in promoting economic development, in compensate of the deprivation of political power. Lau and Kuan (1997) describe such phenomenon as a "utilitarian" culture that is unique to Hong Kong. The general public values education highly and regards education as a social ideology of openness and opportunity that facilitate social mobility for improving future living (Wong & Ng, 1997). Being an essential ingredient in Chinese culture, Confucian ideology has been most influential in Chinese societies (Szalay et al., 1994). Teachers usually hold very high esteem and authority in Chinese societies. Children are expected to respect and learn from teachers. Parents expect teachers to transmit as much knowledge and skills to their children and be idealized models of intellectual and moral development. Parents and teachers prefer students to work hard on academic subjects rather than arts subjects due to their high expectations on students' academic achievement (Morris, 1996). Children brought up with these values tend to focus on gaining satisfaction and self-esteem through achievement (Wong & Watkins, 2001).

4. Methodology

4.1 Samples, data collection and analysis

This cross-cultural study is consisted of 10 cases: five documented in Hong Kong and five in Vancouver. The subjects were chosen according to "non-probability sampling" (Merriam, 1998). The sampling criteria were: (1) the participants were in-service music teachers in primary/elementary schools in Hong Kong or Vancouver when the data were collected; and (2) they were available for an open-ended face-to-face interview. Open-ended face-to-face interview allowed the participants to express their ideas more thoroughly and would not limit their response, while probing questions could reveal the underling reasons of the responses (Hollway & Jefferson, 2000). An identical set of interview questions was used (with translation) to enhance the comparability of the data across cases. All interviews were conducted by the researcher and tape-recorded with the subjects' consent. The data were transcribed and coded according to the categories generated to address the objective of the study. Transcribed interviews were sent to the participants for members' check to ensure validity. Pseudonyms have been substituted for the actual names of the subjects. A three-tire method was employed in analyzing the data: "within-case analysis" that explored the significant factors that influenced individual teacher, followed by a "cross-case analysis" (Merriam, 1998) that compared the overall findings. Finally, "cross-cultural analysis" (Bray & Thomas, 1995) was used to explore the possible influence of the contextual factors of different cultural settings.

4.2 Limitations of the study

The findings of this study are limited to the interviews of the 10 cases. This study represents a preliminary attempt to understand the cultural and social influences on teachers' choice of career in Vancouver and Hong Kong. As a qualitative multiple-case study, it does not intend to offer overarching generalization.

My interpretation of the research materials is shaped by my experience as someone (1) of Chinese heritage, who was born and grew up in Hong Kong; (2) educated in Hong Kong and Vancouver; and (3) worked as music teacher in both Hong Kong and Vancouver. I regard myself to be in a privileged position as a cross-cultural researcher, having been exposed to the music culture and educational systems in both cities. The limitation of language difference is believed to

be minimal because I am fluent in English and Cantonese and also have made efforts to ensure that the English translations reflected the meaning of the original Cantonese language.

5. Findings

The research findings of this cross-cultural multiple-case study are organized in two parts: Part One describes the findings from the five cases in Vancouver and Part Two describes the five cases in Hong Kong. The quotations presented are extracted from the interview data. Table 1 shows the summary of findings in the form of a comparison table.

5.1 Vancouver cases

5.1.1 Case 1: Amy

Amy was a Caucasian teacher in her early-40s. She reflected that her family and piano teacher had contributed a lot to her musical interest.

“There was always a lot of music in my home. Though my parents, neither of them played a musical instrument, they really valued that. When I was seven years old, at my mother’s suggestion, I started studying piano and enjoyed it very much. ... When I was sixteen, my piano teacher asked me to do some teaching of beginners. So, that got me started and then I decided to go into music, got a music degree.”

Amy reflected that she did not plan to become a music teacher and did not have specific training in music education. However, it was easier for her to find a job if she could teach music.

“I wasn’t planning to be a music teacher. ...I found that the best way to get a job was to do music. In Vancouver, it’s impossible to get a job as a classroom teacher. You have to focus on your specialties and my specialty was music. ...I really enjoyed it, so that’s why I continued. ... I didn’t specifically train as a music teacher though I had very few music education courses.”

5.1.2 Case 2: Ben

Ben was a Canadian-Japanese teacher in his late-30s. He did not have any formal training in music, but he could play several musical instruments. He reflected that he started to play musical instruments with support from his parents.

“I was in school band and I played guitar. ... Well, with the trumpet, it was my parents wanted. My parents didn’t discourage me listening to music or playing guitar. I always enjoy having music as something for background music. ... Guitar was something on my own. I just really liked other people that played guitar and so then I tried it myself.”

Ben did not intend to become a music teacher. However, he believed that music might help students in learning other subject areas and has been integrating music in his classes for 10 years already.

“I’m a classroom teacher and I just do some music. ... I’m a generalist for the classroom, I teach art, I teach gymnasium, I teach music. ... I didn’t really specialize in music. ... We don’t have a music teacher where the kids go to, so the classroom teacher does all the areas. It’s just something that I take on.”

5.1.3 Case 3: Cathy

Cathy was a Caucasian teacher in her 50s. Although her formal degree was neither in music nor music education, she could play several musical instruments.

“I played piano since I was seven years old. ... I would play for enjoyment. ... I played recorder for 10 years, teaching it. I’m usually a few steps ahead of the children on recorder. ... The ukulele, I’ve been playing for 45 years. Just an instrument, a toy, I picked up as a child and enjoyed, and used it for sing-along through the years. ... My skill is minimal but children think that I’m wonderful.”

Cathy reflected that she did not intend to become a music teacher though she had been teaching music in elementary school for 10 years.

“I had been a primary teacher up until that time. ... The school principal phoned me because she knew I was substitute teaching at that time and she knew that I was doing some music with the ukulele and I was interested in music. When I was asked to be a music teacher, I was excited. My training was in elementary education and my music training was piano in the past as a child. ... So that’s how I ended up teaching music even though my formal degree was not in music.”

After Cathy became a classroom music teacher, she realized that she needed to improve and learn more. Therefore she started to take up some short music education courses.

“I found myself in a classroom that had a whole set of Orff instruments ... so that each child in my class could be on the barred instrument. ... I realized that I needed to improve, to know how to teach, to know how to use these instruments with the children. ... I took “Introduction to Orff” and then “Level I Orff” over a period of two years. ... I went to

workshops that give me materials to use with instruments.”

5.1.4 Case 4: Daisy

Daisy was a Caucasian teacher in her mid-40s. She reflected that her family provided her with a lot of chances in encountering music since her early childhood. She felt that it was very natural for her to have great interests in music.

“I was always involved in music because my family was involved in music so that it seemed natural to go into. I enjoyed it though. ... When I was six, I began piano lessons and vocal lessons at about 10. I was in choirs, singing under my parents’ leadership. I grew up in an atmosphere with lots of music.”

Daisy reflected that she wanted to teach music and other academic subjects. Therefore she had been a generalist teacher that had to teach various subjects for 20 years.

“I wanted to be a teacher ever since I was little. ... I went into Bachelor degree in Education right after Grade 12. I specialized in mathematics and music. I did not want to be only a general music teacher because I enjoy teaching academic subjects.”

5.1.5 Case 5: Edwin

Edwin was a Caucasian teacher in his mid-30s. He reflected that his parents supported him to have music training since early childhood and his music teachers had led him to develop his keen interests in music.

“I started with piano when I was five, but I stopped piano lessons when I was 12 and just concentrated on cello. ... My parents gave me the opportunity to start cello. ... My father loves playing the piano. And there was always music in my home. ... I would consider my music teacher in high school to be my mentor. He was very knowledgeable and supportive. He showed me what is available through choral and orchestral music in classroom setting ... he influenced me. ... Another person would probably have been my cello teacher. He gave me the skills and the techniques to let music come alive. I enjoy performing so much.”

Edwin reflected that he made up his mind to become a music teacher only after he graduated from university.

“I had been doing a lot of performing as a teenager and I studied a music program in university. After studying, I decided that music was what I wanted to do. ... I wanted to become a music educator. ... So, I entered the teacher education program.”

5.2 Hong Kong cases

5.2.1 Case 6: Fong-fong

Fong-fong was a Chinese teacher in her mid-30s. She liked playing piano and singing. She acknowledged that it was her music teacher at primary school who influenced her interests in music and inspired her to become a music teacher.

“I have loved piano when I was a child. ... But I had too much schoolwork. My mom let me learn piano at around 14 years old. ... I played the piano intermittently because of no time, and my schoolwork was very busy. My music teacher at primary school was very nice to me. I thought that it would be nice to be like her when I grow up. ... She taught well. She taught me how to sing better. She encouraged me to join the choir. She said that I sang well and made me think I had the talent in this aspect. Then I gradually fell in love with music.”

Fong-fong reflected that she made up her mind to become a music teacher when she was admitted to the music teacher education program.

“I love music and I like other people to share with me, therefore I chose to teach kids. I was never sure if I could get into the music teacher education program, I just wanted to try. I decided to become a music teacher when I was confirmed to have a place in the music teacher education program.”

5.2.2 Case 7: Gigi

Gigi was a Chinese teacher in her late-20s. She revealed that she had loved music since she was very young, but she had to persuade her mother for many years before she was allowed to learn piano.

“When I was very small, I loved listening to music and especially the sound of piano, I kept on persuading until my mom to let me learn piano at around 13 years old. My mother said that learning piano was expensive, and I had to do better in my schoolwork. ... when I was in high school, I was envious to see people studying music at universities, I thought it was really wonderful to be able to get in touch with music everyday.”

Gigi decided to become a music teacher when she was admitted to the music teacher program.

“I made up my mind to become a music teacher when I applied for music teacher program of tertiary education, because teaching music would have more varieties than teaching other subjects and because of my interests.”

5.2.3 Case 8: Hing-hing

Hing-hing was a Chinese teacher in her mid-30s. She recalled that her interests in music were developed through

playing piano and reading the biographies of musicians.

“I started to learn piano when I was 13 years old. I thought playing piano was fun. My family is not rich and we lived in public housing estate. The nearby community center offered piano lessons were not too expensive, and I could afford. ... At that time, when I had nothing else to do, I would read the biographies of musicians. I found that their biographies are very different from those of other famous people. ... I thought I could achieve the same.”

Hing-hing reflected that she always wanted to be a teacher. When she applied for tertiary education, she enrolled in the music teacher education program and she was admitted.

“I had wanted to be a teacher since I was little; when I had to apply for tertiary education. ..., I thought music was fun. I applied for the music teacher education program and I was admitted.”

5.2.4 Case 9: Ivy

Ivy was a Chinese teacher in her late-20s. It was her mother who stimulated her interests in music, and it was her piano teacher who inspired her to become a music teacher.

“I always wanted to be a teacher, since I love music ...my mom sent me to learn playing piano and dancing when I was in Primary 3. But my schoolwork was very demanding, and I quitted dancing. ... When I was about 15 years old, my piano teacher told me that I only knew very little about music. So I really wanted to study music in a structured way in College. After graduating from high school, I have always wanted to become a teacher too, and since I liked music, so when I enrolled in the music teacher education program.”

5.2.5 Case 10: Jackie

Jackie was a teacher in her late-20s. She liked playing pipa (a Chinese pluck-string musical instrument). Her love for music was developed through her experience of learning musical instruments.

“When I was in Primary 5, I happened to know that there were affordable courses on musical instruments offered by the Music Office (funded and operated by the government). I saw people playing this musical instrument on TV and thought that was nice...I spent 7 years to finish the whole course. ... My pipa teacher sent me to competitions, and let me join the ensemble and orchestra. ... My scope of musical exposure was widened; I'm no longer playing alone. ...I got feelings of success and I fell in love with music.”

Jackie reflected that she decided to become a music teacher after graduating from secondary school.

“When I finished secondary school, I decided to be teacher; I thought of teaching music, becoming a music teacher would be nice because I started to learn musical instruments when I was little.”

6. Discussion and conclusion

The career choice of the music teachers of this study demonstrated a resultant of a long-term process of social learning that could be described by the categories of factors as suggested by Krumboltz (1994). Teachers of this study had long-term music training which equipped them with the necessary task approach skills to become music teachers; their positive experience of music learning, family experiences, opportunities of receiving music teacher education and opportunities of getting a teaching job, created favorable environmental conditions and learning experience which shaped their personal interests to become music teachers.

6.1 Environmental conditions

6.1.1 Family experience

Teachers of all ten cases received music training with family support. However, their family experience demonstrated vast cultural differences among the Vancouver cases and Hong Kong cases. Parents of the Vancouver cases seem to value music education more than their counterparts of the Hong Kong cases.

Teachers of the Vancouver cases reflected that they got support and encouragement from their families in pursuing music training since childhood. According to their reflections, none of them recalled any obvious constraints that might have hindered their music learning. Their parents sent them to have piano lessons or join instrumental class at school on their parents' initiation. It demonstrated their parents' support in developing children's musical interests in a child-centered education environment of Western societies (Bauer, 2001).

Among the Hong Kong cases, except Ivy who recalled that it was her mother's idea to send her to piano lessons, teachers of other Hong Kong cases mentioned that it was their own initiatives to learn music. However, they reflected that their parents' support for music learning was limited by the conditions of their financial constraints and heavy schoolwork. Hing-hing and Jackie recalled that they could learn to play musical instrument until they found affordable instrumental class. Fong-fong and Gigi had to persuade their parents for many years before they were allowed to have piano lessons. Fong-fong, Gigi and Ivy mentioned their heavy workload of school had hindered their music learning. The Hong Kong cases revealed some social issues behind the scene of learning musical instruments. Firstly, families

with tight budget might need to wait until their family financial situations improve before they could support their children to learn playing musical instruments. Secondly, parents in Hong Kong usually have high expectations on academic achievement and rank their priority of schoolwork over learning music instruments (Morris, 1996).

6.1.2 Job opportunities vs. training opportunities

Job opportunity was a major concern when teachers of the Vancouver cases chose to teach music. Although all teachers of the Vancouver cases mentioned their keen interests in music, most of them did not plan to be a music teacher until they graduated from university or until they had entered the teaching profession. Amy, Ben and Cathy made their choices because of the demand of the job market. Amy admitted that it might be easier for her to get a job if she could teach music. Ben and Cathy entered the teaching profession as a generalist teacher and became music teachers when there was a shortage of music teacher in the schools they taught. These teachers' ability to teach music became an asset for them to secure a job, when there were not too many job openings in the market. Teachers of the Vancouver cases made their choices with pragmatic considerations of job opportunities in addition to their personal interests. Since elementary schools in Vancouver are taught by generalists who do not need to have specific training in music education, only Cathy mentioned that she took music methodology courses to improve her music teaching. According to the teachers of the Vancouver cases, job opportunity was more important than training opportunity when they considered becoming a music teacher.

On the contrary, none of Hong Kong teachers of this study mentioned about job opportunity. Teachers of the Hong Kong cases confirmed their career choice when they got admitted to the tertiary music teacher education program for secondary school graduates. They reflected that their choice of becoming a music teacher was mainly due to their personal interests in music, and none of them mentioned about job opportunities. Except Ivy who always wanted to be a music teacher since high school, other teachers of the Hong Kong cases decided to become a music teacher only when they were admitted to the music teacher education program and got the opportunity of job training. The opportunity of receiving music teacher education was a prominent factor that contributed to the favorable environmental conditions that determined teachers' choices of career of the Hong Kong cases.

The differences of effect of the opportunity of receiving music teacher education and job opportunity reflect the differences in labor market and education systems in Vancouver and Hong Kong, which demonstrated the notion of Johnson and Mortimer (2002) that people made their choices of career according to contextual factors that differ across nations.

6.2 Learning experience

Among the Vancouver cases, Amy acknowledged that her piano teacher strengthened her confidence and inspired her to study a music degree. Edwin admired his high school music teacher who exhibited a knowledgeable and supportive image that led him to choose studying music in university. Although other teachers of the Vancouver cases did not specially mentioned their music teacher, they mentioned their love for music that developed through playing musical instruments. Ben mentioned his love for guitar, Cathy mentioned that she played several musical instruments since her childhood and enjoyed a sense of achievement when children thought that she was wonderful.

All teachers of the Hong Kong cases mentioned that they had positive influences from some role models, such as music teachers, music students and great musicians. Fong-fong recalled that her music teacher at primary school encouraged her to participate in choral singing and convinced her that she had talent in singing. Ivy reflected that her piano teacher encouraged her to continue studying music; Jackie acknowledged her Pipa teacher who contributed to her keen musical interests by sending her to competitions and playing in orchestra. Gigi and Hing-hing reflected that their musical interests were developed through listening to music, playing piano, and following role models in the process of music learning. Gigi admitted that she admired those music students of universities and colleges, while Hing-hing wished to make music like great musicians as she read their biographies.

Although all ten cases had positive experience in music learning, cultural differences were noted in the ways these teachers expressed their music learning experiences. Teachers of the Vancouver cases recalled that they had lots of enjoyment in the process of learning music, while teachers of the Hong Kong cases recalled the constraints of financial limitations and heavy school work that they encountered instead of their enjoyment of music making. Instead of mentioning their personal enjoyment of music learning, they expressed their feelings of satisfaction through getting the valuable chance to learn music and getting encouragement from their music teachers. These differences could be explained by the different educational ideologies that exist in the societies of Vancouver and Hong Kong. The way that teachers of the Vancouver cases value their personal enjoyment in learning reflects the children-centered approach of progressivism ideology which emphasizes the enjoyment of learning through discovery, experience and play (Wilson, 1983; Bauer, 2001). Influences of the achievement-oriented expectations could be found in teachers' feelings of satisfaction of the Hong Kong cases (Morris, 1996; Wong & Watkins, 2001).

6.3 Conclusion

From a general perspective, the reflections of these ten teachers of Vancouver and Hong Kong demonstrated that

long-term process of cognitive and social learning before a music teacher acquired the music skills, build up the keen interests and confidence to teach, and demonstrated Krumboltz's (1994) notion on decision of career choice. From a cross-cultural perspective, even though these ten teachers shared keen interests in music, the crucial factor that influences their choices differs according to the contextual and cultural differences of the two cities, instead of the mere differences in education systems as suggested by Johnson and Mortimer (2002).

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Table 1. Summary of Findings

	Teachers	Gender/Age/ Ethnic group	Music training	Factors shaping teachers' music interests	Major concern(s) when deciding career choice
V A N C O U V E R	Case 1	F/40s/	Piano	Family	Personal interests
	Amy	Caucasian	Harp	Piano teacher	Demand of job market
	Case 2	M/30s/	Guitar	Family	Personal interests
	Ben	Japanese	Trumpet	School Band	Demand of job market
	Case 3	F/50s/	Piano	Family	Personal interests
	Cathy	Caucasian	Orff Ukelele	Music training	Demand of job market
	Case 4	F/40s/	Piano	Family	Personal interests
	Daisy	Caucasian	Singing	Music training	
	Case 5	M/30s/	Piano	Family	Personal interests
	Edwin	Caucasian	Cello	Music teacher	
H O N G K O N G	Case 6	F/30s/	Piano	School teacher	Personal interests
	Fong-fong	Chinese			
	Case 7	F/20s/	Piano	Music listening	Personal interests
	Gigi	Chinese		Music training Music students	
G	Case 8	F/30s/	Piano	Music training	Personal interests
	Hing-hing	Chinese		Great musicians	
	Case 9	F/20s/	Piano	Family,	Personal interests
	Ivy	Chinese	Recorder	Piano teacher	
Case 10	F/20s/	Piano	Pipa teacher,	Personal interests	
Jackie	Chinese		Music training		



Study on Interest-value Theory of State-owned Mineral-resources

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This paper is sponsored by National Natural Science Foundation of P. R. China (project No.79670094).

Abstract

This thesis, systematically introduces interest-value theory of mineral-resources, some important viewpoints, such as the value of a mining concession equals the sum of values capitalized, which include the value of mineral-resources purchased by the units of mining; the value of managerial fees collected by administrative authorities and the value of expenses occurred during exploring mineral-resources, have been summarized. On the base of interest-value theory of mineral-resources, the connotation of new management-system for state-owned mineral-resources has been also submitted. In the new management-system, establishing national trading market for mineral-resources is strongly recommended in detailed illustration. The objective of this paper is to promote the innovation of interest-value theory of mineral-resources in the world.

Keywords: Mineral-resource, Interest, Value, Theory

1. Introduction

Because of high-speed development of national economy, demands for the mineral-resource sharply increase, problem of mineral-resource shortage becomes more and more seriously, and change into a common key problem for human in the world. Mineral-resources, also called “diminishing assets” by experts in accounting, are one of properties depleted gradually by mining and no ways to reproduce. It needs further discussion as regards how to establish a new management-system of state-owned mineral-resources in China, which should adapt to the existing economic system. On the basis of hard work supported by the project of National Natural Science Foundation of P. R. China (project No.79670094), named Interest-value Theory and Problems of Capitalization for Mineral-resources, some personal viewpoints of interest-value theory of mineral-resources about state-owned mineral-resources should be stated by this thesis.

2. Foundation of Interest-value Theory of State-owned Mineral-resources

Interest-value theory of mineral-resources was proposed by the project of National Natural Science Foundation of P. R. China. The foundation of interest-value theory of state-owned mineral-resources suggested by this paper mainly embraces the following important points.

2.1 Characteristics of Rights and Interests of State-owned Mineral-resources

Characteristics of interests of state-owned mineral-resources listed below:

2.1.1 Mineral-resources must be utilized efficiently

Because of the economic value of mineral-resources stemming from surplus value of human labor, only mineral-resources were utilized efficiently, the profits of the mineral-resources should be realized. If mineral-resources were utilized invalidly, no interests of the mineral-resources should be gained.

2.1.2 Value incarnated by transaction in the trading market of property rights of mineral-resources

Before state-owned mineral-resources transferred, the total value of the interests of state-owned mineral-resources attribute to the nation. With the reform of the management-system in China, the mineral-resources would enter the trading market of property right of mineral-resources for transaction. The units of mining should purchase the right of mining or a mining concession at the cost of market quotation, and then the rights and interests of mineral-resources would be transferred to the purchasers, which would possess rights and interests of mineral-resources purchased. In this point, rights and interests of state-owned mineral-resources are differ from rights and interests of land, as we know, only the usage-right of the land can be transferred each other, no property-right of the land can be transferred now in P. R. China. So the state-owned ownership of the land determines that earnings of transferring a mining concession of

state-owned mineral-resources belong to nation or the entire people, and also is a result of economic realization on property right of state-owned ownership of mineral-resources.

2.2 Main Modes of Mineral-resources in the World

Economists devote much attention to the study of economic essential of mineral-resource. Many scholars, like Conrad J. M (Conrad J. M & Clark C. W, 1987) and Randel A (Randel A, 1987), proposed their opinions for protecting mineral-resource or researching the value of mineral-resource in the world. Mineral-resources being considered as assets become an important subject of studying economic essential of mineral-resource in China (Zhu, Xueyi & Li, Enzhu, 1999, pp. 29-38).

Because of differences between the social system, the economic system and the statutory rules of every countries in the world, the ownerships of land and means of production are different also, so differences between the modes of rights and interests of mineral-resources exist reasonably, main modes of rights and interests of mineral-resources listed in Table 1. This is the beginning of studying management-system of state-owned mineral-resources.

3. Connotation of Interest-value Theory of Mineral-resources

3.1 Total value of mineral-resources should be capitalized

In order to establish new theory of mineral-resources, the total value of mineral-resources should be capitalized to an account, then the mineral-resources capitalized can be managed as assets, this content is the core of the innovation of the theory. The values of mineral-resources capitalized are illustrated bellow.

3.1.1 Value of mineral-resources purchased by the units of mining should be capitalized

If exploiting mineral-resources, the units of mining must purchase a mining concession in advance and value of mineral-resources purchased by the units of mining should equal the value of a mining concession of the units of mining, and should be capitalized into an asset of mineral-resources, which should include the acquisition price, all taxes and fees in deal of purchasing mineral-resources or a mining concession. The asset of mineral-resources or the intangible asset of a mining concession should be transferred as the form of deletion or amortization into the costs of mineral products during procedure of production, and compensated with sale of mineral products gradually. In order to prevent illegal deals and be convenient for management, trading market for property right of mineral-resources, especially, the big integrated market will be suggested by this paper.

3.1.2 Value of managerial fees collected by administrative authorities should be capitalized

Due to execute the administrative obligations, administrative authorities may collect some managerial fees from the units of mining. These values of managerial fees collected by administrative authorities should also be capitalized, as above mentioned, these capitalized values will also be transferred into the costs of mineral products during procedure of production, and also compensated with sale of mineral products gradually. The main managerial fees would include following items:

3.1.3 Fee of protecting environment

During mineral-resources developed, environment may be polluted and ecological equilibrium may also be broken. In order to prevent these situations, administrative authorities must take effective measures to recuperate foundation of environment, improve the quality of ecological environment and keep proper rate of exhaustion of mineral-resources, so the fee of protecting environment must be imposed.

3.1.4 Fee of developing substitute resources

There is a reserves limitation of existing mineral-resources. Before exhaustion of the mineral-resources, research on new substitute resources, development of new utilization to known mineral-resources and study of new functions of existing mineral products should be arranged by the administrative authorities, so the fee of developing substitute resources must be collected for organizing such works mentioned above.

3.2 Value of expenses occurred during exploring mineral-resources should be capitalized

Discovery-right, similar to the patent right of intangible assets, should belong to the prospector or units of exploration and the interests of discovery-right also belong to. Discovery-right should be transferred to the units of mining ungratuitously, the interest of the prospector or units of exploration in the transaction equals the net proceeds that is remainder of transfer price deducts the cost of exploration and the taxes and fees of assignment. The interest of discovery-right should be included in acquisition price or taxes and fees in deal of purchasing mineral-resources or a mining concession. Expenses occurred during exploring mineral-resources would include the following items:

3.2.1 Fees of application for enrollment

If prospecting mineral-resources, according to statutes, the prospector or units of exploration must apply for prospecting-right in advance, and must pay some fees for this action, so the Fees of application for enrollment should be

calculated and capitalized to the value of mineral-resources.

3.2.2 Practical expenditure occurred during exploring

Geological prospecting is a long process which combines the mental work with physical labor. First, it needs the theoretical inference and scientific research; second, it passes the courses of general investigation, detailed survey by prospecting technique even the high- technique means. The whole course is likely to last for 2-5 years as short and more than 10 years as long, and many items of practical expenditure occurred during this exploring course, so these expenses occurred during exploring mineral-resources should be calculated and capitalized to the value of mineral-resources certainly.

4. Key Utilization of Interest-value Theory of State-owned Mineral-resources

With the system reform of property right becoming deeply in P.R. China, multi-subjects of property right connected by capital provide conditions for transferring value of mineral-resources un-gratuitously. One of crucial points of the utilizations submitted by this thesis is to increase national revenue of the existing taxes and fees in the trade of property rights of mineral-resources. The first reason for this point is that the lower standard of imposing taxes and fees of mineral-resources could not reflect the values of interests of state-owned mineral-resources; the values of managerial fees collected by administrative authorities and the values of expenses occurred during exploring mineral-resources, the second reason is that the lower standard of imposing taxes and fees also could not effectively eliminate extra profits caused by the differences between mineral-resources, and could form unfair competitions between mining enterprises. The inevitable results of unfair competitions would cause striving for better mineral-resources, also cause ignoring safe inputs, the technical and managerial improvement and the effective recovery ratio of mineral-resources in mining production. For example, in coal mining industry of mainland, China, because of the lower standard of imposing taxes and fees of mineral-resources, the average recovery ratio of coal mineral-resources only reached about 40% by the end of Sept. 2006, this ratio may be lower about 25 percentage points than the same ratio of the other main countries of mining coal resources in the world (Liu, Shunguo, 2006, pp. 2-4). On the basis of interest-value theory of mineral-resources, implementing business of results of geological prospecting and establishing integrated trading market for property right of mineral-resources would be two key substances of innovation proposed by this paper for state-owned mineral-resources. Detailed explanations are given below.

4.1 Put the Results of Geological Prospecting into the Course of Trade

The procedure of implementing business of results of geological prospecting should be divided into two steps on the basis of realistic status in P. R. China. The first, when determining the value of mineral-resources in existing mining enterprises, administrative authorities of the nation would recover the surplus value in results of geological prospecting as partly withdrawing the fund invested to field of geological prospecting by nation before. The second, in order to impel the formation of operating system in units of geological prospecting, national financial allocation to the units of geological prospecting would be decreased by degrees and even stricken off.

4.2 Establishing National Trading Market for Property Right of Mineral-resources

For the sake of management, national trading market for property right of mineral-resources will be suggested by this paper. The procedure of establishing national trading market for property right of mineral-resources also should be divided into two steps on the basis of realistic status in P. R. China.

4.2.1 Determining the value of mineral-resources in existing mining enterprises

The workable reserves and the grades of existing mining enterprises should be examined and approved again on the basis of different factors, such as ore grade; geological conditions; mining degree of difficulty; conditions of communications and transportation, the better of the factors mentioned above are, the higher the grades and the value of the mineral-resources are. The grades and the value of the mineral-resources would be the basis for imposing related taxes and fees of the existing mineral-resources. The methods related costs or proceeds, such as method of present value; method of net price and so on, can be used to confirm the value of mineral-resources. After the total value has been calculated for a block of mineral-resources, then this block of mineral-resources must be transferred to the receiver according to the quotation of price in the national trading market for property right of mineral-resources, proposed by this thesis.

4.2.2 A mining concession should be purchased by the new mining enterprises

A mining concession should be purchased by the new mining enterprises according to the quotation of price in the national trading market for property right of mineral-resources in advance. When mining enterprises newly founded need developing mineral-resources, new units of mining should purchase a mining concession for extracting in the national market. The property right of state-owned mineral-resources newly discovered also should be transferred to the receiver or new units of mining in the national market. The value of a mining concession equals the sum of values capitalized, which include the value of mineral-resources purchased by the units of mining; the value of managerial fees

collected by administrative authorities and the value of expenses occurred during exploring mineral-resources.

5. Conclusions

In order to maintain stable, sustained and coordinated development of national economy, it is an important task to manage and utilize the limited mineral-resources effectively for China, as a developing country. Because of system of planned economy, mineral-resources were allocated by means of plans in past decade years. The mode of economic growth depending on high consumption and input of mineral-resources have been formed naturally, thus large amount of mineral-resources have been wasted. On this background, the interest-value theory of mineral-resources has been studied first, and some important viewpoints, such as the value of a mining concession equals the sum of values capitalized, which include the value of mineral-resources purchased by the units of mining; the value of managerial fees collected by administrative authorities and the value of expenses occurred during exploring mineral-resources, have been summarized by the first step in the study of interest-value theory of mineral-resources. The direction of future research would be toward specific items such as the rules of trade, the methods of value calculation for mineral-resources capitalized and so on. With development of research on interest-value theory of mineral-resources, the management theory for state-owned mineral-resources will become perfectly, and would play more important roll in development of national economy.

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Table 1.Comparisons between modes of rights and interests of mineral-resources in the world

Modes	System of ownership of the land	System of separation from two rights	System of national right
Main intension	Mineral-resources belong to owner of land. Only the owner of land and authorized members of owner of land can do prospecting, exploiting and using mineral-resources. The government can restrain the action of the owner of land	Property right of mineral-resources separates from the right of land. Property right of mineral-resources are awarded to prospectors and the users by the government	Legal rules stipulate that property right of mineral-resources, as wealth of the nation or the entire people, belong to nation or sate-owned enterprise, which can do prospecting, exploiting and using the mineral-resources, the rules also stipulate items for attention and distribution of benefits. The government obtains earnings by transactions of sate-owned mineral-resources, tax revenue and profits of sate-owned mining enterprise.
Representative countries	The U.S,the U.K, etc.	Countries in Euro-land (such as France), Japan etc.	P. R. China and most of developing countries



The Portfolio Decision under the VAR Restriction

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Abstract

The *VaR*, a new appearing financial risk-manage tool, have been applied widely. Many financial setups have accustomed to measure the risk of a portfolio with the *VaR*. So it is very necessary to discuss the portfolio choice problem under the *VaR* constraint. In this paper, by setting and solving the portfolio choice model under the *VaR* constraint, we illustrate that the use of the *VaR* constraint reduces the array of choice to a more manageable range. The probability of target *VaR*, therefore, can be thought of as a risk tolerance assessment tool (when coupled with another measure of risk).

Keywords: The *VaR* constraint, Portfolio, The optimum weight

1. Introduction

In the path-breaking work on Portfolio Selection, Markowitz (1952) developed the concept of an efficient portfolio in terms of the expected return and standard deviation of return (i.e. (E, σ) criteria). Modern Portfolio Theory (MPT) has become one of the most important bases in modern capital market, and been applied widely in the practice of investment. In the absence of specific knowledge of investor's preference, however, it cannot be determined which of any two efficient portfolios is better. Baumel (1963) replaced the (E, σ) criteria with the $(E, E-k\sigma)$ criteria, where k stands for the investor's attitude toward risk. Baumol demonstrated that his $(E, E-k\sigma)$ criteria yield a smaller efficient set, which is a subset of the Markowitz efficient set, and therefore reduces the range of alternatives from which the investor has to select his portfolio. Recently, Wang Shouyang (1999) studied the portfolio choice model that includes trade cost. This work makes the MPT become more satisfactory to the investor's actual needs. Seeing from mathematical eyes, the classical Markowitz model and its plasmodium are some quadratic programmed models with regard to defined matrix.

On the other hand, Value at Risk (*VaR*) is an important measure of exposure of a given portfolio of securities to different kinds of risk inherent in financial environment. By now, it became a tool for risk management in financial industry and part of industrial regulatory mechanisms. Meanwhile Basel Committee requested financial setups to measure the market risk with *VaR*. Considerable amount of research was dedicated recently to development of methods of risk manage-ment based on Value at Risk. This literature is dedicated mainly to efficient techniques for computing *VaR* of a given portfolio. To construct the portfolio under the thought of *VaR*, therefore, is one of the most important problems that the international investment market is being faced.

In this paper we combine the notion of *VaR* with portfolio optimality. More precisely, we seek to define portfolio that produces maximal yield (or minimum risk) and at the same time satisfies constraints on Value at Risk. Our aim is to develop a theory that is the Markovitz theory for optimal mean-variance portfolios in *VaR* constraint and provide algorithmic tools for computing such portfolios. Our emphasis here is on algorithms because, unlike classical optimal mean-variance portfolios, optimal mean-variance portfolios in *VaR* constraint generally defy analysis with simple analytical tools.

2. Building and explaining of the model

As well known, the classical Markowitz model is:

$$(I) \quad \begin{cases} \min \sigma_p^2 = X^T \Sigma X \\ \max E(r_p) = X^T R \\ s.t. \quad \sum_{i=1}^n x_i = 1 \end{cases}$$

here, $R = [R_1, R_2, \dots, R_n]^T$, $R_i = E(r_i)$ is the expected return rate of the i th asset. $X = [x_1, x_2, \dots, x_n]^T$ is the weights vector of portfolio. $\Sigma = [\sigma_{ij}]_{n \times n}$ is the covariance matrix of n assets. $R_p = E(r_p)$ and σ_p^2 are the expected return

rate and its variance of portfolio. The σ_p , which is used to measure the risk of portfolio by Markowitz and called the standard deviation of the return rate, express the scope between the return rate of portfolio r_p and $E(r_p)$.

It is common knowledge that the solution of the model (I) is the curve \overline{AB} in $\sigma_p - R_p$ space (figure 1) and is called the efficient frontier of portfolio.

Assessing risk of portfolio as the probability of failing to earn a minimum return, we call the way as the VaR risk-measure way. The minimum return is called VaR of the portfolio. This can be denoted:

$$\Pr(r_p < -VaR) \leq \alpha \quad (2.1)$$

here α is a given probability.

Supposing the distribution of portfolio is statistics normal distribution, we incorporate (2.1) into the model (I). Then we get the portfolio model in VaR constraint:

$$(II) \quad \left\{ \begin{array}{l} \min \sigma_p^2 = X^T \Sigma X \quad (2.2) \\ \max E(r_p) = X^T R \quad (2.3) \\ \Pr(r_p < -VaR) \leq \alpha \quad (2.4) \\ s.t. \sum_{i=1}^n x_i = 1 \quad (2.5) \end{array} \right.$$

Because (2.1) can be taken the place of

$$VaR = -[E(r_p) - \Phi^{-1}(\alpha)\sigma_p] \quad (2.6)$$

here $\Phi(\bullet)$ is the standard normal distribution function. The solution of model (II) is the pitch arc \overline{AB} in $\sigma_p - R_p$ space (Figure 2). The pitch arc is called the efficient frontier of portfolio in VaR constraint.

Figure 2 is a risk-return diagram illustrating that the VaR constraint plots as a straight line with slope $\Phi^{-1}(\alpha)$ and Y-axis intercept of $-VaR$. All portfolios lying on or above this line have a $1-\alpha$ probability of exceeding the $-VaR$ return minimum, while portfolios that lie below this line will not exceed a return of $-VaR$ with $1-\alpha$ confidence. As one would expect, the minimum return for a given confidence level will increase as the expected return increases (holding the standard deviation constant) and will decrease as the standard deviation increases (holding the expected return constant).

Assessing risk as the probability of failing to earn a minimum return can further be helpful in selecting the optimal portfolio from an array of portfolios representing the efficient frontier. This is because the VaR restriction essentially provides information regarding the risk tolerance of the investor. By formally introducing the VaR as a constraint into the portfolio optimization problem, the range of choice across the full array of efficient portfolios can be narrowed to those that are most relevant to the investor. That is, the constraint allows the investor to focus on that segment of the frontier that best fits his or her degree of risk aversion. The probability of target VaR, therefore, can be thought of as a risk tolerance assessment tool (when coupled with another measure of risk).

Figure 2 illustrates this process of selecting an optimal portfolio in conjunction with a VaR constraint. It shows an efficient frontier of portfolios along with the VaR constraint of a $1-\alpha$ probability of exceeding a $-VaR$ return. Note again that the VaR constraint segments the combination of expected returns and risk. Portfolios to the right of the line violate the constraint; their realized returns do not exceed $-VaR$ with $1-\alpha$ confidence. Portfolios to the right of the line actually satisfy a higher $1-\alpha$ confidence limit than $-VaR$.

At the same time, only portfolio risk-return trade-offs on or below the efficient frontier are feasible. As Figure 2 shows, the set of feasible portfolios satisfying a VaR constraint is limited. The set of portfolios to be considered for selection in the optimization decision is limited to the shaded area of portfolios that both are feasible and also satisfy the specified VaR constraint. In this case, the investor would select a portfolio from the segment ranging from point A to B, as these represent the optimal portfolios available. In this illustration, and in other cases, the use of the VaR constraint reduces the array of choice to a more manageable range. We should note, however, that the constraint may be either too severe, so as to preclude the possibility of any choice, or too loose, so as to maintain much, if not all, of the efficient frontier as a range of choice.

3. Solving of the model

Knowing from figure 2, we only need to find the weights of point A and B. To solve the weights of the two points, however, won't work with the simple Laganarge algorithms. So we will solve the problem with a geometric algorithm that was produced by us.

3.1 Introducing of the geometric algorithm

We consider a finite set of assets $i = 1, 2, \Lambda, n$ which can be any kind of financial assets, stocks, bonds and options being the most common examples. Weight vector of Portfolio X is characterized by positions in these assets:

$$X = (x_1, x_2, \Lambda, x_n)$$

Because $x_1 + x_2 + \Lambda + x_n = 1$, $x_n = 1 - x_1 - x_2 - \Lambda - x_{n-1}$. The expected return $R_p = E(r_p)$ and its variance risk σ_p^2 of portfolio can be repressed:

$$R_p = x_1 R_1 + x_2 R_2 + \Lambda + x_{n-1} R_{n-1} + (1 - x_1 - \Lambda - x_{n-1}) R_n \tag{3.1}$$

$$\begin{aligned} \sigma_p^2 = & x_1^2 \sigma_{11} + x_2^2 \sigma_{22} + \Lambda + x_{n-1}^2 \sigma_{n-1, n-1} + (1 - x_1 - \Lambda - x_{n-1})^2 \sigma_{nn} \\ & + 2x_1 x_2 \sigma_{12} + \Lambda 2x_1 x_{n-1} \sigma_{1, n-1} + 2x_1 (1 - x_1 - \Lambda - x_{n-1}) \sigma_{1n} \\ & + \Lambda + 2x_{n-1} (1 - x_1 - \Lambda - x_{n-1}) \sigma_{n-1n} \end{aligned} \tag{3.2}$$

The covariance matrix Σ is a definite matrix. So the formula (3.2) stands for a equal-variance ellipsoid in the weights-space $(x_1, x_2, \Lambda, x_{n-1})$. With regard to different σ_p^2 , we can get a family of equal-variance ellipsoids that have a concentric MVP. The center MVP expresses the portfolio that has the least risk in the set of feasible portfolios. In the weights-space $(x_1, x_2, \Lambda, x_{n-1})$, the formula (3.1) stands for a equal-expected-return super-plane. With regard to different R_p , we can obtain a family of parallel super-plane. So the optimal weights of the portfolio that includes n assets should be the tangential point of the equal-expected-return super-plane (3.1) and the equal-variance ellipsoid (3.2). Joining these tangential points, we can obtain a straight line that is called the critical-line of the portfolio of n assets. In fact, the critical-line is the manifestation of the efficient frontier in weights-space.

Knowing from differential geometry, the normal vector of the formula (3.1) in point $(x_1, x_2, \Lambda, x_{n-1})$ is:

$$(R_1 - R_n, R_2 - R_n, \Lambda, R_{n-1} - R_n)$$

The normal vector of the formula (3.2) in point $(x_1, x_2, \Lambda, x_{n-1})$ is

$$\begin{aligned} & ((\sigma_{11} + \sigma_{nn} - 2\sigma_{1n})x_1 + \Lambda + (\sigma_{1k} + \sigma_{nn} - \sigma_{1n} - \sigma_{kn})x_k + \Lambda + (\sigma_{1, n-1} + \sigma_{nn} - \sigma_{1n} - \sigma_{n-1, n})x_{n-1} + \sigma_{1n} - \sigma_{nn}, \\ & \Lambda \Lambda \Lambda \Lambda \Lambda \Lambda, \\ & (\sigma_{1k} + \sigma_{nn} - \sigma_{1n} - \sigma_{kn})x_1 + \Lambda + (\sigma_{kk} + \sigma_{nn} - 2\sigma_{kn})x_k + \Lambda + (\sigma_{k, n-1} + \sigma_{nn} - \sigma_{kn} - \sigma_{n-1, n})x_{n-1} + \sigma_{kn} - \sigma_{nn}, \\ & \Lambda \Lambda \Lambda \Lambda \Lambda \Lambda, \\ & (\sigma_{1, n-1} + \sigma_{nn} - \sigma_{1n} - \sigma_{n-1, n})x_1 + \Lambda + (\sigma_{k, n-1} + \sigma_{nn} - \sigma_{kn} - \sigma_{n-1, n})x_k + \Lambda + (\sigma_{n-1, n-1} + \sigma_{nn} - 2\sigma_{n-1, n})x_{n-1} + \sigma_{n-1, n} - \sigma_{nn}) \end{aligned}$$

Let

$$\begin{aligned} P_1 &= [1, 0, 0, \Lambda, 0, 0, -1] \\ P_2 &= [0, 1, 0, \Lambda, 0, 0, -1] \\ \Lambda & \Lambda \Lambda \Lambda \Lambda \Lambda \\ P_{n-1} &= [0, 0, 0, \Lambda, 0, 1, -1] \end{aligned} \quad Q = \begin{bmatrix} 1 & 0 & \Lambda & 0 & 0 \\ 0 & 1 & \Lambda & 0 & 0 \\ M & M & O & M & M \\ 0 & 0 & \Lambda & 1 & 0 \\ -1 & -1 & \Lambda & -1 & 1 \end{bmatrix} \quad W = \begin{bmatrix} x_1 \\ x_2 \\ M \\ x_{n-1} \\ 1 \end{bmatrix}$$

Then the normal vector of the formula (3.1) in point $(x_1, x_2, \Lambda, x_{n-1})$ can be simplified to

$$(P_1 \Sigma Q W, P_2 \Sigma Q W, \Lambda, P_k \Sigma Q W, \Lambda, P_{n-1} \Sigma Q W)$$

According to the definition of the critical-line, we can obtain the equation of the critical-line that is

$$\frac{P_1 \Sigma Q W}{R_1 - R_n} = \frac{P_2 \Sigma Q W}{R_2 - R_n} = \Lambda = \frac{P_k \Sigma Q W}{R_k - R_n} = \Lambda = \frac{P_{n-1} \Sigma Q W}{R_{n-1} - R_n} \tag{3.3}$$

By the formula (2.3), we can obtain a linear equations group that is composed of n-2 linear equations:

$$\begin{cases} a_{11}x_1 + a_{12}x_2 + \Lambda + a_{1,n-1}x_{n-1} = b_1 \\ a_{21}x_1 + a_{22}x_2 + \Lambda + a_{2,n-1}x_{n-1} = b_2 \\ \Lambda \Lambda \Lambda \Lambda \Lambda \\ a_{n-2,1}x_1 + a_{n-2,2}x_2 + \Lambda + a_{n-2,n-1}x_{n-1} = b_{n-2} \end{cases} \quad (3.4)$$

Here

$$a_{ij} = \frac{\sigma_{ij} + \sigma_{nn} - \sigma_{in} - \sigma_{jn}}{R_i - R_n} - \frac{\sigma_{j,n-1} + \sigma_{nn} - \sigma_{jn} - \sigma_{n-1,n}}{R_{n-1} - R_n}$$

$$b_i = -\frac{\sigma_{in} - \sigma_{nn}}{R_i - R_n} + \frac{\sigma_{n-1,n} - \sigma_{nn}}{R_{n-1} - R_n}$$

($i = 1, 2, \Lambda, n - 2, j = 1, 2, \Lambda, n - 1$)

3.2 The solution of the portfolio based on the geometric way

The formula (2.6) can be turn into the following form:

$$\sigma_p^2 = \frac{1}{(\Phi^{-1}(\alpha))^2} (R_p^2 + 2VaRR_p + VaR^2) \quad (3.5)$$

Taking the formula (2.2) and (2.3) into (3.5), we can get:

$$X^T \Sigma X = \frac{1}{(\Phi^{-1}(\alpha))^2} [VaR^2 + 2VaRX^T R + (X^T R)^2] \quad (3.6)$$

The rank of the linear equations group is $n - 2$, so the number of its based solutions system is 1. That is saying that $x_2, x_3, \Lambda, x_{n-1}$ can all be expressed by x_1 . Knowing from the formula (2.5), therefore, x_n can be expressed by x_1 too. Taking x_1, x_2, Λ, x_n into the formula (3.6), we can get a quadratic equation with one unknown concerning x_1 . According to the extract roots formula, we can find the two roots of x_1 . Then we can get naturally the value of x_2, x_3, Λ, x_n . Noting that x_1 has two roots, so there are two groups of solutions that are the weights of point A and B respectively. According to the following formulas:

$$R_p = X^T R \quad (3.7)$$

$$\sigma_p^2 = X^T \Sigma X \quad (3.8)$$

We can obtain the expected returns R_A and R_B of the portfolios, and their variances σ_A^2 and σ_B^2 at points A and B respectively.

Thus we can obtain the range of portfolio choice in VaR constraint:

$$R_B \leq R_p \leq R_A, \quad \sigma_B^2 \leq \sigma_p^2 \leq \sigma_A^2$$

Given an expected return R_p of portfolio within the range, we can find the optimal portfolio weights in the critical-line by connecting (3.1) and (3.4). The variance of portfolio will reduce to minimum under the optimal portfolio weights. This process can be finished through decreasing unknowns of linear equations group. The minimum variance of portfolio can be obtained by the formula (3.2). Given a variance σ_p^2 of portfolio within the range, at the same time, we can find the optimal portfolio weights in the critical-line by connecting (3.2) and (3.4). The expected return of portfolio will increase to maximum under the optimal portfolio weights. The maximum expected return of portfolio could be obtained by the formula (3.2).

We should note, however, that the VaR constraint may be either too severe, so as to find non-solution of the quadratic equation with one unknown concerning x_1 , and preclude the possibility of any choice. The VaR constraint, of course, may be lead to find the sole solution of the quadratic equation with one unknown concerning x_1 , and lead to take the choice of portfolio is sole too.

4. Example

To demonstrate how the portfolio model in VaR constraint is applied in asset allocation, we will consider three major asset classes: common stocks, long-term bonds, and money market instruments. These are the securities commonly used

by portfolio managers and major investors, either as a complete list of classes for consideration or as essential classes within more extended groupings of asset classes. These can thus be representative of the sort of actual results produced from an asset allocation while at the same time being clear enough in application to illustrate the process.

Table 1 shows the realized return and standard deviation of return for each of the three asset classes, as well as the correlation across those asset classes shown over the 129-1993 period.

Knowing from Table 1, $R = [12.3 \ 5.4 \ 3.7]^T$, and

$$\sigma_{11} = \sigma_1^2 = 20.5^2 = 420.25 \quad \sigma_{22} = \sigma_2^2 = 8.7^2 = 75.69 \quad \sigma_{33} = \sigma_3^2 = 3.3^2 = 10.89$$

$$\sigma_{12} = \sigma_{21} = \sigma_1 \sigma_2 \rho_{12} = 20.3319 \quad \sigma_{13} = \sigma_{31} = \sigma_1 \sigma_3 \rho_{13} = -33.825 \quad \sigma_{23} = \sigma_{32} = \sigma_2 \sigma_3 \rho_{23} = 6.8904$$

i.e.

$$\Sigma = \begin{bmatrix} 420 & .250 & 20 & .3319 & -33 & .825 \\ 20 & .3319 & 75 & .6900 & 6 & .8904 \\ -33 & .825 & 6 & .8904 & 10 & .89 \end{bmatrix}$$

So the linear equations group is turned into:

$$22.4738x_1 - 36.0607x_2 = 2.8467 \tag{4.1}$$

Therefore

$$x_2 = -0.07894 + 0.6232x_1$$

$$x_3 = 1 - x_1 - x_2 = 1.07894 - 1.6232x_1$$

Supposing $VaR = 5.0\%$, $\alpha = 5\%$, then $\Phi^{-1}(\alpha) = 1.65$. So the formula (3.3) is turned into:

$$X^T \Sigma X = \frac{1}{(\Phi^{-1}(\alpha))^2} [VaR^2 + 2VaR X^T R + (X^T R)^2] = \frac{1}{2.7225} [25 + 10X^T R + (X^T R)^2] \tag{4.2}$$

Taking R , Σ and

$$X = [x_1, x_2, x_3]^T = [x_1, -0.1267 + 0.6223x_1, 1.1267 - 1.6223x_1]^T$$

into (4.2), we can get the quadratic equation with one unknown concerning x_1 :

$$565.1028x_1^2 - 171.5078x_1 - 14.9769 = 0 \tag{4.3}$$

According to the extract roots formula, we can find the two roots of x_1 :

$$x_1 = 0.3743 \quad \text{or} \quad x_1 = -0.0708$$

Taking the value of x_1 into the expressed formulas x_2 and x_3 , we can obtain the portfolio weights at points A and B:

$$x_1^A = 0.3743 \quad x_2^A = 0.1543 \quad x_3^A = 0.4716$$

$$x_1^B = -0.0708 \quad x_2^B = -0.123 \quad x_3^B = 1.1938$$

According to the formulas (3.4) and (3.5), the expected returns and their variances at points A and B are respectively:

$$R_A = 7.182\% \quad R_B = 2.882\%$$

$$\sigma_A^2 = 54.511 \quad \sigma_B^2 = 20.8834$$

So the standard deviations of portfolio at points A and B are respectively:

$$\sigma_A = 7.383\% \quad \sigma_B = 4.57\%$$

Thus we can obtain the range of portfolio choice in our VaR constraint:

$$2.882\% \leq R_p \leq 7.182\%, \quad 4.57\% \leq \sigma_p \leq 7.383\%$$

All portfolios lying in the range have a 95 percent probability of returns exceeding

$$E(r_p) - 1.65\sigma_p$$

That is saying that there is only a 5% probability of a risk-loss exceeding $VaR = 5.0\%$.

Given an expected return R_p of portfolio within the range, we can find the optimal portfolio weights directly by connecting (3.1) and (4.1). Given a variance σ_p^2 of portfolio within the range, on the other hand, we can find the optimal portfolio weights directly by connecting (3.2) and (4.1).

Given $R_p = 7\%$ for example, the formula (3.1) is changed into

$$12.3x_1 + 5.4x_2 + 3.7(1 - x_1 - x_2) = 7$$

i.e.

$$8.6x_1 + 1.7x_2 = 3.3 \quad (4.4)$$

Then the formula (4.1) is turned into:

$$22.4738x_1 - 36.0607x_2 = 2.8467 \quad (4.5)$$

To solve the equations group that is formed of the two equations (4.4) and (4.5), we can get:

$$x_1 = 0.3555 \quad x_2 = 0.1428$$

So

$$x_3 = 1 - x_1 - x_2 = 0.5017$$

According to the formula (3.8), the minimum variance of portfolio is:

$$\sigma_p^2 = X^T \Sigma X = [0.3555 \quad 0.1428 \quad 0.5017] \begin{bmatrix} 420.250 & 20.3319 & -33.825 \\ 20.3319 & 75.6900 & 6.8904 \\ -33.825 & 6.89040 & 10.89 \end{bmatrix} \begin{bmatrix} 0.3555 \\ 0.1428 \\ 0.5017 \end{bmatrix} = 48.3818$$

Therefore, the minimum standard deviation of portfolio is

$$\sigma_p = 6.9557\%$$

Given a standard deviation of portfolio σ_p , whereas, we can find the optimal portfolio weights by imitating the solving process of the equation (4.2) (substituting σ_p^2 for $\frac{1}{(\Phi^{-1}(\alpha))^2} [VaR^2 + 2VaRX^T R + (X^T R)^2]$ in the right hand of the formula (4.2)). Noting there are two groups of the optimal portfolio weights. Next computing their R_p s with the formula (3.7), we can obtain the real optimal portfolio weights by comparing. We don't explain the process in detail.

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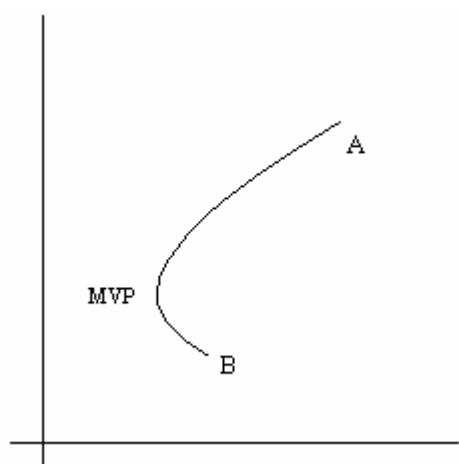


Figure 1.

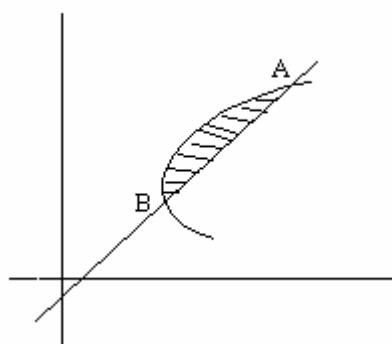


Figure 2.

Table 1. Risk-return date (1926-1993)

Asset classes	Mean returns (%)	Standard deviation (%)	Correlation		
			1.0	0.114	-0.5
Common stock	12.3	20.5	1.0	0.114	-0.5
Long-term bonds	5.4	8.7	0.114	1.0	0.24
Treasury bills	3.7	3.3	-0.5	0.24	1.0



Chinese Traditional Folk Pattern and Modern Graphic Design

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Abstract

Traditional Chinese folk graphics has been the rich cultural heritage of the nation, which provided a wealth of design elements for the modern graphic design. Modern graphic design blends with traditional Chinese folk patterns to give them new characteristics of the times, not only represents the traditional culture and innovation, but also indicates that China's graphic design is entering a new stage of development at the international level, to show the unique spirit of oriental culture.

Keywords: Folk pattern, Traditional culture, Visual symbol, Graphic design

Any country and nation in the world form her unique custom during the long process of reproduction and development, as well as various folk art forms. These art forms are created by the working people directly, which are the valuable asset for generations. The art shows the emotion of love life and the pursuit of happiness. Until now, although the folk art has experienced rapid times change, it still remained the spectacular style. After the innovation by modern artists, it has reached a new height of development with new value in new era.

1. Chinese Traditional Folk Pattern

Traditional Chinese folk pattern is an important part and expression of folk art, with profound connotation and spiritual essence for 5,000 years. The characters of it is, rich content, meaning and forms with long history. It implies on the auspicious and rhythm of life, not for the pursuit of the natural image, but for the visual symbols or graphics of traditional life. Traditional folk pattern played an important role of showing the folk ideological outlook, therefore, several of visual folk art style depends on the spirit and visual of transmission by folk patterns.

1.1 Spiritual meaning

Folk graphic is linked to people subjective feeling with the results of historical accumulation. Chinese people always like to seek lucky by the means of art forms. As a result, the subject of folk graphic usually focus on “Blessing, Rich and Long life”, “harmony” and “happiness and wealth” reflecting the eternal survival needs and the good wishes of avoiding disaster. Therefore, the traditional Chinese folk graphic can also be considered as keepsake of lucky and happiness, which makes role in people's subconsciousness. As a concept of visual symbols, folk graphic presents unique social and cultural phenomena in the sense of nation psychology.

1.2 Expression method

The significances of traditional Chinese folk patterns are often full of meaning by idealized image to break the limitations of time and space. Different seasons and different places can also appear in the same pattern, not conveying the concept of the thing itself, but in the metaphor by the subjective ideas and aspirations. That is to say, folk patterns convey the ideas by the mean of pun, implying, symbol and metaphor, by dint of some image character and semantic homonym, for example, pairs of mandarin ducks means the love of spouse, and “fish” and “balance” has semantic homonym in Chinese pronunciation means happiness year by year. (Figure 1-2).

1.3 Expression content

On the impact of Confucianism, Chinese people believed the harmony of god and human in the nature. Chinese peoples is the one of who created the patterns of landscapes, flowers and birds, therefore, the traditional Chinese folk patterns appeared in a large number of flowers, birds, insects, fish, animals and other natural things by empowering them to enrich various auspicious connotation, for example, dragon, phoenix and unicorn are the guardian of animals; Bamboo, peonies, carp and magpies are a symbol of wealth and safety (Figure 3-4). These above expression reflect the natural concept of harmony, as well as the taste intent of advocating natural aesthetic.

In China's traditional concept, there is a aesthetic philosophy as “The truth is perfect, the beauty is real”, and the meaning of “truth” here doesn't mean the visual, but the psychological truth. With the psychological demands, many brave persons, gods, auspicious dolls and lady figures were created to express the truth and beauty as the other expression content. (Figure 5-6). Not only because they have the ability of blessing common people, restraining evil,

and propagating life, but more importantly because their characters have the model effect of people's moral ideal. It can inspire the vivid art image and guides people to kindness, self –building, being helpful. This meaning of “beauty” here certainly reveals the direct pursuit of ideals.

Another folk pattern is a simplified visual symbol by abstracting and evolving from the auspicious Chinese characters and simple geometric shapes (Figure 7-8), which are abstract understanding about ancient material world. The implication of such profound graphics includes Oriental philosophy ideas, for example, the million words stripes possibly originated from the primitive man's worship of the sun and fire, and later applied to Buddhism, which means the lucky appearance of the Buddha and “million” times of fortune with widely favor. It is widely used in weaving, dyeing, and embroidery, paper cutting and other forms of folk art.

1.4 cognitive forms

With the frequent contacts and cultural exchanges, many folk graphics have evolved to the common cognitive information symbol. They have developed to perfect art forms through constantly revising and improving. This process determined folk patterns must be the common expression of one region, one nation, even one country, For example: during the Chinese New Year, every household displays the word blessing, couplets, hanging money, window paper-cuttings, which contain auspicious words to pray for safety. These patterns are full of people’s good wishes of the Chinese culture. For Chinese people, they consider Lunar New Year as the biggest traditional festival, on the theme of the New Year; they created various of folk art to express the common ideal of beliefs, ideological and aesthetic temperament.

2. Back to tradition

In the rapid development of the market economy era, the traditional Chinese folk patterns are still showing a rise situation, with modern civilization impacting. Under the style of internationalism, although folk patterns are lack of development, folk artistic charm shine will not be lost, after all, it carries forward the Chinese people for thousands of years of cultural tradition and ways of thinking. Respect to the traditional culture, society has formed a phenomenon of cultural return, which reflected in people's daily life in every respect, as the necessary part of people’s lifestyle, art style and taste. Literature, film, architecture, fashion design and graphic design, all show the traditional twist. As the typical form, traditional folk art patterns have been used in all types of graphic design, with the new characteristics of the times.

3. Design advantage

Folk patterns provide a wealth of design elements and semantic content for the modern graphic design. Chinese traditional folk designs have character of brief description, such as, the relation with point, line and surface elements, especially a sense of form and order in composing. Folk patterns are adept at utilizing graphic symbol to express intentions as modern design, for example, in the folk patterns, a Lotus and carp represent “successive years of surplus.” pomegranate represents “having many descendants”, vases symbol of peace, That auspicious with the bat, etc. Other abstract graphics, such as the Wan character, Shou character, tai chi, also contain profound significance and meaning. Therefore, these graphics are used to refer to China's traditional culture by modern designers. It is a powerful means that combine the folk pattern and modern design.

The audiences of folk patterns are the whole nation with broad approval. Folk patterns are rooted in Chinese traditional culture with profound humanistic characteristics and folklore related to people's life. To the Chinese people, the symbolic meaning of folk patterns is so specific that hard to be replaced. It is usually easy for people to understand the folk patterns’ content. Taking packaging design as an example, many designers use the “magpie”, “Carp” symbolic graphics to meet the Chinese people's aesthetic psychology for cultural agreement, as well as the “knot”, “Lions” images are used in posters. As a specific kind of language used in modern graphic design, folk art patterns show an obvious edge.

4. Heritage and innovation

Modern graphic design emphasizes on visual conveying. Designers study the Chinese traditional folk designs from the perspective of modern graphic design that is the inheritance and innovation of traditional culture. Based on the elements of folk patterns, they try to combine them with modern graphic design, to find the possibility of the best integration of traditional culture and modern civilization.

By impact of the traditional culture, many Chinese enterprises logos have the internal auspicious meaning. There are many successful logo design directly or indirectly referenced from folk patterns with reconstruction and innovation. These designs have both traditional and modern flavor. For example, logo of Far East Square is the image of Lion played with ball, to show the spirit of the combination of tradition and modern (Figure 9); the logo of Phoenix Satellite TV uses two Chinese auspicious birds “Phoenix” as the main graphics, and the circular composition form means endless sustainable enterprise spirit(Figure 10).These outstanding works of traditional visual symbols is not a simple extraction, but an upgrading of design concept, and a development of national culture and inspirit. As a design resource,

folk pattern provides for the designers endless source for imagination and creativity. Application of modern design practices on folk pictorial innovation, it will enhance the combination of traditional and modern graphic design.

5. Future development

China is at an unprecedented pacing into the trend of globalization. How to develop Chinese design in the global and build self image? It has become an urgent practical problem. This is not just challenge, but opportunity for the exploration of Chinese design. Therefore, in the graphic design, it's necessary to study the language of folk art to and improve the design.

Folk pattern is rich in visual manifestations with profoundly symbolic implication that people built up common visual symbols in their daily lives. In the nation, folk pattern has a broad understanding, and becomes the Chinese culture and traditional lifestyles psychological representation. In the integration of modern graphic design and traditional Chinese folk patterns, designers must give them new characteristics of the times to show the unique spirit of the oriental culture at the international level.

Summary

With absorption of international expression means, China art designers constantly look for the ethnic characteristics of the visual symbols, to establish the Chinese language design and visual image with national character. Traditional Chinese folk patterns have become an effective display with Chinese characteristics, an important element in the design style by their rich content and relevance of social life, as well as product powerful visual resources for modern graphic design. It not only represents a form of folk art heritage and self-innovation, but also indicates that Chinese graphic design has entered a new stage of development.

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Figure 1. Paper cutting, "Mandarin Ducks under Water Lily"



Figure 2. Paper cutting, "double fish"



Figure 3. Woodcut, "Dragon and Phoenix"



Figure 4. Embroidery, "Bloom with Wealth"



Figure 5. Lunar New Year picture
“Kylin with Children”



Figure 6. Lunar new year picture
“Mammon”



Figure 7. Plate of million words



Figure 8. Plate of longevity



Figure 9. Logo of Far East Square



Figure 10. The logo of Phoenix
Satellite TV



Effect of Symbolism of English Letters on Vocabulary Learning

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Abstract

Symbolism refers to the form function of each English letter, which symbolizes certain concrete or abstract things. Such symbolic meaning closely links the form and the meaning. It will get twice the result with half effect by adopting this symbolic meaning into vocabulary learning.

Keywords: Word form, Meaning, Symbolism, Prefix, Brainstorm

1. Introduction

For a long time, English letters are considered as phonetic writing, which can only express sound, rather than meaning. The representative supporter of the view is Saussure, who puts forward the “arbitrariness” of linguistic sign as the fundamental principle of structuralism. From the perspective of psychology, he considers the signifier and signified as two psychological entities and defines “arbitrariness” as “The link unifying signifier and signified is arbitrary or, even more, since we understand by the sign the total result of the association of a signifier with a signified, we can say more simply: the linguistic sign is arbitrary” (Saussure, 1959, pp.100).

There is no inter-relationship between signifier and signified via the above definition. However, some philosophers, semioticians and linguists have different views (Noth, 1990; Ogden & Richards, 1923; Benveniste, 1939; Levi-Strauss, 1991; Halliday, 1985; Guozhang Xu, 1991). They revise or deny the arbitrariness from the perspective of cognitive semiotics, structuralistic semiotics, functional linguistics and linguistic philosophy. In my opinion, there does exist certain relation between signifier and signified especially between the form and meaning of English letters. Implicit symbolic meaning links them in certain degree. Although debate on whether the linguistic sign is arbitrary or not is still lasting, the existence and exploitation of the symbolic meaning will facilitate language learning, especially vocabulary learning.

2. Interpretation of the symbolism of English letters

We have noticed that many English words in similar or related meaning also have similarities in letters. For example: i.sled, sleigh, slide, slip, slick, sleek, slide; ii.flare, flame, flint, flicker, flash, fleeting, florescent. In group i, these words with *sl-* have the meaning of slide; in group ii, the words with *fl-* have the meaning of light. There are many other letter combinations with such characteristic. We can interpret why words with *sl-* have the meaning of slide with etymology. *S* symbolizes snake for its twisted form as a snake, while *l* symbolizes the land. In group ii, the primitive symbolism of *f* is the torch and *l* is the stick. The torch will give out light and thus *fl-* gets the meaning of light and fire.

In fact, the basic cause for such phenomenon lies in that every English letter symbolizes certain concrete objects at the initial stage of its formation. Almost every letter can be connected with certain objects which bears the similar shape with the letter itself. *W* symbolizes wave just like what our sensory organs receive. So, many English words with the symbolic meaning of *w* can be found: water, wave, wake, and wallow (a ship moves through a rough sea), wash, well, wet, whirlpool etc.

Words of every language in the world evolve from the archaic picture writing without exception. After a long time of evolution and recreation of different ethnic groups, picture writings themselves finally become modern English letters. Certain traces of its primitively-symbolized objects can still be found in each letter.

It is not a purely speculative exercise for linguists to consider such form function of every English letter. The revealing of the relationship between the form and meaning of English letters can help English learners to remember vocabulary

quickly and effectively.

3. Practical significance for vocabulary learning

Symbolism and the form function of each English letter can be helpful for English learners in vocabulary learning and can be applied to two aspects: prefixes and brainstorm.

3.1 Application to learning prefixes

Vocabulary items, whether single-word or complex-word, can often be disrated into their component 'bits'. These 'bits' can also help learners guess the meanings of other words with the same bits in them. Affixes are crucial elements of 'bits'. Prefixes, as one form of affixes, are fundamental and can help learners get twice the result with half the effort in vocabulary learning.

Almost every English letter can form certain prefixes with other letters. For example, *a-*. The letter *a* gets the meaning of in, to, at, or on something, for it symbolized the 'head' primitively. The head is at the top of our body. It faces the direction to which our body faces. Thus by understanding its symbolism, learners could remember many words containing this prefix such as abroad (in or to a foreign country). Broad means wide or large area. Plus the prefix *a-*, the word abroad means towards the wide area. More such formations are: afield(far away from home); ahead(in front of someone or something by a short distant); ago(far back in the past happened); aloft(high up in the air); along(forward); ashore(on or toward the shore of a lake, river); away(to or at a distance from someone or something). The formation of the above words consists of the prefix *a-* and the nouns referring to the place or direction, which refers to the meaning of towards this place or direction. Knowing the symbolism of *a-*, learners can infer the meaning of many other resembling words. For example, aback can be regarded as formation of *a-* and back and understood as towards one's back according to the symbolism and form function of the prefix *a-*.

Another example: *un-*. Prefix *un-* shows a negative, a lack or an opposite because *u* symbolizes mountain valley while *n* indicates the shape of cave. They are from totally opposite direction. Correspondingly, the formation *un-* has the meaning of negation or opposition.

The meaning of prefixes can be suggested by symbolisms which are traced to a concrete object. The comparison between the letter and the concrete object would be quite vivid and facilitate the mastery of vocabulary.

3.2 Application to Brainstorming

Originally, each English letter only symbolizes one or two concrete objects attribute to the primitives' lower ability of understanding the world. However, with the developing of cognitive abilities, people are more capable of knowing the objective world. Therefore, one letter can symbolize more concrete objects, or even some abstract concepts. Many superficially unrelated words can be induced to the same symbol. This property of the symbolism of English letters can be applied to brainstorming for remembering words more efficiently. The symbolic meaning and its extended meaning of letter *c* can illustrate the statement.

The narrow symbolism of *c* is the moon, and two words closely related with the moon are: crescent (the curved shape of the moon) and calendar (the system for determining the beginning, length, and division of years). For the shape's sake, *c* curves like a new moon very much. In addition, the regular changes of the moon are the basis for ancient people to determine months and years.

Several other broad symbolisms in terms of the shape of *c* (or the moon) can be deduced, which can be used as a model for brainstorms.

3.2.1 *C* with the broad symbolism of the hand

Letter *c* with the curved shape symbolizes a curved hand holding something. According to this broad symbolic meaning, many words with *c* as initial letter representing some actions done by hands. For example: carve(to cut with knife); claw(the part of the body of some insects used for attacking and holding things); clutch(to hold something or someone tightly); crack(to break or make something break); craft(to make something using a special skill, especially with your hands); cut(to divide something using a sharp tool such as a knife).

3.2.2 *C* with the broad symbolism of the circle

The shape of letter *c* is just like a half circle, and its narrow symbolism moon can also represents a circle. Whether from the broad or narrow symbolism of *c*, it suggests the meaning of a circle. Then another group of words which have implied meaning of round can be found: circle; column; coin; cirlet(a narrow band of gold, silver, or jewels worn around someone's head or arms); circuit(a path that forms a circle around an area).

3.2.3 *C* with the broad symbolism of the cave

From visual perspective, letter *c* is also like a cave where people or things can live in or be put into. A group of words meaning a container or a place to live in can illustrate this symbolic meaning. For example, cabin(a small house built of wood in the forests or mountains); camp(a place where people stay in temporary shelters);case(a large box or container) castle; cavern; cavity(a hole, or space inside something).

The three above-mentioned groups of words are categorized on the basis of the concrete objects—hands, circles and caves. The extended and abstract symbolism of letter c can be further extended, namely outer covering, or encircle. Words with this implied meaning include carapace(a hard shell on the outside of some animals that protects them); carpet(heavy woven material for covering floors or stairs, or a piece of this material); casing(an outer layer of metal, rubber etc that covers and protects something such as a wine or tyre); crust(a thin hard dry layer on the surface of something); cover (something that is put over or onto something to protect is or keep dirt etc. out) and so on; We can still get the extended meaning of huddle or wrinkle from the symbolism of outer covering or encircle, such as cringe(to move back or away from something or someone); crouch (to break apart into little pieces); crumple(to crush something so that it becomes smaller and bent); crush (to press something so hard that it breaks or is damaged); crimple(to press something); crinkle(to become covered with small folds).

Through careful analysis of the above mentioned development of symbolism, the developmental procedures can be concluded as: from a few primitive symbolic meaning of concrete objects, extend to several other similar concrete objects, before go to those broad sense groups according to the shapes, properties or usages of those concrete objects. A model of developmental procedures can be illustrated with the following figure of letter c.

From above figure, learners can see clearly which sense is much closer to the primitive symbolism of c, and words in one circle usually are synonymous. While providing synonyms is a common way to present new vocabulary. This vivid symbolism co-operating with form functions of English letters will surely speed up words memorizing.

4. Conclusion

The form of English letter can not only express sound, it can also express meaning. Every letter has its symbolic meaning—either abstract or concrete. In vocabulary learning, vivid images could help learners understand symbolized meaning of prefixes, and furthermore, the association between concrete and abstract meaning will benefit learners in remembering words by brainstorming. It is worthwhile for learners to apply symbolic meaning into vocabulary learning.

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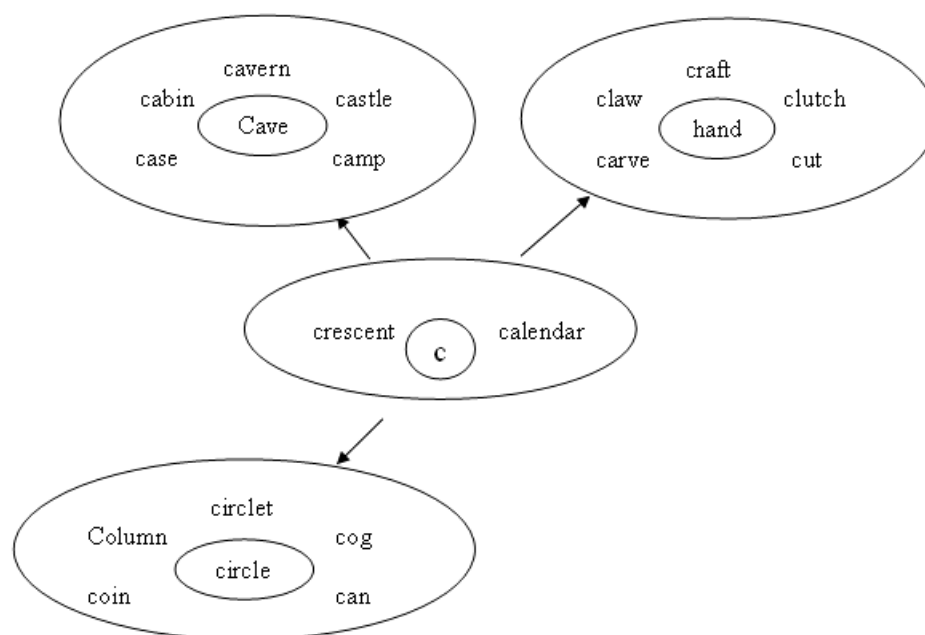


Figure 1. The Brainstorming of Letter c. (For the space sake, this figure will not include other two branches.)



How Can Rural China Respond to the Challenges of Globalization?

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Abstract

Globalization is an irreversible development and the main purpose of this paper is to rethink how Mainland China responds to the challenges of globalization in rural area. To achieve this aim, this study will be divided into three parts. First of all, it will examine the phenomenon of privatization and dumping in rural China as a result of globalization. It will then try to consider the feasible top-down administrative changes of Chinese government. The last part will explore the new modalities of political engineering and social transformation of the state-society relation resulted from the bottom-up resistance to globalization.

Keywords: Globalization, Glocalization, Privatization, Sino-foreign joint venture, Counter-hegemonic consciousness, State-society relation, Trans-national civil society, Submerged networks

1. Introduction

“Man is born free; and everywhere he is in chains.”(Note 1) Rousseau’ discourse could vividly depict the life of the peasants in rural China in where they had no choice but to create their own choices. In a communist country, like China, injustice resulted in the process of glocalization. (Note 2) Globalization is one of the six modules of Liberal Studies subject in the New Senior Secondary School Curriculum of Hong Kong. It is palpably an irreversible development and the main purpose of this paper is to rethink how Mainland China responds to the challenges of globalization in rural China. To achieve this aim, this study will be separated into three parts. First of all, it will examine the phenomenon of privatization and dumping in rural China as a result of globalization. It will try to consider the feasible top-down administrative changes of Chinese government. The last part will explore the new modalities of political engineering and social transformation of the state-society relation resulted from the bottom-up resistance to globalization.

2. Privatization and dumping in rural China as a result of globalization

2.1 Privatization in rural China

“I am just a farmer. I know I don’t matter.” (Note 3) In mid-January this man joined a protest against the local government over its seizure of communal farmland, which was then leased to a Hong Kong textile factory. He lived in a village called Panlong. Panlong came into existence when the leaders of two villages, Peace and Patriotism, decided to merge their farmland in 2003 and rent it to a Hong Kong company that wanted a large lot for building a textile factory. Panlong soon disappointed its residents. Villagers claimed that they had not been consulted on the land deal, and many resented their farmland being taken away. “Time” magazine (2006) denoted that the peasant suffering was caused by Sino-foreign joint venture and privatization.

Even worse, the village leaders told the peasants that compensation per mu (1mu =0.067 hectare) was around \$100 a year, when the textile factory was actually paying \$3,300 per mu. It was not clear where the rest of the money had gone to; however, several village committee members started building homes or bought new cars. “The entire village is doomed anyway. We have no money, no job, no land. There’s nothing left to be scared of.” As the villagers can do nothing, they gathered near the disputed land, brandished pitchforks and blocked a local highway. Villagers alleged that a 13-year-old girl was beaten to death and that about 20 were seriously injured. By the central government’s own count, there were 87 000 “public-order disturbances” in 2005. Local governments might have been given behind-the-scenes support for such bloodshed activities or directly employ criminal forces to do their work for them. There seemed to have a tendency towards homogenization of state policies so as to privilege the interest of the capitalists. Global market ideology overshadowed local social and communal values even in a communist country like China. When privatization and globalization embedded in China, peasants were deprived of land ownership which was pledged in the Constitution.

2.2 The new hybrid of globalization and local corruption

As Unocal was morally responsible for the relocation, forced labour, torture, murder and rape inflicted on hundreds of

the Karen people in Burma, the Sino-foreign joint venture violated internationally recognized human rights of land property. The Chinese peasants were waiting for the central government to fix things, but they doubted if the central bureaucracy would. China's legal framework had not caught up with its economic development, leaving farmers without a proper channel to appeal. The new hybrid of globalization and local corruption deteriorated the life of the peasants. Peasants once were the backbone of communist regime felt being excluded from China's full-throttle economic development in the globalization.

2.3 The frustration of returned migrant women workers/migrant workers

70 000 Hong Kong factories and hundreds Western joint investment parks were set up in Mainland China and the business were intruding northward and westward from Pearl River Delta to Changjiang River Delta and Northwest of Mainland China. Poverty-stricken *dagongmei/dagongzai* (migrant women workers/ migrant workers) suffering from exploitative work in the Sino-foreign factories in the Pearl River Delta returned to their rural villages to which the status, identity, rights, and means of survival were ascribed found their farmland being seized by the Sino-foreign joint venture would be very frustrated. The exploitation went deep into the heart of the peasantry when the peasants once were the backbone of communist regime were the ones who were losing out of the most.

2.4 Dumping and production subsidies in rural China

Dumping and production subsidies of the developed countries resulted in the severe suffering of the sugar farmers in Guangxi. Since 2001, China's sugar market had been liberalized as part of China's commitments to the WTO. Under this global regime, 1.6 million tons of sugar was allowed to enter China's domestic market each year. Sugar prices in China had dropped by 35 per cent since 2001. Thirty-nine counties, and some 26 million people worked in sugar production in Guangxi were dragged back into the abyss of poverty. (Note 4) It was reported that the income of each person there was only RMB0.06Yuan per day (US\$1-RMB8.28Yuan) in 2003. (Note 5) The European Union depressed the world sugar price through a package of trade-distorting policies, including export and production subsidies, and restrictions on market access. As a result, EU sugar beet farmers could produce excess amounts of sugar beet, and still earned high profits. The Chinese peasants were afflicted from this unfair trade under globalization.

3. The feasible top-down administrative changes

3.1 Work with other developing countries in the WTO negotiations

Our Mainland government could address the challenge of economic globalization and drag the peasants out of the abyss by working with other developing countries in the WTO negotiations to fight for a quick schedule and effective way to eliminate all export distorting subsidies. Chinese government could reassert the sovereignty of nation-state as a defensive barrier against the control of foreign and global capital. It was widely acknowledged that efforts of the pre-WTO Chinese to impose controls on capital flow during the 1998-99 financial crises protected the economy from bankruptcy. From the effective experience of interference in 1998 HK stock-market, one should be convinced that if China was a big market, the global economy would hesitate to boycott the trade with China.

3.2 Promulgate national policy of "Building a harmonious Society"

To fulfil the call of President Hu Jintao to "build a harmonious society" so as to take a more socially responsible form of development in the reign of globalization was claimed to be the focus of the Tenth Five Year Plan and the National People's Congress (NPC), Mr. Lu Zhiqiang, the Vice-President, Research Development Centre of the State Council, indicated that Mainland government had adopted a series of strategically significant policies to address the challenges of China's accession to the WTO and globalization. (Note 6) The central government tried to adjust the internal structures by tearing down the party interventions into enterprises and introducing social security system.

3.3 Institute an effective local administration system

Local officials' promotions should not just tie to high rates of growth or foreign investment, but also the provision of adequate social services. The hands-off policy by Beijing would leave each county free to pursue its own get-rich-quick schemes, sometimes resulting in officials lining their own pockets first. Trimming the bulky 5-tier central-province-municipal-prefectures-counties into 3-tier could reduce administrative burden and alleviate the tax burden of peasants.

3.4 Launch a direct payment system in the Sino-foreign Joint Venture

The Sino-foreign Joint Venture could channel money more directly to the landowners through post-office account instead of leaving pay at the discretion of local officials. To comply with the win-win theory, they could negotiate to make peasant the shareholders of the new industries in the age of globalization.

3.5 Verify a proper legal procedure in China

Some mechanisms should function to warrantee that the principles of voluntary, participation remuneration, standardization and order were adhered to whenever land use right in rural areas changed. Chinese government could

set up independent land-arbitration panels for farmers to claim lost revenue to supplement the direct petitions to Beijing, otherwise, globalization was nurturing a hegemonic giant to corrupt the rural areas. The unscrupulous local party cadres would become increasingly strong to exploit since incorporating a market discourse could legitimize its political power, change its political technologies, and enlarge its bureaucracy.

4. New modalities of political mechanism and social transformation of the state-society relation resulted from the bottom-up resistance

Obstruction of government decrees was detrimental to the alleviation work of the central government. When Central government recently decided to abolish the rural tax, some local bureaucrats resorted to charging illegal fees and levies, or appropriating land to lease to foreign investors. Without doubt, this would aggravate the difficult livelihood of the peasants. For example, the former Vice Education Minister Zhang Baoqing grumbled: 'China's biggest problem is [the] obstruction of government decrees. Things formulated in Zhongnanhai (China's White House). ... the lower levels didn't listen at all.' 305 counties spent no public money at all on long-to-germinate education in 2004, according to the Education Ministry. (Note 7) When the top-down administrative changes failed to apply in the rural area, the bottom-up resistance to globalization could still generate new modalities of political mechanism and social transformation of the state-society relation.

4.1 Enlighten peasants about fair trade

Peasants could be enlightened to believe that refusal to 'accept and adjust stage of globalization' (Note 8) was justifiable. Their needs should be addressed and someone could go to awaken the counter-hegemonic consciousness of peasants through charity and educational projects done by famous rich people, non-government organizations such as Oxfam (Note 9) and TV stars. It is impossible for the Chinese people to form political organization outside the state hierarchy and that peasants could form some sorts of civil society in which peasant might organize their opposition and construct an alternative legal hegemony within the state. Peasant could become customers and at the same time the stakeholder in related agenda.

4.2 Access to global information technologies

People could deploy the global information technologies such as Internet and Cyber-school of Oxfam to arouse the counter-hegemonic consciousness of the new peasant generation to create new strata relations, new individual consciousness and identity. Uncensored satellite feed could provide the peasants some ideas how the outside world viewed their stories. When Beijing government allowed the rotten practices like dirty preserved vegetable, fake milk and fake light soya sauce to be uncovered, she would allow media people unveil the corrupt practice of the rural leaders. Mobile phones and the Internet could help to connect and save victim citizens with the click of a button.

4.3 Engage sustainable strategies to defend civic rights

The villagers could learn to defend their rights individually. They should never attempt to negotiate with local officials in the form of organized groups. It would touch the nerve of the government like *Falungong* (Note 10). The peasants could multiply membership, adopt the flexible guerrilla strategies, take a multiple-front, penetrate into the power matrix of economy, state, effect socio-cultural discourses in this expanding global world and negotiate not only with the economic and political factors but also cultural and psychic experiences. (Note 11) This kind of civil society should concern questions such as equity, participation.

4.4 Restore healthy state-society relationship

One could help break down the rumour that the state was not helpful and restore healthy state-society relationship and implemented the 10th NPC policy of building a harmonious social relationship. The Chinese government seemed to be preparing to adjust the internal structures by tearing down the party interventions into the enterprises, introducing social security system in urban areas; developing human capital and attracting human resources; streamlining the state institutions and reconstructing the legal system. We could urge Mainland leaders to institute independent commission against corruption and democratic election at the county levels to meet the challenges of globalization and generate a cordial social transformation of the state-society relation.

4.5 Mobilize Chinese think-tank

The patriotic Chinese economists could convince Beijing government that the losers who had participated more deeply in global processes, found themselves worse off. The Chinese think-tank could convince Beijing government that the link between poverty and globalization was co-related. When poverty was seen to be a relational rather than a residual phenomenon, new policies at international level were vital in actualizing global justice and unveiling the hybrid of globalization and poverty

4.6 Network with trans-national civil society

The submerged networks (Note 12) could support the negotiation works of the peasants by engaging in lobbying,

consultation and the dissemination of information. They were some sorts of civil society that had no clearly defined organizational structure and in which peasant might organize their opposition and construct an alternative legal hegemony within the state. When globalization was a contributory factor in major global schisms, such dialectical engagement, could foster trans-national obligation, a sense of collective identity, raising universal consciousness and providing a voice to those poverty-stricken Chinese on the margins of social, economic and political life.

5. Conclusion

The question we must ask ourselves is: What are the political agendas of the critical discourse of globalization?

In the tidal globalization, the Chinese government seemed to have struggled to adjust the internal structures by tearing down the party interventions into enterprises, introducing social security system; developing human capital and attracting human resources; streamlining the state institutions and reconstructing the legal system. And yet, the issues of peasantry in the rural area and the influx of rural peasantry into the urban areas were still out of touch.

It was believed that every form of resistance to globalization in the rural area should be conducted without open confrontation against the communist Chinese regime. "Submerged networks" with no clearly defined organizational structure might help Chinese peasants respond to the challenge of globalization. James C. Scott's idea of infra-political activities that ranged from foot-dragging, squatting, and gossiping to the development of dissident subcultures could be adopted. (Note 13) When peaceful petitioning failed, peasants might resort to large-scale and "borderless" protests against globalization to make this injustice known through newspapers, broadcasting stations and trans-national civil societies.

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Notes

Note 1. Rousseau believed that the only reason human beings were willing to give up individual freedom and be ruled by others was that they saw that their rights, happiness, and property would be better protected under a formal government rather than an anarchic, every-person-for-themselves type of society. ...We have nothing to show for ourselves but a frivolous and deceitful appearance, honor without virtue, reason without wisdom, and pleasure without happiness. [Online] Available:

<http://www.utm.edu/research/iep/r/rousseau.htm#SH3b>

Note 2. Glocalization is a process whereby localities develop direct economic and cultural relationships to the global system through information technologies, bypassing and subverting traditional power hierarchies like national governments and markets.

Note 3. Bu, Hua and Jakes, Susan. (2006). Seeds of Fury. *Time*, 167 (10): 20-25.

Note 4. Oxfam.(2003). Bitter Sugar. Hong Kong Briefing Paper, August 2003. *Oxfam, Hong Kong*. Retrieved: (2005-07-27) China WTO network E-Library [Online] Available: <http://www.chinawtonetwork.org/lib/article.php?articleid=39>

Note 5. Apple Daily, Hong Kong. A24, 15 September, 2003

Note 6. The Impact of Globalization on the Chinese Economy Lu Zhiqiang, Vice President (Vice Minister), Research Development Centre of the State Council [www.chamber.org.hk/wsc/information/Plenary 1](http://www.chamber.org.hk/wsc/information/Plenary1)

Note 7. Bu Hua/Shanghai and Susan Jakes/Beijing. (2006). Seeds of Fury. *Time* 167 (10): 20-25.

Note 8. Barry Gills' "Manifesto of Social Rights" against globalization.

Note 9. Oxfam International is a confederation of 13 organizations working together with over 3,000 partners in more than 100 countries to find lasting solutions to poverty and injustice, and to foster a sense of global citizenship.

Note 10. 4 July 1999 Chinese government banned Falun Gong, presuming that very large number of followers could pose a threat to their ruling power, and started brutal persecution of Falun Gong practitioners in China.).

Note 11. Pun, Ngai. (2005). *Made in China*. (1st ed.). Hong Kong: Duke University Press.

Note 12. Pun, Ngai. (2005). *Made in China*. (1st ed.). Hong Kong: Duke University Press.

Note 13. Mittelman, James H.. *The Globalization Syndrome*, P. 171



The Development Mode of World Main Pivotal Port and Relevant Inspiration

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Abstract

Port logistics has become an important ring in modern logistics chain. It possesses a vital position in modern economic life and exerts significant effects on the later. This paper explores the development of port logistics in three foreign main pivotal ports and studies their development mode, with the hope of providing with inspirations and references for China developing port logistics.

Keywords: Port development, Development mode, Inspiration

It was said that “by other’s faults, wise men correct their own”. In order to develop the port logistics, China should actively learn from foreign advanced experiences in this field. Their experiences and development mode serve as important inspirations and references for China in developing the port logistics.

1. The development mode port logistics in foreign main pivotal ports

1.1 *The development mode of logistics in port of Rotterdam*

The port of Rotterdam locates on the estuary of the rivers Rhine and Maas in the southwest, Holland, facing the Strait of Dover, the busiest strait in the world ocean shipping. The port of Rotterdam is a pivotal port for ocean, land, and air transportation in the world. It is “a gateway” to a European market (Liyan Ding & Duo Zhang, 2003, p101). For many years, its throughput is always the No.1 in the world. In 2004, the throughput was 354,000,000 tons, being the No.3 in the world, realizing an increase of 8% than that in 2003. In 2004, the throughput of containers is 8,280,000, being the No.7 in the world, realizing an increase of 16.62% than that in 2003.

In one word, the development mode of logistics in the port of Rotterdam is a host-centered mode. Under this mode, the port authority possesses absolute freedom in business management and land use. It manages the land use concerning the port facilities, industries, and other equipments. Usually, the port authority can provide with some warehouses for common port logistics center. And the port authority is merely responsible for management and offering basic facilities and relevant services. It does not take part in the operation of this logistics center directly. In specific, the development mode of logistics in the port of Rotterdam has these characteristics as follow.

1.1.1 The government makes out general development strategy and the companies operate independently.

In Rotterdam, the city government has the property right of land, coastline, and basic facilities. Under the city government, the port authority is in charge of port’s development, construction, and daily management. It is the port authority who programs the lands, docks, shipping lines, and other facilities in the port. The port authority sets up special logistics center, focusing on introducing and arranging industries related with the port. The private companies take part in the operation by rent. What they have to do is to purchase some machines, equipments, warehouses, and other assistant facilities in the port. By this way, more private companies have possibilities in participating in the port business.

1.1.2 The match equipments and facilities in the port are perfect and efficient.

The port of Rotterdam has perfect match equipments and facilities and it also has electronic data interchange system and auto navigation system, achieving high modernization in its management equipments and operation methods. Fast and frequent custom services can guarantee the timely delivery of goods. And perfect transportation network centered on Rotterdam can radiate an area of 500 kilo meters around the port.

1.1.3 The specialized logistics center possesses significant advantage of scale.

With limited port resources, the port of Rotterdam has built up and developed logistics center. In 1998, it set up a “delivering district” in order to develop specialized logistics service, which serves as a model for other ports in the world. These logistics centers adopt latest communication and information technologies, and possess sufficient, professional, and specialized labors. And they can provide with sorts of value-added services and other custom services at spot.

1.1.4 The port-town-integrated international city and its modern port construction

As an important international trade center and industrial base, Rotterdam applies a strategy of “being a port that can enjoy greater freedom than a free port”. It is a typical port-town-integrated international city. There are about 3500 international trade companies or so and an industrial zone including oil refining, petroleum chemical industry, shipping building and repairing, port machine, and foods. In the arrangement of the port, Rotterdam takes the new shipping line as the center, other docks locating aside the main shipping line. And they are classified into specialized docks and multiple docks according to their functions, such as bulk cargo, containers, liquid goods, and raw oil. In general, the port of Rotterdam executes a “bonded area” system (It is also named as bonded warehouse area. It refers to special area and warehouse authorized by the custom or relevant institution. If foreign goods enter this area, they are free from custom taxes temporarily. And if these goods are exported, they are also free from custom taxes. But if foreign goods enter domestic market, they have to pay custom taxes.) (Changchun Yang & Yongcai Gu, 2003, p57).

1.1.5 The port of Rotterdam has formed a logistics chain with the inland industry.

The port industry has become an important part of economy in Rotterdam. The port of Rotterdam is one the three largest oil refining bases in the world and is also a main chemical industry base. Many famous oil refining and chemical companies, such as Shell, Esso, Kuwait Petroleum Corporation, Akzo Nobel, and Eastman Chemical, have branches in Rotterdam. Besides, food industry is also an important section for port. For all these large European supermarkets, Rotterdam is their supermarket located bedside the ocean.

1.2 The development mode of logistics in port of Antwerp

Antwerp is the largest seaport in Belgian (Nian Liu, 2005, p57). And it is also one of largest ports that have a throughput of more than a hundred of million tons. Antwerp is an important portal for Belgian, Holland, Luxemburg, Germany, and France. And its location is near to the main center of production and consumption in Europe. In 2004, the port of Antwerp achieved a throughput of 152,000,000 tons, breaking its former highest record, realizing an increase of 6.6% than that in 2003. There into, the throughput of containers reached 6,060,000, realizing an increase of 11.4% (Wei Qian, 2006, p48).

In one word, the development mode of logistics in Antwerp is joint-funded logistics center. In other words, many joint ventures invest in the logistics center of the port. One of the advantages of this mode is its sufficient capital resources. On the other hand, by means of cooperating with foreign advanced logistics companies, it is easy for the port of Antwerp to grasp and master the world latest management technologies and operation methods. In specific, the development mode of logistics in the port of Antwerp has these characteristics as follow.

1.2.1 The port of Antwerp is funded by the port authority and the private companies together.

In the construction of the logistics center in the port of Antwerp, the investments of the port authority chiefly focus on its infrastructures. Its logistics, land exploration, and shipping business are operated by private companies.

1.2.2 The perfect infrastructure serves as nice condition for the development of logistics center.

The port of Antwerp has excellent hard infrastructure. It has different kinds of warehouses and specialized equipments, and many kinds of industry development zones, including oil refining, chemical industry, petrification, auto parts, and ship repairing. Besides, the port of Antwerp possesses excellent electronic data interchange system that can greatly improve the work efficiency and logistics efficiency. Besides, the port of Antwerp expands its region in order to meet greater needs and provide with guarantee for the future.

1.2.3 Perfect transportation network guarantees the frequent flow of goods.

The port of Antwerp has built up trade relationship with more than one hundred countries step by step. It has more than three hundred shipping lines and connects with more than eight hundred ports. Besides, it has dense highways which directly connect with the express net in Europe. And the port of Antwerp is the terminal of twelve international railways.

1.2.4 Develop the port industry and expand its inland industry.

The port of Antwerp is famous for its dense industries. It is the second largest industrial center in Belgian. And the port of Antwerp has wide land resources, including Belgian, the North of France, Lorraine, Luxemburg, Saarland in Germany, and part of Holland.

1.2.5 The government changes its administration way.

Before 1997, the port of Antwerp was governed by the city government directly. The port authority was merely a branch of city government instead of being a legal entity. After 1997, the port authority reforms its system, becoming a common legal entity whose 100% stocks are controlled thoroughly by the city government. By this way, the port authority realizes complete independent operation, program, and management. It has more freedom in human resources, finance, and management decision.

1.3 The development mode of logistics in port of Singapore

The port of Singapore locates in the north of the Singapore Island. Its excellent geological position is important for its fast development. In 2004, its total throughput reached 388,000,000 tons, being the No.1 in the world, realizing an increase of 11.6% than that in 2003. And there into, the throughput of containers reached 21,330,000 in 2004, realizing an increase of 17.85% than that in 2003, merely after Hongkong being the No.2 in the world,

The development mode of logistics in the port of Singapore has both features of the supply-chain logistics center and the united logistics center. The supply-chain logistics center is combined by port logistics companies and shipping logistics companies. Under this mode, different parts can cooperate together and form a close logistics group to operate the shipping and logistics business. The united logistics center is formed by port and bonded area, or the city. In general, the development mode of the port of Singapore has these characteristics as follow.

1.3.1 The government directly invests in the construction of port infrastructure and applies the “free port” policy to it (Free port, or free trade zone, locates outside of the custom border, in which the export goods or most of export goods are free from custom taxes. Besides, it is legal to store, exhibit, break up, change, repackage, tidy, possess, and produce goods in this region. By this way, it benefits the local economy and the foreign trade, increasing the finance income and exchange income.) (Changchun Yang & Yongcai Gu, 2003, p54)

The Singapore government insists in investing in the port directly, which guarantees its advantages in port program and construction, and the supreme position of the port of Singapore in the international shipping field. Besides, Singapore government applies a free port policy to the port, and adopts many other favorable measures in order to abstract more world shipping companies. By this way, its position, as the center of world shipping, is stable.

1.3.2 The port of Singapore has clear job division and applies an integrated operation.

The port of Singapore has three distribution centers, namely Pasir Panjang, Sembawang, and Keppel. The Keppel distribution center is in the bonded area. It chiefly provides with storage, transportation, taking samples, testing, OEM, package, and other services. The Sembawang distribution center is a center for classifying goods, chiefly focusing on autos, large equipments, and steels. The Pasir Panjang distribution center is a center for transferring specialized autos.

1.3.3 The logistics operation and management realizes high modernization.

The port of Singapore makes best use of high-tech in logistics operation and management. It possesses the auto identify system, electronic turnstile system, auto bridge crane, and other advanced equipments. Besides, it has convenient electronic data interchange system, ensuring the safe and timely flow of information, increasing the logistics efficiency and optimizing the logistics management.

1.3.4 Cultivate the logistics chain for the port actively.

The port of Singapore emphasizes the development of port industry, insisting in combining the port industry together with the inland industry. And it always focuses on the construction of the port region and attracting foreign capitals by providing with some port land and docks for transnational companies to use as transfer terminals, and encouraging they setting up logistics centers and distribution centers in the port. At the same time, the port of Singapore lays stresses on the development of port industry, such as petroleum, chemical, and shipping, in order to cultivate a logistics chain in the port.

1.3.5 The diversified logistics services

The Port of Singapore Authority deals with not only its chief business, namely operating the port and docks, but also provides with many multiple value-added services, such as IT, logistics, supply-chain, and shipping.

2. The inspirations from the development of logistics in world main pivotal ports

The inspirations from the development of logistics in world main pivotal ports and their operation and management modes for China's logistics development in ports are as follow.

2.1 Lay stresses on the port management and program it rationally.

The management mode can exert significant effects on the development of logistics in the port. World ports' management modes can be classified into three types (Liang Jia, 2004, p42-43).

- (1) Operate merely by private companies
- (2) Joint-operate by government and state-owned companies
- (3) Joint-operate by government, state-owned companies, and private companies

Among the three modes mentioned above, the third mode can balance the authority control of government and the business operation of private companies, taking both social benefits and private interests into consideration, overcoming the deficits and limits of the mode in which the port is solely controlled by one part. In recent years, more and more countries adopt the third mode in the port management.

2.2 The driving effects of government on the port logistics

The driving effects of government on the port logistics includes these aspects as follow. The first is the macro management and the constitution of relevant laws and regulations. For example, as a typical market economy country, America turns the macro plan into market signals, which can indirectly influence the decision of logistics companies. Besides, although Japan is a market economy country, the government exerts an evident effect on the market. The corporate decision is dominated by both the market and the government. Secondly, program the general development of the port and make up development strategy. For the sake of general interests of the port, the government should make an overall program to increase the scale benefits of logistics operation. Thirdly, invest more and more in the construction of logistics infrastructure in the port. Fourthly, emphasize logistics education and talent training, which can provide with more excellent specialized talents for port logistics. Fifthly, provide with nice services for logistics companies in the port. The government should construct perfect administrative institutions and operate with higher efficiency. Favorable policies, valuable consultations, and timely custom services can contribute to the fast development of modern logistics in the port.

2.3 The positive effect of logistics industry association

The positive effects of logistics industry association in foreign countries are as follow. The first is the guiding and driving effect. The second is the consulting and service effect. The third is the education and training effect. The fourth is the industry regulation effect. The fifth is the communication and connection effect.

2.4 The right position of modern logistics development of port

The modern logistics of international pivotal port develops toward the integrated and overall trend. The overall development means multiple value-added services provided by the logistics center in the port. The integrated development means the integration of logistics companies and the integration of the port industry and the inland development.

2.5 Enhance the cooperation with shipping companies and develop containers business.

The popularization of containers and the large scale of container ship demand for deeper lines, wider docks, and higher efficient loading equipments. And they exert profound effect on port logistics. Because of the large expenses and higher risks in constructing a new or rebuilding the container dock, many port companies choose to cooperate with shipping companies in order to reduce the risks in venture.

2.6 Construct an international logistics center

Constructing an international logistics center can improve the port's world competitiveness, perfect the port's and the city's information service, and enhance the connection with inland, driving the development of port industries and related inland industries. By this way, it can push the development of the local economy and even the general development of the national economy.

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Expression Form of Book Design Art

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Abstract

Books are media for information communication. A nice book design can not only give prominence to the content of book but also construct a rich aesthetic space for readers by its special art language. Therefore, book design should emphasize both exterior beauty and interior beauty. Besides, it should pay attention on the organic unity of book content and book design. Put it in simple, the general configuration of book is three-dimensional and planar. And the exterior shape deserves further creation and innovation. For the sake of properly expressing the real content of book, book design should comprehensively consider the book's covers, space of a whole page, illustrations, nationality style, and the combination of these factors. Finally, unify the book design with the book content to form a unity.

Keywords: Book design, Exterior beauty, Interior beauty, Three-dimensional configuration, Unity of design and content

Books, as the media for information communication, can bring about aesthetic appreciation for people as they transfer knowledge for readers, along with the long development process. Therefore, excellent books possess not only the function of reading materials but also the function of appreciation, collection, communication, and mutual exchange.

Book design is an independent shaping art. Designers have to give prominence to book's content in design on one hand. On the other hand, designers should make best use of art language for book design to construct a rich aesthetic space for readers. By this way, readers can enjoy the essence of the book and gain aesthetic pleasure at the same time. As a result, the content of the book may impress readers' hearts deeply. That is the key of book design. Although book design may use thousands of languages, its object is human being. People's requirements for physical beauty and their requirements for psychological beauty, such as elegance and good taste, do not change a lot. Therefore, researches on book design languages' development and application become new standard for valuating the beauty of book. An excellent book design should have novel and proper expressive form. And its design language should not only reflect but also improve the content of the book in a sense.

1. The beauty of exterior form

In book design, the general configuration of the book is kind of "shape" design. The book's general configuration includes its size, edition building, paperbacked form, and packaged form. They all reflect the beauty of book's exterior form. The first step of book design is to design book's general shape. The uniqueness of book design firstly means the special exterior configuration of book.

1.1 The book is three-dimensional.

Book's beauty in form is not only in face but also in its general configuration. In essence, the art of book design is three-dimensional, multi-lateral, multi-level, and multi-factor. As a matter of fact, books are in a dynamic relationship with readers. Therefore, book's beauty in configuration should be developed in a three-dimensional, multi-lateral, multi-level, and dynamic space.

1.2 The innovative book form

Today, many book designers begin to re-shape the form of book, with the hope of changing people's habits and behaviors in reading. By this way, designers can get rid of the bondage of books' fixed mode and advocate imaginable design. In other words, it is to study the aesthetics of books by means of books' design language. Its significance is already beyond books' content and structure. It is to inspire readers' emotions and make them spring out various wisdom. To integrate the books' content and the modern book design is the value of books' configuration reform. In the general design of Heart and Instruction, semi-solid form is employed as its exterior expression. And its design language is enriched with angled line, changing its fixed expression. By this way, its design has realized the innovation of configuration in practice.

2. The beauty of interior form

The configuration of book design art means a perfect integration of exterior form and book content. During the process

of reading, readers should gain static and aesthetic pleasure from every stop and every moment. Therefore, the design of covers and inner pages should be independent and special. It must integrate with not only the solid form of book but also the content of book, achieving the unique charm of book design art.

2.1 The primary issue is the cover design.

In book design, the first issue is the design of covers. No matter how covers are designed, it must obey the connotation of a book's spirit, and the general effect of a book, instead of being completely independent. It is impossible for covers to reflect the whole connotation of a book thoroughly. Under the covers, it is the essence of the book, including its pages, illustrations, word styles, and so on. Designers should take all these factors into consideration in order to realize excellent book design. Therefore, designers must arrange these factors reasonably, effectively, and beautifully, making them become a unity and possess their positions respectively. In a sense, the book design is a comprehensive work composed by cover design, illustration art, word style art, and page design. Especially, cover design has key effect on the general configuration of book. As a matter of fact, the design idea, position, language, and form are all necessary parts in cover design.

2.2 The core is the page design.

Page design is the core of book design. It deserves more attentions from people.

In recent years, along with the development of books' graphic design, people begin to emphasize the page design. But generally speaking, people's stresses on it are far from sufficiency. The text is the core of a book. What readers care about is nothing but the text. Therefore, the page design is extremely important. The diversity of page design provides with wider space for designers. Firstly, emphasize the pure and simple style. Secondly, focus on the cultural connotation, aesthetic taste, and humanism carefulness. Thirdly, enhance the concept of general design.

Besides, the words design is irreplaceable in the page design. Different words style will exert different effects on people's emotions and affections, no matter what the effects are subtle or strong. Therefore, the word style should be in accord with the whole style of the book. In order to realize this goal, designers must understand the essence of the book and choose the right word style for the book. By carefully design and arrangement, the word style can help to create wonderful effects on the whole book.

2.3 The hotspot is the illustration of general design.

Illustration is the hotspot of general design. As a part of book design, illustration should exert a decorative effect on pages and words. "Illustration" means to make it clear by light. However, to decorate every part with paintings or ornaments is not equal to design or general design. Without a unified aesthetic idea, the general design will not have a soul but a face.

2.4 The general design should emphasize nationality feature.

The general design should emphasize the nationality feature, pursuing to reflect its unique nationality style. Each times and nationality has special aesthetic style that is not determined by subjective inclinations but based on its long history and production way. The progresses of economic system and the changes of cultural life habits will inevitably lead to the evolvement of nationality style in book design.

2.5 The way of combining different factors is important for the general design.

In book design, the combination of spots, lines, faces, and colors, or the relationship between different combinations are important. For example, contrast or harmony, symmetry or balance, rhythm or repeat, big or small, strong or weak, thick or thin, all these factors contribute to the effectiveness of book design. Besides, the rhythm of lines, black or white, colors, symbols, and shapes are also key factors for the book design. Moreover, the book design is affected deeply by social, national, and history factors. Therefore, as we consider the beauty of form, we should study this issue from the social and history angle. By this way, we can motivate all factors concerning with the "form" in order to achieve an aesthetic book design. For example, although the Heart and Instruction that focuses on the effects of religious on people is dull, we can add more attractive factors, such as light colors, interesting illustrations, and other decorating elements, into the book under the teacher's direction. By this way, we can create an interesting and easy reading environment. It is easier for readers to be attracted by the book although its content is not so interesting.

In a word, no matter what it is the structure of form, or the combination of spots, lines, faces, colors, shapes, or the beauty of harmony and softness, or the beauty of changes, all these factors contribute to the book design. The "meaningful form" even includes the form of materials because the match of different materials can also reflect the beauty of rhythm.

3. The book design and the book content is an organic unity.

Book design should lay stress on its unity. According to this essential design idea, book design should serve for book content, aiming at reflecting book's general look. Therefore, designers should have a general idea in order to realize this

goal as they get the book. In this aspect, it has two meanings as follow.

3.1 Designers should understand the theme and style of the book to certain degree.

Firstly, designers should be used to reading, holding a deep affection toward books. Secondly, they should make friends with writers and poets, understanding their ideas and thoughts, which may serve as preparations for their design. Thirdly, designers should keep on improving their cultural and aesthetic taste. The higher the aim is, the better they can do. Besides, book design must be the same inside and outside. In other words, it pursues the unification of content and configuration. Therefore, designers have to know the book content well, grasp its spirit, and understand the style of the writer and the characteristics of readers. By refining the essence of the book, designers can improve the general quality of the book by aesthetic form. In order to achieve the unification of content and configuration, designers should pay more attention on self-cultivation in many fields by reading. Absorb the essence and discard the worst. By this way, designers can improve their creative thinking abilities and design more excellent works.

3.2 Designers should understand the style and the theme of the book as much as possible.

The more the designers understand the book, the faster they complete the general design. And designers' knowledge structure, art culture, and aesthetic taste will affect the general composition. Since book design is a general work, designers must take materials and printing techniques into consideration. More important, designers should consider how to motivate all these factors to serve for the book's theme and content in order to achieve the unification of content and configuration. An excellent book design can inspire our aesthetic affection and desire for reading.

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A Study of How to Develop Students' Intercultural Communication Competence (ICC) In Business English Teaching (BET)

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Abstract

Under the economic globalization today, the ultimate goal of business English teaching is to develop students' language transfer competence in the intercultural communication environment and improve the strategies of the Business English Major students in dealing with the international business affairs. After presenting the intercultural issues in current China's Business English teaching, the study focuses on five constructive suggestions of the workable strategies of how to develop students' intercultural communication competence (ICC) in the Business English teaching (BET).

Keywords: Business English teaching (BET), Business English major, Development, Intercultural communication competence (ICC)

1. Introduction

The whole world is becoming a "Global Village." People from different societies, cultures and regions have the desire to communicate with each other effectively. Learning, mastering and applying the foreign languages become fashionable and attractive in today's China. In the past ten years, most China's universities and colleges have opened the majors of Practical English and Business English, paying more and more attention to their specialties and courses construction, teacher development, advanced equipment, facilities, etc. The relevant enrollment, students' learning motives and interests, and employment are very encouraging. And of course, the requirements of teachers and students to develop their own ICC are getting more and more urgent and have simulated more intensive and extensive study and research in the field than before. All the English learners, especially the students majoring in the Business English, should develop their ICC in theory and in practice. Undoubtedly, how to foster the intercultural awareness and promote the intercultural communication teaching are English teachers' duties, and how to develop the ICC for their future professional career are the prime goals of the students majoring in English or in Business English in order to minimize intercultural failures and conflicts, is demanded with respect of BET.

2. Intercultural issues in current BET

Facing the current situations of the entry into WTO and the trend from globalization, China needs a great number of specialized experts and employees who master and understand the professional knowledge of international trade, tariff, finance, economy, law, diplomacy, and other fields concerned with foreign affairs. And only the proper and scientific teaching methods can effectively improve the teaching quality and quickly foster students' abilities. BET programs should make a valuable contribution to intercultural competence training by changing their focuses from an abstract and formalistic knowledge and concept study of language and business regularities to concrete and practical cultivation of language competence and workable business skills used in society and in international business fields. Through the literature analysis and retrieval study and on the summary of teaching experiences in theory and in practice, roughly there conclude some typical issues in China's current BET, such as: 1) Business English has been opened without regard for the actual conditions, misleading into either the mere English teaching or the notional and international business teaching; 2) paying less attention to the basic English knowledge such as phonetics, morphology, and syntax, having no solid understanding of the Business English as a tool or a competence with strong aspects of practice; 3) students exercised the improper discourses, conversations, situations, settings and contexts in classroom activities and daily practices; 4) lacking of the field study, not meeting with the demands of the international business actuality; 5) the knowledge level of the professional teachers and the teaching approaches are not constructive, relevant textbooks and materials are not matched and fully equipped, the teaching equipment is short, the learning environment is not real and feasible, the evaluation mechanism in teaching and examination is not scientific, etc. All these have been the barriers that have restricted present China's BET going forward and developing qualified talents more or less.

3. Teaching Strategies for BET based on the ICC perspectives

3.1 Combining input of language structure system and pragmatic transfer of cultural awareness into one in the BET

In BET, how to enable the learners to carry out effective intercultural communication is naturally an issue of first priority. In case of intercultural communication, it means either of the participants has to learn a foreign language or a second language. The most emphasized is to learn how to combine input of language structure system and pragmatic transfer of cultural awareness into one in the BET. For the students majoring in the Business English of course, English is their specialized fundamental course, their major tool working in the business world in the future. First of all, BET should not end in itself; it must be coupled with culture. Teachers should often have the idea that culture teaching is as important as language teaching, so that students have the general understanding of the related English-speaking countries' cultural background knowledge, history and politics, etc. Language and culture must be integrated in one.

Owing to the complexity of culture itself and the impossibility to cut off all cultural factors in the short span of the college life, the students are required to have a full picture of the cultural elements in BET. What's more, it is the focal suggestion that teaching a language is teaching how to shape the cultural context of business-oriented use. By teaching and learning a foreign language we should take the learner's native discourse patterns into account and help them adopt those of the new involved language, and enhance the target cultural awareness and sensitivity through comparative study of native-foreign cultures.

3.2 Integrating a wide cultural backgrounds and atmospheres to stimulate and activate BET

It will be much easier to learn a certain language in the certain cultural background, just as the children brought up in the foreign land will naturally pick up the foreign language and behave as foreigners in many aspects, which is in fact the result of cultural background. How to integrate wide cultural backgrounds and atmospheres to stimulate BET and to cultivate the students' sharp awareness of the forces always empower continuously to sustain and familiarize the business cultures of the English speaking countries, the forces that always create culture shocks and fatigue in coping with the varieties of business activities in the target language culture. For these major forces that help to generate cultural differences include biology, interpersonal communication patterns, institutional networks, technology, history, education and ecology. Such knowledge may allow learners to understand both the deeply embedded nature of the culture and the complexity of a series of forces that produce cultural differences in the international business activities. So far, the senses and actions upon getting rid of the distinct stereotypes and barriers in intercultural business communication always become the focal points for the students majoring in the business English. In order to promote the true combination of language usage system and pragmatic construct system, teachers can implement the teaching from many ways and dimensions, such as in listening, intensive reading, extensive reading, writing and oral courses. Especially, it is feasible to suppose some virtual commercial situations for students to imitate and to adapt, and summarize the primary experience in the alien intercultural communications, enjoying some original movies and video tapes, or give some lectures on cultural varieties. By doing this students can not only be trained in four English abilities but also learn and grasp the cultural knowledge of English speaking countries, and make the language learning more colorful and attractive.

3.3 Offering cultural comparison and contrast in BET to strengthen students' cultural sensitivity

In training students' cultural awareness, teachers can introduce the western cultural knowledge by comparison and contrast it with the Chinese culture so that students can understand western culture and also be familiar with the ancient eastern culture, such as traditions, customs, folklores, norms, science and technology, politics and economy, literature and education, etc. And the purpose is to deepen students' understanding of both of culture and find cultural similarities and differences to broaden their cultural knowledge and perfect their language performance. Teachers can also guide students to compare and contrast the two countries in some distinctive cultural similarities and differences. By the comparison between English-speaking countries, students can trace their historical source, understand more of each country's social development conditions and know more about the whole social capitalist development history. Step by step they would enlarge their cultural and business information, improve the culture qualities and world trading skills in the business world and promote the total development of their comprehensive English to become the new-type talents in the new century indeed. But in the culture and business English teaching, teachers should not only introduce good characteristics of western culture and the rapid development conditions in politics and economy but also help students to possess the proper cultural value in the business dimension and to the real Business English perspective, point out some unhealthy and negative elements in western cultural values, in many textbooks of practical college English and communicating English in the business world. After analyzing all kinds of business conditions shown in Chinese and western social and cultural politics, both teachers and students can probably have a deeper understanding, naturally draw the conclusions through comparing and contrasting the varieties of the Chinese and western business cultural similarities and differences and finally enhance the students' comprehensive Business English competence and their love to the motherland, which is also a good way to develop the students' morality education and express the patriotism. After students' culture awareness has been enforced they can consciously improve their own ICC and become the future

excellent national and international business masters in the flourishing world economy with their general Business English abilities and qualities.

3.4 Keeping solid business knowledge and practical commercial ability abreast

There ought to be a common sense that business knowledge and workable commercial ability of the students in the Business English major should be paid equal attention to as well as the comprehensive quality and skill of the English language. BET, as a very important branch of English Teaching and with somewhat considerable differences from English Teaching, besides the same stresses on the basic language skills of listening, speaking, reading, writing and translating, has its own distinctive demands for teachers' knowledge and specialties background, mainly involving into mastering of business concepts and knowledge and skill. The professional teachers must have the teaching qualities of how to readjust the specialties offered, how to institute the courses on basic business theory and how to improve teaching materials for Business English, offering the compulsory courses of business culture, business management, marketing planning, the society and culture of the English-speaking countries, the laws of the UK and the USA, the backgrounds of the UK and the USA, etc. to students, in order to enrich their business knowledge, broaden their mind and liberalize their outlook. While the students of the Business English major, unlike those in the general English major, have their own unique studying requires and motives, which are how to master the skills of engaging in the business and commercial activities and employment in the English language familiarly and set up their career extension in the world business field on the knowledge they have learned. The students are also encouraged to hold every chance to take part in the live business activities to practice their business theories and English skills and to obtain real experience preparing for their future employment. On deepening their business application and emerging the English culture, the student must make great progress in developing their intercultural communication in the business world.

3.5 Enforcing the nonverbal perspectives and time mechanism in intercultural business etiquette and protocol

It is unavoidable to pay relative attention to the nonverbal intercultural communication, for it is usually responsible for first impression, and it is a continuous flow throughout the interactive process disregarding the presence or absence of verbal behavior. The body message reinforces the words and action speaks more than words. The importance of nonverbal communication could be felt from Shakespeare's famous verse "there's language in her eye, her cheek, her lip". Nonverbal behaviors, with their features of being symbolic, explanatory, affective, regulating and adaptable, are the symbol and marks of communication for its social-functional perspectives: social relationships, discourse structures, communicative contents or semantic codes, and feelings or emotions, which have constructive significance for the intercultural communication in doing world business and in commercial negotiation. From the moment of recognition till the moment of separation, people observe each other with all their senses, hearing pause and intonation, attending to dress and carriage, observing glance and facial tension, as well as noting morphology, syntax, discourse and context. Every harmony or disharmony of signals guides the interpretation of passing mood or enduring attribute. Out of the evaluation of kinetic, vocal and verbal cues, the business or trading decisions are made to argue or to agree, to laugh or to blush, to relax or to resist, to continue or to cut off conversation. In many cases, it turned out the old saying that it is not what you say but what you do counts at last. One's silent action, that is the business manners, always performs as recommendation in your job-hunting and in your solid employment.

In business activities, punctuality is regarded as the utmost virtue and lack of it is an end of a deal. The different attitudes toward time and time behaviors lie in the different cultures of China and the West, which has always brought about many cultural conflicts and troubles in the world business field and made the intercultural communication get more difficult. Appreciating cultural differences in time sense becomes increasingly important as modern communications put more and more people in daily contact. If we are to avoid misreading issues that involve time perceptions and the use of time, we need to understand better our own cultural biases and those of others.

When people of different cultures interact, the potential for misinterpretations in the nonverbal communication exists on many levels. To cultivate the competence of the nonverbal intercultural communication is another door brightly to the comprehensive talent for a student in the business English major.

4. Conclusion

China is pursuing more and more extensive international cooperation in all fields. Certainly, China would take great measures to develop high-empowered Business English talents and pay great attention to the constructive significances for teaching frontiers of BET. The present study implied great expectation of China's BET should sustain adherence to taking firm actions to optimize and integrate the past and present knowledge, approaches, strategies and measures, create a good Business English educational environment, strengthen the teaching assessment, improve quality assurance system, enlighten students engaging in the effective and significant studying, and develop the ICC required in the real business field.

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Ecologism in Interior Design

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Abstract

With the progress of our mankind, great changes have taken place in economy as well as our society, so have the natural environment and ecological system in which we live. Nowadays, we are faced with decreasing natural environment, forest, species, clean water, air and cultivable land. In addition, some urgent issues such as global warming, exhausted energy and widespread rubbish force us to reflect on our future life style. In this situation, interior designers are expected to introduce ecological ideas into their design to push it to a higher and advanced level, which will consequently promote the transformation of the employment of resources in architecture from the consumptive type to the recycled one.

Keywords: Interior, Design, Ecology

Interior environment is important to our human beings since most of us spend two thirds of our lives in it. According to ecologism, when creating comfortable living and working environment for people, pollution should be reduced to the greatest degree to keep the ecological balance of the whole world. Therefore, it seems particularly important to explore how to save natural resources to protect our environment, how to create the interior environment fir for our living as well as how to combine living, man and nature into an organic and harmonious whole. This article aims at exploring the application of ecologism in our modern interior design.

1. Introduction

1.1 The Connotation of Eco-design

According to Thoreau, a great American romantic ecological thinker, human beings should be adapted to nature instead of adapting it to us. A question raised by him---“Is it proper to change our planet or to adapt ourselves to it in order to lead a safer life?”--- has caused a lot of attention and reflections. In *The Economic System of Nature: The History of Ecologism* written by Donald Worst, it was mentioned that “They have realized that one is enabling diseases to enter his body to destroy his soul once being out of touch with nature. Therefore, one will not do without touch with the ecosystem.” Based on the above, we human beings are expected to reduce our grabs at natural resources and energy especially when taking our offspring into consideration.

1.2 The Features of Eco-design

Eco-design is a combination of ideas such as the human-oriented one, the economy and recycle of resources, the harmony between buildings and the surrounding ecological environment and so on. With human health being one of the most important features of eco-design, it should be attached much importance to in our design of ecological environment, sanitary conditions, three-dimensional afforestation, natural landscape, noise reduction, materials for architecture and decoration, air ventilation and so on. In addition, overall layout, building frame, the application of natural energy, energy-saving measures, afforestation system and living facilities and so on should also be considered in order to improve people’s living environment and quality. Furthermore, in exterior design, efforts should be exerted to ensure the harmonious style of afforestation and buildings as well as supplementary but harmonious plants and to exert more functions of afforestation in the exterior environment to a deeper degree, such as heat-resistance, protection against wind, dust as well as noise and elimination of poisonous substances, viruses and bacteria. In terms of the construction of buildings, the requests in natural ecology and social ecology should be both taken into account to emphasize energy saving and dwellers’ requests for their natural space and personal communication.

2. Eco-elements in Interior Design

2.1 Saving Natural Resources

Natural resources are composed of self-born energy, reproducible resources and irreproducible resources. Self-born energy refers to the inexhaustible one such as solar energy, wind energy, water energy, geothermal energy and biological

energy and so on. Different from it, some resources such as coal, electricity and water cannot be self-born or reproduced, hence decreasing day by day. However, reproducible resources, such as fishes and trees, will survive with their reproduction as long as we make reasonable use of them. Accordingly, in our eco-design, self-born energy and irreproducible resources should be saved and recycled and reproducible resources be used at a low rate. For example, more solar energy should be applied to heating and cooking by fixing solar energy facilities in the areas enjoying over 2500 hours' sunshine in a year; different water should be used for different purposes (system A offers drinking water and system B offers recycled water for other use, such as sweeping the floor, watering flowers, cleaning cars and so on; energy-saving lights should be used as well.

2.2 Using Environmental Protection Building Materials

With a tendency for "luxury", "novelty", "fashion" and "style" in modern interior design, an excessive amount of stainless steel, aluminium boards, copper strings, plastics, glass, polished stones and marbles have been used, hence having negative influences on the sustainable development of construction industry. According to eco-design, more natural materials such as wood, stone, vine, bamboo and fabrics should be employed in our interior design to pursue a simple, concise and comfortable atmosphere.

In addition, a lot of artificial chemicals with some harmful substances, such as formaldehyde, benzene and some volatile organic compounds, have been employed in modern interior design. Besides their offensive flavors, they also tend to cause some health problems such as headache, sore throats, weariness.

Meanwhile, with the pace of living quickens, our interior design is updated from time to time. Hence a lot of removed building materials are piled into a pollution source in our environment. If not dealt with in time, our eco-system and environment will get destroyed in a short time and we will face more trouble in environmental treatment.

Therefore, with the reasonable use of environmental protection building materials, such as non-toxic coating, reproducible wallpaper, less pollution will be produced to the surrounding environment as well as people in the production and application courses. In addition, the removed materials are easy to be degraded and recycled into new products.

2.3 Taking Climate and Location into Consideration

By using an excessive amount of artificial lighting and air-conditioning, the communication between man and nature has been broken, hence causing a waste of energy as well as harm to human health. Therefore, climate and location elements should be taken into consideration in eco-design. Because some elements, such as direction, layout and utilization of space, landform and terrain, influence heat preservation, insulation against heat, sunshine and ventilation in our houses, we should try to make use of natural heat and cool air to improve the air conditions indoors.

A reasonable direction should come first in eco-design, which is closely related to sunshine, heat accumulation and ventilation. With China lying in the middle and low-latitude zones of the Northern Hemisphere, houses facing south here will be protected against wind and enjoy sunshine in winter and enjoy breeze and be protected against sunshine in summer. Generally speaking, a series of elements are related to the direction of buildings, such as geographical latitude, geographical environment, local climate features, the conditions of building lots and so on. When defining a favorable direction or an optimal direction range, sunshine and wind are the most important standards. With different optimal direction ranges in different cities, a reasonable direction should be chosen to gain more sunshine. In addition, the ultraviolet radiation in sunshine, helping to kill bacteria and improve air conditions, also varies in intensity in different directions. During the daytime, the ultraviolet radiation reaches its peak intensity around midday and comes to the lowest point just after sunrise and before sunset. It is shown that houses facing south, southeast and southwest receive the greatest amount of ultraviolet radiation in winter, those facing east and west only receive half of the greatest amount and those facing northeast, northwest and north receive only one third of the greatest amount. Therefore, taking ultraviolet radiation into our consideration, the direction range from 45° east of due south to 45° west of due south is the best one. Besides, the dominant wind direction is also important due to its influence on the heat exhaustion in winter and ventilation in summer. In the northern part of China, houses should not be built facing the dominant wind direction in winter to protect against cold wind. For example, in Tianjin, with its dominant wind directions in winter being north and northwest wind, the direction range from 60° southeast of due north to 60° west of due south is the best for the houses there. However, in the southern part of China, it is particularly important to gain favorable ventilation conditions. Therefore, their houses should be built with an angle of incidence less than 45° with the dominant wind direction in summer in order to get more draught.

Similarly, the layout of space cannot be neglected in eco-design due to its influence on human health. As a place for rest, sleep and clothes storage, the bedroom should be designed to be quiet and private. Nowadays, with most people busy with studying and working in the daytime, it makes little difference for a bedroom to face south or north, to have or have no direct sunshine in eco-design. Instead, the sitting room now serves as the major space for most of our activities at home, especially for office workers in the two rest days, for the old and babies, and for students in winter and

summer vacations, hence demanding for large space and sufficient sunshine. Therefore, the sitting room is designed much larger than the bedroom in our modern interior design. If the sitting room faces south, a lot of energy will be saved with the great amount of sunshine in the daytime.

In addition, the utilization of space should be taken into consideration. Only with favorable ventilation conditions and broad field of view will fewer bacteria grow in corners and the dwellers be in good mood. Besides, despite of the goal of “creating comfortable and elegant living environment”, moderate consumption should be proposed in our eco-design. In this aspect, transitional space, such as the hallway and the corridor, cannot be too large. Besides, from the perspective of practicality, enough storage space should be created in eco-design.

2.4 Expanding and Employing Afforestation

By expanding and employing more afforestation, the shortage of green areas will be made up and the interior afforestation, together with ventilation and sunshine, will help to improve the separation between the interior space and the outside natural world. Besides, the soil-free cultivation technology also makes it possible to create green areas on our balconies, windowsills, corners and roofs.

3. Conclusion

Nowadays, eco-design is still a new, leading concept for interior design. With our stronger sense of environmental protection, we begin to shift our attention to this issue from public areas to our own possessions. With the development of our economy and the improvement of our living standard, eco-design will play an important role in the future society, in which more importance should be put to health, comfort, convenience and efficiency. If combining man, nature and living into an organic whole, we'll be lucky enough to have a sunbath, breeze and humid air without stepping out of our houses. In the modern times, eco-design will help us to revive the free and comfortable lives of our ancestors in the beautiful natural world in our own houses.

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Towards Local Government Strategic Planning in Vietnam: Systemic Governance Interventions for Sustainability

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Abstract

Strategic planning has been widely applied internationally in both the public and private sectors. It has been criticized for using a top down approach and for not drawing on the insights and lived experiences of the people and for not supporting two – way communication. This article is based on an analysis of strategic planning in three local government case studies in Vietnam. The research is based on original empirical research for a PhD degree. It develops an argument for a more participatory approach based on two –way communication and a consideration of many domains of knowledge to be considered to support governance decisions. This approach is called systemic governance and participatory planning for decision making. This article is based on empirical research. It explores the extent to which strategic planning has been applied in Vietnam.

Keywords: Strategic management, Strategic planning, Systemic governance, Subsidiarity, Local government

1. Introduction and background to the research

1.1 Vietnam's planning system and the significant of the study

Like most of the socialist economies of Europe and Asia, Vietnam followed the central planning model from the U.S.S.R. The central planning approach has been an ideology for the unitary state of Vietnam in the last few decades where the resource allocation was decided by the central authorities on behalf of the people. Originally, the plan was considered to be the basis of the constitution for North Vietnam and for the whole country after unification (1975). The whole country followed the plan strictly in terms of what was needed to be produced, and where and how many products were produced.

Problems with this approach to planning accumulated and countries have been moving to the other approaches to meet the demand for changes. In Vietnam, since the country used to be a planned economy and most of the economic activities were under the control of the centre during the planning period, this has led to economic inefficiency and a low quality of life. In 1985, the earliest year for which comparable economic data are available, Vietnam stated that it had a very poor economy, with a GDP at 4.2 percent and low life expectancy at birth of 65 years (World Bank estimates based on Vietnam Living Standard Survey (VLSS) 1993). Paralleling the international trends, Vietnam has been implementing the reforms in the development discourse regarding governance, management and citizen participation to enhance the development of the country, particularly in local government.

The renovation (Doi Moi) initiated since the late 1980s can be viewed as a process of adapting its institutions to the changing needs of a socialist-oriented market economy. As a result, the government has implemented the public reform programs in which the reformative approaches have been applied to the national planning system. In an era of globalization and entering the World Trade Organization, Vietnamese people require ever more versatile policies, strategies and management methods to have sound visions and actions and thus the government has been reforming the planning system. The reform is also part of a campaign to achieve Vietnam's Millennium Goals (VDGs) and Vietnam's international commitments. It is also a means for the government to enhance democracy and the participation of citizens and then to provide a better quality of life. Vietnamese government has put in place the legal framework for the reform

of planning process in 2004. Prompted by episodes of the international donors, the Prime Minister issued a 'planning decree' (phap lenh ke hoach) and a directive No 33/2004/CT-TTg on the preparation of the five-year Socio-Economic Development Plan (2006-2010). The socio-economic development planning is considered to be a crucial framework for eliminating and erasing poverty in Vietnam as set up in the Comprehensive Poverty Reduction and Growth Strategy (CPRGS-Chien luoc tang trung toan dien ve xoa doi giam ngheo).

During this reform period, the GDP growth has been increasing during recent years about 8 percent per year during 1990-2005 (Vietnam Statistical Yearbook, 2005). The social indicators such as poverty reduction have been improved. However, a considerable number of questions still need to be addressed as to whether these developments are sustainable or not when (1) the government balance sheet and domestic public sector debt indicators are still of concern (Vietnam National Assembly, 2006); (2) the gap between the rich and the poor is larger (Vietnam Statistical Yearbook, 2005); and (3) the voice and accountability to community in governance is still low (World Bank, 2006). These are great challenges to national and local authorities to look at their programs again, particularly the socio-economic development planning process.

These challenges and problems have indicated that the change toward 'good governance' has not been completed. The operation of the current planning model still shows the legacies of a centrally planned economy. National and local authorities are increasingly concerned to look at their reforms programs again in order to respond to challenges. The 5-year socio-economic development plan that has been considered as the second important decree of the Party is one of the means by which the Vietnamese government can address the above challenges. It has taken a dominant position as the public sector represents the dominant investment sources. It prioritizes all of the proposals contained in the sector plans prepared by sectoral ministries, departments or agencies. Reforming the strategic process is essential in order to bring about the desired change. The argument developed in my thesis is summarised in Figure 1. The core argument is that Vietnam needs to have a more open process to test out the planning ideas with the people who are affected by the decisions, particularly who are to be at the receiving end of the decisions.

1.2 Historical development of strategic planning

The strategic planning was introduced over 20 years ago in the public sector with much early literature focused on the way in which governments applied philosophy and the process (Bryson, 1988; Bozeman and Straussman, 1990; Denhardt, 1985; Eadie, 1983; Osborne and Gaebler, 1992; Steiner, 1979). It had been adopted from the private sector as an innovation for public sector management in the last decades and implemented in various governments in order to enhance creativity, effectiveness and efficiency, with varying levels of success. Critics argue that the private sector and the public sector have different interests, but both the public sector and the private sector need to serve the commons and the public goods in the interests of a sustainable future (Elkington 1995 and McIntyre-Mills 2006a,b). Since 1983 a shift has occurred when Jack Welch of The American Manufacturing Company, General Electric (GE) purged his organization of strategic planners (Galagan, 1997). This marked the end of an era where strategic planning fascinated organizational leaders (Galagan, 1997; Mintzberg, 1994). But in 1994 when the public sector introduced significant reforms and the organization focused on downsizing and reengineering, after 10 years neglecting strategic planning regained popularity (Galagan, 1997).

New forms of strategic planning as a result of the response to meet the historical changes in the turbulent environment such as globalization, market economy and international relationships. An initial form of the strategic planning started as a long-range plan in the 1950s. It was an extension of the regular one year financial planning, in the form of budgets and operating plans. The long-range plan was a projection from present or an extrapolation from the past and it is argued to be equivalent with traditional bureaucracy model which was defined by Max Weber. The next pattern of strategic planning is business strategic planning in 1960s. Then corporate strategic planning was introduced by Ackoff (1970) and Steiner (1979). But the models were still based on a hierarchical model of bureaucracy and hard to be in change of increasingly international competition, societal values, military and political uncertainties. Thus, in 1980s, the Bryson's (1988) model was identified to meet the challenge of scarce resources effectively and efficiently within an uncertain environment. However, the model was limited by lack of concerning socio-economic development issues and implementation aspects.

In 1990s, strategic management was introduced by Ansoff (1984), Stacey (1996) and Mintzberg (1994) to overcome these pitfalls. Then by 2000s, participatory design was developed and applied to strategic planning in the public sector in which it encourages participation of community on the process. However, based on Vu's research experience (2005), when the process starts from bottom-up, it is hard to combine with policies and decisions making from the top.

Strategic planning in local government needs to be democratic and to be able to meet challenges of uncertainty and changeable environmental incrementally. Government officers and planners when developing a strategic plan need to keep in mind that issue might be complex (McIntyre, 2007). They might need a strategic plan comprehensively with good governance and in action. Strategic planning would be concerned with the idea coming from consultation with community domain and having facilitators, instead of being expert driven. The evaluation of its implementation and

process is an ongoing process instead of the evaluation of final result or plan. Strategic planning needs to be systemic, not a linear approach. That version of *strategic planning would be systemic governance for strategic planning*.

1.3 Strategic planning concept

Defining and understanding the meaning of strategic planning can also become problematic due to the wide variation in definitions, the use of jargon and the variety of terms used to describe strategic planning. Strategy comes from the Greek – strategos – the art of the general- reflecting the role of leadership within originally military activity (Henderson, 1989; Mintzberg & Quinn, 1991; Rubin, 1988). Mintzberg (1994) refers to the way in which the concept within the English language was used in the seventh century to refer to formalized charts and plans. Hence, the association of the planning process being a formalized activity, with the accompanying assumptions of predictability in an environment that go with it.

According to Drucker (1973) ‘strategic planning is the continuing process of making entrepreneurial (risk-taking) decisions systematically and with the greatest knowledge of their futurity; organizing systematically the efforts needed to carry out these decisions; and measuring the results of these decisions against the expectations through organized systematic feedback’ (p. 125)

But the problem with all of these approaches is that it privileges the viewpoints of the powerful decision makers and does not address the lived experiences of the people. It also does not make use of two –way communication (McIntyre-Mills, 2006). According to Bryson (1995), strategic planning has been defined as ‘a disciplined effort to produce fundamental decisions and actions that shape and guide what an organization is, what it does, and why it does it’ (p. 4-5). He claimed that the process involves research, development and consideration of strategic alternatives and places an emphasis on the future perspectives of current decisions. Furthermore, strategic planning is also defined as a systemic process for managing the organization and its future direction in relation to its environment and the demands of external stakeholders, including strategic formulation, analysis of agency strengths and weaknesses, identification of agency stakeholders, implementation of strategic actions, and issue management (Berry & Wechsler 1995, p.159). This definition tends to emphasize the steps in gaining future impacts which fully consider linking and matching both internal and external environments.

A definition from Steiner (1979) is that ‘...planning deals with the futurity of current decision, it is a process, it is a philosophy, and it is a set of interrelated plans’ (p. 34). He describes formal strategic planning as, in essence, the systemic identification of opportunities and threats that lie in the future environment (internal and external) which, in combination with other relevant data, provide a basis for a company’s making better current decisions to exploit the perceived opportunities and to avoid the threats (cited in Harry & Kunin 1983, p.12). It is an orderly process which, to over-simplify, sets forth basic objectives to be achieved, strategies and policies needed to reach the objectives, and tactical plans to make sure that strategies are properly implemented. Strategic planning also constitutes ‘organizational attempts to handle societal problem of a broad kind by means of investigation, analysis, and suggested solutions followed by coordinative measures of advice, guidance, and control applied to a broad range of actors’ (Self 1974, p.286). Mintzberg (1989) noted that strategic planning is a means to program a strategy that already exists and is worked-out, not to create the strategy itself (p. 274).

Thus, strategic planning assumes that an organization should be responsive to its internal and external environments, which are dynamic and hard to predict, as a continuous process. Strategic planning emphasizes the significance of making decisions which place an organization to be able to successfully respond to changes in the environment. Additionally, it considers a range of possible futures and emphasizes the development of strategies based on a current assessment of the organization’s environment. The stress is on overall direction rather than predicting specific and concrete objectives. Thus strategic planning needs to be based on participatory design or responsive design approach.

The strategic planning focuses on strategic management, that is, the implementation of strategic thinking to the requirement of leading an organization to achieving its purpose. Usually the questions which should be answered are not ‘what business are we in?’ but ‘what business should we be in?’ and ‘Are we doing the right thing?’ (See Ackoff and Pourdehnad, in *Misdirected Systems* 2001). Moreover, one of the main themes common to all strategic management theories has been the emphasis on strategic thinking (Porter, 1980; Mintzberg, 1994). Again, the other authors (Steiner, 1979; Barry 1986; Bryson, Freeman, and Roering, 1986; Bryson, Van de Ven, and Roering, 1987, Bryson, 1988, p.11) argue that strategic planning can help an organization think strategically and develop effective strategies.

For the purpose of this article, strategic planning can be defined as a continuing process that involves governance, management and participation (Figure 2). Figure 2 shows that the process proposes to be a learning cycle loop of governance, management and participation. The Governance is making a decision about what needs to be done, when it needs to be done, how it needs to be done through the implementation of collective intensions. The Management is the achievement of results and personal responsibility by the manager for results being achieved through carrying out the decisions effectively and efficiently to be able to answer the question of “What can it be done?”. The Participation of

various stakeholders in the process is in order to support for answering the question of “How do you know that it is going on the right track?”.

In local government, generally it is the process of policies, strategies or decisions:

- a) made by representative members (council) and
- b) implemented by administration body, then
- c) reflected in community and feedback to council for fine tuning and adjusting the policies and decisions.

Strategic planning is becoming increasingly complex as the environments of many public sector organizations evolve with greater uncertainty. Organizational ‘turn-around or ‘restructuring’ or ‘rebounding’ bring particular difficulties for public sector enterprises given the traditional stability generally associated with this sector. The public sector operates in highly accountable and controlled environments, with the restrictions of legislation, resources, higher government authorities applicable to their product/service domain as well as to their operations, and accountability to service receivers. Therefore, developing strategic planning in the public sector, particularly of the government where it ‘shouldn’t be run like a business; it should be run like a democracy’ (Denhardt and Denhardt, 2003, p.3). The strategic planning process needs to match the needs of people and for this to occur two-way communication process is essential which needs to be built into the governance process. In short, the strategic planning process needs to be *systemic governance and deep democracy (more participation by the community)*.

3. Objectives of the research

The objective of the research and this paper is to investigate and examine the current process of planning system in Vietnam both at central planning authority and local government policy on natures of how it is. The purposes are to find out where governance, management and participation in the planning process are strengths and falling short and where might be improved. A particular focus is given to three districts study in Hanoi. The case-specific findings seek to inform government officials, policy-makers and development practitioners about policy and implementation efforts and changing practices in different locales.

The study also aims to provide the implications for democratic strategic planning and will make a case for improving governance through considering systemic interventions.

4. Research approach

This research was preceded by consistent and rigorous collection and analysis of data using intensive qualitative case study methodology. The main data gathering tools were key informant interviews, focus groups discussions, participation observation, documentation and the experiences of Mai Vu as a researcher, which were related to the research subject and developed through the World Bank and ADB related projects in Vietnam. The data was informed by observation in South Australia of participatory planning processes and detailed study of the literature.

The study used both purposive sampling and snowball sampling to collect data. This combination can be possible to provide the broadest range of information. The more information that can be obtained, the better the chance of a complete picture of the cases being studied. Selection of interviewees began with a purposive sample of individuals known to be expertise and practices in planning and/or to be in positions of particular influence within the local government.

Sixteen interviewees from across different organizations/departments and government levels including central government, provincial government, three district-level governments, commune governments, donors and expert consultants were interviewed in 2005. Interviewees were either the Chief Executive Officer (CEO) (or equivalent), Mayors and elected members or department managers and senior service officers in the organizations.

In this study, transcripts of interviews and focus groups, notes of observations and direct experiences and documents (plans, decrees, guidelines, instructions, websites, journals, and other public documents produced and provided by the organizations involved) were analysed. These were managed and analysed by using computers, particularly software package Nvivo.

5. Findings and analysis

5.1 Governance on the planning process

Good governance issues have become central issues to aid packages and so they are central to the government agenda. The literature (Becker, 2005; Bogason, 2000; Fukuyama, 2004; Fung and Wright, 2003; Kjaer, 2004, Pierre, 2000; Pierre and Peters, 2000; Peters, 2001; Peters and Savoie, 2000; Rhodes, 1997) has discussed the concepts of governance as top down, bottom up, contracting out, multilevel or systemic, which means matching the right governance response to the specific context, based on questioning (McIntyre-Mills, 2006).

In the Vietnamese context, different views of the governance are expressed by different stakeholders. For donors,

'governance is concerned with the overall institutional environment in which citizens interact within which economic, political, legal and administrative authority are exercised to manage a country's affairs at all levels' (Poverty Task Force, 2002 cited in UNDP, 2006, p.4). From the viewpoint of Vietnamese government literature, governance is understood to be the 'state management' (*quan ly nha nuoc*) and excludes political issues. This reflects the distinctive single party political system in Vietnam.

For the purpose of this study, it can be defined that *Governance* is making decisions about *what needs to be done, when it needs to be done, how it needs to be done* through the implementation of collective intentions. When strategic planning process is formulated and implemented (Bryson 1988, p.75) by collective intentions, it would reduce the likelihood of making plans that do not match the needs of the people for whom the plans are intended. Strategic planning is hampered by the need to set new indicators that do not make the past achievements look inadequate, because the new planning indicators need to be matched to the old plans and an argument needs to be made as to why past goals were not achieved in order to decide what will be done. Given that direction, it is very difficult for bureaucrats to ensure that senior officers do not set low limits to ensure easily achievable goals and to ensure political success.

The five year socio-economic development planning process (2006-2010) reflects single party top-down governance. The decisions of 'what to do and how' come from the central government. The decentralization of authority to lower government levels is limited, as they have little independence on commanding issues without interference from the central government. The data show that local authority actors (both councilors and officers) do not decide policies for their area in isolation; instead, they often look to the national local government system for guidance about what standard of service to provide, for ideas to imitate or to avoid, for ways of tackling common problems, and for justifications or philosophies of particular strategies. Most councils most of the time follow national trends in the local government world, or national trends in their kind of authority facing their kind of general problem under their kind of political control. The other example (drawn from interviews) is when the plan has been issued and 'ordered' (*giao xuong*) from higher government to lower level (local government), the local government have to follow the plan strictly, if there is any action that is outside of the plan but that relates to the higher level decision making authority (but that is under local government management), the local government needs to propose and wait for decisions (*trinh va xin y kien*) from the higher government level government. This governance of the planning process has both strengths and weakness that are summarized in Table 1.

The central planning mechanism is one of the main coercive instruments that the central authority uses to exercise its power over local governments (*Dieu hanh bang ke hoach*). The central government controls all the 'resources' (Rhodes, 1999, p.80) of the local government such as mandatory powers, financial resources, political resources and information resources.

The findings shows that governance in the Vietnamese Socio-Economic Development planning process is a dual and fragmented centrally governance which includes the concentration of decision making, lacking of coordination, and silos. Figure 3 describes this governance framework among People's Committee, People's Council and Party Committee in which the People's Committee at district level government is under administration and management of provincial People's Committee and under supervision of People's Council and under direction of Party Committee. At each administrative level, there are line representatives (*co quan chuyen mon*) organised into departments (*so*) at the provincial level, offices (*phong*) at the district level, and sections (*ban*) at the commune level. The Planning process occurs mostly in the District Department of Planning and Investment (DPI) which is administratively under the authority of the district People's Committees (DPC) but technically is an institution affiliated with the Provincial Planning and Investment Department under the Ministry of Planning and Investment.

Like the district DPI, other departments of district (i.e., industry, construction departments) are administratively under the supervision of the provincial People's Committee, but they receive professional guidance from the line ministries. These institutions are responsible for the preparation of their own sector development plan at provincial level taking references from their line ministries.

This vertical structure of Vietnam's government and the top-down planning system made the coordination across and among sectors difficult. Each agency is under a certain administration of its own sector and works independently with the other agency at the same level. Although Planning and Investment Departments consulted sector agencies when making the overall development plan, such consultations were aimed at making the plans rather than coordinating them. In fact, no coordination mechanism is built into the planning process. The coordination is getting worse at the lower level of the Planning and Investment Departments where they are dependent on decisions from superior levels (i.e., approvals of investment projects and business plans) and there is a lack of fiscal decentralization (i.e., provincial budget depends on central budget allocation). As a result, local governments are passive in capital resources and this leads to lack of linkage between budgeting and planning.

The poor horizontal and vertical coordination among line departments and local authorities also creates obstacles for the

effective and efficient planning formulation and implementation. Moreover, such the limitation in coordination can cause to the difficulties in addressing complex and interrelated problems such as social inclusion, homelessness, unemployment, disadvantaged environment and domestic violence that planners face in planning (McIntyre-Mills 2003, 2006). These are inherently different from the problems that planners deal with. Planning problems are inherently wicked (as cited in Rittel and Webber, 1973) in that they refer not only to the interrelated nature of the problem, but the way in which values play a role in the way in which they are perceived by the different stakeholders. So these inter-related problems need ongoing strong coordination and collaboration across departments of various stakeholders such as non-government organizations and business sectors. One approach to governance and complex problems solving suggested by McIntyre (2003, 2004, 2006) is the systemic governance, particularly the application of subsidiarity principles which means that decisions need to be taken by the people and at the lowest level possible to ensure that those who are involved in the process understand the lived experiences of the people.

Despite the existence of an internal platform (among sectors and authority levels), the contribution of sector agencies and local authorities to the investment plan is really superficial (like giving opinion). The decision on project identification and approval are made mainly by a small group of the highest authorities of PPC and DPI. According to an official respondent, DPI does not share the power and responsibility for project identification and assessment with other departments. Appraisal of technical construction standards is often omitted in the process of investment approval given the absence of Construction Department. In addition as the sectors are competing with each other to attract investment attraction, their collaboration on the planning process becomes formal. This indicates that whether sector participants agree or not, the 'integrated' development plans will be approved and implemented.

Similar problems of sharing planning responsibilities occur at different levels of administration. Lower planning authorities frequently have to follow superior directives and targets since they are subject to funding from higher levels. In particular, the commune level, which are the terminal places for the implementation of plans and direct beneficiaries, are not consulted to express expectations and requests for the planned development. According to a commune official (LGC2), the commune has a very limited role in the preparation of the district socioeconomic development plan. Sometimes, provincial decisions for the land allocation to businesses are adopted without consulting with the local authorities and community. This problem has frequently led to conflicting interests between the new and former land users.

The other weakness in the governance is the lack of clear-cut governance across three spheres of governance namely: the Party Committee, the People's Council and the People's Committee in terms of personnel. The figure 4 described this overlapping of governance among the three spheres in the planning process.

The People's Committee is responsible for preparing and implementing the plans. The Communist party and People's Council play a critical role in the planning process in which they give vision, directions and policy to the community and to the People's Committee. Planning staff need to wait for decrees and directions from the higher level, particularly from the Communist Party and People's Council, before conducting any task in the planning issue. The community are able to influence the planning process through the Communist Party and through the People's Council, however they can only indirectly influence the Management of the People's Committee which is effectively controlled by the Communist Party and People's Council.

In the Section 4 of 2003 law Article 30 to Article 47 covers the elected members of People Council but does not mention the people who are working for the government at the same level or at other government level should not be elected members of the People's Council to avoid conflicts of interest. Therefore, in practice, the Chair of People's Council is also often the Chair of Party Committee. Chair and Vice-Chair of People's Committee have to be in Party Committee and elected members of People's Council. The planners who are developing plans and getting approval from the People's Council are also elected members of the People's Council (LGD 2).

No clear-cut difference exists across the bodies responsible for making decisions and those responsible for carrying out the decision. This raises questions of: How can we solve the conflict of interest?, Which hat should we wear when are both decision makers and implementers? Who can confess to whom? These are all questions that cannot be answered in the scope of this research, but they are the considerable questions needed if the Vietnamese government is going to achieve better representation and accountability in governance matters.

5.2 Participation on the planning process

This research contributes to the literatures (Ingle and Halimi 2007; UNDP 2006; World Bank, 2005) about the positive progress of the Vietnamese government on strengthening the local democracy and public involvement in terms of policies and regulations, in other words in theory; but existing institutional barriers exist to constrain participation by citizens. For example, according to Ingle and Halimi (2007), there are three institutional barriers: (i) a lack of local awareness about existing and new policies, laws and regulations; (ii) reliance on mass organizations such as the Women's and Youth Unions; (iii) a lack of tools that facilitate participation along with useful detailed guidelines on

when, where and how to apply the tools (p.97). However, the findings identified by Vu (2008 forthcoming, Chapter 5) show that these are insufficient barriers and not the root of the lack of or without undertaking citizen participation in the planning process. Not only the executive modes but also the governance modes should be considered further in the implementation about what it is, to what extent the citizen can participate in the government's issues, particularly in the planning process. The executive modes such as tools facilitating participation can develop through capacity building and technical supports and this have been undertaken can be implemented through partnerships with NGOs and INGOs or transferred from the other countries. Thus this would not be a difficult task and a focal point of the participation problems. But the kind of governance which relates to political, cultural, and social issues needs to be institutionalized.

A systemic approach ensures that problems are seen and addressed holistically. One of the ideological approaches to reforming governance is participation, this has been advocated widely in the literature (Peters, 2001, p.50).

In Vietnam, the participation of community and citizens on the government's issues has obtained a certain progress since the government incrementally pays more attention to the participatory planning approach. However, it also has some limitations. The SWOT analysis on Table 2 summarized the strengths, weakness, opportunities and threats of participation on the planning process. As shown on Table 2, one of the strengths of the planning process is the available legal frameworks and documents for enhancing participation in the planning process. One example is the promulgation of the grass-root democracy decree that requires community and households to participate, monitor and evaluate the development activities at commune level. In addition, during preparation stage of doing 5-year plan, the prime minister also created a decree in which enhance participation of the community on the plan. However, the constitution or legal documents may be the basic document that specifies the main structure of a governance system, but it is not a guarantee of practicing democratic governance. However, the executive of the participation is limited. The participation is happening in the internal organizations and indirectly through the General Party Congress. This participation is around the middle of the process and mainly on the basis of a discussion plans draft. This can raise difficulties for government when governments do not sufficiently consult on the nature of the problem as understood by others (Edwards, 2001, p.5). The limited internal participation can restrict the motivation of employees' contribution to the organization because according to the USGAO (1995) the 'involvement and participation are the most effective means for motivating individual employees, even it those practices do have the potential to become manipulative' (as cited in Peters, 2001, p.53). Moreover, the lack of participation on the planning process could miss out benefits and advantages of participation.

The other strength on the planning process is the nature of hierarchical government structure. The findings show that this structure contributes to the strong upward accountability. The lower government levels are required to report to the higher levels and align with higher level governments' policies, guidelines and instructions. However, this vertical and top-down link between different levels of government make it harder to listen to the public at the bottom of the pyramid during plan preparation.

The weaknesses of the participation on the planning process are the negative attitudes and the lack of trust of administrators or governments officers in citizen participation. This prevents authentic public participation on the planning process and this is also echoed by King and Stivers (1998), and King, Feltey, and Susel (1998) as cited in Yang (2005). As shown in the case study of Dong Anh district government, the CEO said that conducting participation by the community or citizen in the governments issues would not be useful because their contribution would not valuable and useable. This is a big misunderstanding of citizen participation as it can ensure that planning is appropriate to the needs of the people. This can cause to a loss of public trust to government because 'citizens will not trust public administrators if they know or feel that public officials do not trust them' (Yang 2005, p. 273). Building mutual trust between government and citizen is essential for society development and for a condition of collective actions and intentions.

In summary, from the investigation of the data analysis, it can be concluded that governance in the planning process is top-down, dual and fragmented but centrally controlled. Government has achieved this control through institutional, hierarchical planning regulations and the rules governing local governments. The fragmentation in Vietnam planning system governance is not as what Rhodes (1997) summarizes which include the separation of free-standing agencies from government departments, contracting out and the by-passing of local government through special-purpose bodies. The fragmentation is unique which it is the thereof of the hierarchy and centralized system where the decisions are still expected to make by the state.

6. Policy recommendations for enhancing strategic planning by drawing on the literature informed by Mitcham's experiences

6.1 Systemic governance and participation design for strategic planning

Systemic governance strategic planning proposes to be a process of designing a blueprint to achieve a shared mission and vision, its contribution is to outline the organization's goals, with the strategies and processes the organization will

be used to close the gap between today and tomorrow. It is also a part of quality management. It helps the executive to manage the future, rather than be managed by it. It involves a disciplined effort to help shape and guide what an agency becomes, what it does, and why it does it. Because, strategic planning is the process of prioritizing, organizing systemically efforts and forming actions to achieve the vision under the limitation of scarce resources and is the process of evaluating and monitoring the outcomes of decisions and actions through the participative and systematic feedback.

This section begins with defining governance, what it means in strategic planning process and in the government context.

6.2 Governance

As the definition of strategic planning in Section 2, governance is a crucial component of the strategic planning process in which *governance* is making decision about *what needs to be done, when it needs to be done and how it needs to be done* through the implementation of collective intentions. Literatures (Rhodes, 1997 & Rosenau, 2000) has mentioned about why need to be changed from government to governance. According to Rhodes (1997), 'the term "governance" refers to a change in the meaning of government, referring to a new process of governing' (p.15). He claims that the change is due to failures of government in turbulent environment in which (1) government confronts self-steering Interorganisational networks. The relationship is asymmetric, but centralization must co-exist with interdependence; (2) policy making is not linear but recursive because interventions create unintended consequences, implementation gaps and 'policy mess'; (3) direct management (or control) of this organized social complexity multiple unintended consequences. Indirect management is the central challenge posed by governance for the operating code of central elites. He proposes that, a minimal state, corporate governance, new public management, good governance, socio cybernetic systems and self organizing networks are all elements of the term governance. By this proposal, 'the state becomes a collection of Interorganisational networks made up of governmental and societal actors with no sovereign actor able to steer or regulate' (Rhodes 1977, p.57). Thus, the current trend is toward a more bottom up form of government driven by economic and societal self organizing networks or a hollowed out form of government more about steering and less about rowing in order to make government for people and by people. And those citizens can be more controlling of government through greater participation in networks because they are 'increasingly capable of holding their own by knowing when where and how to engage in collective action' (Rosenau 1992 in Rhodes 1997, p.58). Government is one of the actors of governance.

'Good governance' has been considered as 'a necessary component of effective economic modernization' (Hirst 2000, p.14). The World Bank is 'a leading advocate of promoting good governance, attaching various compliance conditions to its loans' (Hirst 2000, p.14) and recently, the World Bank is 'advocating building state capacity in developing countries' (Hirst 2000, p.14) to promote implementing 'good governance'. Being good governance, governments are seeking to reform their systems in the three strands as defined by Leftwich (Rhodes, 2000, p.57): political, systemic and administrative (Note 1). Even the 'good governance' is defined by the World Bank *people* need to have decision on whether *development* is good or not. Therefore, this needs to have a participatory design to encourage involvement and participation of *people* in government decision making process. This is also supported by Dunsire (1993), he points out that 'Government could never govern if the people-in their organizations, their families, their groups of all kinds-were not self-governing' (Dunsire 1993, p.26). In order to be self governing, Rhodes (2000) suggests that 'networks are a point of convergence for exercising that self-governing ability' (p.83).

A current trend is to prescribe characteristics or relationship frameworks as recipes for the achievement of good governance. The UNESCAP (2005) prescribes participation, consensus, accountability, transparency, responsiveness, effectiveness, equitability, exclusivity and the rule of law as prerequisite characteristics of good governance. It might also be argued that, as history shows, it is a community's capacity to influence the complex environment it inhabits that is the core prerequisite to good governance. In established governance systems leaders have the luxury of needing only to maintain or incrementally improve on existing systems, for less fortunate communities their capacity to bring about change needs to be built. This 'chicken or the egg' argument seeks to emphasize that the practice of good government should be all about maximizing community capacity, its ability to interact and influence its chosen governance system.

If participatory democracy is about inclusion and embracing the complexity of social, economic and environmental issues then we do need a governance framework that will represent the complexity in this context to make efficient and effective policy and decisions. That why, it is important for strategic planning to take the triple bottom line (Environment, Economic, Social) further and to ensure that systemic governance makes participation in creating the indicators and co-ordination possible. Hence the argument in the research is that Governance and Strategic Planning based on open checks and balances is essential. This has been mentioned and designed in the strategic planning in Marion and Mitcham council. This is ignored in the Vietnam planning system.

For Coghill (2004), if Good Governance aims to produce the best outcomes for the members of a community (World Conference on Governance, 1999 as cited in Coghill 2004) and Complex adaptive systems produce their best outcomes in the transition zone between order and chaos then it is best for society to exist in a transition between chaos and order,

a state of constant change between 'stagnation and anarchy. This means that governance systems need to continue to evolve in order to adapt to changing circumstances.

The practical applications of this discussion are that flexibility and adaptability are possible elements of a governance cycle and essential in any governance system seeking to facilitate outcomes in an environment in which 'change is certain and only the rate of change is uncertain'. It might be argued that it is a generational problem of older management techniques (out dated forms of bureaucracy) failing to translate into a new public order of Interconnectedness, Interdependence and Interaction. It may also be argued that the pursuit of the three I s has led to a dearth of leadership and goal achievement at all levels a form of 'paralysis by analysis'.

6.3 Systemic governance strategic planning

The reason why participation is vital is because of the need to test out ideas with the people who are to be at the receiving end of the decision (see McIntyre-Mills, 2006).

Some of the essential characteristics for systemic governance strategic planning process are:

- (1) Inclusion of values, knowledge, ideas and aspirations that provides the requisite variety required for optional choices
- (2) Openness to many people and many ideas (Gaventa 2001; Gaventa and Cornwell 2001; Gaventa and Valderrama 1999 as cited in McIntyre 2007, p.37) and taking into account of their voices and ideas.
- (3) Working upwards, outwards and downwards (Pierre and Peters 2000) and cooperating and coordinating across sectors.
- (4) Participative process based on the principle that decisions made must be representative and must meet the needs of local community and based on subsidiarity (see McIntyre-Mills, 2003) and recursiveness (continuous learning process) to ensure that plans are tested out by decision makers who have lived experience of the issues.

6.3.1 Participation

The inclusion of values, knowledge, ideas and aspirations that provides the 'requisite variety' (Ashby, 1956) is a vital aspect of the planning process. In the public sector, thinking and acting strategically should be shaped by communities and citizens because local knowledge is the basis for creativity (McIntyre 2005 a; b). Indeed, Edgar (2001) stressed the need for diverse 'patches' to be fostered at the local level. However, diversity is not only the basis of creativity, but it needs to be reflected in the policy making process (McIntyre-Mills, 2006). Participation of the people is one of the most important requirements in the policy making process related to creating and crafting new links in the 'patchwork'. This should be done through systemic governance. According to McIntyre-Mills (2006), systemic governance is 'a process of matching services to needs and ensuring participation by users or people concerned about issues affecting life, death and future generations. ...Systemic governance is both a process and structure, because its aim is to balance individualism and collectivism and that is the basis of democracy' (p. XXXVIII).

According to the New English Dictionary and Thesaurus (1999), democracy is a form of government by the people through elected representatives. Democracy means that there is a decentralization of authority to the stakeholders, an appropriate delegation of authority from the central to the local government. Based on the people's trust through this election, the government will craft and design their prospective future community. Local government has a key role to play in both forward planning and providing the means for people to have a say in designing their future community environment, prioritizing their needs and deciding on how the resources should be utilized.

Contributing to these, McIntyre-Mills added that decision-making, planning and risk management can be addressed better by including everyone in systemic governance process in which decisions are made for a sustainable future, but also establishing quick centralized responses to disaster planning and disaster response. She recognized that

.....participatory design is the goal for both pragmatic and idealistic reasons (Note 2). Complexity of decisions must match the complexity of the issues and the more arguments that are considered the better the testing out of ideas. Respectful communication energizes and builds hope and trust. Creating the conditions for enabling open questioning and expression of feeling is vital for communication that supports sustainable governance. This enables ideas, emotions, values and experiences to be shared on a regular basis, so that creative energy is not blocked. (McIntyre-Mills 2006, p. XLI)

6.3.2 Participatory process

As the definition of strategic planning mentioned in Section 2.2, strategic planning is convergence of collective intentions and efforts from various. It is a vision of the whole community. It requires involving all levels and functional units of an agency-top executives, middle managers and supervisors and employees, and participation of other various stakeholders such as business, communities and ordinary people.

The principle of participation derives from an acceptance that people are at the heart of development. At the broader, societal level, recent research has demonstrated that governments are often most effective when they operate within a

robust civil society. Participation of civil society offers an additional and complementary means of channelling the energies of private citizens. NGOs, for example, can be helpful in identifying people's interests, mobilizing public opinion in support of these interests, and organizing action accordingly. They can provide governments with a useful ally in enhancing participation at the community level and fostering a "bottom up" approach to economic and social development.

At the project level, a growing body of empirical evidence demonstrates that initiatives tend to be more successful when stakeholders and beneficiaries are integrated into the planning process. This principle also contains a normative component, in the belief that people have a right to be consulted about initiatives that will have a major impact upon their welfare and lifestyle. Participation implies that government structures are flexible enough to offer beneficiaries and others affected the opportunity to improve the design and implementation of public policies, programs, and projects. Examples of C&P in ADB's Operations Manual Activities that involve high social, economic, or environmental risks or central objectives promoting participation and empowerment will require more and deeper participation throughout the project cycle.

Indeed, participation can help for testing out ideas to *know that strategic plan is going on the right track* among various stakeholders. The testing is done by the people and the experts so that lived knowledge and professional knowledge are combined. According to McIntyre-Mills (2006 drawing on an adapted version of Polanyi and the work of Nonaka and Takeuchi), 'knowledge based on personal lived experiences' or 'tacit knowledge' can be made more widely useful if it is pooled and shared. She stressed that 'open debate and testing out ideas' not only by the experts, but those with lived experience is central to democracy and science. This means that all stakeholders, not just the experts or elected representatives' (McIntyre 2005b, p.224) need to be included in the decision making process. She added that 'openness to debate and to other ideas and possibilities is the basis for both enlightenment process of testing and for democracy and ...for openness to occur there has to be some trust that voicing new ideas will not lead to subtle or overt marginalisation of oneself or one's associates' (2005a, p.198).

In summary, the systemic governance and participatory planning design approach is appropriate for creating their vision which accommodates their aspiration (needs and wants). The involvement of the stakeholders in making strategic decisions both in the central and local level is very important because it could increase the commitment and obedience of stakeholders, especially local people, to fulfil all the objectives of decisions made.

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Notes

Note 1. The political use of governance refers to 'a state enjoying both legitimacy and authority, derived from a democratic mandate'. The systemic use of governance is broader than government covering the 'distribution of both internal and external political and economic power'. The administrative use refers to 'an efficient, open accountable and audited public service' (p.611). And to achieve efficiency in the public services, the World bank seeks to: encourage competition and markets; privatize public enterprise; reform the civil service by reducing over-staffing; introduce budgetary discipline; decentralize administration; and make greater use of non-governmental organizations (Williams and Young, 1994: 84 cited in Rhodes, 2000, p.57).

Note 2. The assumption that underpins this process is that good governance requires asking good questions and providing the conditions-not merely to allow-but to foster good conversations and the asking of good questions. Providing space for diversity and for convergence –to find the shared themes-is the challenge. Governance requires that decisions should be applied at the level at which they are made (Edgar 2001) and that the requisite variety of decision makers are involved in making decisions about the future, to apply Ashby's Law ,1956, cited in Lewis and Stewart 2003). Local areas of specialization can be developed drawing on the expertise or personnel knowledge of the people who have direct experience.

Table 1. SWOT analysis of governance in the planning process

DIAGNOSTIC ASPECT	PLANNING PROCESS: GOVERNANCE
STRENGTHS	Lawful and highly commitment for fulfillment of the plan. Central planning mechanism. Leadership process is strong. Bureaucratic structure
WEAKNESS	Linear, complex, sequences of steps and crafting purposefully toward objectives. Leadership varies. No defined clearly representative roles and functions of People's Council. No clear-cut governance among Party Committee, People's Council and People's Committee. Dual, downwards and fragmented centralized governance. Silos and lack of coordination across organizations. Lack of transparency.
OPPORTUNITIES	More capacity building Training and application of the Law
THREATS	Leadership will remain elitist and top-down in approach Corruption and strengthening local elites. Democratic matters.

Table 2. SWOT analysis of participation in the planning process

Strengths	Weakness	Opportunities	Threats
Constitution Grass-root Democracy Exercise Prime Minister Decrees	Interpretation varies. No defined clearly mechanism for implementation of participation. Window dressing and executive limitation.	They have a chance to improve capacity to interpret the laws	That the elites will follow the letter of the law and employ planners who will use off the shelf measures and not enhance participation.
Hierarchy government structure. Strong upward accountability.	Hard to listen to the public at the bottom of the pyramid. Limitation in downward and outward accountability. Omitted or neglected representative roles on planning process.	Training and application of the law.	Lack of transparency. Corruption and enhancing democracy.
Efficient developing plan. Staff commitment with fulfillment of the planning task.	No participation on the whole planning process of various stakeholders. Negative attitudes and the lacking of trust of administrators or government officers in citizen participation.	Involve people who are to be at the receiving end of the decisions in the process.	Losing public trust and social values.

Contributions of Stakeholders: Key Emergent Issues



Arguments and Propositions developed from the literature

Vietnam has not implemented strategic planning yet. Vietnam needs to have a more open process to test out the planning ideas with the people who are to be at the receiving end of the decisions, plans, budgets and policies.

1 Implementation of S strategic planning is threatened by top down decisionmaking process.
 2 S strategic Planning is essential to meet OECD Good Governance principles. Good Governance and S strategic planning based on collective intentions, open checks and balances from all stakeholders is essential.
 3. The tasks, structures and process of the planning in Vietnam do not enable sufficiently participative governance (account ability, responsiveness) to ensure sustainable development and economic growth
 4 Developing strategic planning in the public sector, particularly in the local government, needs to apply systemic governance to enable deep democracy (more participation by the community) and to deliver more sustainable society and development.

H: Literature Review (Chapter 2)
 -Conventional strategic planning process.
 Involves clarifying mission and values, developing a vision of the future, analysing external challenges and opportunities, assessing internal strengths and weaknesses, developing strategic goals and objectives, identifying strategic issues, developing and evaluating alternative strategies, and developing action plans.
 Argue that the importance of implementing strategic plans by anchoring lower-level planning processes in the strategic plans themselves (Bryson 1988, 1995, 2004).
 -added : -S'ategic Management: Resource Allocation, budget (Vinzant&Virzant 1996).
 -Commitment (Mintzberg 1994).
 -Performance management (Posner1999)
 -Performance measurement (Franklin 2000)
 -Participatory design (Sharp 2004, McIntyre-Mills 2003, 2006).

I: Research Methodology (Chapter 3)
 Qualitative methods
 - Interviews
 - Focus groups
 - Observations
 - Documentation
 - Ethnography
 Analysis of South Australia local government.

J: What changes going to be: Systemic governance for a strategic planning process (Chapter 7)
 Some of the essential characteristics are:
 - inclusivity of values, knowledge, ideas and aspirations that provides the requisite variety required for optional choices
 - openness to many people and many ideas (Caventa 2001, Caventa and Cornwall 2001, Caventa and Valderrama 1999 as cited in McIntyre 2007, p 37)
 - Working upwards, outwards and downwards (Piore and Peters 2000) and cooperating and coordinating across sectors.
 - Participative process
 - Decisions made must be representative and meet the needs of local community and based on principles of subsidiarity (see McIntyre-Mills, 2003) and cyclicity (continuously learning process). To ensure that plans are tested out by decision makers who have lived experience of the issues.

Figure 1. Conceptualization of the Research Issues

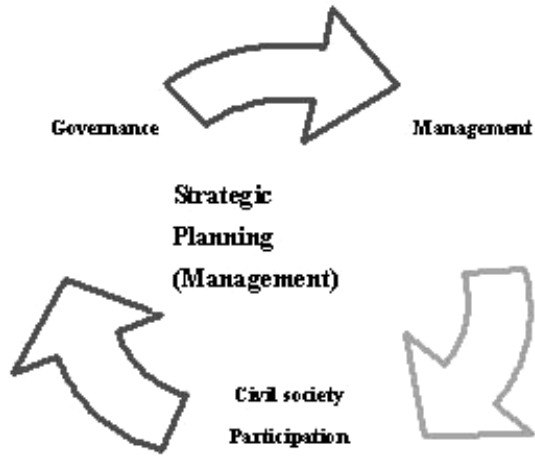


Figure 2. Strategic Planning process cycle

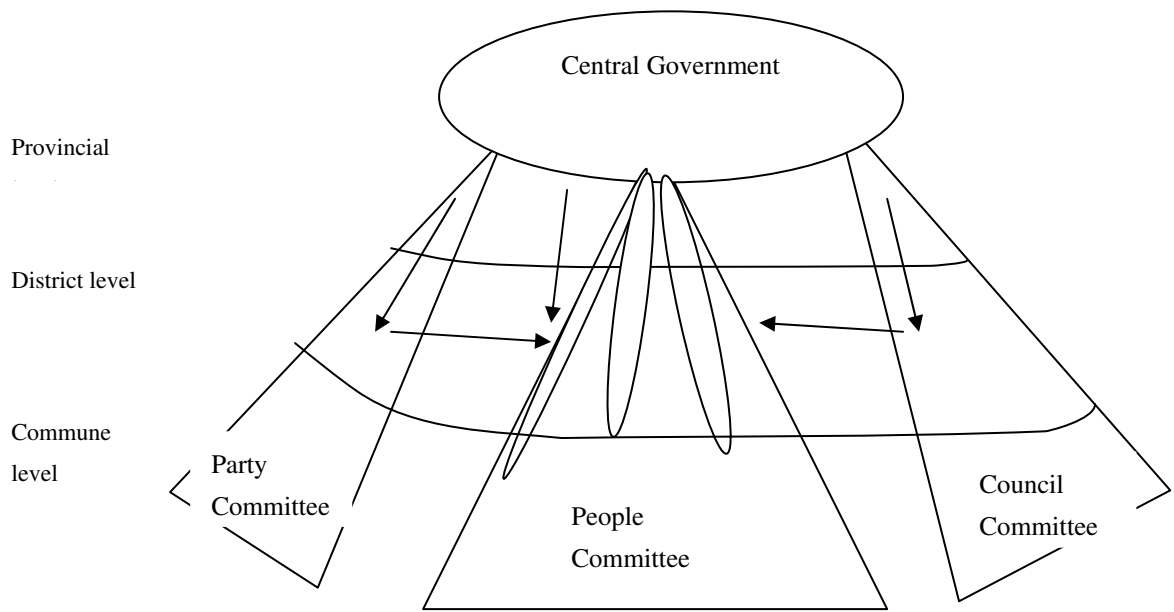


Figure 3. Governance framework

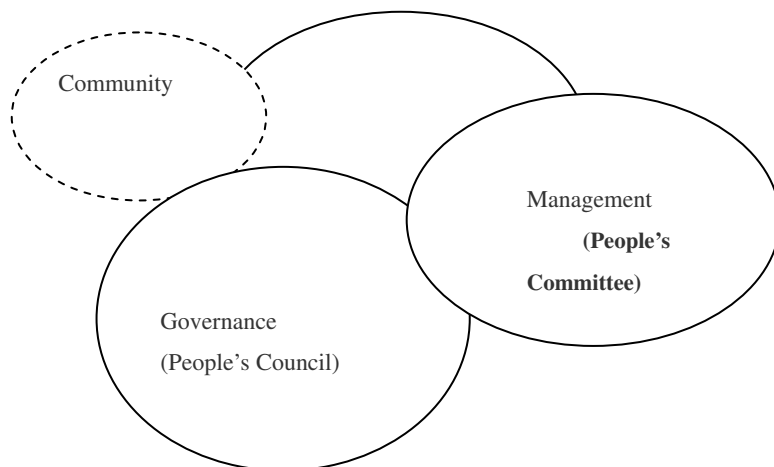


Figure 4. Spheres on governance in the 5-year SEDP



How to Evaluate the Performance of Continuous Education On the Improvement of Women's Integrated Competence

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Abstract

Considering Chinese women's lower education and integrated competence, governments at all levels call for improving women's integrated quality by continuous education. However, although continuous education is an important form in China's education system, there is no scientific measurement system to evaluate the performance of continuous education on the improvement of lower-education-degree women's integrated competence at present. By means of comparing women's situations before and after participating continuous education, and quantitative and qualitative analyses, this paper tries to find out the way to evaluate the performance of continuous education on the improvement of women's integrated competence.

Keywords: Evaluation, Continuous education, Women, Competence

Women's integrated competence is a general concept, combining all abilities concerning women's thoughts and politics quality, individual spiritual state, scientific and cultural level, career development, social association, and healthy. It chiefly includes women's responsibility, enterprise, consciousness, will, sentiment, intelligence, skill, specialty, education, sociality, constitution, and many other elements (Huiping Chen, 2006, p12). Presently, the women's "improving quality" project is on-going, advocating women's equal education. However, in order to achieve this goal really, we should not stop at women's enrollment ratio of fundamental education or eliminating illiteracy but focus on improving the level of women education and enriching the contents of education. As a matter of fact, in real social life, because of the restrictions of traditional customs, social ideas, economic status, geological location, family condition, and many other elements, women usually have less opportunities than men to obtain benefits from continuous education, and even fail to obtain necessary knowledge due to gender, which greatly restricts the further improvement of women's integrated competence (Jihong Ning, 2004, p28).

Continuous education is to supplement, renew, broaden, and improve people's knowledge and skills. In other words, after working a period of time or during the work period, people choose to study in educational or training institutions. It includes diploma education and non-diploma education, and emphasizes the systematic education. Continuous education exerts its significant effects on optimizing intelligent structure, improving intelligent quality, developing creativity, mining people's potential, inspiring talents, exploring people's spiritual motivation, and driving their overall development.

The Federation of Women in Zhongshan city, Guangdong, has already realized the importance of continuous education in improving women's scientific and cultural knowledge, and skills. In 2003, it started the project of improving women's quality. At present, the Federation of Women in Zhongshan city has already helped more than 5000 women to take continuous education. Besides, more than ten thousand women have accepted short-term trains.

Then, how to evaluate the effects of continuous education on the improvement of women's integrated competence? Firstly, we should establish the structure of women's integrated competence.

1. Establish the structure of women's integrated competence

According to the components of women's integrated competence, we take five aspects, namely women's thoughts and political quality, individual spiritual state, scientific and cultural level, career development, and social association, as the level-1 indexes in evaluating women's integrated competence. And each level-1 index consists of many level-2 indexes respectively. The detail is as follow (Table 1).

2. Construct the system of evaluating the performance of continuous education on the improvement of women's integrated competence

At present, there is no special analysis tools to evaluate whether women's integrated competence can be improved by continuous education or not. Based on the structure of women's integrated competence, this paper completes a

questionnaire survey on whether continuous education can improve informants' integrated competence or not. Here, the paper classifies informants' answers into five classes, including "extremely agree", "agree", "general", "disagree", and "extremely disagree".

For the sake of rightly measuring different indexes, the project team establishes the rules of marking informants' choices as follow.

If an informant chooses "extremely agree", it means he or she completely agrees that his or her ability reflected by this index is improved significantly. And the degree of agreement is 100%.

If an informant chooses "agree", it means that he or she agrees to a 75% degree that his or her ability reflected by this index is improved obviously. And the degree of agreement is 75%.

If an informant chooses "general", it means that he or she agrees to a 50% degree that his or her ability reflected by this index is improved unnoticeably. And the degree of agreement is 50%.

If an informant chooses "disagree", it means that he or she does not agree that his or her ability reflected by this index is improved obviously. And the degree of agreement is 25%.

If an informant chooses "extremely disagree", it means that he or she completely disagrees that his or her ability reflected by this index is improved obviously. And the degree of agreement is 0%.

Then, we can get every level-2 index's degree of agreement by the following formula.

$$D = (n_1 \times 100\% + n_2 \times 75\% + n_3 \times 50\% + n_4 \times 25\% + n_5 \times 0) / N \quad (\text{Formula 1})$$

Here, D refers to level-2 index's degree of agreement. n_1 , n_2 , n_3 , n_4 , and n_5 respectively refers to the numbers of people who choose "extremely agree", "agree", "general", "disagree", and "extremely disagree". N refers to the total number of people who make choices concerning certain index.

The degree of agreement can directly reflect the correlation between women's participation in continuous education and their integrated competence's level-2 indexes. Therefore, in order to make further studies more convenient, we turn the average of every level-2 index into continuous education's relevant level-1 index's degree of improvement on women's integrated competence (degree of improvement for short).

$$T = \sum_{i=1}^s D_i / S \quad (\text{Formula 2})$$

Here, T refers to the average degree of improvement of continuous education on this level-1 index. D_i refers to the degree of agreement of every level-2 index under certain level-1 index. S refers to the quantity of level-2 indexes under certain level-1 index.

After getting the values of D and T respectively, we can make evaluations based on standards as follow.

If D (or T) $< 60\%$, it means that the informant thinks that continuous education does not exert evident effects on this index of women's integrated competence. The degree of improvement is low.

If $60\% \leq D$ (or T) $< 80\%$, it means that continuous education can exert obvious effects on this index of women's integrated competence. The degree of improvement is high.

If D (or T) $\geq 80\%$, it means that continuous education can exert significant effects on this index of women's integrated competence. The degree of improvement is very high.

Therefore, we can construct the following model for evaluating the performance of continuous education on the improvement of women's integrated competence (Table 2).

3. Analyze the improving effects of continuous education on women's integrated competence in Zhongshan city

After establishing the evaluation system, the project team has designed the "Effects of continuous education on women's integrated competence in Zhongshan city and relevant evaluation" questionnaire carefully according to different indexes in this system. Team members have visited hundreds of women who had taken continuous education, and have collected 713 effective questionnaires. Nearly 60% informants have taken the continuous education provided by the Federation of Women in Zhongshan city and higher colleges. Based on these useful data, this paper analyzes the improvement effect of continuous education on women's integrated competence from five aspects.

3.1 Analyze the improving effect of continuous education on women's concerns for current affairs, national and social common issues

According to the data (Figure 1) in the questionnaire on "the effect of continuous education on women's concerns for current affairs, national and social common issues", 113 informants choose "extremely agree", 390 "agree", 187 "general", 15 "disagree", and 1 "extremely disagree".

According to the Formula 1:

$$D=(n_1 \times 100\% + n_2 \times 75\% + n_3 \times 50\% + n_4 \times 25\% + n_5 \times 0) / N$$

We can get informants' degree of agreement on certain level-2 index.

$$D_1=[113 \times 100\% + 390 \times 75\% + 187 \times 50\% + 15 \times 25\% + 0 \times 1] / (113 + 390 + 187 + 15 + 1) = 71.2\%$$

And according to the evaluation model, "If $60\% \leq D$ (or T) $< 80\%$, it means that continuous education can exert obvious effects on this index of women's integrated competence. The degree of improvement is high." We can conclude that:

Continuous education can make women more concerning from international politics, national and social affairs. The degree of improvement is high.

3.2 Analyze the improving effect of continuous education on women's social and collective responsibility and sense of honor

According to the data (Figure 2) in the questionnaire, 91 informants choose "extremely agree", 431 "agree", 166 "general", 13 "disagree", and 0 "extremely disagree". According to the Formula 1, we can get:

$$D_2=(91 \times 100\% + 431 \times 75\% + 166 \times 50\% + 13 \times 25\% + 0 \times 0) / (91 + 431 + 166 + 13 + 0) = 71.4\%$$

And according to the evaluation model, "If $60\% \leq D$ (or T) $< 80\%$, it means that continuous education can exert obvious effects on this index of women's integrated competence. The degree of improvement is high." We can conclude that:

Continuous education can improve women's social and collective responsibility and sense of honor significantly. The degree of improvement is high.

3.3 Analyze the improving effect of continuous education on women's world view and philosophy

According to the data (Figure 3) in the questionnaire, 181 informants choose "extremely agree", 408 "agree", 87 "general", 9 "disagree", and 0 "extremely disagree". According to the Formula 1, we can get:

$$D_3=(181 \times 100\% + 408 \times 75\% + 87 \times 50\% + 9 \times 25\% + 0 \times 0) / (181 + 408 + 87 + 9 + 0) = 77.8\%$$

And according to the evaluation model, "If $60\% \leq D$ (or T) $< 80\%$, it means that continuous education can exert obvious effects on this index of women's integrated competence. The degree of improvement is high." We can conclude that:

Continuous education can exert positive effect on women's world view and philosophy significantly. The degree of improvement is high.

In the structure of women's integrated competence, the level-1 index of women's politics and thoughts quality consists of three level-2 indexes, namely women's concerns for international affairs, and national and social common issues, women's social and collective responsibility and sense of honor, and women's world view and philosophy. According to the Formula 2, we can get:

$$T_1=(71.2\% + 71.4\% + 77.8\%) / 3 = 73.4\%$$

Because the degree of improvement T_1 is between 60% and 80% , the project team concludes that the continuous education can exert significant effect on women's political and thoughts quality, the level-1 index in the system of women's integrated competence. Its improving effect is evident and the degree of improvement is high.

Similarly, we can get relevant data about other nine level-2 indexes and four level-1 indexes as follow (Table 3).

Based on analyses above, we can conclude that continuous education contributes to the improvement of women's integrated competence from five aspects, including political and thoughts quality, individual spiritual state, scientific and cultural level, career development, and social ability. Especially in women's scientific and cultural aspect, the degree of improvement is higher (the average degree reaches 80.5%). The degrees of improvement for another four level-1 indexes are higher than 70% . These data prove that continuous education can significantly improve women's integrated competence, which is an important way to develop the female human resources

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Table 1. The structure of women's integrated competence.

	Level-1 index	Level-2 index
Structure of women's integrated competence	Political and thoughts quality	Degree of thinking of current affairs and common issues
		Responsibility and sense of honor
		World view and philosophy
	Individual spiritual state	Demand for study and consciousness of competition
		Spiritual and working state
	Scientific and cultural level	Ability of learning and innovation
		Theoretical level and expression ability
		Ability of differentiation and analysis
	Career development	Work skill and specialty level
		Career programming
	Social association	Ability of coordination and communication
		Social and relationship net
		Degree of participating social activities

Table 2.

	Level-1 index	Evaluation of continuous education on this index	Level-2 index	Degree of agreement
Model for evaluating the performance of continuous education on the improvement of women's integrated competence	Political and thoughts quality (T ₁)	If D (or T) < 60%, it means that the informant thinks that continuous education does not exert evident effects on this index of women's integrated competence. The degree of improvement is low. If 60% ≤ D (or T) < 80%, it means that continuous education can exert obvious effects on this index of women's integrated competence. The degree of improvement is high. If D (or T) ≥ 80%, it means that continuous education can exert significant effects on this index of women's integrated competence. The degree of improvement is very high.	Degree of thinking of current affairs and common issues	D ₁
			Responsibility and sense of honor	D ₂
			World view and philosophy	D ₃
	Individual spiritual state (T ₂)		Demand for study and consciousness of competition	D ₄
			Spiritual and working state	D ₅
	Scientific and cultural level (T ₃)		Ability of learning and innovation	D ₆
			Theoretical level and expression ability	D ₇
			Ability of differentiation and analysis	D ₈
	Career development (T ₄)		Work skill and specialty level	D ₉
			Career programming	D ₁₀
	Social association (T ₅)		Ability of coordination and communication	D ₁₁
			Social and relationship net	D ₁₂
			Degree of participating social activities	D ₁₃

Table 3.

	Level-1 index	Evaluation of continuous education on this index	Level-2 index	Degree of agreement
Model for evaluating the performance of continuous education on the improvement of women's integrated competence	Political and thoughts quality (T ₁)	T ₁ =73.4% It means that continuous education has obvious improving effect on this index and the degree of improvement is high.	Degree of thinking of current affairs and common issues	D ₁ =71.2%
			Responsibility and sense of honor	D ₂ =77.4%
			World view and philosophy	D ₃ =77.8%
	Individual spiritual state (T ₂)	T ₂ =76.5% It means that continuous education has obvious improving effect on this index and the degree of improvement is high.	Demand for study and consciousness of competition	D ₄ =76.2%
			Spiritual and working state	D ₅ =76.7%
	Scientific and cultural level (T ₃)	T ₃ =80.5% It means that continuous education has obvious improving effect on this index and the degree of improvement is high.	Ability of learning and innovation	D ₆ =82.0%
			Theoretical level and expression ability	D ₇ =79.1%
			Ability of differentiation and analysis	D ₈ =80.5%
	Career development (T ₄)	T ₄ =74.8% It means that continuous education has obvious improving effect on this index and the degree of improvement is high.	Work skill and specialty level	D ₉ =81.4%
			Career programming	D ₁₀ =68.3%
	Social association (T ₅)	T ₅ = 71.7% It means that continuous education has obvious improving effect on this index and the degree of improvement is high.	Ability of coordination and communication	D ₁₁ =72.2%
			Social and relationship net	D ₁₂ =74.9%
			Degree of participating social activities	D ₁₃ =67.9%

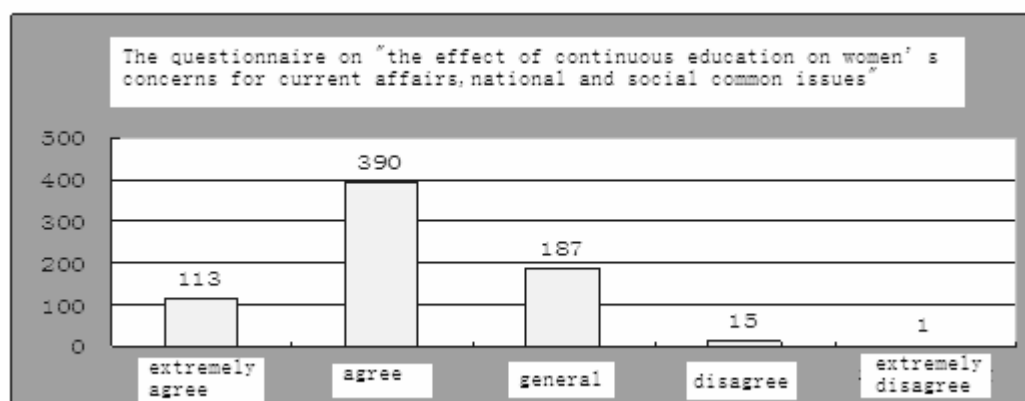


Figure 1.

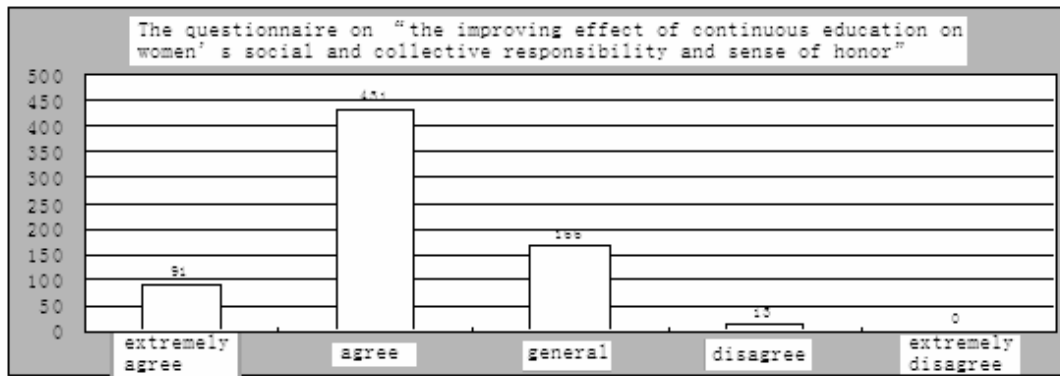


Figure 2.

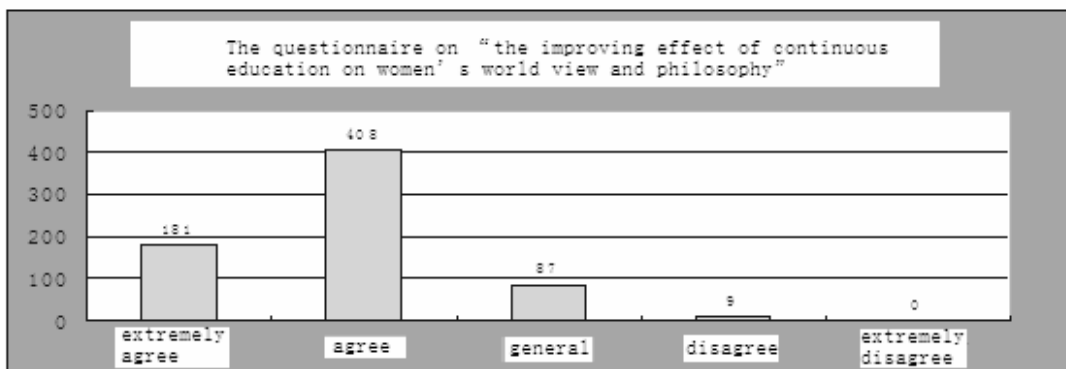


Figure 3.



An Analysis on the Influence of Line in Chinese And Western Painting on Visual Shaping Language

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Abstract

The line of western painting, a rational painting element possessing the meaning of interpretation, is in pursuit of shaping and creating exact outer body shapes; the line of Chinese painting, besides delineating body shapes, stresses the spatial organization relationship of lines. The line of Chinese painting contains independent aesthetic value, "lines are for shaping" and conveys philosophy concept of eastern culture "the union of heaven and humans". This paper helps readers to understand and master historical development process of line in Chinese and western painting and compares and describes the differences and similarities of line in western and eastern art and their influences on visual shaping language.

Keywords: Chinese painting, Western painting, Line, The union of heaven and humans, Shaping, Visual language

Line is the primary form of visual art and is an effective means for delineating outlines of objects. Line can be described as the movement track of dot, is a movement track that can be visualized, and can represent the spirit of the person or object that initiates the line. In visual art, line has always been in a significant position and is rich in meanings. Line is the most basic language in visual forms and is the subjective creation of human beings. Line is the outcome of human beings' abstract thinking and also is the feeling, the conception and the imagination of human beings. Human beings use the form of line to observe and understand nature. The lines, one line, two lines, three lines, one straight line, one curved line and one arc line, fill our ancestors with desires for beauty and creation, which after years of evolution bring about all painting achievements on Earth.

1. The differences of lines between the west and the east arising out of the different development of line in origins of painting

From Paleolithic Altamira cave fresco to Neolithic ancient painted pottery of Yangshao Culture, people all used lines to represent objective objects they observed and felt. At the preliminary stage, various peoples all adopted line in painting to delineate objects and images, after which two trends appeared. One trend mainly adopts brightness and darkness and colors as shaping language and evolves into western painting. The other trend mainly adopts black line as shaping language and develops into eastern painting. Chinese painting line is the most attractive representation form in eastern painting.

Chinese painting constitutes an independent system with special and distinct features in world art filed and becomes the mainstream in eastern painting system. Line style of Chinese painting resembles the line of calligraphy. Painters, in order to represent different texture feeling of different substances, create various lines. In Chinese painting, not only thin and long lines are lines, but thick and square-built Chinese ink lines are lines. For example, 18 lines, called "18 delineation", are used to delineate texture of clothes, each of which has a visualized name, such as swimming silk delineation, earthworm delineation, and iron line delineation, and has special purpose. The abundant lines in Chinese painting are in possession of infinite expressive force.

2. The differences of lines arising out of use of different tools in painting

The painting tools for Chinese painting mainly include brush pen, Chinese ink and thin silk paper. Chinese painting takes line as its life and stresses dispersed dots perspective, shaping and picture composition, and spirit endowing for objects. On the contrary, since the 15th century, western painting has being using oil color to paint on cloth and the painting tools for western painting mainly includes canvas brush. Western painting stresses brightness and darkness of colors and is in pursuit of focus perspective, which is totally different from that of Chinese painting.

The tradition of Chinese painting emphasizes "the possession of both shape and spirit resemblance", expresses the spirit

of the main body, and focuses on “outer shaping and inner feeling” so as to correctly observe and master objective objects from outside to inside. Chinese painting stresses the understanding of spirit features and incorporates the subjective spirit of painters, inclusive of their cultures, moral characters and characteristics, into the objective world so as to create beautiful images and atmospheres with profound connotation. In the long run development, Chinese painting has accumulated abundant techniques different from that of western painting. For example, the scraping and dot painting of brush pen adopts the changes of line delineation, color or ink to express bodies and spirits; what is more, Chinese painting is expert in the combination of poems, calligraphy, painting and printing, which is teemed with eastern features, traditional Chinese cultural and abundant aesthetic thoughts.

3. The influences and meanings of the differences of lines in western and eastern painting on visual shaping language

3.1 Line in western painting

Judging from the history of line in Chinese and western painting art, even though China and western world differ from each in social and cultural background, national psychology structure and aesthetic appreciation custom, human beings, in their primary stage, resembled each other with regard to representation means they adopted for observing nature and imitating objects. They all used line to represent the outlines of objects they observed and used the shaping of line to represent the objective objects in the nature so as to repose their feelings and inner demands for natural life.

However, with the influences of economy development, cultural background and painting concepts in various societies and peoples in China and western world, painting arts in China and western world have developed their special characteristics; hence, the understanding and representation means of line in China and western world differ from each other.

In western painting art, line has been developing like burls with times and painting schools. The understanding and representation of line is filled with more rational features. Different representation means of line are used in order to obtain exact shaping and reasonable space treatment. At primary stage, painting mainly develops towards imitating and representing nature, that is, realistic painting. The lines in traditional western painting stress perspective and anatomical rational tend.

In the west, line is not an independent element of art. Traditionally, western painting pursues “realistic sense”. Painters would pay special attention to protruding sense, third dimension, brightness and darkness and texture of objects. “Realistic sense” is the means and the aim of western painters in observing the world. In the 19th century, Goya, a Spanish painter, once said that, “Can you find lines in nature? What I see is just dark bodies and bright bodies, surface moving from far distance to close and from close to far, and heaving and blankness. My eyes never see any line, neither detailed part.” Ingres (French, 1780-1867) said, “Line is pencil sketch and is everything.” The west emphasizes science and requires people to use rational advisability to understand the world. Therefore, western art advocates reality and the exact representation of objective objects. Da Vinci (Italian, 1452-1519) said, “Visibility is reality.” Since Renaissance, traditional western realistic painting has been doing research on body change caused by suitable anatomic movement under certain perspective angle, but this kind of body can only be shown by light and shadow. Therefore, western art is the art of surface, body, light and color and line is only a protagonist in printing, pencil sketch and literary sketch.

After impressionism, line started to become a forceful means for painters to express their inner feelings. In western painting art, it is not until the appearance of abstract art that line was separated from shape and content of objects and subsequently, the movement rhythm, rhythm, and mood formed by line are fully represented.

3.2 Line in Chinese painting

Different from the understanding and the representation of line in western painting art, the history of Chinese painting art is a history of line. The development of line in Chinese painting art is linear. Although line in Chinese painting art also possesses the shape resemblance function “line resembles object”, the image representation of line itself has always been the internal core of Chinese painting art. Chinese painting with a history of thousands of years establishes rather complete theories and representation techniques for lines with line as the central base. Chinese painting art has constructed a set of system for line from theory to reality which is of self independence.

Due to their own feeling experiences and temperaments and cultures, Chinese painters endow line with human’s feeling and characters, by which distinctive art style of line in Chinese painting art is formed. The styles and character representation of lines are mainly realized through Chinese painters various decorations of lines. These various decoration representations provide lines of Chinese paintings with their own decorative beauty. The rich representation force of those lines and their strong and special decoration meanings enable people to sense various aesthetic feelings and fill lines with their own aesthetics.

In the long run development of Chinese painting, the representation of line gradually formed some formula representation languages. Different line delineations have different representation formulas and different formulas

represent different contents. This kind of formula is represented not only by contents but also by the organization of lines and some fixed pattern in drawing. To some extents, the formulas for the lines enable countless Chinese painters to add contents to Chinese painting and to continually improve and perfect Chinese painting.

One of the souls of eastern painting is that lines are used in shaping and to represent objects and images. Even more, Chinese painting fully exerts the potential of line, which is shown by the application of pencil and Chinese ink in painting. From this point, the shaping meanings of line in eastern painting appear to be more abstract with the spirit of art.

3.3 The differences of line and influence

Generally speaking, the line delineation of western painting aims at shaping and creating exact outer body shape and is a rational painting element with the meaning of interpretation; the line delineation of Chinese painting, besides delineating body shapes, stresses spatial organization relationship of lines. The line of Chinese painting contains independent aesthetic value, "lines are for shaping" and conveys philosophy concept of eastern culture "the union of heaven and humans". Therefore, to learn from the representation means of line in western painting art and pass down the spirit of line of Chinese painting and to understand and master the historical development process of line in Chinese and western painting art and their differences and similarities are meaningful for the communication between and the development of the future Chinese and western painting art.

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A journal archived in Library and Archives Canada
A journal indexed in CANADIANA (The National Bibliography)
A journal indexed in AMICUS
A leading journal in social science research

Asian Social Science

Monthly

Publisher Canadian Center of Science and Education
Address PO Box 1087, Toronto, Ontario M3A 2Y7
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Printer William Printing Inc.
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