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**INTERNATIONAL JOURNAL OF SOCIAL SCIENCE RESEARCH**  
**Volume 1 (2013)**

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Dallas, Texas on October 24-25-26, 2013

Held at the DoubleTree by Hilton, Near the Galleria!

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The scope of this journal is the discussion of current controversies and trends in all fields of accounting and finance, both teaching and practice, in both the domestic and international sphere.

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The editor of MJBE is Dr. Marty Ludlum, Legal Studies department, the University of Central Oklahoma.

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The Editor of MJLL is Dr. Will Mawer, Dean of School of Education, Southeast Oklahoma State University.

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Call for Papers

The Mustang Journal of Management & Marketing

Call for Papers: We are accepting submissions to volume 3 of the Mustang Journal of Management & Marketing. The deadline is October 1, 2013. All submissions undergo a blind, peer-reviewed process. The ISSN is 1949-176x print and 1949-1778 online. The MJMM is listed in Cabell's Directory and Ulrich's Directory, and is available in full text on Ebsco Host as well as on our website.

Papers are welcomed in all areas of management and marketing which use original research, add to existing theory, or discuss pedagogical innovations developed for the classroom. Innovative research ideas which span discipline areas or which incorporate other nations or cultures are especially encouraged. In addition, we welcome case studies, teaching tips, book reviews, and multi-disciplinary papers.

The interim editor of MJMM is Dr. Marty Ludlum, Legal Studies department, the University of Central Oklahoma.

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Yue Yuan, University of Chicago
Examining Stock Returns through Anomalous Volume: 1966-2009

Oklahoma City, Fall, 2012 Conference:

Kusum Singh
LeMoyne-Owen College
Paper: Distance to the Border: The Impact of Own and Neighboring States Sales Tax Rates on County Retail Activity

Daniel Adrian Doss, Russ Henley & David McElreath
University of West Alabama

Ralph Bourret & Dana Roark
Northwest Oklahoma State University
Paper: Are Routine Retiring CEOs More Closely Monitored in their Last Year?

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Abstract

This research investigated the strengths of potential relationships between reported incidents of U.S. cybercrime versus recorded U.S. border crossing transactions for the state of Arizona. The period examined encompassed 2001 through 2011. The Pearson Correlation Coefficient method of analysis was the tool through which strengths of potential relationships were investigated. The Pearson outcomes were as follows: buses (r = 0.13), loaded truck containers (r = 0.87), trains (r = 0.29), personal vehicles (r = -0.89), pedestrians (r = -0.19), and trucks (r = 0.69).

Introduction

The U.S. border with Mexico has a history of criminal activity that encompasses centuries. Curtis, Gibbs, and Miro (2004) acknowledge the contemporary continuance and existence of such crime, and indicate that organized crime and terrorist organizations find solace among the environments of nations whose economies are failing. Further, because of the penetrable U.S.-Mexican border, Curtis, Gibbs, and Miro (2004) indicate that criminal activities, impacting both the U.S. and Mexico, have the potential of increasing. Because of globalism and integration of mutual national interests among countries, Huey and Rosenberg (2004) advocate the sharing of information, across national borders, as a method of combating and deterring international crime.

However, despite various international attempts to diminish such criminal activity, a relatively new form of international crime exists: cybercrime. According to Brenner (2007), this type of crime often transcends national borders, and is difficult to investigate given its virtual
presence and characteristics. Therefore, the commissions of such crimes, and the security considerations of cybercrime, are significant.

Brenner (2007, p. 418) indicates that such crime does not observe the "physical constraints" that are normally affiliated with physical crime or terrorism, and may be perpetrated "anonymously from any point connected to the Internet" with a frequency that is impossible to mimic within the physical world. Because of the characteristics of cyberspace, the limitations of "physical proximity," between criminals and victims, are immaterial, and the opportunity for the commission of such crimes increases significantly (Brenner, 2007, p. 414). Jones (2007, p.604) confirms this notion through the observation that modern technology facilitates the commission of “crimes anonymously against victims thousands of miles away.”

According to Swartz (2002), early 2002 decade estimates of U.S. cybercrime indicated a significant increase in financial losses among corporate environments, and increased from $35 million to $50 million between 2001 and 2002. Segura (2009) indicates that a 2008 survey showed that ten percent of Mexican fraud incidents, including incidents of cybercrime, exceeded five million pesos. Given these considerations, and the arguments of Brenner (2007) and Huey and Rosenberg (2004), it is evident that cybercrime has a significant growth potential that may affect both the U.S. and Mexican nations.

The U.S.-Mexican border has a long history of criminal activity. Historically, before the development and proliferation of modern electronic technologies and networking, such crimes were physical. However, given the development and manifestation of cyberspace, a new environment exists, that may facilitate a different genre of criminal activities and security issues between the nations of the U.S. and Mexico, which transcends the traditional concepts of physical border boundaries. Given the genesis and newness of cybercrime, with respect to the traditional limitations of tangible, physical proximity associated with historical border crime and national security, little research exists that considers the intangible characteristics of cybercrime versus the tangible activities of the U.S.-Mexican border. Therefore, it is the intent of this research to investigate the potential strengths of relationships between reported incidents of U.S. cybercrime versus physical U.S.-Mexican border crossing activities.

**Literature Review**

A brief review of contemporary literature provides some interesting discussions regarding cyber-crime. The impacts of cyber-crime are prevalent among private and governmental settings. Based on the outcomes of a study that investigated security breaches among commercial and government organizations, Swartz (2002) indicates that 80 percent of companies endured financial losses that were attributed to some variety of cybercrime. Although such instances of criminal activity are expected among corporate settings, Granville (2003) acknowledges the potential of modern technologies, as tools of cyber-terrorism, through which national security interests may be compromised militarily or economically.

The legal considerations of cyber-crime vary according to national boundaries and legislations. The arguments of Weber (2003) are commensurate with the writings of Brenner (2007) regarding the transcending of national borders affiliated with cyber-crime and with respect to the difficulties of legal perspectives and laws governing criminal activities occurring among virtual environments. Based on the writings of Weber (2003), there exists no uniform, global consensus regarding neither legislative acts defining cyber-crime attributes nor punitive measures affiliated with the commission of cyber-crimes. According to Moitra (2005), such disagreement and disputes are manifested because policies and legislation are in their infancy. Moitra (2005) indicates that because rendered judgments are derived from individual cases, that technology is constantly changing, and that criminal applications of technology are constantly changing, governments and organizations must react and respond appropriate in response to
emerging forms of identified cybercrime. As a result, the centuries-old system of criminal justice, which predominantly is concerned with crimes of a tangible nature, must demonstrate reform to encapsulate and manifest the requirements of modern crimes of technology (Wall, 2008).

Given these observations, virtual activities that may be permissible within the boundaries of one nation may be illegal within the boundaries of another nation. Because of such variance among national perspectives, the apprehension of potential offenders becomes difficult. This notion is confirmed by the writings of Weber (2003) regarding the difficulties associated with countering the actions of groups or individuals that perpetrate cyber-crime. Mendez (2005) discusses salient legislative and regulatory differences that impact the cyber-crime policies of the United States and the European Union, and emphasizes the different perspectives affiliated with both entities. Malibiran (2008) also considers the differences among nations, with respect to legislation and enforcement, and considers the case of the adopting electronic commerce legislation within the Philippines. Based on the writings of Malibiran (2008), it is evident that the strength of laws, affiliated with cyber-crime, may require adjustments to ensure strong efficiency and effectiveness. Therefore, such irregularities and differences among national laws pertain to border security issues because of the disputed statements of law that facilitate impediments among enforcement activities.

Characteristics associated with the commission of crimes, among virtual environments, are similar to the motivations of offenders that exist within the physical world. Such observations are contemplated with respect to crime defined as a "deviation from group norms or laws (McMullan and Perrier, p. 160).” McMullan and Perrier (2003) compare and contrast criminal organizations with legitimate organizations, and examine cyber-crime from the perspective of virtual gambling entities. Based on the writings of McMullan and Perrier (2003), the motivations for committing fraud, among virtual gambling environments, are manifested within the supply and demand characteristics of black market economies. Therefore, similar to physical crime, cyber-crime is influenced through the limitations and illegal benefits of attempting to satisfy the wants and needs of black market economies.

Because black market economic factors exist, that contribute toward the motivation to commit offenses among virtual settings, various arguments are associated with the monitoring of virtual environments. Huey and Rosenberg (2004, p.1) examine various benefits and detrimental characteristics of the 2001 Convention on Cybercrime that facilitated cooperation, among nations, with respect to the "investigation and prosecution of crimes committed through the Internet.” Although this mutual cooperation provides benefit with respect to the potentials of diminishing and countering instances of cyber-crime, national issues of sovereignty and privacy are debated with respect to the authorities and powers of governments and law enforcement agencies (Huey and Rosenberg, 2004). Therefore, actions and activities, associated with the monitoring of virtual environments, may be legal, restricted, or illegal depending on the national laws and constraints that govern the domain of crime. Hence, the monitoring of individuals, actions, or activities, associated with cyber-crime, that transcend national borders, have the potential of instigating disputes among nations regarding legalities, sovereignty, privacy, and punitive measures.

Upon an inspection of the writings of McMullan and Perrier (2003) and the writings of Huey and Rosenberg (2004), an interesting concept may be recognized: physical attributes of crime may be mimicked, expressed, and repeated among virtual environments. This notion is corroborated, through the writings of McMullan and Perrier (2003) regarding the traditional
characteristics of crime (e.g., fraud, theft, organized crime, money laundering, etc.), which were affiliated with historical gambling environments, and were later found among virtual gambling enterprises. Later writings of McMullan and Perrier (2007a; 2007b; 2007c) again emphasize these concepts of cyber-crime regarding virtual endeavors. Based on these cumulative observations, it is evident that cyber-crime demonstrates similar organizational structuring, activities, and motivations that are innate among the traditional forms of physical crime.

Based on the aforementioned arguments, it is evident that cyber-crime represents a virtual instantiation of the illegal activities, that are performed by physical criminal entities, and that such criminal activities are neither limited nor constrained among national boundaries and borders. Therefore, it is evident that cyber-crime may impact any nation whose governmental, commercial, or social infrastructures demonstrates the capacity of implementing and applying integrated electronic technologies.

The ability of criminals to infiltrate, to impede, to disable, or alter national, commercial, and social infrastructures is greatly increased through the use of cybercrime events involving such infrastructures. According to Alexander (2007, p. 50), examples of the magnitudes of such crimes include the 1981 infiltration of AT&T computer systems to “allow customers to have discounted rates during normal business hours;” the 1986 Pakistani Brain Virus; the 1988 release of malicious worms that “crippled the Internet;” the 1995 thefts of approximately 20,000 credit card numbers perpetrated by Mitnick; the 1999 vandalism defacing the White House Internet presence; and the 2000 denial-of-service attack that either impaired or disabled electronic commerce sites (e.g., E-Bay, Yahoo, Amazon, etc.).

These considerations also demonstrate three themes: 1) the ability of criminals to cause mass damage and crime anonymously during the perpetration of their activities; 2) the ability of criminals to perpetrate mass damage that transcends national borders; and 3) these cybercrimes represent virtual events that have manual event counterparts within physical reality. Given such considerations, it is evident that cybercrime represents a significant, dangerous threat to the national security infrastructures (e.g., economically; governmentally; etc.), of the United States.

This consideration of U.S. national security must neither be underestimated nor be understated. Because of the capacity of criminals to impose significant damage among the electronic infrastructures of modern society, attention must be given to the potential of criminal acts which could be unleashed against and among the American populace. Such acts could originate from a source, external to the domestic national boundaries of the U.S., which could be perpetrated by terrorist organizations or organized crime entities.

According to Curtis, Gibbs, and Miro (2004), the nation of Mexico demonstrates the capacity of becoming a significant source of such terrorist organizations or organized crime entities. According to Curtis, Gibbs, and Miro (2004, p. 13) the characteristics of the Mexican nation entice “transnational criminal and terrorist groups” because of its “geographic proximity and ease of access to the United States; the presence of extra-regional immigrant communities; the volume and sophistication of domestic commercial activity; the volume and ease of trans-border movements of goods, persons and cash; the presence of an established criminal infrastructure; the regulatory environment, transparency, and corruptibility of Mexican institutions; and the capabilities of local law enforcement agencies.” Further attractiveness is manifested through the Mexican national characteristics of “opportunities for the clandestine movement of persons; fundraising and money laundering opportunities; and the existence, vulnerability, and perceived value of potential targets in Mexico.”
Given the discussions of Curtis, Gibbs, and Miro (2004), the nation of Mexico demonstrates the environmental characteristics that are necessary for hosting criminal elements. Although such criminal entities may demonstrate the capacity for committing physical crimes, the potential of cybercrime acts exists within the Mexican environment. For example, Froehling (1997) indicates that the Internet was leveraged as a tool through which the Zapatistas reacted and responded to the Mexican government during periods of aggression and ideological disputes between these two factions.

According to the U.S. Embassy in Mexico (U.S. Embassy, 2006), during 2006, the Internet was leveraged as a medium for human trafficking between the U.S. and Mexico. According to the U.S. Department of Justice (USDOJ, 2009), cybercrime activities, between the U.S. and Mexico, also include money laundering, fraud, and real property Ponzi investment crimes. A review of the U.S. Department of Justice (USDOJ, 2009) materials includes a myriad of other crimes, between the U.S. and Mexico, which were perpetuated and committed using electronic technologies. According to Segura (2009), the proposed 2009 Mexican national budget incorporated a 30 percent increase in security expenditures as a method of countering potential, virtual crimes affiliated with technology. Therefore, the U.S. security impacts of cybercrime, between the U.S. and Mexico, are considerations that must not be ignored.

Given the discussions of Froehling (1997), Curtis, Gibbs, and Miro (2004), and Segura (2009), the nation of Mexico demonstrates the capacity to originate a variety of crimes that are hazardous and detrimental to the national security interests of the U.S. Therefore, the national boundary between the U.S. and Mexico demonstrates a potential portal through which individuals or electronic materials, which may be affiliated with acts of cybercrime, may be transported. Hence, a question of border security is manifested with respect to the border crossing events that are associated with the U.S.-Mexican border.

Although the literature cites numerous examples of both historical and contemporary criminal issues that are associated with the U.S.-Mexican border (e.g., smuggling; drugs; illegal aliens; murder; organized crime; etc.), these authors were unable to discover any studies that investigated the potential strengths of relationships between U.S.-Mexican border crossing events versus reported incidents of U.S. cybercrime. Therefore, it is the purpose of this paper to investigate these potential strengths of relationships as a method of providing a unique, original contribution to the current body of literature.

Research Questions

The literature review presents a myriad of criminal activities and categories that affect the U.S.-Mexican border. Despite the discussions presented that highlight the saliency of border crime with respect to issues of national security, one discussion is blatantly absent: the potential relationship between cybercrime incidents and border crossing transactions. Given such an absence within contemporary and historical literature, this research poses a cumulative question, regarding such a potential relationship, between reported incidents of cybercrime and border crossing transactions. Therefore, simply, the cumulative query, posed by this research, is expressed as follows: what is the potential strength of relationship between the reported U.S. incidents of cybercrime and U.S. border crossing transactions?

This cumulative inquiry may be further delineated into border state categories along the U.S.-Mexican border. Therefore, a primary sub-question may query the potential strength of relationship between the reported incidents of cybercrime and border crossing transactions with respect to Arizona. Hence, a sub-question is identified. Specifically, it is expressed as follows:
what is the potential strength of relationship between the reported incidents of Arizona cybercrime versus Arizona border crossing transactions?

Scope, Limitations, and Bias

Only data sets pertaining to the state of Arizona were considered within this study. Data sets were obtained from the United States Bureau of Transportation with respect to annual U.S.-Mexican border crossing transactions, and were obtained from the U.S. Federal Bureau of Investigation, regarding annually reported U.S. domestic cybercrime events within the state of Arizona. Therefore, a limitation exists with respect to the examination of only one of the four states that exist along the U.S.-Mexico border.

The scope of this study considered only the years of 2001 through 2011. No data was available regarding known cybercrime events before the year of 2001 despite the availability of border crossing data before the year of 2001. Government data sets neither segregated border crossings into categories of entities leaving the domestic U.S. or entities entering the domestic U.S. nor did they indicate a specific time of each border crossing.

The scope of this study was limited to the categories of cybercrime versus bus crossings, cybercrime versus loaded truck container (LTC) crossings, cybercrime versus train crossings, cybercrime versus personal vehicle (PV) crossings, cybercrime versus pedestrian (Peds) crossings, and cybercrime versus truck crossings. Therefore, this study did not consider the potentials of cybercrime versus aerospace or cybercrime versus aviation categories.

An additional limitation is the characteristics of the reported incidents of cybercrime. Because the data sets contained cumulative values of reported incidents, no delineation of specific technologies (e.g., computers, cell phones, credit cards, etc.) was indicated with respect to the commission of cybercrimes. The cybercrime data sets only contained reported incidents, per state, of known cybercrimes that were reported within the U.S. Therefore, only reported incidents of known cybercrime are considered. Hence, no consideration of unknown cybercrime quantities or unknown cybercrime types was possible.

Methodology

Data sets were obtained from the United States Bureau of Transportation with respect to annual U.S.-Mexican border crossing transactions, during the period between 2001 through 2011, for Arizona. Data sets were obtained from the U.S. Federal Bureau of Investigation (FBI), regarding annually reported cybercrime events, during the period between 2001 through 2011, for Arizona. These FBI data sets consisted of the annual IFCC Internet Fraud Reports. Both of these data sets were stored using a Microsoft Excel format. Microsoft Excel was the spreadsheet through which the Pearson Correlation Coefficient analysis was completed. The use of the Pearson method is commensurate with the writings of Cooper and Schindler (2003) regarding correlation analysis and interpretation.

The Pearson Correlation Coefficient method of analysis was implemented to determine and judge the strength of potential relationships between reported incidents of cybercrime versus border bus crossings, cybercrime versus loaded truck container (LTC) crossings, cybercrime versus train crossings, cybercrime versus personal vehicle (PV) crossings, cybercrime versus pedestrian (Peds) crossings, and cybercrime versus truck crossings. The data sets concerning reported cybercrime, within the separate border state (i.e., Arizona), were separately evaluated and compared with each of these categories, per state, to determine potential strengths of relationships. Therefore, reported incidents of Arizona cybercrime were compared only with reported Arizona border transactions (e.g., buses, trains, etc).
The considered border was the U.S.-Mexican border, and the period encompassed data sets among the years of 2001 through 2011. Annual quantities of events, representing both cybercrime and border transactions, were considered during the duration of this cumulative period. The annual year was the measurement unit used within the Pearson Correlation Coefficient calculations.

Findings

Based on the outcomes of the Pearson Correlation Coefficient calculations, a variety of strengths of relationships among the considered variables were manifested. The analysis involved the testing of the strength of relationships between reported incidents of cybercrime versus border bus crossings, cybercrime versus loaded truck container (LTC) crossings, cybercrime versus train crossings, cybercrime versus personal vehicle (PV) crossings, cybercrime versus pedestrian (Peds) crossings, and cybercrime versus truck crossings. The following table shows the outcomes of these calculations:

Table 1 – Pearson Correlation Coefficient Calculation Outcomes

<table>
<thead>
<tr>
<th>State</th>
<th>Buses</th>
<th>LTCs</th>
<th>Trains</th>
<th>PVs</th>
<th>Peds</th>
<th>Trucks</th>
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<tr>
<td>Arizona</td>
<td>0.13</td>
<td>0.87</td>
<td>0.29</td>
<td>-0.89</td>
<td>-0.19</td>
<td>0.69</td>
</tr>
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The Pearson outcomes may be judged according to their indicated strengths of relationships. Outcome values, of the Pearson calculations, may range between -1.0 and 1.0. With respect to the interpretation of correlation relationship strengths between the compared variables, larger Pearson outcome values indicate a potentially high strength of relationship whereas smaller Pearson outcome values indicate a potentially low strength of relationship. Values closer to -1.0 represent a strongly negative strength of relationship whereas values closer to 1.0 represent a strongly positive strength of relationship. However, regardless of the outcome value, it is important to note that such outcomes are only indicative of the potential strength of relationship between the considered variables, and is not indicative of any form of causation between the considered variables (Cooper and Schindler, 2003).

Conclusions and Recommendations

The case of reported AZ cybercrime incidents versus AZ bus border crossings manifests a Pearson outcome of 0.13. Therefore, it is the conclusion of these authors that little, if any, strength of relationship exists between reported incidents of AZ cybercrime and AZ bus border crossings exists with respect to the designated AZ border crossing points.

The case of reported AZ cybercrime incidents versus LTC border crossings manifests a Pearson outcome of 0.87. Therefore, it is the conclusion of these authors that a very strong potential strength of relationship exists between reported incidents of AZ cybercrime and AZ LTC border crossings exists with respect to the designated Arizona border crossing points.

The case of reported AZ cybercrime incidents versus train border crossings manifests a Pearson outcome of 0.29. Therefore, it is the conclusion of these authors that a weak, low potential strength of relationship exists between reported incidents of AZ cybercrime and AZ

$^{23}$
train border crossings exists with respect to the designated Arizona border crossing points.

The case of reported AZ cybercrime incidents versus personal vehicle border crossings manifests a Pearson outcome of -0.89. Therefore, it is the conclusion of these authors that a very strong, negative potential strength of relationship exists between reported incidents of AZ cybercrime and AZ personal vehicle border crossings exists with respect to the designated Arizona border crossing points.

The case of reported AZ cybercrime incidents versus pedestrian border crossings manifests a Pearson outcome of -0.19. Therefore, it is the conclusion of these authors that a little, if any, negative potential strength of relationship exists between reported incidents of AZ cybercrime and AZ pedestrian crossings exists with respect to the designated Arizona border crossing points.

The case of reported AZ cybercrime incidents versus truck border crossings manifests a Pearson outcome of 0.69. Therefore, it is the conclusion of these authors that a strong potential strength of relationship exists between reported incidents of AZ cybercrime and AZ truck border crossings exists with respect to the designated Arizona border crossing points.

Given these observations and conclusions, it is the conclusion of these authors that the events of border crossings, along the Mexican borders of Arizona, merit further examination and investigation. Although these Pearson outcomes are not representative of causation between the compared variables, it is the conclusion of these authors that the strength of potentially strong and very strong relationships must not be ignored. Given the writings of Brenner (2007) that express the significance and importance of national security, with respect to the U.S. border with Mexico, it is the conclusion of these authors that any strong Pearson outcomes may signify national security hazards and dangers concerning the U.S.

Despite these outcomes, it is the conclusion of these authors that unknown variables may contribute toward the manifestation of such outcomes. Examples of such unknown variables may include whether computer systems, entering the U.S., were pre-installed with static IP addresses that denote a foreign origin or whether computer systems, leaving the U.S., were pre-installed with static IP addresses that denote the U.S. as the country of origin. In this instance, regardless of the physical location of the machine itself with respect to the border, the static IP address would represent its pre-programmed nationality. Therefore, crimes committed in Mexico may demonstrate a U.S. origin, and vice-versa, because of such pre-programming.

Other technological factors may include whether perpetrators implemented any form of software that would generate a false IP address when committing crimes. For example, the TOR software allows individuals Internet anonymity by masking the actual IP address of a computer system and masking the actual IP address with one that represents a completely different set of numbers and geographic location.

Another consideration is the direction of travel across the border and the time of day when such travel occurred. Government data sets did not segregate border crossings into categories of entities leaving the domestic U.S. or entities entering the domestic U.S. These data sets did not indicate a specific time of each border crossing. Therefore, when coupled with the concerns associated with IP addresses of computer systems, it is the conclusion of these authors that such unknown values may impact the outcomes of this study because of the potential difficulty with identifying accurately the position of computing devices used to commit cybercrimes.

An additional consideration is the technology involved with the reported incidents of cybercrime. Because the data sets contained cumulative values of reported incidents, no delineation of specific technologies (e.g., computers, cell phones, credit cards, etc.) was available. The portability of such technologies may influence the reporting of data used within this study. For example, if a credit card was stolen within the U.S., from a U.S. citizen or residence, it may be used within Mexico before the reporting of the crime occurred. Similarly, if
a credit card was stolen within Mexico, from a U.S. citizen, and then used within Mexico, individuals may report the crime upon their arrival within the U.S. Therefore, given these considerations, it is the conclusion of these authors that such unknown variable values may impact the outcomes of this study.

Although other conclusions may be offered regarding the outcomes of the Pearson calculations, it is the opinion and conclusion of these authors that sufficient arguments are provided to merit additional investigation of this topic. Therefore, it is the recommendation of these authors that additional studies should be performed, which consider the border states of New Mexico, California, and Texas, with respect to the same conceptual research question and sub-question.

An additional consideration is the use of Microsoft Excel as the tool through which the processing of data occurred. Because of budgetary limitations, SPSS was unavailable for the purposes of data analysis. Although this spreadsheet program demonstrates the capacity to perform correlation analysis data processing, it is recommended that this study be repeated using SPSS or other statistical software.

It is also recommended that future studies incorporate the direction of travel (if it can be determined) across the border, with respect to the incidents of reported U.S. cybercrimes. Further, depending on the direction of border travel with respect to the potential relationship with cybercrime reports, it is recommended that further studies investigate whether these reported cybercrimes were committed against any Department of Defense entities, state military departments, or other government systems as a consideration of homeland security and national security.

The authors acknowledge the potential of spurious correlation outcomes regarding this limited study. It is recommended that any additional studies accommodate a greater depth and magnitude of analysis with respect to identifying the impacts of spurious correlations. This study did not investigate any potential queries regarding causation. Therefore, it is recommended that any future studies examine facets of potentially causative factors regarding the examined border data sets.

Based on the outcomes of the Pearson calculations, it is the conclusion of these authors that these outcomes must be considered from the perspectives of both corporate and government security. According to Brenner (2007), a variety of cybercrimes exist that impact government and corporate environments and infrastructures. Because of the high Pearson correlation values discovered, it is the conclusion of these authors that certain border crossing events be considered as a potential avenue through which the security of both private and government infrastructures may be compromised. Therefore, it is recommended that future research endeavors investigate the potential of border crossing activities with respect to national security, corporate, and government implications.

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APPRECIATIVE INQUIRY:
ANSWERING THE CALL OF THE NEW PUBLIC SERVICE
BY CREATING A DEMOCRATIC DISCursive SPACE THROUGH POSITIVE
STORYTELLING WHEREIN DIRECT CITIZEN PARTICIPATION CAN FLOURISH

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ABSTRACT

This article suggests Appreciative Inquiry may be used in the context of Janet and Robert Denhardt’s (2003) New Public Service movement. It demonstrates the linkage between New Public Service and Jane Watkins and Bernard Mohr’s (2001) interpretation of Appreciative Inquiry in an effort to better inform the administrative role. New Public Service calls for a public administration centered on democratic ideals, actively engages citizens in collaborative dialogue and a co-creation of shared meaning as well as improving understanding between civil servants and the citizenry they serve. Appreciative Inquiry is a positive organizational development approach based on social construction of reality and positive self-fulfilling prophecy. It involves sharing positive stories within a collective building shared meaning and vision for the future.

INTRODUCTION

Janet and Robert Denhardt (2003) suggest there is a new “movement” in public administration. They call it New Public Service (NPS). NPS focuses on serving citizens, delivering democracy, striving to achieve the public interest, fostering democratic ideals, renewing civic engagement and creating a better life for people (Denhardt and Denhardt, 2003). The Denhardts (2003) argue this movement “is now being manifest in the way we interact with political leaders, in the way we engage with citizens and in the way we bring about positive changes in our organizations and communities” [emphasis added] (at 4).

NPS marks resurgence toward normative values centered on the role of the public administrator, the relationship with citizens he or she serves and actively engaging the citizenry in authentic discourse and participation (Denhardt and Denhardt, 2003). The Denhardts (2003) have called for an “affirmation of the soul” of public administration (at 4). They desire administrators seek out ways to serve citizens while concomitantly promoting the common good (Denhardt and Denhardt, 2003).

This article is an answer to that call. The organizational development approach Appreciative Inquiry (Ai) may be used by public administrators to achieve the goals presented by the NPS. This article demonstrates the linkage between NPS and Jane Watkins and Bernard Mohr’s (2001) interpretation of Ai in an effort to better inform the administrative role. It presents the relevant direct citizen participation literature. Attempts to demonstrate the nexus between the seven aspects underlying NPS and the five core processes found in all Ai models. The article closes with a brief discussion and potential implications for implementing such a model.

DIRECT CITIZEN PARTICIPATION

Some researchers argue direct citizen participation helps administrators and citizens discover synergistic solutions to complex issues (Bryson and Anderson, 2000; and White, 1998). Not only enhancing governmental provision of the public good and welfare (Docherty, Goodland, and Paddison, 2001; Vigoda, 2002; and Waugh, 2002) but ultimately enhancing self-government (Carr and Halvorsen, 2001; Evans, 2000; and Hamlett, 2003). Many reasons are cited for why direct citizen participation is necessary. There are also many ways of achieving it.

Various scholars maintain administrators in local government during the Civil Rights Movement and concomitant social unrest of the 1960s and 1970s in the United States had to begin paying significantly more attention to citizens they served and to the notion of the common good. John Levy (2000) writes, “implicit in the Reform movement was the idea that there is a public interest and that city governments could rationally and
efficiently serve that interest” [emphasis added] (at 64). He states, the post-reform era witnessed a marked increase in community control whereby citizens’ interests in their particular neighborhoods or communities were placed at a premium (Levy, 2000).

Norman and Susan Fainstein (1977) bolster the contention for involving citizens in their own governance. As they point out, “the existence of urban movements and the reasons given by members for participation [in them] … attest to the inadequacy of routine political institutions for serving the needs of [citizens]” (Fainstein and Fainstein, 1977, at 339). James Q. Wilson (1970) writes, “what constitutes the ‘urban problem’ for a large percentage (perhaps a majority) of urban citizens is a sense of failure of the community” (at 366).

Practitioners have used various ways to achieve direct citizen participation. Developing normative theories of public participation that focus on issues of competence and fairness (Webler and Tuler, 2000), public hearings (Adams, 2004; Cuthill, 2003; and King, Feltey, and Susel, 1998), citizen advisory councils, citizen panels and public surveys (Carr and Halvorsen, 2001; King, Feltey, and Susel, 1998; and Parsons, 1990) public forums (Farrell, 2000; and Hendriks, 2002) as well as citizen juries (Hendriks, 2002). More contemporary processes include study circles (Leighninger, 2002), participatory budgeting (Kooning, 2004), community conversations, community dinners, deliberative democracy forums (Carr and Halvorsen, 2001), large group interaction models (Bryson and Anderson, 2000) and e-government initiatives (Cuthill, 2003). It is these scholars, as well as others writing in a similar vein (e.g., McSwite, 1997; Wamsley et. al., 1990; and Wamsley and Wolf, 1996), who the Denhardts (2003) draw upon to make their NPS argument. Before examining NPS it is important to note that not all scholars agree with increasing direct citizen participation.

CASTING A JAUNDICED EYE: OPPONENTS OF INCREASING DIRECT CITIZEN PARTICIPATION

Unlike direct citizen participation’s proponents, its critics take issue with what it is supposed to achieve citing some of its costs and arguing against several of its perceived benefits. Some scholars contend direct citizen participation in government is too laborious and time intensive to be feasible (Gamble, 1997; Irvin and Stansbury, 2004; and Markham, Johnson, and Bonjean, 1999). They argue individuals are apathetic and do not want to be involved in their own governance unless they are involved in a NIMBY issue (Berman, 1997; and Williams et. al., 2001).

Other scholars maintain administrators do not have the resources or the time to facilitate public involvement meetings and when they do, because of mandates by law, they do so in the most often used way; the public meeting or hearing (Echeverria, 2001; Lawrence and Deagen, 2001; and Rourke, 1984). Critics argue citizens are often uninformed on issues, do not have the accountability or responsibility that administrators do and do not have the commitment for sustained citizen engagement with civil servants (Kenney, 2000; Russell and Vidler, 2000; and Smith and McDonough, 2001). Still others question the representativeness of direct citizen participation efforts (Abel and Stephan, 2000; Kenney, 2000; and McCloskey, 1996). As far as being more democratic by involving more people and allowing access to all citizen stakeholders, Cnaan (1991) asserts avenues such as neighborhood-representing organizations are not more democratic and like other citizen meetings can become dominated by interest groups and the more invested, outspoken citizen.

Lynn (2002) provides a critique of direct citizen participation calling the DeLeons’ (2002) notion of pandemic participation, democracy’s “unforgivable sin”. Lynn’s (2002) reaction to the DeLeons’ (2002) pandemic participation is consistent with Morone’s (1990) notion of the democratic wish; “chasing the elusive image of the people … seeking participation in often imaginary communities” (as cited in Lynn, 2002 at 448). Investigating the democratic wish further, a review of the literature shows that although it is perpetuated by some scholars (Carter, 1998; Kitcher, 2001; and Lehmann, 1999) it is staunchly opposed by others (Lynn, 2002; Morone, 1990; and Schattschneider, 1975).

Irvin and Stansbury (2004) also provide an appraisal of direct citizen participation efforts. They offer eight disadvantages of increasing public involvement in governmental decision making: (1) cost, (2) time, (3) difficulty of diffusing citizen goodwill, (4) lack of authority, (5) complacency, (6) persistent selfishness, (7) the power of wrong decisions and (8) representation (Irvin and Stansbury, 2004). They warn administrators who are thinking about engaging in direct citizen participation processes to bear “in mind that talk is cheap -- and may not be effective” (Irvin and Stansbury, 2004 at 63). There are many other scholars who question the benefit of increasing direct citizen participation in government processes (Alcock, 2004; Cooke and Kothari, 2001; and Sanders, 1997).

Despite criticisms, there is a call from public administration scholars for more ways to engage the citizenry, engender participatory democracy and increase direct citizen participation in local government. From the Denhardts’ (2003) call for a renewed spirit of public administration predicated on serving the public, to a revamped Deweyan notion of collective inquiry (Evans, 2000), to new action research methods (Cuthill, 2003) and creating associational
public spaces (King, 2000). Many scholars argue there is a necessity for practitioners to find effective ways in which to increase direct citizen participation because of legislative acts, funding mandates and increasing devolution of power to local governments. Proceeding from the direct citizen participation literature we explore the seven aspects of NPS.

**SEVEN ASPECTS OF NEW PUBLIC SERVICE**

The Denhardts (2003) acknowledge there are divergent perspectives within NPS. However, they identify seven mutually reinforcing aspects pervading NPS. These aspects are rooted in a perspective they contrast with “Old Public Administration” and “New Public Management.” The seven aspects are presented in the following table (Denhardt and Denhardt, 2003 at 42-43).

<table>
<thead>
<tr>
<th>Aspect of NPS</th>
<th>Focus</th>
</tr>
</thead>
<tbody>
<tr>
<td>Serve Citizens, Not Customers</td>
<td>Public interest results from dialogue about shared values, not an aggregate of individual self-interests; Administrators focus on building relationships of collaboration and trust with the citizenry, not merely responding to the demands of “customers”</td>
</tr>
<tr>
<td>Seek the Public Interest</td>
<td>Civil servants contribute to a collective, shared notion of the public interest; goal is creation of shared interests and responsibility, not efficient solutions determined by individual choices</td>
</tr>
<tr>
<td>Value Citizenship over Entrepreneurship</td>
<td>Public interest is better advanced by administrators and citizens committed to making meaningful contributions to society rather than by entrepreneurial managers operating as if public monies were their own</td>
</tr>
<tr>
<td>Think Strategically, Act Democratically</td>
<td>Policies and programs meeting public needs can be most effectively and responsibly achieved through collective efforts and collaborative processes</td>
</tr>
<tr>
<td>Recognize that Accountability Is Not Simple</td>
<td>Civil servants should be attentive to more than the market, paying heed to Constitutional and statutory law, professional standards, political norms, community values and citizen interests</td>
</tr>
<tr>
<td>Serve Rather than Steer</td>
<td>Public servants should use shared, value-based leadership to help citizens articulate and meet their shared interests rather than attempting to control or steer society in new directions</td>
</tr>
<tr>
<td>Value People, Not Just Productivity</td>
<td>Public organizations and the networks in which they participate are more likely to be successful in the long run if they are operated through processes of collaboration and shared leadership based on respect for all people</td>
</tr>
</tbody>
</table>

Practitioners of NPS share these seven aspects. The focus is on the value-laden citizen. Leadership is value-based and shared, decisions are made through collaboration and justice and equity are hallmarks by which to judge civil servants’ performance (Denhardt and Denhardt, 2003). Before a linkage between these seven aspects of NPS and Ai can be made we must briefly examine Ai.

**APPRECIATIVE INQUIRY**

Ai is a positive organizational development approach created by David Cooperrider (1986). Jane Watkins and Bernard Mohr (2001) define Ai as:

- a collaborative and highly participative, system-wide approach to seeking, identifying and enhancing the ‘life-giving forces’ that are present when a system is performing optimally in human, economic and organizational terms. It is a journey during which
profound knowledge of a human system at its moment of wonder is uncovered and used to co-construct the best and highest future of that system (at 14).

Ai has five core principles. They are the constructionist principle, the principle of simultaneity, the anticipatory principle, the poetic principle and the positive principle (Watkins and Mohr, 2001). Having explored the seven aspects of NPS and offered an operational definition of Ai, we now turn our attention to the five generic processes found in all models of Ai.

**AI: PROCESSES**

Watkins and Mohr (2001) identify five generic processes common to all models of Ai. The processes are “choose the positive as the focus of inquiry; inquire into stories of life-giving forces; locate themes that appear in the stories and select topics for further inquiry; create shared images for a preferred future and find innovative ways to create that future” (Watkins and Mohr, 2001 at 39). These will be examined in greater detail in the section demonstrating the nexus between them and the seven aspects of NPS.

So long as these five processes are engaged in during an organizational or community change intervention, then it can be argued an Ai approach has been used. These steps are not necessarily linear and happen continually throughout the intervention (Watkins and Mohr, 2001). They overlap and “repeat themselves without predictability” (Watkins and Mohr, 2001 at 39). All of the components are necessary and part of a larger whole (Watkins and Mohr, 2001). Both aspects of NPS and tenets of Ai have been explored; it is time to examine the nexus between them.

**NEXUS: NPS AND AI**

One may intuitively approve the notion Ai can be used to achieve the goals of NPS, however, it is important to clearly delineate the nexus that exists between them. The aspects and processes overlap and are mutually reinforcing. All five processes can be found in each of the seven aspects. The following discussion focuses on processes most applicable to each aspect. Ai may be helpful in a NPS context based on the investigation of these linkages.

**SERVING CITIZENS, NOT CUSTOMERS; SEEKING THE PUBLIC INTEREST AND THINKING STRATEGICALLY, ACTING DEMOCRATICALLY**

It has been argued people should be viewed as citizens and not merely clients, consumers or customers. This assertion is based on democratic principles and ideals that stem from the notion government gains its power, legitimacy and authority from the governed. It is not enough to provide commodities and services predicated on economic models and theories of rational choice and maximized self-interest. Individuals in the polis are a diverse collective and what is best for the collective, as determined by the aggregate, is what is known as the common good or public interest (Denhardt and Denhardt, 2003).

If citizens, and by extension the public interest, are to be served and not relegated to the limited, subordinated role of customer, then public administrators should focus on citizen inclusion, involvement and participation. As such, three of the five processes of Ai can be directly applied to these three aspects of NPS. These three processes are choosing the positive as the focus of inquiry, creating shared images for a preferred future and finding innovative ways to create that future (Denhardt and Denhardt, 2003; and Watkins and Mohr, 2001).

First, choosing the positive as the focus of inquiry is directly related to seeking the public interest. The argument has been made that a consensualist model, which is predicated on individuals’ shared values, is one way to determine the public interest (Cochran, 1974). These values may be discovered through positive storytelling because the stories people tell reflect what is important to them, or to put it another way, what they value. Eliciting these shared values while seeking the public interest serves to guide administrative decision making; ultimately, benefiting citizens.

It can be argued the public interest is that which is best for the majority of the people living in the polis. The collective should be involved in dialogue in an endeavor to discover what the common good is, relative to a specific policy initiative or public program, and how best to achieve it. Since reality is socially constructed and it is the common good that is being sought and not what is to the common detriment, choosing the positive as the focus of inquiry seems the logical choice.

Consider Johnson and Leavitt’s (2001) work with the City of Hampton, Virginia working with public administrators and management within an organization. The city “initiated an Appreciative Inquiry process to re-
energize its workforce in bringing about their desired vision for the 21st century" (Johnson and Leavitt, 2001 at 129). Johnson and Leavitt (2001) write “the first critical assumption in Ai is that organizations are responsive to positive thought and positive knowledge. [...] Simply put, like sunflowers that will always turn to face the sun, an organization will turn toward a positive image of itself” (at 132).

In Hampton’s Ai process, the facilitation began with four unconditional positive questions resulting in a successful change intervention. Johnson and Leavitt (2001) note “the participants were overwhelmingly positive in their evaluation of the workshops and over two-thirds reported that they would be willing to work on implementation teams that result from this process” (at 136).

Second, creating shared images for a preferred future involves assembling all stakeholders in the community or organization being affected (e.g., 246 city employees, Employee Council, Human Resources Department and City Manager in the Hampton example (Johnson and Leavitt, 2001)). Positive images are co-created between citizens and civil servants through dialogue and shared storytelling. Through this process, citizens are being served because they are empowered as value-laden individuals, provided a physical and discursive space for voice and active participants in governance, whereas, customers do not have an opportunity for collective voice and aggregate positive affect. An example of public administrators serving citizens in this capacity will help clarify this nexus.

Ochieng (2007) reports on Ai in Kenyan agricultural development using the sugar industry as a case study. Despite 75 years of oppressive rule and legislation, “patron-client politics based on an ideology of ethnic competition” and “resistance from interest groups” (Ochieng, 2007 at 479), positive internal innovation has been implemented successfully (e.g., “private property rights in land, smallholder cultivation of commercial cash crops, contract farming, significant pressures toward market-led approaches” (Ochieng, 2007 at 454)) to advance the Kenyan peoples’ desires and public interests. Government administrators facilitating and enabling these innovations through Ai as “positive deviance” have demonstrated the power of creating positive discursive space and have pointed to effective solutions.

Third, finding innovative ways to realize the preferred future requires the participation of all the stakeholders in the community. After sharing stories everyone has the opportunity to add input into strategies for making the anticipated future a reality. A consensus is reached through deliberative dialogue and an innovative strategy is devised that the administrator adheres to. This plan can be modified in perpetuity through future meetings and feedback sessions. The following example illustrates how this principle applies to this aspect.

Bright, Cooperrider, and Galloway (2006) worked with the Environmental Protection Agency’s (EPA) Office of Research and Development (ORD) to transform its leadership culture. “The general objectives were to improve interpersonal communication, reduce the oppressive effect of bureaucracy on ideas, allow more decision making at lower hierarchical levels, and build a capacity for leadership in all employees” (Bright, Cooperrider, and Galloway, 2006 at 293-294). As part of the Ai approach,

- The first set of questions asked respondents to recall high points from existing experiences within the organization. The assumption was that each interviewee would have a least a few experiences that were positive and meaningful and that, by recalling these stories, he or she would be inclined to think favorably about a continued relationship with the organization” (Bright, Cooperrider, and Galloway, 2006 at 295).

Shared values from these stories were then identified and work groups came back with strategies to fulfill the anticipated organizational future (Bright, Cooperrider, and Galloway, 2006).

Another aspect under the umbrella of creation of shared images and discovery of innovative ways for creating that future is to think strategically but to act democratically. Administrators can educate citizens in areas of constitutional and administrative law, budgetary considerations and technical constraints through participation in the co-constitution of a preferred reality. Public servants assist in ameliorating strategic thinking processes by contributing their education, experience, positive stories and ability as equals to the dialogue, yet they are acting democratically because they are not adopting the role of the “expert,” rather they have the privilege of fulfilling their duty as fellow citizens. The process and the outcome are democratic because everyone’s voice is heard and vision is shared and the administrator is agreeing to adopt a specific role (i.e., the Appreciative Administrator) wherein he or she abides by the decisions of the people reached through consensus.

VALUING CITIZENSHIP OVER ENTREPRENEURSHIP, RECOGNIZING THAT ACCOUNTABILITY IS NOT SIMPLE AND SERVING RATHER THAN STEERING

To value citizens, recognize accountability is a complex issue and serve the people, public administrators may need to reevaluate and acknowledge many things concerning their perspectives and practices. The Ai process of
Locating themes that appear in stories and selecting topics for further inquiry may assist them in these three particular aspects of NPS. Locating themes requires deliberative dialogue between civil servants and the people they serve. All three aspects are now explored in relation to this Ai process.

First, it has been argued administrators are not solely intended to be executors of the public’s money. Their overriding function should not be to act as private sector managers or entrepreneurs continually searching for the best contracting deals or the cheapest way to do business. Although efficiency and economic sensibility is a part of their responsibilities, it is far more important they value citizenship (e.g., Denhardt and Denhardt, 2003). Through appreciative interviewing and eliciting positive stories, to which they contribute, administrators along with citizens diligently seek out the public interest. To value citizenship, civil servants have to meaningfully engage the people both as individuals and as a collective. By locating themes and selecting topics in these dialogic interactions, they appreciate, which is to say they value, citizens.

Stefaniak’s (2007) article on using Ai to pursue nursing excellence in a Kentucky hospital reveals what healthcare providers in this organization value. She concludes,

> Nurses believe in the value of superior nursing care and how it can transform lives and recognize the power of what nurses can do for each other and for the patients and families. The Ai process has given nurses the opportunity and the permission to reflect on the incredible past accomplishments and has allowed nurses to dream of a future where nursing excellence will serve as a flagship model of professional nursing practice. A common thread throughout the majority of the nurses' stories was teamwork (Stefaniak, 2007 at 46).

Themes such as “teamwork” reflect what nurses “appreciated” through their sharing of stories with one another and hospital administrators.

Second, civil servants should recognize accountability is not simple. While there are many factors to consider when discussing accountability the bottom-line is administrators have to be held accountable to the people. The Ai process of locating themes in shared stories improves this accountability to the public.

Open dialogue in the collective helps ensure no one’s story is unheard or dismissed. Everyone gets the opportunity to hear the positive stories their neighbors have to share. By locating themes in these shared experiences the will of the people gains clarity.

Administrators are held accountable because the located themes are identified in the realm of the public’s consciousness. If an administrator disregards the will of the people and what they have said they value, then all stakeholders would know because they were not only there to hear but actively participated in the sharing. People could demand an explanation for the administrator’s actions if they are contrary to dominant themes and values.

In the last example, imagine if hospital administrators were to violate norms of high performing teams through such things as collusion with individual nurses and introducing policies that bred competition rather than collaboration. Nurses, who value teamwork, would be empowered through the collective. They could move to counteract or at least hold administrators accountable for their actions.

Third, the aspect of serving rather than steering is directly related to the process of thematic location and future topic selection. This aspect deals with leadership issues. The Denhardts (2003) contend top-down leadership is outdated, impractical and ineffective.

Leadership should be a collaborative process in which citizens work with civil servants to make individual and collective decisions. Working together to locate themes in their stories all of the stakeholders participate in the leadership process and there is no one “leader” making decisions for the aggregate. Helping locate the themes of the shared stories and appreciative interviews, public administrators can fill a role that help[s] the community and its citizens to understand their needs and their potential … integrate[s] and articulate[s] the community’s vision … and act[s] as a trigger or stimulus for action [strategizing] (Denhardt and Denhardt, 2003 at 141).

**VALUING PEOPLE, NOT JUST PRODUCTIVITY**

Successful public organizations, agencies, networks and policy initiatives are ones that operate in a collaborative manner. Shared leadership is critical to long-term success. Respect for all people, who have inherent moral worth equally, should be a foundation upon which public entities and their ventures rest; people are people. When emphasis on productivity is valued over people, then democratic goals such as equality, fairness, justice and equity cannot be realized. The focus for administrators should not be on how to get economically beneficial results rather
the ideal should be to create a better life for all people. People are not a means to an end; they are an end in-and-of themselves.

The Ai process of inquiring into stories of life-giving forces may help realize this aspect of NPS. When public servants genuinely want to inquire of and learn about the citizens they serve, they are making a conscious decision to value them not for what they can produce or provide but for whom they are. Civil servants are creating a positive discursive space for individuals to investigate, interrogate and affirm their values when focusing on stories of life-giving forces. Citizens are provided the opportunity to relate to other people on a human level and recognize that which gives them energy, power, comforts them, sustains them, lifts their spirits and nourishes their souls in this space.

Administrators not only reaffirm their ethos (i.e., to serve the public) but also assist in the co-creation of a positive reality as well as empower people to become the citizens and members of their communities they want to be by continually inquiring, in an authentic and genuine manner, into these life-giving, generative forces. Suddenly, there is an energy motivating people to become involved in civic life and take an active role in their own governance. Whereas negative stories are life-detracting and debilitating, positive stories, that are recognized as worthy by sharing them with those who really care, make anything possible.

For the purpose of demonstrating the nexus between NPS and Ai this article has broken each of their underlying tenets into different categories and paired them up with one another in a manner that could assist in an understanding of the potential value of Ai for public administration. While this work has focused on the core processes of Ai that seemed most influential and had the strongest nexus with each aspect of NPS, it is important to remember these categories are not mutually exclusive. They overlap and reinforce one another such that all core Ai processes assist in all aspects of NPS. Attention is now given to when Ai may be used appropriately and under what circumstances it may be implemented effectively.

**DISCUSSION: AI’S POTENTIAL ROLE**

Ai is not appropriate for all aspects of public administration. It lends itself to certain policy situations rather than others. It can be argued Ai could be more appropriate for technical issues rather than more emotional or politically charged issues but a case can also be made for the other side. To be a proper approach for administrators to employ Ai should be applied to situations where it may be effective. Civil servants should be able to determine whether or not it would work by critically thinking about the goals of the policy they are trying to achieve. Each situation is unique and administrators must determine if the approach would be value-additive for the governance issue they are facing.

Ai will only work in the realm of public administration if the administrators involved in the process agree to adopt a specific role, Appreciative Administrator, and adhere to agreements reached through consensus building following the setting of ground rules with all stakeholders. If an administrator is precluded from or unable to conform to the tenets of the specific role or cannot be bound by consensus decision making, then Ai is not appropriate. The important thing to remember is that by utilizing this approach the goal is to empower citizens, give them “voice,” foster and facilitate their participation and abide by the public’s will for the furtherance of the common good. Civil servants do not want to imply citizens’ shared stories and subsequent strategies mean something and will have an effect when they do not.

Overall, a demonstrable nexus exists between NPS and Ai. Ai appears to hold some value for public administrators in the context of the NPS movement. Expanding opportunities for civil servants to use models grounded in Ai can provide a reaffirmation of the soul of public administration and help ensure democratic ideals continue to pervade the field.

While an Ai approach is specifically designed to foster, enhance and increase public participation and self-governance, it has the potential for many tertiary benefits as well. It can serve to increase participatory democracy in general, elevate levels of social and civic capital, promote citizen ethics and ethical administration, serve as a co-educatory opportunity, elucidate issues of public law and strengthen administrator accountability toward the citizenry. The next step is to articulate the role of Appreciative Administrator and implement an Ai approach. The hope is the Ai approach is as effective in practice as it seems to be in theory. The outlook is optimistic since Ai has been used successfully in several public sector organizations, countries around the world and it is being more commonly employed by public administration practitioners globally.
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GSI: THE KEY TO GOLFER RETENTION

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Abstract

The number of golfers in the U.S. has decreased from 30.6 million in 2005 to 25.7 million in 2011. This poses a real threat to the golf industry. The purpose of this study was to ascertain golfer and employee satisfaction in Southwest Florida, establish levels of satisfaction through a Golfers Satisfaction Index (GSI), identify influential variables, and assess relationships between golfer and employee satisfaction to improve organizational outcomes. The research was conducted among 10 golf facilities in Southwest Florida. By initiating GSI Surveys, Path Analysis, Job Enrichment and strategies based on maximizing value, synergistic relationships can be accomplished between satisfied employees, perceived organizational performance, and golfer satisfaction leading to higher golfer retention, increased golfer participation and higher revenues.

KEYWORDS: golfer satisfaction, job satisfaction, operational performance, country club

The number of golfers in the U.S. has decreased from 30.6 million in 2005 to 25.7 million in 2011 and the 5 year retention rate for golfers during the same period is only 54% for men and 33% for women (National Golf Foundation [NGF], 2012). In addition, Williamson (2001) states that many club members leave their clubs within the first two years of joining. This sharp decline in players poses a real threat to the industry.

In its research, the Technical Assistance Research Program Institute (TARP, 2011) estimates that it costs five times more money to acquire a new customer than to retain an existing one in the U.S.. A summary of TARP findings indicate that about 95 percent of people that have a bad service experience do not complain, they simply leave. Of this number, 13 percent tell as
many as 20 people about their bad service experience. This same research indicated that a satisfied customer on the average tells only five people. Therefore, it becomes imperative to understand the elements of service performance and the factors that influence a golfer’s satisfaction level in order to retain existing golfers. To amplify this point, Anderson, Fornell, Lehman (1994), state that there are large economic benefits of measuring and understanding customer satisfaction including increased revenues and decreased marketing cost. This study will explore golfer satisfaction, organizational performance, employee satisfaction and any possible correlation between them.

There are numerous variables that affect customer satisfaction and a golfer’s satisfaction in particular. Studies show that one of the most influential variables to customer satisfaction is customer service, and customer service is greatly influenced by employee satisfaction (Bittner, 1990). Costen, Salazar, and Antun (2006) state, "Research shows that an employee's job satisfaction influences an organization's performance"(p.15). In addition, according to Payne and Webster (2006), employee satisfaction was positively related to customer satisfaction and customer loyalty.

In addition to the traditional customer satisfaction survey, this study will also attempt to integrate the concept of importance when determining levels of customer or golfer satisfaction. According to Shieh and Wu (2011), “Importance-performance analysis (IPA) is very useful for practitioners to improve service quality and increase customer satisfaction by identifying major organizational strengths and weaknesses” (p. 545).

The research was conducted among 10 golf facilities in Southwest Florida (SWFL) which included private, public, resort and golf communities. Data was accumulated and analyzed using IBM’s Statistical Package for the Social Science (SPSS) version 20. The goal was to provide a research based tool for golf course stakeholders to enhance understanding and organizational outcomes. The quantitative data provided information related to golfer satisfaction, organizational performance, employee satisfaction, levels of importance, and methodologies for measuring satisfaction and performance at their facilities. Qualitative data was collected via employee and golfer comments.

The hypotheses explored were:

H01 - There are different levels of employee satisfaction between demographic groups.
H02 - There are different satisfiers of employee satisfaction between demographic groups.
H03 - There are different levels of employee satisfaction between types of facilities.
H04 - Golfers have different levels of performance expectations based on demographic groups.
H05 - Golfers assess operational performance differently based on demographic groups.
H06 - There are different levels of golfer satisfaction between demographic groups.
H07 - Organizational performance is positively related to golfer satisfaction.
H08 - Employee satisfaction is positively related to organizational performance.
H09 - There is a correlation between employee satisfaction and golfer satisfaction.
H10 - Employee satisfaction is the greatest determinant of golfer satisfaction.

Overview

Golf as an industry generates over 25 billion dollars in revenues, employing more than 320,000 workers, servicing over 26 million golfers, at over 11,000 country clubs in the United States (IbisWorld, 2011). The core purpose of this hospitality industry is to provide those services and experiences that are most satisfying to its customers. Kotler (1991) defined customer satisfaction as the post-purchase evaluation of a product/service relative to prior
expectations. Oliver (1997) also suggested that customer satisfaction results when customers either confirm or positively disconfirm their pre-purchase expectations of a purchased service. Therefore, in order to accurately assess satisfaction, the level of both expectation and performance should be evaluated when assessing golfer satisfaction (Shieh & Wu, 2011).

**Employee Satisfaction, Customer Satisfaction & Loyalty**

Many studies have provided empirical evidence of a positive relationship between employee satisfaction and organizational performance. For example, in addition to improved job performance, Judge, Thoresen, Bono, and Patton, (2001) suggested that more global measures of performance can be related to job satisfaction. Also, Bateman & Organ (1993) described the relationship effects between job satisfaction and job employee “citizenship”. But most significantly, Harter, Schmidt, and Hayes, (2002) conclude from their study “that employee satisfaction and engagement are related to meaningful business outcomes at a magnitude that is important to many organizations and that these correlations generalize across companies” (p. 276).

Not only does the research support the contention that employee satisfaction influences organizational performance (Zheng & Ricardo, 2009), but several studies have shown a strong positive relationship between employee satisfaction and customer satisfaction (e.g. Costen, Salazar, & Antun, 2006; Clemmer, 2012; Payne & Webster, 2006; Harter, Schmidt & Hayes, 2002; Schneider, White, & Paul, 1996; Dehghan, Zenouzi, & Albadvi, 2012; Fornell, Johnson, Anderson, Cha & Bryant, 1996). As indicated by these numerous findings, positive changes in employee attitudes can lead to improvement in customer service which in turn can lead to positive changes in customer satisfaction.

**Surveys**

Research indicates that job satisfaction surveys, and in particular job satisfaction indices, can be used to evaluate "an expression of feeling towards an object" and that “these attitudes suggest utility of attitude scaling methodology in developing an index of job satisfaction” (Brayfield & Rothe, 1951, p. 307). Saari and Judge (2004) state, “There are a number of possible methods for measuring employee attitudes, such as conducting focus groups, interviewing employees, or carrying out employee surveys: of these methods, the most accurate measure is a well-constructed employee survey” (p. 399). Therefore, the available research seems to suggest that it is possible to conduct useful demographically accurate job satisfaction research in the golf industry and that a well constructed survey is the best method to accomplish this goal.

Unlike job satisfaction surveys, traditional customer satisfaction surveys have measured the quality of service performance and not customer satisfaction. For example, many surveys ask the customer to rate attributes of service quality in an organization and then mistakenly assume that these evaluations are an expression of customer satisfaction. However according to Martilla and James (1977), empirical research has demonstrated that customer satisfaction is a function of both expectation related to certain important attributes and a judgment of attribute performance. Historically, Importance Performance Analysis (IPA) has been used to account for these two variables. In classical IPA, the mean customer rating of attributes in importance and performance are calculated and plotted against each other. The resulting importance performance graph is divided into four quadrants. By examining the points in each quadrant one can determine which attribute needs the most attention. However, while useful, this method does not allow for an integrated variable that describes the overall index of a customer’s satisfaction thereby limiting its usefulness. In addition, according to Tzu and Ying (2011), traditional IPA does not provide any information on comparisons with competitors' performance. Therefore, even organizations
that employ IPA need to address appropriate methods for calculating importance performance scores (Shieh & Wu, 2011). Other studies have provided an Importance Performance Index, including Bacon (2003). Specifically, Bacon (2003) emphasized the importance of customer satisfaction models by stating that the quadrant method is not as valid as a diagonal line model (formula) and “the diagonal line model is strongly recommended for IPA applications” (p 66).

In order to more accurately measure a customer’s satisfaction in the golf industry while integrating the principles of importance and performance, a Golfer’s Satisfaction Index (GSI) has been developed. This index will be used to establish a golfer’s satisfaction and allow for analysis against other variables including organizational performance and employee satisfaction. The purpose is to identify significant relationships between employee satisfaction, organizational performance, and golfer satisfaction. As pointed out by Ricci, Kirn and Quinn (1997) of the Sears, Roebuck and Company “we know how employee attitudes affect retention, how employee retention affects the drivers of customer satisfaction, how customer satisfaction affects financials and a great deal more…we manage the company on the basis of these indicators with remarkably positive results” (p.84).

**Methodology**

Research was conducted among 10 golf facilities in Southwest Florida (SWFL). A stratified random sample of 12 country clubs in Charlotte, Lee and Collier counties were selected among a population of approximately 120 clubs in order to generate a cluster sample of golfers and employees. Ten of 12 golf facilities (83% response rate) agreed to participate in the research. The sample was stratified to include public, private, resort and golf communities.

Surveys were administered for one full week (a traditional golfing cycle) to each golfer and to all Pro Shop Operation and Golf Course Maintenance employees in May of 2012. The population of golfers in SWFL was approximately 30,000 and the population of golf related employees was approximately 3,000. Paper surveys were distributed and returned anonymously (Appendix 1 & 2). A statistically significant response of 237 golfers (95% Confidence with a Margin of Error of +/-5.5%) and 121 employees (95% Confidence with a Margin of Error of +/-7.5%) was achieved.

The job satisfaction survey used for this research was by Brayfield (1953) and has been tested numerous times for validity and reliability; therefore no psychometric tests were performed. However, the golfer satisfaction survey had not been tested for reliability and validity. According to Jackson (2012) one of the most often used and obvious ways of establishing reliability is to employ test/retest reliability. A test/retest was performed on the current golfer satisfaction survey based on an identical survey conducted in December 2011 at the same facility. No significant personnel, operational or policy changes occurred from 12/11 to 5/12. The reliability coefficient \( r^2 \) for the test/retest was .86. Since according to Jackson (2012) a reliability coefficient of .70 or higher is considered a strong correlation, the survey was deemed to be reliable. In addition, Jackson (2012) states “to determine whether a test has content validity you should consult experts in the area being tested” (p.72). Therefore, the content validity of the survey was reviewed by two PGA professionals and professors at Hodges University whom deemed the survey to be valid.

Surveys were recorded and coded in an Excel spreadsheet for analysis then transferred to SPSS for further analysis. The 18 operational performance questions and the 5 importance indices were scored using a 5 point scale. Averages were used to account for non-answers. In order to facilitate an integrated importance /performance index that could be used as an overall expression of golfer satisfaction, a Golfer Satisfaction Index (GSI) was developed which
integrated both variables into a single number. A matrix for this model was also developed. The model achieved a “goodness of fit” coefficient of determination of .983 and therefore has been accepted as an appropriate tool for measuring satisfaction.

Golfer survey data and GSI’s were analyzed using descriptive statistics, t-tests, Analysis of Variation (ANOVA), Importance-Performance Analysis (IPA), correlations, inter-correlations, multiple regressions, and path analysis. In addition, data on employee satisfaction was collected using 18 questions on a Likert four-point scale, ranging from strongly agree to disagree. The sum of these values indicated the overall level of an employee’s job satisfaction. This data was used to quantitatively analyze employee attitudes across an array of measures including: averages, correlations, t-tests, ANOVA, regression analysis, leverage analysis, percentiles, and frequencies.

Open ended questions were posed at the end of both surveys asking the participants to list any item that would lead to greater satisfaction. The responses to these questions were matched by common theme and frequency sorted for analysis. This provided qualitative information valuable in amplifying the quantitative data and determining future strategies for improving satisfaction and retaining golfers and employees.

Based upon the Literature Review, the overall data analysis plan was constructed to separately analyze each major component of the satisfaction paradigm including: employee satisfaction, golfer expectation (i.e. importance), perceived organizational performance and finally golfer satisfaction. Once these variables were reviewed and understood in isolation, inferential statistics were then applied to analyze the inter-relationship between the various components and ultimately create a dynamic working model.

Results

Employees

Among the 10 country clubs that participated in the research, 121 employees completed the job satisfaction survey. Sixty-one percent of respondents worked in the pro-shop, 39% worked in golf maintenance; 79% were men, 16% were women, and 5% did not answer the gender question; 77% spoke English and 23% were Spanish speaking.

The average score per question was 3.30 on a 4 point Likert scale. Leverage analysis was then used to identify all those attributes which had the greatest correlation to overall employee satisfaction. Leverage analysis is the statistical relationship between each attribute measured versus overall satisfaction. Items with high leverage (correlation to overall satisfaction) will have more impact on satisfaction than will items with low leverage. By plotting the leverage (correlation) scores and the performance scores (the average scores for each attribute) in two-dimensional space, relationships between specific questions and total job satisfaction can be identified. Question 2, “My job is usually interesting enough to keep from getting bored” and Question 14, “Work seems like it will never end”, scored highest when the correlation scores and performance average scores for each attribute were plotted.

While the overall job satisfaction index for Pro Shop operations (59.99) was higher than the overall job satisfaction for Golf Course Maintenance (58.57), t-test analysis showed no significant difference between the averages (p = .118). However, significantly different higher ratings did occur between Pro Shop operations (PS) and Golf Course Maintenance (GM) on Question 3, “Friends are more interested in their jobs” (PS = 3.51, GM = 2.91, p = .003), Question 10, “My job is no more interesting than others” (PS = 3.15, GM = 2.53, p = .002), and Question 16, “My job is pretty uninteresting” (PS = 3.72, GM = 2.62, p < .001).
T-tests revealed that there were no significant differences in total job satisfaction indices between female (F) and male (M) respondents (F = 58.84, M = 60.25, p = .172). However, there was a significantly different positive response among males to Question 1, “My job is like a hobby to me” (F = 60.25, M = 60.25, p = .014).

No significant differences in T-tests occurred between English (E) and Spanish (S) speaking employees on overall job satisfaction (E = 59.69, S = 58.61, p = .294). Significantly higher favorable responses did occur among English speaking employees to Question 3, “Friends are more interested in their jobs” (E = 3.53, M = 2.46, p < .001), Question 10, “My job is no more interesting than others” (E = 3.05, S = 2.43, p = .013), and Question 16, “My job is pretty uninteresting” (E = 3.73, S = 1.82, p < .001). In addition, Spanish speaking employees responded more favorably than English speaking employees to Question 5, “I enjoy my work more than my leisure time” (E = 1.53, S = 2.89, p < .001) and Question 15, “I like my job better than the average worker” (E = 2.95, S = 3.54, p < .001).

Based upon these findings, it was concluded that: H01 – “There are different levels of employee satisfaction between demographic groups”, was rejected and H02 – “There are different satisfiers of employee satisfaction between demographic groups” was confirmed.

To determine if there were any differences in employee satisfaction between the types of facilities surveyed, an Analysis of Variation (ANOVA) test was performed on the differences between the employee satisfaction means of Golf Communities, Private, Public and Resort facilities using Tukey’s post hoc analysis. No significant difference between the means was revealed in the test (F(3,117) = .668, p < .573). Therefore, H03 - “There are different levels of employee satisfaction between types of facilities” was rejected.

In order to indentify the strength of key variables upon overall job satisfaction, a stepwise regression analysis was performed using SPSS on the independent variables of employee satisfaction attributes versus the dependent variable of overall satisfaction. When combining key variables, the following formula was generated with an r^2 = .610:

\[ y = 4.014x_1 + 2.015x_2 + 1.827x_3 + 33.770 \]

where:
\( x_1 = \text{Find real enjoyment in work} \), \( x_2 = \text{Job is usually interesting} \), \( x_3 = \text{Enthusiastic about work} \).

The resulting beta coefficients of \( x_1: \beta = .481; \) \( x_2: \beta = .230; \) and \( x_3: \beta = .218 \) in conjunction with inter-item correlations were used to generate a path analysis model for employee satisfaction.

Overall, 90 comments were received from the employees to the question, “In order of importance, what 3 things would help to make your job more satisfying?” The 3 most frequent responses were better wages (32%) job recognition/praise (19%) and better communication (10%).

Golfers

Two hundred thirty-seven golfers completed the Golfer Satisfaction Survey. Of the 10 country clubs that participated in the golfer’s survey, 72% were men, 29% were women and 1% did not respond to the gender question. The breakdown of participants by type of facility was: 56% Golf Community, 20% Public, 19% Private and 5% Resort.

In order to establish golfer expectations associated with major operational components of their golfing experience, five areas of importance were surveyed: Tee Times, Pro Shop Services, Outside Services, On-Course and Value and scored on a 5 point scale: 1= not important, 2= somewhat important, 3= important, 4= very important, 5= most important. The results of the survey indicated that Value was the most important attribute with 96.6% of golfers rating it as
important or most important. The On-Course experience was a close second with 96.2% of golfers rating it as important or most important. The overall average level of importance for all major service areas in SWFL was rated at 4.32.

T-tests showed a significant difference between men and women in the level of importance assigned to Pro Shop Services (F = 4.4, M = 4.2, p = .034) and Value (F = 4.8, M = 4.5, p < .001). Significant differences also occurred between low and high handicap golfers in their expectations of Pro Shop Services (L = 4.1, H = 4.3, p = .010) and Value (L = 4.5, H = 4.8, p < .001). According to the T-tests, less frequent golfers scored Outside Services (L = 4.4, M = 4.0, p = .001) and Value (L = 4.7, M = 4.5, p = .002) significantly more important than more frequent golfers. One way ANOVA tests were performed to determine if there were any significant differences in golfer’s expectation of services between Golf Course Communities, Public Golf Courses, Private Country Clubs and Resorts. Tukey’s post hoc analysis revealed there were statistically significant differences in the mean level of importance between these groups across all areas: Tee Times (F(3,233) = 8.912, p < .001), Pro Shop (F(3,233) = 6.271, p < .001) Outside Services (F(3,230) = 6.846, p < .001) On Course (F(3,233) = 8.388, p < .001) except Value (F(2,27) = 1.176, p = .320). Therefore, H04 “Golfers have different levels of performance expectations based on demographic groups” was confirmed.

Golfers rated the operational performance of their facilities on a 5 point scale: 1= completely dissatisfied, 2= somewhat dissatisfied, 3= neither satisfied nor dissatisfied, 4= somewhat satisfied, 5= completely satisfied. The mean operational performance score for SWFL was 4.42 and the standard deviation was 3.993.

Golfers scored Questions 5 and 12, “Courtesy of the pro shop staff” (4.80) and “Courtesy of the outside services staff” (4.76, p < .001) the highest and Question 9 and 10 “Product selection” (3.70) and “Product pricing” (3.84, p < .001) the lowest. T-tests confirmed that these differences were significant when compare to the overall average performance ratings. Question 22, “Given the cost, how satisfied are you with your golfing experience” (r = .716) and Question 21 “Overall course condition” (r = .675), correlated most highly with overall organizational performance. However, when specific performance questions were plotted against their corresponding correlation to total performance, the resulting Leverage Analysis revealed that the greatest potential for improvements in total performance was among the “Product” attributes. When attributes of importance were plotted against performance (IP Analysis) in order to demonstrate the gap between expectation and performance, Question 22, “Given the cost, how satisfied are you with your golfing experience” ranked most favorably and Question 17, “Pace of play” ranked most unfavorably.

While there were no overall differences between the way males and females evaluated performance, there were significant differences within specific attributes. For example, T-test analysis of differences between genders revealed that women scored Question 21, “Overall course condition” (F = 4.66, M= 4.22, p < .001) and Question 20, “Condition of greens” (F = 4.44, M = 4.14, p = .011) more favorably than the men, while the men answered Question 5 “Courtesy of the pro shop staff” (F = 4.67, M = 4.86, p = .022) more positively. However, there were statistically significant different responses to overall performance scores between low (L = 4.35, H = 4.53, p = .001) and high handicappers with higher handicappers consistently rating performance attributes higher than lower handicappers. In addition, large variations between the groups occurred on Question 20, “Condition of greens” (L = 4.44, H = 4.67, p = .027), Question 21, “Overall course condition” (L = 4.07, H = 4.43, p = .001), and Question 10, “Product pricing (L = 3.52, H = 3.87, p = .005)”. T-Test confirmed the significance of these differences. Less
frequent players also evaluated overall performance more favorably than more frequent golfers (L = 4.44, M = 4.23, p < .001). In addition, less frequent golfers had higher performance rating for Question 1, “Tee times I get” (L = 4.65, M = 4.20, p < .001), Question 17, “Pace of play” (L = 4.32, M = 3.78, p < .001), and Question 21, “Overall course condition” (L = 4.61, M = 4.18, p < .001) than more frequent golfers. Therefore, H_{05} “Golfers assess operational performance differently based on demographic groups” was confirmed.

Key variables in organizational performance were also analyzed using multiple regression models in SPSS. The purpose was to identify the impact of specific significant performance attributes on overall performance. In order to indentify the strength of key variables upon operational performance, a stepwise multiple regression analysis was performed on the independent variables of specific performance attributes versus the dependent variable of overall organizational performance. The following formula was generated with an r^2 = .859:

\[
y = 0.129x_1 + 0.263x_2 + 0.112x_3 + 0.196x_4 + 1.342
\]

where:

- \(x_1\) = Tournament Operation
- \(x_2\) = Value
- \(x_3\) = Golf Instruction
- \(x_4\) = Quality of Products

The resulting beta coefficients of \(x_1\): \(\beta\) = .249; \(x_2\): \(\beta\) = .363; \(x_3\): \(\beta\) = .233, \(x_4\): \(\beta\) = .473 in conjunction with inter-item correlations were used to generate a path analysis model for operational performance.

According to Martilla and James (1977), empirical research has demonstrated that customer satisfaction is a function of both expectation related to certain important attributes and a judgment of attribute performance. Therefore, the following formula was used to integrate these 2 variables into a working model that would generate a Golfer’s satisfaction Index (GSI):

\[
GSI = \frac{\sum_{i,j}i^2 2.5 - 7.6}{n}
\]

\(\sum\) = 1

(where \(i\) = importance, \(p\) = performance)

The resulting satisfaction indices were analyzed in excel and SPSS. The mean overall golfer satisfaction in SWFL was 15.1 on a scale of 24.5 to -25.5. The standard error of the mean was .3324 and standard deviation was 5.117. Golfers were most satisfied with Q5, “Courtesy of pro shop staff” and most dissatisfied with Q9, “Product selection” with ratings of 18.6 and 7.0, respectively. However, Q3, “Speed of check in” (r = .710) correlated most highly with overall golfer satisfaction. When specific satisfaction questions were plotted against their corresponding correlation to total satisfaction, the resulting Leverage Analysis revealed that the greatest potential for improvements in golfer satisfaction was among the “Product” attributes.

There were no statistically significant differences in the levels of satisfaction between male and female golfers. However, there were significant differences among satisfaction attributes. For example, T-test analysis of the differences between genders revealed that women were more satisfied with Question 3 “Speed of check in” (F = 18.47, M= 16.21, p = .019), Question 21, “Overall course condition” (F = 17.92, M= 13.73, p < .001), Question 20, “Condition of greens” (F = 15.42, M= 12.63, p = .029) and Question 22, “Given the cost, how satisfied are you with your golfing experience” (F = 19.91, M= 17.37, p = .009) than the men. As with the performance evaluation, there were statistically significant different responses to overall satisfaction between low and high handicappers. Higher handicappers were consistently more satisfied with their golfing experience than lower handicappers (L = 14.18, H = 16.39, p = .001). In addition, large variations between the groups occurred on Question 17, “Pace of play” (L = 8.45, H = 12.95, p < .001), Question 20, “Condition of greens” (L = 11.94, H = 15.42, p =
and Question 22, “Given the cost, how satisfied are you with your golfing experience” (L = 16.14, H = 20.16, p < .001). T-Test confirmed the significance of these differences. Less frequent players also displayed higher overall satisfaction than more frequent golfers (L = 16.76, M = 14.21, p < .001). In addition, less frequent golfers had better satisfaction ratings for Question 1, “Tee times I get” (L = 16.45, M = 12.72, p < .001) Question 9, “Product selection” (L = 10.58, M = 6.32, p = .003) and Question 17, “Pace of play” (L = 14.64, M = 8.26, p < .001). Therefore, H06- “There are different levels of golfer satisfaction between demographic groups”, was confirmed.

Attributes of golfer satisfaction were also analyzed using multiple regression models in SPSS. The purpose was to identify the significant drivers of golfer satisfaction. In order to indentify the strength of these key drivers upon a golfer’s overall satisfaction, a stepwise multiple regression analysis was performed on the independent variables of satisfaction attributes versus the dependent variable of overall golfer satisfaction. The following formula was generated with an $r^2 = .925$.

$$y = .132x_1 + .356x_2 + .107x_3 + .206x_4 + .079x_5 + .102x_6 - .043$$

where:

$x_1$ = Tee Times, $x_2$ = Courtesy of Staff (P/S & C/B), $x_3$ = Course Condition (incl. Greens), $x_4$ = Quality of products, $x_5$ = Pace of play, $x_6$ = Value

The resulting beta coefficients of $x_1$: $\beta = .223$; $x_2$: $\beta = .440$; $x_3$: $\beta = .202$, $x_4$: $\beta = .407$; $x_5$: $\beta = .156$; $x_6$: $\beta = .152$ in conjunction with inter-item correlations were used to generate a path analysis model for golfer satisfaction.

Overall, 275 comments were received from the 237 golfers that participated in the survey to the question, “What are the 3 most important things that make your golf experience satisfying?” The 3 most frequent responses were Course conditions, 29%, Courtesy of staff, 19%, and Playing partners, 17%.

### Integrated Path Analysis

Analyzing the relationship between Employee Satisfaction, Organizational Performance and Golfer Satisfaction by facility using inter-item correlation and multiple regression analysis produced an Integrated Path Analysis model (Figure 1). The model indicated a beta coefficient between Employee Satisfaction and Organizational Performance of $\beta = .771$, $r^2 = .595$ and a beta coefficient between Organizational Performance and Golfer Satisfaction of $\beta = .875$, $r^2 = .766$. Therefore H07- “Organizational performance is positively related to golfer satisfaction” and H08- “Employee satisfaction is positively related to organizational performance” were confirmed.

Since no direct causality between Employee Satisfaction and Golfer Satisfaction was demonstrated here or in the Literature Review, for example Judge, Thoresen, Bono, and Patton (2001) and Bateman and Organ (1993), a dotted line was used to represent the .892 beta coefficient which was found between the variables through linear regression. Even though a direct connection could not be shown, an $r^2 = .785$ was achieved between Employee Satisfaction and Golfer Satisfaction indicating a relatively strong correlation. In addition, it was logically possible that Golfer Satisfaction could have an impact on Employee Satisfaction thereby creating a symbiotic relationship between the two. Therefore, H09- “There is a correlation between employee satisfaction and golfer satisfaction” was confirmed and H010- “Employee satisfaction is the greatest determinant of golfer satisfaction” was rejected.

### Discussion

The research indicates there are significant differences in the way golfers value and assess various aspects of their golfing experiences (H04, H05, H06). These assessments lead to
perceptions of satisfaction. Since satisfaction is a function of both expectations and performance, Martilla and James (1977), it is imperative that an organization and its management team understand the interplay of these variables at their club in order to retain and attract golfers. Misreading golfer sentiment can have disastrous effects on the facility because pleasing one group of golfers may mean displeasing others. The understanding of golfer satisfaction can be used to evaluate the strengths, weaknesses, opportunities and threats (SWOT) of the organization. By using Golfer Satisfaction Indices (GSI), Importance Performance Analysis (IPA), and Leverage Analysis both organizationally and demographically, strategic plans based on SWOT can be established.

For country clubs dominated by a less diverse membership (i.e. lower handicap, frequent, male golfers), the strategy for maximizing satisfaction becomes easier because the importance/performance drivers are similar. Nevertheless, there still may be opportunities for improvement based on IPA because the quadrants in IPA can be refined to an almost infinite level. In addition, the use of the GSI, previously unavailable to golf facilities, can be used to compare differences among golf facilities and competitors in order to assess competitive positions. Strategic plans can then be developed to maximize competitive position within a specific market segment. GSI’s can also be measured over time to look for favorable, unfavorable or shifting changes and trends in golfer sentiments before they become major problems for the organization. In addition GSI’s can be used to measure operational initiatives in order to assess their effectiveness. For managers faced with the daunting task of trying to satisfy a diverse membership, for example golf course communities and public courses, the options seem more limiting. There are, however, options available.

Although an organization may not be able to please all of the people all of the time, by unapologetically adopting a philosophy of balance, they may be able to please most of the people most of the time. A philosophy of balance means a thorough understanding of the clubs GSI and the various demographic GSI’s that comprise their composite index. The composite is just that, the sum of the individual subgroups. So by appealing to the variety of differentiated groups within the organization, the club can maximize its effectiveness within each subgroup, thereby uplifting the overall satisfaction index of the facility. By maximizing effectiveness, marketing and promotion costs can be reduced because each satisfied golfer tells at least five other people, TARP (2011) and it costs five times more money to attract new customers than to retain the old ones TARP (2011). According to the PGA of America each year 3 to 3 ½ million people try the game of golf and each year 3 to 3 ½ million people leave the game of golf. Therefore, theoretically, if fewer golfers left the game the industry could “grow the game” simply by maximizing satisfaction among its existing golfers.

Multiple regression models show golfer satisfaction is directly influenced by a number of key variables, including Courtesy of the staff $\beta=.440$, Product pricing and selection $\beta=.407$, Tee times received $\beta=.223$, and Condition of the golf course $\beta=.202$. Interestingly, Value had the lowest coefficient $\beta=.152$, yet was rated highest in importance (96.6% rating 4, 5) among all golfers. This seems logical, because presumably golfers whom did not find value at a facility would not be there. Since value is assumed by the golfer, it does not drive satisfaction as much as other attributes. However it may drive dissatisfaction. This is also supported by the fact that only 5% of golfers indicated that value was one of the three most important things that made their golf experience satisfying. However, the importance of value cannot be underestimated. According to Back and Lee (2009) “the importance of value has been manifested by research indicating that value is an antecedent of customer satisfaction and loyalty” (p.532). Also, Neil (1999) posited
that value, instead of satisfaction is a powerful predictor of loyalty. Moreover, value can be a culmination of evaluations of all satisfaction attributes and is perceived by the gap in the trade-off between benefit and sacrifice. Therefore, managers should provide high-value to attract and retain members, (Back & Lee, 2009). As indicated by Back and Lee (2009), the evaluation of satisfaction and value occur in much the same way, when performance exceeds expectation, both value and satisfaction are positively affected. Since expectations are established by the golfer, the only variable available to management that can positively affect satisfaction and value is performance.

With an $r^2$ of .875, the research has demonstrated that perceptions of operational performance are positively related to golfer satisfaction ($H_{07}$). The factors that most influenced golfer perception of performance ($r^2 = .859$) were Value $\beta = .363$, Products $\beta = .473$, Tournaments $\beta = .249$, and Instruction $\beta = .233$. In addition, positive associations occurred between Value and the other performance attributes of Products $\beta = .117$, Instruction $\beta = .320$ and Tournaments $\beta = .397$ (Figure 1). As confirmed by research, Value then becomes the preeminent attribute of perceived performance. The most effective way to influence perceived performance is through the employees because they are the agents of performance.

The research confirmed that employee satisfaction is positively related ($r^2 = .771$) to perceived organizational performance ($H_{08}$). In addition, $H_{09}$ confirmed that there is a correlation between employee satisfaction and golfer satisfaction with a highly correlated $r^2$ of .892. Employees are at the core of most performance and satisfaction attributes because they affect directly (i.e. Pro Shop) or indirectly (i.e. Golf Course) a golfer’s assessment of the products and services rendered. Since it is this assessment process that leads to perceptions of Value and Satisfaction, the employees become the catalysts for success or failure.

Employee satisfaction is influenced by a number of factors including Job Enjoyment $\beta = .481$, Job Interest $\beta = .230$, and Work Enthusiasm $\beta = .213$. According to the research, Job Interest positively affected Job Enjoyment $\beta = .517$ and Work Enthusiasm $\beta = .69$. This is supported by the fact that Question 2 “My job is usually interesting enough to keep from getting bored” ($r^2 = .550$), Question 13 “Most days I am enthusiastic about my work” ($r^2 = .600$), and Question 17 “I find real enjoyment in my work” ($r^2 = .760$) were all positively correlated with overall satisfaction. Therefore, improvements in job interest can lead to overall increases in employee satisfaction.

Conclusions

Organizational effectiveness is born of the employees, manifested by performance and expressed as golfer satisfaction (Figure 1). Since improving golfer satisfaction and loyalty is predominately accomplished through increasing perceived value (performance exceeds expectation), strategies should be implemented at country clubs based upon the premise of maximizing value. Value does not mean cheap. In fact, no golfer commented on price as being a driver of satisfaction. Value can be perceived in small things; a welcoming attitude by employees, a well placed landscape area, a free demo day, an employee knowing a golfer’s name, a free rules seminar, a complementary cold towel given to a player on a hot day or a free cup of coffee given on a cold day. However, initiatives based upon value are not enough. The organization should execute these strategies in a cheerful and positive way. So ultimately it comes down to the employees.

Recommendations

Managers need to realize that human resource is their most important asset because it is the vehicle upon which service is delivered. Therefore, in order to hire and retain good
employees the club should make sure that employees are customer oriented, pay attention to employee surveys and comments, compensate employees well (32% of employee comments), give timely, frequent and appropriate recognition for jobs well done (19% of employee comments), and initiate job enrichment strategies to maintain job interest and improve work enthusiasm and enjoyment.

Finally, by initiating GSI Surveys, Path Analysis, Job Enrichment and strategies based on maximizing value at country clubs, synergistic relationships can be accomplished between satisfied employees, perceived organizational performance, and golfer satisfaction leading to higher golfer retention, increased golfer participation and higher revenues.

References


Figure 1. Integrated Path Analysis for SWFL

Path Analysis
Employee Satisfaction-Performance & Golfer Satisfaction
RESILIENCY EDUCATION FOR RESISTANCE TO BEING BULLIED: AN EVOLVING MODEL

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Abstract

Resiliency Education is an evidence-based, social-emotional, experiential learning “whole child development” model for children of elementary school age for developing positive resistance against being bullied.

In this model, resiliency: (1) is conceptualized as an innate capacity that can be strengthened over time; and (2) is viewed as a positive approach to life that contributes to building durable social and emotional well-being. Four characteristics of resiliency are identified: attitude, affect, ability and achievement.

Five vital social emotional skills are taught: developing awareness of the uniqueness of one’s self and others; experiencing and expressing emotions; solving interpersonal problems peacefully; initiating gestures of friendship; communicating in spoken and body language. Over time, with application, repetition and reinforcement, the skills become integrated into the child’s “tool box” of personal strengths.

The model is particularly applicable to developing proactive resistance to being bullied. Multi-modal proactive learning activities are designed to engage children in the various ways they learn—aurally, artistically, physically, visually, verbally and musically—and at their appropriate intellectual, emotional and social levels.

Resiliency Education is an evidence-based social-emotional experiential learning “whole child development” model for children of elementary school age. It is a model that champions their well-being and thriving. This perspective suggests that adults—parents and caregivers,
teachers, social workers, coaches, counselors, mentors, psychotherapists—who care about children can use the tools of resiliency education to help kids confront bullying. Research suggests that a major reason that bullying persists is because kids thinks adults don’t care. In this model, kids are given a very strong positive message—“adults do care about you, and adults will help you.”

Resiliency Education (“RE”) is an evolving perspective that translates research evidence into usable practical tools for developing positive resistance to being bullied. The research-based learning activities that we’ve created show students, ages 5 – 12, how to recognize, refuse, and report bullying, how to be assertive, and how to build friendships.

The word “Resiliency” is increasingly used to describe the skills and attitudes that children need to be successful in school and in later adult life. Resiliency focuses on the strengths that children naturally have. Researchers suggest that the innate capacity for resiliency can be strengthened over time. The fundamental premise in the RE model is that resiliency is developed by specific social-emotion skill-building.

Resiliency Education views resiliency as a set of “protective factors” that can counter the “risk factors” that negatively impact a child’s life. It’s an inoculation against whatever threatens a child’s personal growth and well-being.

This model draws upon foundational thought such as Daniel Goleman’s *Emotional Intelligence*. Goleman’s focus is on the crucial set of capacities within the individual, the ability to manage one’s own emotions and the inner potential for positive relationships. It also draws upon Howard Gardner’s major work in *Multiple Intelligence*. In the RE model, multi-modal proactive learning activities are designed to engage children in the various ways they learn--aurally, artistically, physically, visually, verbally and musically—and at their appropriate intellectual, emotional and social levels.

Resiliency Education provides practical learning activities that adults can use to fortify, inspire and empower children. The model is based in the culture at large, and not restricted to only those in professional positions. This means a caring grandmother can teach the skills as meaningfully as a mentor or coach. The model provides the learning activities and skills that a child needs to stand up to bullies.

1. For example, parents and family members can use “RE” as a game. “Play” is often “constructive learning.”

2. Teachers can use “RE” as lessons in a curriculum or as needed when classroom situations arise.

3. Mental health clinicians can use “RE” as role-playing or as solution-focused strategies; social workers as coping and mastery instruction; camp counselors as lessons in cooperative living.

4. Coaches and mentors can use “RC” in specific-need situations.

The Resiliency Education model defines five characteristics of resiliency.
(1) attitude—a secure sense of self, as well as an awareness & respect for the uniqueness of others which are embodied in ideas and beliefs;
(2) ability—a repertoire of skills that are developed and strengthened;
(3) achievement—a rewarding sense of personal accomplishment;
(4) affect—the pleasurable emotions of well-being, confidence and security that comes from handling everyday life challenges;
(5) activity-- actions and behavior.

Thus, this is a model about how children feel, think, behave and experience themselves. It provides a “tool box” of personal strengths--social-emotional skills that empower kids to succeed and thrive.

Based on what is currently understood about the social, intellectual and emotional readiness to learn, the learning activities of Resiliency Education have been divided into three separate groupings by grade and age. We start with grades K-2 (ages 5-8); then grades 3 and 4 (ages 8-10); and then grades 5 and 6 (ages 10 through 12).

For each skill there are several experiential learning activities--“exercises” or “games”--which can be done one-on-one, in pairs, or as a small or large group. The skills are introduced at kindergarten age and as the children grow and mature, the concepts and learning activities expand to match their intellectual and emotional level. Experiential learning activities are crucial. Research indicates that programs that build-in educational activities are more likely to see results than those that do not.

Each lesson has four components. (1) The Main Idea is the essential concept that is being taught. (2) Teaching Points elaborate on the Main Idea. (3) The Learning Activity is the actual experience in which the child or children participate. (4) Discussion uses questions to promote insight and reinforcement from the learning activity.

RE also uses Lev Vygotsky’s (1978) principles of the zone of proximal development, scaffolding, fading and modeling. The zone of proximal development (ZPD) can be described as the area between what a learner can do alone and that which can be attained with the help of an adult or peer. The ZPD is always changing as the student expands and gains knowledge. Scaffolding is the temporary support that you provide as you model the behavior, and when the child can do it, you fade back.

The RE model includes ninety learning activities that teach five vital social emotional skills.

1. Self-Awareness Skills teach children that they are unique in how they grow, learn and thrive, and how they share similarities with others.
2. Emotional Skills include recognizing and expressing emotions and developing a vocabulary of feeling words. These skills are integral to the complex processes of socialization, enriching individual identity and promoting self-esteem.

4. Conflict Management Skills: Resolving conflict situations peacefully and
cooperatively builds self-confidence and the ability to manage differences verbally rather than by hurtful actions.

5. Friendship Skills: RE teaches children the skills of how to interact with others, how to value friendships, and what expectations to have about friends.

When applied to bullying, Resiliency Education teaches children that bullying violates their right to be who they are. Everyone has the right to be respected and to feel safe—in school, at home, and in neighborhoods. The message is: “Nobody has the right to make you feel bad or to hurt you. You don’t have to accept being bullied. Adults can and will help you.”

Resiliency skills can be used as resistance to the different forms of bullying behaviors—harassment, physical intimidation, cyber-bullying and verbal threats. The basic learning lessons provide a framework for children to identify the differences between bullying and teasing and to develop appropriate responses to such behaviors.

For example, there is a lesson for kindergarten through grade two that incorporates the concept of positive self-talk to ward off negativity and fears. This is about behavioral rehearsal so a child can prepare herself to resist the bully. And because this is done in group process, the youngster is empowered by her peers and the adult facilitator—and, again, this could be a teacher, grandma, camp counselor, or psychotherapist.

These experiential lessons emphasize communication—more specifically, dialogic communication, originally articulated by Martin Buber and since by many of our communication scholars. At its core, adults model for children how to speak so that another will listen and how to listen so that another will speak.

This is communication that opens doors, not slams them, that begins conversation, not ends it, that fosters talking “with” and “between” not “at” or “against.” When it comes to teaching children the skills of how to stand up to bullying, effective communication is essential.

While Resiliency Education is built upon a foundation of educational principles, best practices and research, it must next be rigorously examined in terms of its practicality and outcome when it is applied. As a model, Resiliency Education may have further applicability to other social groups such as adolescents, muted groups, at-risk elders and even those employed in a subordinate status in organizations.

REFERENCES


MEASURING THE ASSOCIATION BETWEEN A PUBLIC ADMINISTRATOR’S LEVEL OF EDUCATION AND THE ADMINISTRATOR’S WILLINGNESS TO USE ALTERNATIVE FUNDING RESOURCES

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ABSTRACT

The economy is an important issue as the country struggles to recover from an extended recession cycle. The economic strain impacts government operations as well as private concerns. In 2005, the Supreme Court expanded the options for alternative funding available to the public administrator when it extended the government’s ability to take private property under the theory of eminent domain. A similar expansion of the government’s ability to take private property, primarily capital, was made when the Supreme Court upheld significant sections of the Patient Protection and Affordable Care Act. These cases expand the public administrator’s options in using alternative funding for public projects. The question of interest in this study is whether the public administrator’s personal background, specifically the level or type of education, is an indicator of the administrator’s willingness to use alternative revenue sources such as the expanded options in eminent domain. The postulate is that an administrator with a higher level of education is more likely to use alternative funding sources. Survey methods were used to assess the characteristics of interest for public administrators in a four state region of the southwestern United States. Quantitative methods were used to measure the degree of association between the level of education held by an administrator and the willingness of the administrator to use alternative revenue sources to fund activities within the community. The study revealed a strong association ($r(130) = .757, p < .05$) between the administrator’s level of education and the willingness to use alternative revenue sources.

Introduction

The economy is an important issue as the country struggles to recover from an extended recession cycle. The demand for positive economic outcome has shifted the public’s interest (Daguerre, 2011) which in turn has led to a change in the way public administrators evaluate funding alternatives (Cohen, 2006). These demands include a need for greater government accountability, budgetary transparency, and an increase in the number of services without a decrease in the abundance of existing services (Alm, JBuschman & Sjoquist, 2011). Such demands add significantly to the pressure on public administrators to find alternative funding
resources. Of interest for this study is the question of accountability, and more precisely the
ability of private citizens to plan their use of private property against a backdrop where the
government has a tool like that found in Kelo v. City of New London (Kelo, 2005).

In Kelo, the court extended the government’s right to use eminent domain to take private
property as a tool to fund perceived need for economic development (Kelo, 2005). This change
in legal theory meant that the public administrator may now use private property even when no
concrete need can be clearly defined. As an alternative funding source, the ability to take private
property for perceived economic need changes the landscape of property ownership. As a means
of policy evaluation there exists a clear absence of models or approaches that would allow for the
measurement of potential action by the administrator. Because the Kelo decision and its extended
application paradigm is so new, especially as a constitutional limitation, research must be done to
help provide not only explanation of potential action but also methods for measuring such
actions. This research is an early step in creating such models.

Purpose of Study

The purpose of this study is to examine the administrator’s choice when it comes to the
selection of revenue sources for government activities. Within public finance the issue of
taxation is often treated as a separate and distinct part of the revenue generation system (Kaplow,
2010), but given the dynamics of the current economic trends in the United States the issue is
becoming increasingly centered around choice rather than traditional means of revenue
generation (Block, 2005). In this sense, the relative education of the administrator may have
some bearing on the choices to use alternative funding sources.

In this study we examine the issue of choice when it comes to the administrator’s likely
use of alternative funding sources to support activities within the community. The issue of
interest is whether the administrator’s personal characteristics, primarily their education, have an
impact on their decision to use these resources. For this study, the postulate is that when an
administrator has a higher level of education there is a greater likelihood the administrator will
use alternative funding sources to support activities in the community. Quantitative methods
were used to measure the degree of association between the characteristics of interest. The
research was conducted using survey methods, and participants were selected from a three-state
region of the United States.

The postulate is that an administrator with a higher level of education will have a greater
willingness to use alternative funding sources. To address this issue, the premise is made that
when an administrator has a higher level of education they also have a higher level of
understanding about alternative resources (Anderson, 2010). Based on a review of the literature,
a relationship is presumed to exist between the level of education and the degree of
understanding the administrator has about alternative funding sources (Hillman, 2010). A related
presumption is that when an administrator has knowledge of alternative revenue sources then
there is an increased opportunity to make the choice to use such resources (Farmer, 2010);
however, opportunity alone is not sufficient to justify a choice to use alternative revenue sources
(Stiglitz, 2010). That is why the relationship between education and choice is so important.
Without proof of the relationship, and especially proof of the extent and strength of that
relationship, the evaluation of an administrator’s funding choices is more difficult.

Research Question

The original study was conducted as part of a broader examination of characteristics of
public administrators at the municipal level. The study examined more than sixty variables
related to the administrator’s personal characteristics. These included age, gender, education
(formal and informal), job type, years of experience, and past performance in select areas including choice of funding. The purpose of the original quantitative study was to assess the personal characteristics of public administrators and to examine the potential relationship between the key characteristics of interest. For this paper the emphasis has been given to the relationship between the administrator’s level of education and their willingness to use alternative funding resources. The following research question was designed to measure the variables of interest.

**RQ1:** To what extent does an administrator’s level of education contribute to his or her use of alternative funding sources?

**Hypotheses**

The initial proposition was that an individual administrator’s personal characteristics have a bearing on the choices made by the administrator. Of interest were the choices made for the purpose of economic development, funding, and related public finance issues. In this portion of the study the focus was on the choices made by the administrator when more than one funding source was available.

The operationalization of this concept presents particular problems for translating the concept or construct into a functioning and operating reality (Bower & Scheidell, 2009; Zikmund, 2003). To better address these problems the researcher focused the research questions in such a way to allow for better control, which in turn provided more reliable outcomes, higher validity and improved measurement for better analysis. The independent variable of interest is the administrator’s level of education (X1) while the dependent variable (Y1) is the administrator’s willingness to use alternative funding sources. It is proposed that where an administrator has a higher level of education there is an increased likelihood that the administrator will use alternative funding sources.

The phenomenon for observation in this part of the study is the level of education as it relates to the use of alternative funding. Based on this approach, the hypothesis (H1) is that where an administrator has a high level of formal education there is a greater likelihood the administrator will use alternative funding. As such, the null hypothesis would test the status-quo (McNabb, 2007) assuming that the level of education has no bearing on the willingness to use alternative funding sources. The research question is restated below along with a statement of the null hypothesis (H1\(_0\)) and alternative hypothesis (H1\(_a\)):

**RQ1:** To what extent does an administrator’s level of education contribute to his or her use of alternative funding sources?

**H1\(_0\):** When a public administrator has a high level of education there is no significant increase in the likelihood that the administrator will use alternative funding sources.

**H1\(_a\):** When a public administrator has a high level of formal education there is a significant increase in the likelihood that the administrator will use alternative funding sources.

**Research Design and Methods**

A quantitative methodology was used to measure the relationship between characteristics of public administrators and the choice to use alternative funding sources. The examination of the public administrator's personal characteristics for level of education fits well with a survey
method (McNabb, 2007). By its design, the survey instrument allows the researcher to better control the type of data being gathered (Dillman, Smyth & Christian, 2009).

In evaluating the various research methods available the major question considered was the ability to accurately measure the likely use of alternative funding. By limiting the study to municipal level administrators the potential for error due to different approaches to funding was reduced. The application of funding formula at the municipal level tends to be very different from application at the state or federal level (Paul, 2008). For that reason, restriction of the study to municipal public administration allows for the control of potential error due to different funding perspectives or demands.

The issue for this research was to define the measurement methods in such a way that a researcher can identify how much impact, if any, the independent variable may have on the dependent variable (Cohen, Cohen, West & Aiken, 2003). In this study, the level of education (X1) includes the level of college for both undergraduate and graduate. The type of degree, major, or areas of emphasis were not examined for this paper; however, those variables were included in the original study. They are reported here to help describe the respondents.

The issue was kept simple in order to reduce the potential for error (Babbie, 2006), especially any error that might arise when conducting preliminary analysis of this type. One can draw from related studies a number of similarities and distinctions that help shape this research (Carroll, 2009). Specifically, the use of alternative funding sources is a common means of meeting government needs (Klitgaard & Light, 2005); however, there have not been recent studies that examined these issues under the economic conditions being experienced in the United States now or by applying the concepts to the question of eminent domain under a Kelo-type environment. This is an important consideration since it helps us establish why there is a need for a study of this type and helps in identifying the need to develop the means for measuring government accountability considering today’s funding alternatives.

Based on a best practices model of research (Chang, van Witteloostuijn & Eden, 2010), the design of the instrument takes into account the expected level of education as well as practical knowledge which an administrator at the decision making level would have. This includes the expected amount and type of formal education as evaluated using triangulation of data with known levels of education or training (Cameron, 2009; Jick, 1979). Such method allows for better control of the study as well as the ultimate degree of analysis available to researchers.

The participants for this study were public administrators at the municipal level that have decision authority for the choice of revenue source. This included the chief administrative officer, normally identified as the city manager, the associate or assistant administrator, the chief financial officer, and the chief legal counsel for the municipality. To ensure representativeness, the sample was drawn from a three state region from which archetypical communities exist, and to do this the study used data available from the national census (Census, 2007) as well as national registries for public administration. By using a regional population the potential for conflict was limited (Lehtonen & Pahkinen, 2007). This allows the selection of a population that provides better representation, which in turn provides for better measurement (Enticott & Walker, 2008).

Findings

Once the population was identified, and the necessary number of responses essential to insure validity was ascertained, a means for selecting an appropriate random sample was employed to identify the members of the group for solicitation of responses. To accomplish this
task, the members of the database were assigned suitable identifying numbers to insure anonymity and then entered into Microsoft Excel. The Random Sampler routine from Excel was used to select a sample from the original population.

**Descriptive Statistics for Survey Group**

The participants in the survey included 117 (90%) male respondents and 13 female (10%). The age range of respondents was measured using six groupings from the lowest at 18 – 22 years of age and the highest at over 60 years of age. There were no respondents in the age category for 18 – 22. The category with the most responses was 50 – 59 with 52 (40%) respondents identifying themselves in this group. The smallest categories were the group for 23 – 29 years of age and the group identified as over 60 years of age, each with 13 (10%) responses. The individual categories selected by respondents as well as corresponding values and percentages are shown in Table 1 below.

Table 1

**Age of Respondents (N=130)**

<table>
<thead>
<tr>
<th>Group</th>
<th>Frequency</th>
<th>Percent</th>
<th>Valid Percent</th>
<th>Cumulative Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>23 – 29</td>
<td>13</td>
<td>10.0</td>
<td>10.0</td>
<td>10.0</td>
</tr>
<tr>
<td>30 – 39</td>
<td>26</td>
<td>20.0</td>
<td>20.0</td>
<td>30.0</td>
</tr>
<tr>
<td>40 – 49</td>
<td>26</td>
<td>20.0</td>
<td>20.0</td>
<td>50.0</td>
</tr>
<tr>
<td>50 – 59</td>
<td>52</td>
<td>40.0</td>
<td>40.0</td>
<td>90.0</td>
</tr>
<tr>
<td>Over 60</td>
<td>13</td>
<td>10.0</td>
<td>10.0</td>
<td>100.0</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>130</strong></td>
<td><strong>100.0</strong></td>
<td><strong>100.0</strong></td>
<td></td>
</tr>
</tbody>
</table>

From the 130 responses, the job type most selected was city manager with a total of 84 (64.6%) respondents, and the second largest was assistant city manager with 23 (17.7%) responses. There were 11 (8.5%) respondents that identified themselves as having the job of city attorney and 12 (9.2%) holding the job of treasurer. The cumulative number of respondents that selected city manager or assistant city manager was 107 (82.3%). Table 2 reflects the frequency for each item in this category.

Table 2

**Jobs Held by Respondents (N=130)**

<table>
<thead>
<tr>
<th>Job Title</th>
<th>Frequency</th>
<th>Percent</th>
<th>Valid Percent</th>
<th>Cumulative Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>City Manager</td>
<td>84</td>
<td>64.6</td>
<td>64.6</td>
<td>64.6</td>
</tr>
<tr>
<td>Asst. City Mgr.</td>
<td>23</td>
<td>17.7</td>
<td>17.7</td>
<td>82.3</td>
</tr>
<tr>
<td>City Attorney</td>
<td>11</td>
<td>8.5</td>
<td>8.5</td>
<td>90.8</td>
</tr>
<tr>
<td>Treasurer</td>
<td>12</td>
<td>9.2</td>
<td>9.2</td>
<td>100.0</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>130</strong></td>
<td><strong>100.0</strong></td>
<td><strong>100.0</strong></td>
<td></td>
</tr>
</tbody>
</table>

The most commonly held degree type was the master’s degree with 70% (91) of respondents holding the degree. The bachelor’s degree was second with 20% (26) of the respondents, and 10% (13) of respondents held a doctorate (academic or professional). The degrees held by the participants included 51 in Political Science and government (39.2%), 37 in public administration (28.5%), 13 in law (10%), 15 in business management (11.5%), 13 in
accounting (5%) and one social science (.8%). The individual categories selected by respondents as well as corresponding values and percentages are shown in Table 3.

<table>
<thead>
<tr>
<th>Major</th>
<th>Frequency</th>
<th>Perc</th>
<th>Percent</th>
<th>Valid Percent</th>
<th>Cumulative Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Political Science</td>
<td>51</td>
<td>39.2</td>
<td>39.2</td>
<td>39.2</td>
<td>39.2</td>
</tr>
<tr>
<td>Business/Mgt.</td>
<td>15</td>
<td>11.5</td>
<td>11.5</td>
<td>50.8</td>
<td></td>
</tr>
<tr>
<td>Law</td>
<td>13</td>
<td>10.0</td>
<td>10.0</td>
<td>60.8</td>
<td></td>
</tr>
<tr>
<td>Public Admin.</td>
<td>37</td>
<td>28.5</td>
<td>28.5</td>
<td>89.2</td>
<td></td>
</tr>
<tr>
<td>Social Science</td>
<td>1</td>
<td>.8</td>
<td>.8</td>
<td>90.0</td>
<td></td>
</tr>
<tr>
<td>Accounting</td>
<td>13</td>
<td>10.0</td>
<td>10.0</td>
<td>100.0</td>
<td></td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>130</td>
<td>100.0</td>
<td>100.0</td>
<td>100.0</td>
<td></td>
</tr>
</tbody>
</table>

None of the respondents had less than two years of service. The most commonly selected category for years of service was 5 to 9 years with 52 (40%) responses. The category for 10 to 14 years of service had 39 (30%) responses while each of the categories for 2 to 4 years and 15 to 19 years of service had 13 (10%) responses. The category for 20 to 24 years had two (1.5%) responses while the category for 25 years or more of service had 11 (8.5%) responses.

Respondents were to identify their highest degree with selections including associate, bachelor, masters, doctorate, or other. None of the respondents selected “other” for education. There were no non-responses. Of the selections for level of education, the most commonly held degree type was the master’s degree with 70% (91) of respondents holding the degree. The bachelor’s degree was second with 20% (26) of the respondents, and 10% (13) of respondents held a doctorate (PhD or JD).

To measure the dependent variable, use of alternative funding, respondents were asked to respond to the statement, *I would use alternative funding for the purpose of supporting appropriate activities within my community*. Of the 130 responding, 65 (50%) responded that they strongly agree with the statement, and 26 (20%) answered that they agree. The cumulative total for these two responses, strongly agree and agree, is that 91 (70%) of respondents fall into the affirmative category. None of the respondents answered that they disagree; however, 39 (30%) responded that they strongly disagree with the statement. The individual categories selected by respondents as well as corresponding values and percentages are shown in Table 5.
Table 5
Would Use Alternative Funding for Economic Development (N=130)

<table>
<thead>
<tr>
<th></th>
<th>Frequency</th>
<th>Percent</th>
<th>Valid Percent</th>
<th>Cumulative Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Strongly agree</td>
<td>65</td>
<td>50.0</td>
<td>50.0</td>
<td>50.0</td>
</tr>
<tr>
<td>Agree</td>
<td>26</td>
<td>20.0</td>
<td>20.0</td>
<td>70.0</td>
</tr>
<tr>
<td>Disagree</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>70.0</td>
</tr>
<tr>
<td>Strongly disagree</td>
<td>39</td>
<td>30.0</td>
<td>30.0</td>
<td>100.00</td>
</tr>
<tr>
<td>Total</td>
<td>13</td>
<td>100.0</td>
<td>100.0</td>
<td></td>
</tr>
</tbody>
</table>

Evaluation of Findings

This study used a quantitative method to measure the correlation between the administrator’s willingness to use alternative funding and the administrator’s level of education. Quantitative analysis is appropriate for a study of this type because it allows for the accurate measurement of the relationship between the variables (Zikmund, 2003) and allows for the appropriate drawing of inferences from the data (Render, Stair & Hanna, 2008).

The first step in the analysis is to establish whether a relationship exists between the dependent variable (administrator’s willingness to use alternative funding) and the independent variable (level of education). If a relationship exists, the next step is to measure the strength of the relationship (Leech, Barrett & Morgan, 2004). Pearson’s Product Moment Correlation, also known as Pearson’s $r$, was chosen because it represents a method to measure the extent to which observations occupy the same relative position on two variables (Aczel & Sounderpandian, 2006). This method was also chosen because it is a common choice when evaluating public policy questions (Bardach, 2000).

The hypothesis (H1) is that where an administrator has a high level of formal education there is a greater likelihood the administrator will use alternative funding. As such, the null hypothesis would test the status-quo (McNabb, 2007) assuming that the level of education has no bearing on the willingness to use alternative funding sources. The research question is restated below along with a statement of the null hypothesis ($H_{10}$) and alternative hypothesis ($H_{1a}$):

$RQ1$: To what extent does an administrator’s level of education contribute to his or her use of alternative funding sources?

$H_{10}$: When a public administrator has a high level of education there is no significant increase in the likelihood that the administrator will use alternative funding sources.

$H_{1a}$: When a public administrator has a high level of formal education there is a significant increase in the likelihood that the administrator will use alternative funding sources.

Using Pearson’s $r$ allows for the measure of the direction of the relationship as well as the strength of the association. The measurement is usually represented as a number between -1 and 1 (Zikmund, 2003), and is used to examine the amount of spread around the least squares line and the slope of the line (Utts, 2005). By measuring the amount of spread the researcher can determine the strength of the association as well as analyze the direction. Scores having a positive slope, indicated by the nearness of the score to 1, generally indicate that a unit rise in one variable will result in a unit rise in the comparable variable (van Wagner, 2009). A negative score generally indicates that a unit rise in one variable will result in a unit decrease for the other variable.
Table 6 reflects the relationship and association between the variables applicable to the primary research question. The results show that a strong relationship exists between the respondent’s level of education and their willingness to use alternative funding for economic development. In this instance, a Pearson’s 1-tailed correlation was used with a 0.05% significance level for evaluation. This approach demonstrates a correlation of \( r(130) = .757, p < .05 \), with a 95% confidence interval; which provides for a lower bound of .617 and an upper bound of .836. In this research the positive relationship indicates that as the administrator’s level of education rises, their willingness to use alternative funding to support activities in their community also rises.

Table 6

<table>
<thead>
<tr>
<th>Knowledge of Alternative funding</th>
<th>Willingness to Use Alternative funding</th>
</tr>
</thead>
<tbody>
<tr>
<td>Pearson’s ( r )</td>
<td>1.00</td>
</tr>
<tr>
<td>Sig. (1-tailed)</td>
<td>.757*</td>
</tr>
<tr>
<td>N</td>
<td>130</td>
</tr>
</tbody>
</table>

* Correlation is significant at the 0.01 level (1-tailed).

Based on this evaluation it can be said that when a public administrator’s level of education increases the administrator’s willingness to use alternative funding also increases. As such, the null hypothesis (H10) is found to be false, and is thus rejected. This finding tends to support the alternative hypothesis (H1a) that when a public administrator has a high level of education there is an increased likelihood the administrator will use alternative funding for the purpose of economic development.

Conclusions

This study focuses on the relationship between the individual characteristics of the public administrator (level of education) and their potential to use alternative funding for activities in the community. By understanding the relationship, public officials, both elected and appointed, as well as business managers can better understand the potential choices made by administrators when choosing funding sources. As a measure of potential success, the ability to apply a clear model when evaluating the choice in funding is helpful in evaluating government accountability as well as for business managers who need to plan for future business activities including the acquisition, development, and disposal of private property.

This study also provides a reasonable means of measuring outcomes for public administrator’s activities when the question of alternative funding sources is an important consideration. This may include issues in public policy such as funding of continued activities or for future expansion of government services. By understanding the impact an administrator’s education may have on funding choices managers in many areas, both in and out of government, can better plan.

One issue that may arise with this particular study is the responses given related to the choice of alternative funding. While the use of a test for correlation coefficient shows both a
positive and strong relationship there is some reason for concern given the number of responses that indicated strong disagreement in the use of alternative funding. At this point the researcher is unclear whether the higher than expected number of responses is due to a misunderstanding of the options by the respondents or whether there are other issues that may impact the choice. As analysis of the data continues, it is expected that other quantitative methods will be used to examine the data more carefully and to test the potential relationship between multiple variables in the study. While the use of Pearson’s for initial analysis is appropriate, it is not enough by itself to give us the best picture for measuring decisions by the administrator.

The strongest conclusion to be drawn from this study is the public administrator’s personal characteristics, at least for the variable of higher education, has both a positive and a strong association with their choice in funding alternatives. This suggests that the original hypothesis is valid and that there are grounds for continued research.

References:


THEORY GUIDANCE IN SOCIAL SCIENCE AND FINANCE APPLICATION

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Abstract

The part one discussion will address the delimiting nature of how theory guides the researcher toward what can be seen, examined, and tested. The integrative nature of theory was found to be the sort of cohesive element necessary to combine seemingly unrelated or inconsistent aspects of minitheory into one general theory. Part two will address the relationship between theory and research, three methodological ways that research could contribute to theory, an analysis of seven applicable articles, and a summary. Research was divided into basic research and applied research. Basic research attempted to resolve basic queries concerning conduct. The six categories of mixed-method research methodology were sequential explanatory, sequential exploratory, sequential transformative, concurrent triangulation, concurrent embedded, and concurrent transformative. The part three discussion will address the notion that shareholder wealth maximization (SWM) and agency theory were found to be closely related. Both of these theories reflected the postpositivist worldview. The entire Field of Finance was found to be predicated upon valuation and financial management and was predicated upon the true valuation of corporate securities. The theoretical view of postpositivism will be used in part three because postpositivism involves the use of models, hypotheses, and the use of statistics.

Keywords: Theory, Application, Finance, Methodology, Valuation

Part One Introduction

The discussion below will address scholarly views on theory, a comparison and contrast of three views of theory, theory distinguished from hypothesis, paradigm, model, and concept, postpositivism, agency theory, the stockholder wealth maximization model, and a summary.

Scholarly Views on the Nature and Types of Theory

Creswell noted in Creswell (2009) that theories could assume three forms: interrelated hypotheses; if-then suppositions that lead a researcher to expect dependent variables to evolve from independent variables; and a model that would visually link variables so that someone viewing the work would understand the variables’ connections (p. 53). Creswell indicated that a worldview was interchangeable with the meaning and
interpretation of theory, that worldview and theory were a researcher’s approach to conduct research, and that there were four theory worldviews: postpositivism; advocacy or participatory; constructivism; and pragmatism (p. 6).

Postpositivist researchers used evidence and data, particularly in quantitative studies, to seek variable connectness with the use of hypotheses and research questions (Creswell, 2009, p. 7). Advocacy or participatory researchers proposed a schedule for change, after examining social problems, by involving the participating subjects in the study who then collaborated to lobby for social change (Creswell, 2009, p. 10). Social constructivist researchers used open inquiry to understand the context of the study by visits to the subjects’ locus and by an inductive means of interpreting qualitative data collected from subjects in a field setting (Creswell, 2009, pp. 8-9). Pragmatism was malleable in that the researcher used both quantitative and qualitative methods in a mixed methodological approach; the research was consequences-based and whatever method or worldview worked momentarily was acceptable such that many forms of analysis and collection of data methods furthered political or social aims (Creswell, 2009, p. 11).

Comprehensive general theories were not usually developed to be testable, had validity issues, and were not very valuable when viewed scientifically (Gelso, 2006, para. 4). Minitheories were either part of a larger, general theory or were standalone functional units for use and study (Gelso, 2006, para. 5). A minitheory might at first appear to be a distinct, standalone unit, but upon examination was usually found to be a part of a larger, general theory (Gelso, 2006, para. 6). A theory was a set of multiple constructs, of two or more variables (Gelso, 2006, para. 7), with some imagined or real relationship between the variables, and theory tenets should be formally espoused and tested to promote further research (Gelso, 2006, para 8).

A theory had four functions: the descriptive nature of theory helped to explain why things worked out the way that they did (Gelso, 2006, para. 10); the delimiting nature of theory served to guide the researcher toward what could be seen, examined, and tested (Gelso, 2006, para. 11); the generative nature of theory helped to create new ideas and fostered further study (Gelso, 2006, para. 11); and the integrative nature of theory was the cohesive element necessary to combine seemingly unrelated or inconsistent aspects of minitheory into one general theory (Gelso, 2006, para. 12). In addition to the four functions of theory, theory was also characterized by the tenets of clarity, comprehensiveness, brevity, and testability (Gelso, 2006, para. 14).

Theory was essentially a set of constructs with explanatory power for natural science and worldly events, similar to Gelso’s view above, but Harlow’s view differed from Gelso’s view by explaining that theory was particularly useful in scientific research using, excepting application in descriptive case studies, the case study approach (Harlow, 2009, para. 2). Theory constructs, similar to Gelso’s view above, were related such that the two integral aspects, of theory development and theory testing, relied one upon the other and were functionally inseparable (Harlow, 2009, para. 2). Harlow’s view differed from Gelso’s view in that Harlow specifically introduced the concept of deductive reasoning and inductive reasoning, noting that those two were not separate considerations, as integral parts of case study research and theory testing, and named the relationship, and the use of those reasoning types, retrodiction (Harlow, 2009, para. 4). Repeated retrodiction processing, while updating the research, testing processes, and the researcher’s viewpoint, would then facilitate the study’s addition to existing theory and
promote the generalizability of the study’s conclusions and results (Harlow, 2009, para. 4).

John G. Wacker noted in Wacker (1998) that theory was similar to the Gelso and Harlow views above in that theory was a set of constructs or variables (para. 16) and that those constructs, in agreement with the Harlow and Gelso views, were inseparable (para. 19). Wacker’s view, similar to Harlow’s view, differed from the Gelso view; a theory had power to forecast certain outcomes (para. 16). Wacker realized, similar to the Harlow case study view and Gelso’s viewpoint, that a theory could define, delimit and even use a certain domain (para. 16).

Comparison and Contrast of Three Views of Theory

Three theoretical viewpoints had passed to modern social scientists: realism; instrumentalism; and reductionism (Stam, 2007, para. 2). Realism was a theoretical depiction concerning the nature of things in actual existence; instrumentalism was the view that theoretical constructs were tools to function in the real world; and reductionism was the theoretical view that those constructs could be reduced to empirical observations (Stam, 2007, para. 2).

Reductionism

Reductionism, a form of postpositivism (Creswell, 2009, p. 6), had fallen into disfavor as a theoretical viewpoint in the 1950s due to the Duhem—Quine thesis, the authors of which supposed that observations could not stand alone as theory when those observations relied upon other assumptions or upon the theory itself (Stam, 2007, para. 4). Reductionism’s refutation supported the Gelso view that minitheory constructs were a part of a larger general theory. Harlow’s view, that theory must be adjusted with constant testing, also confirmed the reductionism refutation; Stam noted that theories held when parts of the greater general theory were modified (Stam, 2007, para. 4). Reductionism paralleled Wacker’s view of theory, such that a theory could define, delimit, or determine a domain for discovery, but Wacker noted a theory’s value for certain event forecasting, which differed from Stam’s view (Stam, 2007, paras. 4-5). Stam noted that reductionism replaced cognitivism, which relied upon models, hypotheses, and statistical usage (Stam, 2007, para. 6); a precursor to postpositivism (Creswell, 2009, p. 6).

Instrumentalism

Instrumentalism had progressed in the latter part of the twentieth century with the advent and use of intelligence and language testing instruments (Stam, 2007, para. 7) and models used in computer modeling such that the instrumentation involved fostered a theory’s use and modification (Stam, 2007, para. 9). Stam’s view differed from Gelso’s view above; Gelso noted that theories were comprehensive, not testable or valuable scientifically, and had validity issues. Harlow’s view above supported instrumentalism, based upon retroduction; research updating and theory testing adjusted the researcher’s view and theory to promote useful, generalizable theory.

Realism

Variables or constructs of realism, a form of pragmatism (Creswell, 2009, p. 6) that were explanatory in nature, were evident in theoretical, behaviorist schools and in behavioral school permutations (Stam, 2007, para. 21). The cause and effect theory considerations involved constructs and empirical data and: did not mirror Gelso’s view, that constructs were not testable; mirrored Harlow’s view, that case studies involved testing and forecasted results; and mirrored Wacker’s view of forecasts from cause and
effect considerations (Stam, 2007, para. 21).

Theory Distinguished From Hypothesis, Paradigm, Model, and Concept

Theory was different from hypotheses and guesses because theory explained phenomena and occurrences, whereas hypotheses and guesses were a part of certain explanations (Stam, 2007, para. 1). A paradigm was an ambiguous worldview and was different from a theory; a paradigm indicated how a social scientist should progress wherein a theory indicated how the scientist’s research might progress (Stam, 2007, para. 9). Theory was different from a model because simple models were used to test the differences between theories; a model was determined to be a simplification of just part of a theory so that testing could occur to compare different theories (Stam, 2007, para. 8). Theory was different from a concept in that concepts were a part of a theory; computer modeling would approximate some concept or idea part of a theory to elucidate a part of what was meant by the general theory (Stam, 2007, para. 9).

Postpositivism, Agency Theory, and the Stockholder Wealth Maximization Model

Postpositivism will be used in part three below because postpositivism involved the use of models, hypotheses, and the use of statistics. Agency theory and the stockholder wealth maximization (SWM) were integral parts of capital structure considerations (Brendea, 2011, p. 32). Agency theory relied upon the SWM construct (Laux, 2010a, p. 15). The discussion will involve the topic of corporate finance and non-traditional, relative valuation such that a firm will be relevered to be more attractive to potential investors, since the maximization of firm value and an optimized capital structure were integral to corporate finance (Umutlu, 2010, p. 1005). The construct of SWM will be used in the discussion because SWM, called a theory by some (Danielson, Heck, & Shaffer, 2008, p. 62), was found to be the most important goal in all finance decisions (Danielson, Heck, & Shaffer, 2008, p. 62). Security pricing does impact valuation (Laux, 2010c, p. 1) and valuation, SWM, and agency theory will be integral to part three of this paper (Laux, 2010c, p. 1).

Part One Summary

The delimiting nature of theory served to guide the researcher toward what could be seen, examined, and tested. The integrative nature of theory was the sort of cohesive element necessary to combine seemingly unrelated or inconsistent aspects of minitheory into one general theory. The refutation of reductionism supported the Gelso view that minitheory constructs were part of a larger general theory. Harlow's view on theory supported instrumentalism because she had espoused the process of retroduction, which fostered the adjustment of the researcher's view, and the theory itself, to promote more useful, generalizable theory. The theoretical view of postpositivism will be used in part three of this paper because postpositivism involves the use of models, hypotheses, and the use of statistics.

Part Two Introduction

The discussion below will address the relationship between theory and research, three methodological ways that research can contribute to theory, an analysis of seven applicable articles, and a summary.

The Relationship Between Theory and Research

A theory is composed of a coherent group of ideas concerning a subject or occurrence (Cozby, 2009, p. 20). Theories have two functions: either theory helps to mold precise specifics, and occurrence explanations, or theory helps to produce new
information by occurrence assessment so occurrence attributes shape reality observations; new observations then foster hypotheses about those occurrences (Cozby, 2009, p. 20). Investigators conduct studies to assess hypotheses; if conclusions support the hypotheses, then theory is sustained (Cozby, 2009, p. 20).

Research can be divided into basic research and applied research (Cozby, 2009, p. 10). Basic research attempts to resolve basic queries concerning conduct (Cozby, 2009, p. 10). Applied research resolves queries based upon a study’s results, stemming from basic research, and applied research is guided by theories; one research type is not preferred because those two types of research support one another in the pursuit of scientific inquiry (Cozby, 2009, p. 13).

W.L. Neuman, in Creswell (2009), noted that theory varied in scope at three analysis levels: micro-level theory was descriptive of a small period, area, or quantity of people; meso-level theory linked micro-theory to macro-theory, such as in a social program or establishments; and macro-level theory described social conventions or structures (p. 52). A theory created enlightenment to expand understanding in a subject area of expertise (Creswell, 2009, p. 52).

Three Methodological Ways That Research Can Contribute to Theory

There were found to be three methodologies for describing occurrences when an investigator pursued scientific research to support or refute theory: quantitative; qualitative; and a mixed-method combinational methodology (Creswell, 2009, p. 3). Methodological means of inquiry varied in scope and depth (Cozby, 2009, p. 111); a brief overview below will support a later analysis.

Quantitative Considerations

Quantitative research: emphasized precise occurrences that were specified; included greater sample sizes; and the results were based upon statistical data (Cozby, 2009, p. 107).

Qualitative Considerations

Qualitative research: emphasized human occurrences in normal surroundings wherein people recounted experiences in their own personal way; promoted the accumulation of comprehensive evidence from limited numbers of people in a narrow environment; and the results evolved from subjective conclusions made by the researcher (Cozby, 2009, p. 107).

Mixed-Method Considerations

There were six categories of mixed-method research methodology with four parts each (Creswell, 2009, p. 206). The four parts were timing, weighting, mixing, and theorizing (Creswell, 2009, pp. 206-208). Timing concerned data collection simultaneously or in a certain order (Creswell, 2009, p. 206). Weighting concerned viewpoint precedence, quantitative or qualitative, in the study (Creswell, 2009, p. 206). Mixing concerned data combination at the gathering, examination, or explanation stage of the study and how those data were combined; those data could be combined at polar extremes or somewhere in between (Creswell, 2009, pp. 207-208). Theorizing concerned whether a theory was overtly addressed in the study or whether a theory was simply indirectly addressed by the investigator (Creswell, 2009, p. 208).

The six categories of mixed-method research methodology were sequential explanatory, sequential exploratory, sequential transformative, concurrent triangulation, concurrent embedded, and concurrent transformative (Creswell, 2009, pp. 209-210).
Sequential explanatory was favored by quantitative researchers, timing indicated quantitative data collection first and qualitative data second, weighting favored quantitative data, mixing occurred when quantitative data updated qualitative data, and both data types were detached but linked; overt theory was usually not addressed (Creswell, 2009, p. 211). Sequential exploratory was the opposite from sequential explanatory wherein the: timing set qualitative data collection first and quantitative data second; weighting was set to qualitative data; mixing occurred when qualitative data examination was linked to quantitative data compilation; and overt theory was not necessarily addressed (Creswell, 2009, p. 211). Sequential transformative was a two-step data collection procedure, each step could be either quantitative or qualitative (the unchosen method became the second step), weighting was equal or preferred; this category empowered ostracized groups, has seldom been used, and there was little guidance for use in studies (Creswell, 2009, pp. 212-213).

Concurrent triangulation was characterized by the: simultaneous collection of qualitative and quantitative data to determine validity; data set weighting could be equal or preferential; and mixing occurred when the data were combined and the topic was addressed in the study’s discussion area (Creswell, 2009, pp. 213-214). Concurrent embedded was characterized by the: simultaneous collection of qualitative and quantitative data with one group a sub-set of the other; weighting of the data sets was preferential; mixing was data combined for comparison; and overt theory explained the principal method (Creswell, 2009, p. 214). Concurrent transformative was characterized by the: simultaneous collection of qualitative and quantitative data with one group a sub-set of the other; weighting of the data sets was preferential; mixing was data combined for comparison; and research questions were of a transformative style (Creswell, 2009, pp. 215-216).

Analysis

The authors of Ellis and Levy (2008) performed no study, since no raw data were examined, but those authors advanced certain techniques for research conduct (p. 20). The authors admitted Creswell as an authority on research structure, which was the reason for the use of Creswell’s views in Creswell (2009) to establish structure for this discussion (Ellis & Levy, 2008, p. 26). The author of Harlow (2009) merely concluded, with discussion and application sections, that theory would be advanced by the power of research cases and that contributions were made to theory in new areas or that pre-existing areas would be strengthened (para. 14). Paul Cozby distinguished himself as faculty, and as a theorist, and his work was also used to give structure to this discussion (Cozby, 2009, p. xvii).

The authors in Johnson, McGowan, and Turner (2010) noted that grounded theory could function within balanced mixed-method research and that the grounded theory mixed-method approach linked research with theory creation and assessment (p. 65). The authors used concurrent triangulation through: simultaneous data collection (p. 71); equal status weighting to promote theory testing and creation (p. 72); data mixing as a result of combination (p. 74); and theory topic concentration in the discussion area (p. 68). The authors linked theory and research with the equal status, mixed-method approach of concurrent triangulation to foster grounded research, theory creation, and practice to answer social questions with research modeling (p. 75).

The author of Lu (2007) conducted a quantitative study of U.S. doctoral programs
The biased study surveyed curriculum directors, instead of doctoral students and their instructors (p. 300). The study contributed to the need for further research, concerning doctoral preparation studies in mass communication methods, because the preparation breakdowns were, not including other seminars: quantitative methods – 56%; qualitative methods – 25%, and mixed-methods 7% (p. 294). The contribution to theory was that sociology was the grounding for mass communication journalism and that the quantitative methods preference has increased (p. 290).

The author of Niaz (2008) used no collected data but provided a discussion of the three types of research methods asserting that mixed-method research was gaining acceptance, due to the acceptance of the Duhem—Quine thesis, and the mixed-method approach by post-positivists (p. 288). The author’s view was similar to the mixed-method, pragmatist worldview of research above in that the circumstances informed the research method and that research informed theory, as in a macro-level theory above describing social conventions or structures (pp. 301-302).

The authors of Onwuegbuzie, Johnson, and Collins (2009) presumed five data analysis simplifications: natural, case-specific, critical, internal, and external (p. 120). The authors concluded that: participatory, critical, and constructivist worldviews were qualitative methods; the pragmatist worldview was mixed-method; and that positivism was quantitative (p. 114). The authors’ contribution to research was that Onwuegbuzie, Johnson, and Collins (2009) was the first study to justify the use of the mixed-methods research approach (p. 133). The authors’ contribution to theory was that applied mixed-methods research informed practice, thereby providing a link to concept evaluation in theories secondary to informing strategy (p. 133).

The author of Haynes (2008) utilized complexity theory, compared with equilibrium theory, in a mixed-methods study (p. 401) that was similar to concurrent triangulation above. The data were collected simultaneously, with qualitative data systems interpretation of the quantitative raw data and equal weighting, such that the data were mixed when combined and the topic was addressed in the discussion (p. 405). The study contributed to research in that the pragmatist worldview of mixed-method research combined quantitative time-series data with a qualitative interpretation (p. 418). The study contributed to complexity theory with state attributes that informed path prediction and complexity theory change explanations (p. 417).

Part Two Summary

Part two discussed the relationship between theory and research, three methodological ways that research could contribute to theory, an analysis of seven applicable articles, and a summary. A theory expanded understanding in a subject area of expertise. Theories had two functions: a theory either molded precise specifics and occurrence explanations or a theory produced new information by occurrence assessment so occurrence attributes shaped reality observations; new observations then fostered hypotheses about those occurrences. Investigators conducted studies to assess hypotheses; if a study's conclusions supported those hypotheses, then that theory was sustained. Research was divided into basic research and applied research. Basic research attempted to resolve basic queries concerning conduct. The six categories of mixed-method research methodology were sequential explanatory, sequential exploratory, sequential transformative, concurrent triangulation, concurrent embedded, and concurrent...
transformative.

Part Three Introduction
The discussion below will address shareholder wealth maximization (SWM) theory and agency theory, controversies regarding firm value, SWM theory, agency theory, and capital structure, and a summary.

Shareholder Wealth Maximization (SWM) and Agency Theory
Shareholder wealth maximization and agency theory were found to be closely related (Laux, 2010a, p. 15). Both theories employed the use of quantitative data (Laux, 2010a, p. 16). Postpositivist researchers used evidence and data, particularly in quantitative studies, to seek variable connectness with the use of hypotheses and research questions (Creswell, 2009, p. 7). Both of these theories reflected the postpositivist worldview; the authors of Onwuegbuzie, Johnson, and Collins (2009) also contended that postpositivism was quantitative (p. 114).

The author of Laux (2010a) contended that all research on SWM and agency theory started with the Jensen and Meckling platform study from 1976, in which the authors purported a SWM pact relationship for firms and the fact that agency issues stemmed from the mutual exclusivity of firm control and firm possession (p. 18). The author’s views, in Laux (2010a), were echoed by other study authors in the literature (Laux, 2010c, p. 4; Laux, 2011a, p. 82; Brendea, 2011, p. 30; Chen & Chen, 2011, p. 2; Danielson, Heck, & Shaffer, 2008, p. 62).

SWM and agency theory add to the understanding of the Field of Financial Management in several ways. The entire Field of Finance, of which the Field of Financial Management is a part, was found to be predicated upon valuation (Damodaran, 2006, p. 2) and financial management was predicated upon the true valuation of corporate securities (Damodaran, 2006, p. 15). The relevering of corporate securities, to make those securities more attractive for investor initial investment, changes the debt-ratio of the underlying company that issued those securities, so a good grasp of capital structure will be important to an adequate understanding of the Field of Financial Management and to the research topic at hand (Laux, 2010a, p. 16). Discussed above, SWM and agency theory have to do with corporate control and ownership and research on those topics was found to be plentiful in the literature (Brendea, 2011; Chen & Chen, 2011; Danielson, Heck, & Shaffer, 2008; Laux, 2011b; Laux, 2011a; Laux, 2010c; Laux, 2010b; Laux, 2010a; Umutlu, 2010; Fernandez, 2007). SWM and agency theory help to integrate finance research into the Field of Financial Management; those theories’ component research constructs tie together capital structure, SWM, and agency theory for comprehension (Laux, 2010a, p. 19).

Value Controversy, SWM Theory, Agency Theory, and Capital Structure
One area of controversy in the literature was that the firm’s capital structure and the firm’s value were unrelated, but once the real-world aspect of taxation was considered, it was demonstrated that firm valuation and firm capital structure were related (Umutlu, 2010, p. 1005). A second area of controversy was found to be that firm valuation was predicated upon the incoming flows of cash from a firm’s investments (Umutlu, 2010, p. 1006), but firm valuation has been changing to the valuation concept of surplus returns, beyond the expected level of investment return, such that those surplus returns have recently come to determine a firm’s value (Damodaran, 2007, p. 2). A third area of controversy was found to be that finance curricula texts have long shown that the
practical application of shareholder theory, or stockholder theory, was a short-term objective of financial management, to maximize current firm security prices, but that SWM application should essentially be a long-term financial management policy such that stakeholders reap return benefits as well (Danielson, Heck, & Shaffer, 2008, p. 65). A fourth area of controversy was found to be that financial managers were expected to make long-term SWM theory application decisions to improve the lot of shareholders, as expected from tenets of agency theory (Laux, 2010a, p. 16), but the reality of contemporary financial management decisions has been that financial managers have violated the agency relationship and have made SWM theory application decisions to maximize short-term firm wealth and share pricing while spending capital frivolously (Danielson, Heck, & Shaffer, 2008, p. 65; Laux, 2010b, p. 15).

Financial managers should consider the accounting values of firm value, because the author of Alkhalialeh (2008) indicated that it has been commonplace for investigators to use accounting measures, such as ROA, in the evaluation of corporate performance, which would help to determine corporate valuation, and that the use of such accounting measures was still valid (p. 246). The authors of Eiteman, Stonehill, and Moffett (2007) noted, for the optimal 30% to 60% debt ratio range, that equity cost ranged from about 15% to 19%, but costs of low-cost, tax-deductible debt, for the same debt ratio range, were 6% to 8% (p. 435). The previously noted circumstance could lead a logical, common-sense oriented businessperson to accrue corporate debt, versus the use of equity, in order to grow a company.

Companies in the United States currently hold the largest amount of corporate debt in history, amounting to $7.2 trillion when compared with the amount of their corporate equity held of $1.8 trillion in cash, such that these companies’ average debt-ratio is presently 80% (Arends, 2010, paras. 1 and 6). The problem is that the optimal debt-ratio for a well-run company should be within the debt-ratio limits of 30% and 60% (Eiteman, Stonehill, & Moffett, 2007, p. 434).

Firms could be relevered, to lower the firm debt-ratios, in order to attract increased investor initial investment; the promotion of investor initial investment is important because firms must compete for funds to grow, since investors have alternative choices for investment funds (Mondher, 2011, p. 194), and the amount of leverage in a firm, more commonly known as the debt-ratio, does affect investor investment (Mondher, 2011, p. 194).

Part Three Summary

The discussion addressed shareholder wealth maximization (SWM) theory and agency theory, controversies regarding firm value, SWM theory, agency theory, and capital structure, and a summary. Shareholder wealth maximization and agency theory were found to be closely related. Both of these theories reflected the postpositivist worldview. SWM and agency theory added to the understanding of the Field of Financial Management. The entire Field of Finance, of which the Field of Financial Management was found to be a part, was predicated upon valuation and financial management and was predicated upon the true valuation of corporate securities. Financial managers could relever corporate securities, to make those securities more attractive for investor initial investment, by changing the debt-ratio of the underlying company that issued those securities. A good grasp of capital structure is important to an adequate understanding of the Field of Financial Management.
References


ENHANCEMENTS TO PUBLIC SCHOOL CURRICULA ABOUT WORLD CULTURES, GLOBAL DIVERSITY & MULTICULTURALISM ARE NEEDED TO PREPARE STUDENTS TO BECOME ERUDITE KNOWLEDGE-WORKERS

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Abstract

Our world is constantly changing. Our society is confronted with issues regarding globalization, international diversity, advances in technology, and threats of hegemony and world supremacy. Such innovative, productive advancements in computer technologies and high-speed internet services also offer opportunities for poor, uneducated minorities to learn about other people and improve their economies. Added features reinforced with elaborate, strategically-placed, global satellite systems and sophisticated protocols can significantly expand productivity.

The United States encompasses the greatest numbers of diversified peoples from around the world. Correspondingly, the United States is also host to the largest numbers of immigrants seeking a safe haven within which they can live and work under constitutional protection of life and liberty, and with freedom of pursuit of happiness without reciprocity. It is our duty to educate, train, and prepare our students, and all immigrant students, to be ethical, competitive, productive contributors to the global society however; the task is magnanimous; and it is affecting our very fabric of existence.

Globalization has made the world smaller. It has influenced the homogenization of peoples from various societies with diversified cultures and customs. Merging with the concept of diversity, as an accepted norm, is the expressed need for mutual dependency among all associated groups. It is virtually impossible for complete independence or solidarity from global participation, and it would be counter-productive in this highly competitive global marketplace.

A Call for Change

The significance of integrating structured formats to coordinate the sharing of knowledge about global diversity, multiculturalism and world cultures across the spectrum of curricula for K-12 grade students in U.S. public schools is of consequential importance for the students to be productive contributors in a global society. With all of the computer and technological advancements attributed to U.S. engineers and entrepreneurs, and the marked achievements in global communications and satellite networks, one would assume that these valuable educational tools are imbedded deep within U.S., national, and transnational, global educational programs to
the point of being expendable, or at the very least, worthy of some measurable reduction in size and scope.

After all, the spacious, phenomenal, entrepreneurial, masterpiece-of-a-country known as America was molded into a free, democratic nation-state by the sweat, blood and tears of multicultural, cross-functional, diversified peoples from around the globe. Multiculturalism and diversity are deeply rooted in American heritage. "The United States has been diverse since its earliest times. Native Americans have unique cultures existing across the country. The colonizers that immigrated to the New World came from different parts of Europe. They too, for example, originated from diverse cultures, including the way and manner they communicated and how they worshipped. Yet the struggle to offer all people equal rights, to establish and maintain a fair system of justice, to accord full access to economic opportunity, and to establish a climate of acceptance for diversity continues to evade this country and its schools" (Hoge, 1996) (Asimeng-Boahene et al., 2004, p. 48).

Multiculturalism deserves recognition as an unequivocal contributor to America’s uniqueness. It also serves to separate it from the European mainstream, and support its practicable, personal acclaim to being the world’s melting-pot. “No country on earth has a broader distribution of races, creeds, and nationalities than the United States, and each of the ethnic groups in America maintains a close interest in developments back in the old country” (Reid, 2004, p. 20) With so much evidence to support America as the pinnacle of diversity why do Americans maintain such an indeterminate, standoffish attitude about educating their students about world cultures, global diversity, and multiculturalism?

When confronting teachers about issues of curriculums relating to global diversity, multiculturalism, or world cultures the discussion usually shifts to that dark era of the 1800s in American history. Numerous lives were lost in a devastating Civil War that pitted Americans against Americans. Stripping another person of his or her God-given right to life, liberty, and the pursuit of happiness, and imposing forced servitude under slavery was an accepted practice. The imposition of severe corporal punishment, or even death, for violators or escapees was strictly enforced. Diversity in ethnicity, customs and cultures among peoples was widespread; and that despicable, worthless term "prejudice" rooted its ugly head, gained acceptance, and remains a persistent, nagging thorn in our society. There is no question that America was truly going through a “dark era” that would add irrefutable scars to its historical ideologies. Albeit these are important issues that deserve attention and recognition as significant factors aligned with American heritage, they have little consequence in educating American public school students about the customs, cultures and ethnicities of other peoples. "When asked to define multicultural education, the teachers in the study offered a variety of explanations. Most of their definitions included references to the process of trying to be more inclusive with respect to topics and cultures covered in class and fostering ways to reduce prejudice and stereotyping among their students. When compared with the definitions of leaders in the multicultural movement, who emphasize social justice goals that reach far beyond the walls of the classroom, the goals of the social studies teachers were narrow and conservative" (Sleeter and Grant 1994; Nieto 2000). "When asked to comment on the social re-constructionist themes of a number of the multicultural theorists, most of the teachers were clearly uncomfortable. While agreeing that giving voice to all is consistent with the democratic values they try to instill in their students, most did not accept the argument that the United States is a flawed democracy in need of major economic, political, and social reform. Indeed many expressed fears that such teaching would have a negative impact on national unity because of its focus on group conflicts and its emphasis
on the darker side of the nation's history as advocated by many multicultural reformers" (Danker, 2003, p. 111).

Lessons learned from mistakes in the past can be invaluable tools in planning the future. It isn’t necessary to dwell in the past however; it is comforting to know that the mistakes of the past are readily available to ponder over at any time. Teachers need to rely on mistakes of the past to demonstrate pestilence, man’s persistent disregard for fellow man, and differentiations in customs, codes and laws. “As the world shrinks, different legal systems come increasingly into contact. The establishment of cannons of international law is one attempt to substitute one aspect of a conscientiously designed international law for analogous elements in many individual cultures” (Dundes, 1968, p. 253); and another disregard for, and reflection to learn, ethical formats for integrating issues pertinent to cultural differentiation, prejudice, ethnicities, etc., both past and present however; the integration process should be from a global perspective not just from an American historical perspective. Controversial issues such as prejudice, inhumane treatment, slavery, war, death, etc., are by no means exclusively reserved for Americans. These flagitious issues extend their evil reach around the globe.

In addition, and of equal importance, is the necessity for teachers to move and relocate in to America in order to prepare all students to become erudite knowledge-workers and to concentrate on adapting a more global view. However, before this can occur teachers need to re-evaluate and realign their priorities. They need to review and reinforce their value systems. They need to be sure that their commitment to educating students about world cultures, multiculturalism and global diversity runs straight and true with an unmitigated determination to succeed. "Fostering racial tolerance is not an easy task. Changing the attitudes, beliefs, and perceptions of students is daunting. Equally daunting are the alternatives. Prejudice, bigotry, and harassment cannot be tolerated. English curricula and literature choices seem to be the logical places to effect change. Reed Way Dasenbrock argues in College English for the inclusion of multicultural literature because it "will confront us with things we haven't confronted before . . . [and] will cause us to come face-to-face with our own values in a way which will either cause those values to change or cause us to become more aware of them and more reflective about their value" (700) (Poole, 2005, p. 68).

A video titled "Deep . . .André America" is an educational window for teachers to view and learn how they need to prepare themselves however; it’s their comfort zone that doesn’t require any explanation because it has already occurred. It’s already happened; it’s over. Maybe it’s a safe haven where people can retreat to and solicit others for pity and support. Possibly the real issues that need attention are sequestered, hidden away, locked deep inside the psyche of the teachers. Maybe the issues center around values. Who will be responsible if teachers aren’t exactly sure of their personal stand on planning if applied appropriately? Information can be garnered and integrated with innovative concepts so that strategies are developed to foster harmony in society and improve life in the future.

Many newcomers to America are immigrants who have selected to emigrate from other countries, often due to stress, fear, poverty, etc., with the hope of finding their pot-of-gold in America. The focus of American educators should be to provide a means for these ignorant émigrés to receive a non-biased, non-threatening, ethical education so they can be free, improve their self-worth, and be productive contributors to a global society however; this is no easy task. Are Americans so blind that they fail to see the image they project to the rest of the world? Are they really that naïve?

Pan-continental America-bashing is an important mindset for Americans to understand, because the sheer pleasure that Europeans take in denigrating America has become a bond
unifying the continent. Widespread anti-Americanism has strengthened Europeans' belief that an integrated European Union should stand up as a counterweight to the American brute. Until the early years of the 21st century, a majority of Europeans reacted warily to the suggestion that the European Union should become a "superpower." Today, Europeans have broadly embraced the notion that their united continent should be the superpower that stands up to super-America.

Another common grievance among Europeans is the sense -it is, indeed, conventional wisdom almost everywhere- that Americans are insular people, ignorant of and indifferent to the rest of the planet. This has been a standard European complaint for more than a century. In her 1852 best-seller Domestic Manners of the Americans, the British traveler Frances Trollope - aunt of the great Victorian novelist- established the theme with her conclusion about the American worldview: "If the citizens of the United States were indeed the devoted patriots they call themselves, they would surely not thus encrust themselves in the hard, dry, stubborn persuasion that they are the first and best of the human race, that nothing is to be learnt, but what they are able to teach, and that nothing is worth having, which they do not possess."

In the contemporary version of this stereotype, the paradigmatic American is that tourist on the French comedy shows who walks into a Paris café and orders "two wot wahns." Brian Reade, a columnist for the London tabloid The Mirror, summarizes this widespread European belief: They are wonderfully courteous to strangers, yet indiscriminately shoot kids in schools. They believe they are masters of the world, yet know nothing about what goes on outside their shores. Yanks . . . the people whose IQ is smaller than their waist size. People who believe the world stretches from California to Boston and everything outside is the bit they have to bomb to keep the price of oil down. When I first visited America in 1976, teenagers asked if we had cars, and, if so, how we could drive them on our cobbled streets. Two months ago, a man from Chicago asked me how often we vote for a new Queen. Only one in five Americans holds a passport and the only foreign stories that make their news are floods, famine, and wars, because it makes them feel good to be an American. Feeling good to be American is what they live for. It's why they call their baseball league the World Series, why they can't take our football because they didn't invent it" (Reid, 2004, pp. 15-21).

Quite possibly the American educational system is in a controversial quagmire about exactly what constitutes appropriateness in formats of instruction. Constant pressure from external forces and internal hierarchies may be affecting decisions about what constitutes appropriate and inappropriate methods for teaching students about cultures, diversity and multiculturalism. Ironically, some of these delusions can be misleading, which only serves to widen the distance between acceptable and unacceptable methodologies.

Some authors, such as Aldridge and Calhoun, have been successful in uncovering data pertinent to delusions in the design and implementation of efficacious programs. These delusions, labeled misconceptions by Aldridge and Calhoun, run countermand to enthusiastic, positive advancements, and only serve to impede long-term planning and productivity. The authors support the commitment by educators to promote commonality, and integrate measures for students to have an understanding of diversity and multiculturalism. However, their effectiveness in identifying several commonly-accepted errors has uncovered an umbrella of fallacies that is spreading throughout the educational community like an incurable cancer.

1. People from the same nation or geographic region, or those who speak the same language, share a common culture.
2. Families from the same culture share the same values.
3. Children's books about another culture are usually authentic.
4. Multicultural education just includes ethnic or racial issues.
5. Multicultural education is an accepted part of the curriculum.
6. Multiculturalism is divisive.
7. Multicultural education should be reserved for older children who are less egocentric or ethnocentric.
8. Most people identify with only one culture (Aldridge et al., 2000, pp. 1-5, 24-5).

The fear is that over time this degeneration will secrete its deadly venom throughout the curricula in public schools. If this unfortunate circumstance should evolve the likelihood that it will overflow into the intellectually perceptive, mental cavities of the instructors is most probable. As the contamination spreads among the constituency there is the threat that it could gain momentum and sustain a position as an impregnable wedge. Such an imposition could inevitably affect long-term recommendations by decision-makers that would impact on programs and curricula in the future.

Delusions and paranoia are not the only conundrums affecting multicultural education and the need for enhancing the curricula in public schools. There are other important issues that can also affect the process. What are the long-term goals for mandating specific courses pertinent to multiculturalism, world cultures and global diversity? Is this format the most progressive and productive for the students, and the instructors? According to guidelines specified in the National Council for the Social Studies (NCSS) Curriculum for Multicultural Education "Multicultural education helps students understand and affirm their community cultures and helps free them from cultural boundaries, allowing them to create and maintain a civic community that works for the common good" (Danker, 2003, p. 114). From this prospective, I concur with the need for integrating programs for students to learn about their cultural heritage and expand their cultural boundaries. "Much of the struggle for success in human social life has been, and remains, about achieving good standing in a close-knit local community. Many forms of human behavior—from gift giving to gossiping to joining religious or secular associations aim at precisely this. Such activities have often been portrayed by economists as quaint or irrational leftovers from some primitive mentality, as when development theorists berate tribesmen for blowing all their hard-won surpluses on huge feasts. For most of history, a person’s access to resources, help in time of need, and ability to attract a spouse and produce a family have all depended on the ability to command favorable social relations within a local group. This has become rather unclear in contemporary Western societies, where work and resources are allocated mainly through specialized institutions (firms, backed up with money, for example), which for most people are quite distinct from their friends and families" (Nettle & Romaine, 2000, p. 87).

Correspondingly, it is important for programs to be invigorating, entertaining, productive, educational and community-oriented however; I believe that our priorities need review. Our methods of instruction need to integrate change. We need to incorporate strategies and innovative concepts to compensate for changes that impact on the new global society with utmost consistency.

The horrific catastrophe of 09/11/01, and growing anti-American sentiment, substantiate the need for imposing changes. "The post-9/11 environment has also drawn attention to the need for American students to have a better cultural understanding of other societies and a sense of
how other cultures view the United States” (Pandit et al., 2004, p. 127), The spread of antidemocratic propaganda; animosity towards Americans spurred by the presence of U.S. troops in Iraq; volatile situations and economic instability in many of the world’s developing countries; and the fact that our image as the leading proponent of humanitarian freedom and economic prosperity is consistently being tarnished serves to reinforce our need for innovative strategies in educating immigrants to America. Ironically, no matter how good our intentions there are always advocates, or global rogues, who indubitably select to mount a dissimilar soapbox and toot a different horn, such as the horn blown by Lapper “For no-one should it be a secret, neither is it a secret, that the greatest threat that the world faces today is the government of Mr. Danger, Mr. George Bush. That is the biggest threat that the planet faces today” (Lapper, 2005, p. 3). Correspondingly, the hypocritical attack, levied by Venezuelan president Hugo Chavez against the leaders of “free democracy” and “economic stability,” demonstrates the intent by some influential leaders to sway, or bribe constituents with the use of monetary or economic means to substantiate a commitment, or secure a pledge of allegiance.

In other formats, groups or individuals initiated diabolical plans to brainwash people, especially young children. They employ sinister, subliminal means to implant messages into the subconscious minds of young students. A keen example of such a menacing device is available by perusing an excerpt from a first-grade language arts book, used in Afghanistan in 1989 when the country was besieged from Soviet occupying forces. The predicated purpose of this material was to introduce very young students to the Persian alphabet however; the clandestine motives were much more haunting to the young, innocent minds charged with comprehending the information.

Alif [is for] Allah. Allah is one.

Bi [is for] Father (baba). Father goes to the mosque...

Pi [is for] Five (panj). Islam has five pillars...

Ti [is for] Rifle (tufang). Javad obtains rifles for the Mujahidin...

Jim [is for] Jihad. Jihad is an obligation. My mom went to the jihad. Our brother gave water to the Mujahidin...

Dal [is for] Religion (din). Our religion is Islam. The Russians are the enemies of the religion of Islam...

Zhi [is for] Good news (muzhdih). The Mujahidin missiles rain down like dew on the Russians. My brother gave me good news that the Russians in our country taste defeat...

Shin [is for] Shakir. Shakir conducts jihad with the sword. God becomes happy with the defeat of the Russians...

Zal [is for] Oppression (zulm). Oppression is forbidden. The Russians are oppressors. We perform jihad against the oppressors...
Vav [is for] Nation (vatn). Our nation is Afghanistan.... The Mujahidin made our country famous.... Our Muslim people are defeating the communists. The Mujahidin are making our dear country free (Davis, 2002, p. 90).

It is understandable that these educational materials would be inappropriate and unacceptable in America, or for that matter, in any country governed by democratic principles and guidelines. Any country committed to providing the best for its people, or a nationalistic state dedicated to productivity and prosperity, or even a nation-state occupied by jingoists, would vehemently disapprove of such materials.

Conversely, the Afghanistan primer offers a succinct example of what is being used today by many ethnic-oriented groups in other locals around the world. In countries where cultures and customs are intentionally suppressed, or displaced, or wherever attempts are made for outright eradication, such measures may serve as a means for maintaining cohesion and solidarity among the members. Other measures, possibly even more stringent, may be introduced to suit various situations. These adaptations serve to reinforce the group’s commitment to maintain the sustenance of specific customs, thereby ensuring the preservation of certain rituals for future generations. Over time, these adjustments may evolve into productive, collaborative methods for sustaining cohesion and uniformity within the group.

In this great, diversified country designing productive programs for instructing students about world cultures, multiculturalism and global diversity and integrating them into K-12 curricula is a magnanimous task. There are strong forces wholeheartedly committed to brainwashing, or swaying our youth to accept their ideologies, and become dedicated, fearless followers of other agendas, regardless of the consequences. But then again, how many young students really take the time to consider the long-term consequences of their actions or inactions? In their super-fast, internet-centered world long-term commitments, and eventual consequences, are not a priori. Such occurrences are often fluffed-off as mere superficial annoyances that consistently interfere with the-here and now; and instantaneous gratification. “Elementary children experiencing ongoing cognitive development do not think about the past as adults do. Their approach to interpreting the meaning and significance of events is eminently practical and firmly grounded in present realities (Flavell, 1985)” (Fertig, 2005, p. 5).

Some of these forces can be extremely dangerous, as conveyed in the derogatory statement by Venezuelan president Chavez, supra. Others can constitute a crusade for change. In accordance with the latter, these movements very often have structure, participants with confirmed dedication, and long-term goals. One campaign that appears to be gaining momentum and establishing some degree of a global presence is the movement to establish a universal, harmonious global culture.

A global polity does not yet exist, yet the absence of a single world government does not mean a global civic culture cannot develop. Indeed, the process already is emerging. Human rights are a core element of the transcendent move toward a global civic culture, establishing a foundation for fairness and justice that is potentially universal (Gaudelli et al., 2004, p. 19).

The guidelines we implement into our educational curricula must be able to withstand persistent pressure from students’ peer groups, relatives and family, near and distant, as well as friends of
the family. "While theorizing of diversity ideologies in education instills hope of improving the quality of schooling for more children" (e.g., Gay, 2000; Ladson-Billings, 2001; Nieto, 2000); many underserved students continue to face severe academic and social problems in our public schools. Therefore, it is not surprising that multiculturalists concede that the application of multicultural theory to schooling is often inconsistent and ineffective" (Gay, 1995; Sleeter, 2001) (10) (Fong et al., 2004, p. 12). An instructor must be committed to respecting other cultures and customs. There are those that are visible, others that may be invisible but understood, and then there are those that have marked differences from the instructor’s own customs and culture.

School counselors regularly introduce structured exercises, ice breakers, and prepackaged "guidance" lessons that define the content and process about what should be talked about and how group members should communicate. Many of these activities commonly focus on happy and positive feelings and thoughts, at the expense of allowing an examination of more painful issues. "This is especially problematic for dis-enfranchised and failing students, who, through this type of structure, receive direct and indirect messages from the group structure to not deal with the depths of their pain, anger, frustration, sadness, hurt, anxiety, or fear. . . . A second core issue that I have seen with school counselors is confusion and uncertainty about how to work cross-culturally" (Bemark, 2005, p. 402).

Complimenting the instructor’s unswerving commitment is having an uncanny ability to differentiate between the ethnic and cultural boundaries of students. Once the instructor learns to differentiate between the boundaries he or she must begin to develop productive, mediation skills. These particular skills will provide instructors with progressive means to overcome quagmires, and successfully fluctuate between the boundaries, without causing havoc, instilling distrust from the students, or in another vernacular-losing face. Simon Harrison offers a succinct comparison between ethnic and cultural boundaries that identify unique differences that could be advantageous to instructors. " By the term ‘ethnic’ boundaries, on the other hand, I mean distinctions drawn between a group’s members and those of other groups, demarcating ethnic collectivities (cf. Barth 1969). Cultural boundaries, by contrast, can be viewed as demarcating the bodies of symbolic practices which these collectivities attribute to themselves in seeking to differentiate themselves from each other expressively. In the field of ethnic identity symbolism, the difference between Self and Other thus takes the form of a boundary drawn between one’s own group’s cultural identity symbols and those of other groups. Of course, ethnic boundaries and cultural boundaries are obviously closely connected. Movements of cultural practices and meanings, for example, may accompany movements and interactions of populations; a group trying to keep out foreign cultural practices or ideas is therefore likely to try to keep out foreign people, and vice versa. Indeed, cultural boundaries can be viewed essentially as rhetorical devices with which actors try, successfully or otherwise, to convince others of the truth of their perceptions and definitions of ethnic boundaries" (Harrison, 1999, p. 10). Harrison’s emphasis on the significance of cultural boundaries is an important component that could be a long-term, contributing factor during the acculturation process of immigrant students.

It is of vital importance that as non-biased representatives in a free, democratic, global society we consistently reinforce our position as designated educational providers. We are the resource centers for all students-emigrants, immigrants, citizens and non-citizens, nationals and non-nationals. We are there to instruct, educate, and expand their knowledge about ethics, values, life, liberty, and opportunities to pursue happiness without the need for reciprocity. We have assumed, since the French and American revolutions, that government should create common forms of schooling that advance universal moral and economic interests. These precepts, until about 3 decades ago, justified the expansion of public schools--to spread a shared
language, unify secular faith in individual rights and democratic social relations, and award youths the skills and chutzpa necessary for succeeding in a capitalist economy.

The modern state at times pushes to make society more fair and inclusive, encouraging those who are "different" to have a stake in civil society" (Fuller, 2003, p. 16). Of equal importance is the need for us to strive to instill trust and respect for all cultures and customs. We must make a conscientious effort to refrain from any attempt to change, amend, or replace existing cultures and customs that are irreplaceable. American public school classrooms never offered an enthusiastic welcome for student differences. We have devoted a lot of effort to eliminating differences, often with the best of intentions. Because education has traditionally been viewed as a means of providing more equal access to opportunities in the larger society, many educators have attempted to remove differences that were deemed barriers to achieving those opportunities. Thus, although the U.S. is a nation of extraordinary cultural diversity, we have been inclined to regard differences, especially language differences, as cultural handicaps, rather than cultural resources (Meier & Cazden, 1982) (Perez, 1994, p. 151).

They actually represent indispensable, historical qualities of life that are significant and individualistic to each student. An exceptional article by Cynthia Feliciano reinforces this point when applied to a particular segment of immigrant students. Unfortunately, there arise incidents when some immigrant students voluntarily select to vacate the "halls-of-ivy" where they quickly develop survival strategies to equip them to face the challenges of being uneducated, school dropouts. "There are two contrasting views of how retaining an immigrant culture affects education. The "straight-line assimilation" perspective, which seemed to fit the experiences of European immigrants, was until fairly recently the dominant theory used to explain immigrant adaptation. According to this view, with time, immigrants and their descendants become similar to native-born Americans and progress socio-economically (Park, 1914). Gordon (1964) conceptualized acculturation as the first stage of assimilation. His statement that "it is not possible for cultural pluralism to exist without the existence of separate sub-societies" suggests that maintaining an ethnic culture cannot be conducive to mainstream success (Gordon, 1964:158). This implies that an immigrant group must lose its cultural uniqueness to adapt successfully in American schools. Contrary to the straight-line view, many researchers now argue that maintaining an immigrant culture can be an asset, and that assimilation may lead to a decline in school achievement" (Portes and Zhou, 1993). (4) For example, Kao and Tienda (1995) found that youths with immigrant parents did better in school than those with native-born parents. Rumbaut (1997) found that as time in the United States increased, grades and aspirations declined. Suarez-Orozco and Suarez-Orozco (1995) found that U.S.-born children of immigrants lacked the achievement motivation of those born abroad. These trends suggest that exposure to American society and distance from the immigrant culture negatively affect educational outcomes.

There are several theories to explain why Americanization may undermine school success. Steinberg (1996) argues that Americanized children's lower achievement reflects their "normative socialization" since "part of what it means to be an American teen ... is adopting a cavalier attitude towards school" (Steinberg, 1996:99). Others contend that acculturation undermines a beneficial "immigrant ethic" (Rumbaut, 1997; Suarez-Orozco, 1991; Waters, 1997). For example, Suarez-Orozco (1991) and Waters (1997) found that immigrant youth valued the American Dream, education, and hard work. An "immigrant ethic" may stem from a particular outlook on life. Rather than focus on the negative aspects of the American opportunity structure, immigrants may strive harder because they see greater opportunities in the United States relative to their homelands. Some Americanization, however, is beneficial. Gibson (1988)
argues that Punjabi Sikhs succeed through a strategy of "accommodation without assimilation"; they adapt to the United States in necessary ways, such as learning English, while maintaining their immigrant identities.

Similarly, several studies have shown that youths fluent in both English and their native tongue achieve more than those who speak limited English or only English (Fernandez and Nielsen, 1986; Rumberger and Larson, 1998; Stanton-Salazar and Dornbusch, 1995). This suggests that being proficient in American ways while sustaining the immigrant culture promotes success (Feliciano, 2001, p. 867). We need to maintain an ethical, non-biased commitment to upholding our position pertinent to any influence regarding the changing, amending, replacing, or abolishing cultures, customs, or mores that differentiate themselves from our own. Any bending from this framework could add verdigris to an already tarnished, global image and have a negative impact on long-term goals.

Differences in culture and religion create differences over policy issues, ranging from human rights to immigration to trade and commerce to the environment. Geographical propinquity gives rise to conflicting territorial claims from Bosnia to Mindanao. Most important, the efforts of the West to promote its values of democracy and liberalism as universal values, to maintain its military predominance and to advance its economic interests engender countering responses from other civilizations. Decreasingly able to mobilize support and form coalitions on the basis of ideology, governments and groups will increasingly attempt to mobilize support by appealing to common religion and civilization identity ((Huntington, 1993, p. 28).

Our focus on educating students has to change to compliment alternative methods being introduced among European global decision-makers who have a defined impact on the education policies governing students who are not attending traditional public schools in America. However, there is always a possibility that these non-American students may attend American public schools some time in their future so we need to be prepared to provide them with the best education available. It is our responsibility to strive to make ALL of our students the best qualified competitors in the 21st Century. Although they have many important functions, the European Union (EU), many Federal Governments (FED), and the United Nations (UN) have few areas where their mandates call for them to dictate, adjudicate, or legislate education policy. Education, for the most part, has traditionally been viewed as relevant to local culture and hence subject to local control.

This is now changing. Traditional interest in mathematics, science and language remain, and although there are distinct influences drawing school systems into cross-national interests and endeavors, the main focus of attention is not on this area. Today, the main focus of attention is on the citizenship function of education, that purpose of public schooling that transcends curriculum and helps to create social cohesion, the basis of a stable democracy (Heyneman, 2003, p. 25). Issues relating to preparing appropriate courses for educating immigrants to the U.S. about freedom, democracy and the U.S. America; and educating American students about world cultures and customs that differentiate from their own, are not new items that suddenly appear on agendas at local school board meetings. Nor has the flood of immigrants to our shores and the need for structured curricula about multiculturalism and global diversity in our public schools decreased in any measurable degree since 09/11. These issues are consistent, and increasing in size and scope as students move through our educational system.

THE CURRENT WAVE of social and cultural change in the United States has made this country markedly different from the one of the past. Educators need to learn about increasingly diverse groups of people and, in turn to develop culturally sensitive programs, and teach students from radically different cultural and social backgrounds. Race, ethnicity, and gender issues have
surfaced in many areas of teaching and learning in our educational institutions. Consequently, "teachers must be aware of and understand their personal biases, their own cultures, and more importantly, the biases and cultures of their students. In this way, students can develop the sensitivities and understandings that will enable them to function in the diverse social and cultural world that they will encounter when they leave school" (Chepyator-Thompson, 1994, p. 31). The tools and training that we provide for them during their learning years in the public school system can become a guiding beacon for them when they enter the workforce; however, we must do it right from the beginning. Pursuant to some researchers like Mary Carmen Cruz, we have a lot of work ahead of us. “By the year 2000, more than one-third of the students in secondary schools will be from ethnically, culturally, and linguistically diverse homes” (Cruz, 1999, p. 16). Our challenge is to be prepared which may prove to be more of a task than anticipated.

"In spite of the growing linguistic diversity in U.S. classrooms, teachers in general are not being adequately prepared to work with students from diverse linguistic backgrounds. . . . . . . However, this does not mean that a teacher will not be successful. It simply requires reflection on the specific needs of ELLs and the implications for management decisions.” (Curran, 2003, p. 335). When all of the dust settles, and the bureaucrats have finished glossing over their P & Ps and institutional guidelines for some enlightened strategy they may have overlooked, a logical plan for long-term success in this endeavor starts to emerge. This success of this great country evolved through a progressive consistency in business management. Since school systems are a business there is no reason why they should not operate in a similar fashion. In order for school systems to have a vision and achieve long-term goals they must incorporate proactive business techniques. The bottom-line is that school systems need to integrate decision-making, teamwork, progressive management strategies, and innovative strategies that promote competitiveness, productivity and profitability (CPP) in a challenging global society:

"Competitiveness – streamlining curricula to ensure that ALL students acquire sufficient knowledge about world cultures, multiculturalism, and global diversity to provide them with proficient skills to become (competitive) productive contributors in a global society.

Productivity - develop interactive, team-oriented projects for training ALL students to actively engage in “teamwork” and to develop a competency for working in cross-cultural, cross-functional teams to achieve a goal and to become (productive) contributors in a global society.

Profitability - maintain consistency across-borders within the school system to ensure that ALL students receive sufficient integrative education and training to warrant graduation, guidance, and assistance in securing a position of employment as (profitable) contributors in a global society.

The culmination of these processes is to achieve the two-fold goal of every business enterprise: (1) increase the stock-value of the business; and (2) increase shareholder wealth:

Stock-Value - measurement of success or failure of integrated CPP programs
Shareholder Wealth - proud, satisfied students; proud, satisfied parents or guardians; proud, satisfied school boards and state governments; excited global employers; and energized, global economies.
Complimenting the premise that innovative programs need to be integrated into the school systems in order to achieve positive results there are also progressive measures for students to incorporate. Personal programs, such as my 3Ps program, could provide students with some succinct formats to guide them:

**Pride** - always be **PROUD** of your accomplishments; and strive to be ethical and fair in all your endeavors.

**Professional** - always act in a **PROFESSIONAL** manner when engaged in business or work; maintain self-respect and respect for others at **ALL** times: respect is the most unused word – you’re not born with it; you can’t but it; all you can due is **EARN IT**; and once earned, it can last forever.

**Progressive** - always strive for continuous, self-improvement (**kaizen**); because **ONLY YOU** can make a difference **IN YOU** and **YOUR FUTURE**.

In our determination to provide the best education for students it is imperative that we instill continuous development and ongoing training for our instructors and administrators in order for us to sustain a competitive position in the global arena.

The ability of schools of education to produce high-quality teachers, counselors, administrators, and other graduates has a direct impact on the ability of school districts to provide high-quality education to the children in our elementary and secondary schools. These children, in turn, will be the future students enrolling in the programs offered by our nation's colleges and universities. These children will also eventually dictate our national future as an economic, social, and political leader of the world (Futrell et al., 2003, p. 8).

We are the only country destined to receive the greatest influx of immigrants to our shores of any country on the face of the earth. Correspondingly, we are the country with the most diversified, multicultural, melting-pot population of any world country.

Integrating ethnic content into the curriculum is also important because only a curriculum that reflects the collective experiences and interests of a wide range of cultural groups is in the national interest and consistent with the public good (Banks, 1991). Students need the knowledge, skills and attitudes that a multicultural curriculum can give them to understand others and to function in a rapidly changing, diverse world (Perez, 1994, p. 153).

It is our ethic and moral duty, to God and our fellow man, to provide the best qualified instructors and the finest education and training to **ALL** students in our public schools regardless, of ethnicity, creed, color or country of origin.

In clarifying definitional ambiguities of a global education perceived by global scholars I contend that the incongruities of existing global education definitions tend to be idiosyncratic rather than substantive. A comparative analysis of major definitions showed that global scholars agree on four essential elements in defining the field. Some scholars expanded the existing global definitions. Scholars, independent of each other and outside the field of global education, also have voiced their views about why a global education is required in a global age and what defines the global citizen of the twenty-first century. They described globally educated people as those who possess high-tech skills, broad interdisciplinary knowledge about the contemporary world, and adaptability, flexibility,
Robert Reich, former U.S. secretary of labor, described them as "symbolic analyst" (1991); Paul Kennedy (1993) referred to them as "citizen of the world"; Joel Kotkin (1993) called them "quintessential cosmopolitan"; and Peter Drucker (1993) referred to the globally literate individual as the "educated person of the 21st century" (Kirkwood, 201, p. 18).

In addition to this endeavor deserving our unmitigated commitment for long-term success we also owe it to the rest of the world to be a valued contributor to sustaining a harmonious, environmentally safe global society. According to guidelines established at the World Summit on Sustainable Development (WSSD) that took place in Johannesburg, South Africa in 2002, we also need to prepare our students to be the environmental protectors in the future.

The challenge we face

Sustainable development requires reducing poverty, changing consumption and production patterns, and managing the natural resource base.

A major threat to global prosperity, security and stability is posed by the ever-increasing gap between the rich and the poor. Globalization has added a new dimension to these challenges, with a mixed set of opportunities and risks, while weak governance structures at the national level may cause citizens to lose confidence in their government representatives.

Our commitment to sustainable development

The WSSD urges the promotion of dialogue and cooperation among the world’s civilizations and peoples, irrespective of race, disabilities, religion, language, culture and tradition.

The submit reaffirmed the pledge to focus on the fight against worldwide diseases, to ensure women’s empowerment and emancipation and to recognize the vital role of the indigenous peoples in sustainable development.

Making it happen!

Effective, democratic and accountable international and multilateral institutions are needed to achieve the goals of sustainable development. This must be an inclusive process.

Only through our actions will our children inherit a world free of the indignity and indecency occasioned by poverty, environment degradation and patterns of unsustainable development (World Bank, 2004, p. 1).

We need to come full circle, evaluate our existing policies, procedures and guidelines and incorporate innovative methodologies for properly educating children about the world they live in and the diversified peoples that form our global society. Our global age requires a global education. The field has come of age; it has passed its fiftieth anniversary. It has gained new momentum and plays an increasing role in the United States and the world. Despite some definitional ambiguities, global education offers teachers opportunities to guide students on their twenty-first century journey to shape a more peaceful world (Kirkwood, 2001, p. 18).

Complimenting the profound, and indubitably formidable, efforts of such esteemed organizations as The World Bank are other less noteworthy but similarly energetic organizations such as Lions Clubs International. This organization is community-based with local chapters in
virtually every city within the U.S. The organization provides a structured format for citizen involvement and participation in improving the community. The organization provides a structured format that integrates citizens in various community-oriented programs. The goals are to improve the civic, cultural, moral and social fabric of the community, and the quality of life of its members. This organization, and its recognized good works, has now spread to twenty-four countries around the globe. There are international agendas, festivities and educational programs aimed at preserving the environment, bringing harmony and equality to all societies, and significantly enhancing the education and well-being of all peoples around the globe.

In a conscientious effort to provide K-12 students in U.S. public school with a means for learning about world cultures and global diversity, which could significantly improve their life-skills, Lions Clubs International has introduced an excellent program titled Lions-Quest.” Through interactive workshops teachers and administrators develop a cohesive work attitude focused on improving the life-skills of students and expanding their knowledge about world cultures and multiculturalism.

A Message from Lions Clubs International Foundation and Lions-Quest

. . . Working together, we can guide young people in becoming capable, contributing citizens. We can make a real difference. Through caring, understanding, guidance, and teaching, we affect the future. How do we encourage our children to strive to be the best they can be? We need to teach them more than the capitals of the world and the computation of numbers. We must also help them develop respect for themselves and others and help them form strong commitments to family, positive peers, school, community, and the world beyond. Our children need the self-confidence that comes from developing and building on their strengths. They also need the insight to handle their emotions constructively, the ability to set positive goals, and the knowledge and skills needed for a safe and healthy approach to life, free from the harm of drug abuse and violence (Lions-Quest, 2005, p. 3).

I have had the opportunity to review much of the Lions-Quest materials. In addition, I attend Lions-Quest workshops as part of an ongoing program designed for providing guidance to adolescents. Another useful tool is the “Learning Pyramid,” which demonstrates the significance of interaction in learning between teachers and students, and students with other students. In essence, we are all teachers, and consistently learn from one another.

Learning Pyramid

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*Percentages denote Average Retention Rate
From my prospective this program offers students a unique opportunity to overcome stereotyping, which has become so prevalent in our society, especially after 09/11. Engaging in a structured curriculum that expands the educational process to include decision-making and analysis in the game-plan gives participants some genuine challenges to face that can be readily applied to real-life situations. After completing some of these programs I believe that students will be in a better position:

1. To reduce the stereotyping of people with differentiations in ethnicity, customs and cultures.
2. To become more open-minded, which can significantly expand opportunities.
3. To become more understanding of opinions and beliefs that differ from your own.
4. To learn to be tolerant and understanding of others.
5. To learn productive means for being self-assertive when interacting with people who may try to intimidate me.
6. To improve my self-worth, and realize that my opinions are valuable and not inferior to others.
7. To improve my self-confidence when establishing interpersonal relationships.
8. To become more organized, and to increase my self-discipline.
9. To increase my perspicacity of other people, customs and cultures.
10. To increase my ability to identify and analyze problems, and make quality decisions.

The program offers a structured format for guiding K-12 students to become proactive, problem-solving adults and progressive contributors to a global society. Although a program like Lions-Quest may appear worthwhile for expanding the education of our youth there is always the age-old question of acceptance by the ruling bureaucracy. “Control over the implementation of policy becomes especially important as a source of bureaucratic power when it includes authority to exercise discretion in achieving policy goals” (Gortner et al., 1986, p. 37). Then there is always the possibility, and the inherent fear, that some official, or panjandrum, will indubitably rush forward to the spotlight in some unrehearsed, ostentatious spectacle as a sinister means of boasting, attracting unwarranted attention, and claim credit for selecting an excellent program.

The corporate executive is accustomed to the usually informed and generally sympathetic scrutiny of his colleagues, his stock-holders; and, occasionally the public through annual reposts and news releases. The government executive, however, lives in a fishbowl; depending on the level and nature of his job, he must expect to be exposed at any moment to the glare of publicity and notoriety (Malek, 1972, p. 64).

This format is of little consequence and concern so long as the program is properly integrated into the curriculum and students begin receiving the benefits. Concern would be raised if the official signing-off on the program, or quite possibly the representative designated to integrate the program and oversee its production, was a charlatan seeking to defraud the government, the school board, the community, the citizens and the students designated for personal gain.

Although this scenario would seem out-of-place in current U.S. public schools the possibility exists that some outside organization may select sinister ways to effectively infiltrate our educational system for the expressed purpose of poisoning the minds of our youth.

Institutions provide the structures within which much of our human action occurs. They provide the stage on which we act out our ideological assumptions. We look to institutions to meet many human needs, from safety and support to nourishment and challenge. Yet right now, traditional institutions are in serious trouble. As Alvin Toffier has noted, most of these institutions, from governments to churches, were
shaped to meet the needs of the Age of Industrialization. In the transition from the industrial era to the information age, these institutions grasp and moan, burdened by their inability to handle society’s new needs. The result: we are witnessing a profound shift in attitudes toward the institutions that up to now have molded our lives (Lipman-Blumen, 1996, pp. 86-7).

In an era of increasing anti-American/anti-democracy rhetoric around the globe there is every likelihood that our educational institutions could be challenged by perpetrators seeking to do harm to our children and ultimately to our democratic process. “Even the leadership of professional schools is under attack. Educators and practitioners are busy re-evaluating the curricula of medical, business and law schools” (Lipman-Blumen, p. 89).

Ironically, as much as we look, often with contempt and disgust, at other countries and their vivid demonstrations of religious and anti-religious fundamentalists, which are so timely portrayed on television news reports and radio broadcasts, that we tend to overlook the undercurrents, movements, and open demonstrations being conducted by religious fundamentalists in this country. Granted that the underlying reason behind demonstrations in this country may differ significantly from demonstrations in other countries. However; the fact remains that open demonstrations, usually in retaliation about delicate issues like abortion or child abuse among members of the clergy, are a defined part of the lifestyles of many Americans, and especially the youth of America, and the numbers of participants is growing steadily.

American disillusionment runs deep. Opinion polls show that a substantial segment of the U.S. public thinks their religious leaders have engaged in behavior unbefitting their roles. Since 1980, when the Gallup Poll first began measuring public opinion about TV ministers, the then-positive views that most Americans held have drastically deteriorated. Moreover, from 1981 to 1986, even before the TV ministries’ scandals shocked viewers, the public’s confidence in organized religion dropped from 64 percent to 57 percent. By 1991, it had slipped to 33 percent.

As faith in mainstream religion has waned, disillusioned believers have begun to look elsewhere. In contrast to the waning membership of traditional Catholic and Protestant churches, Pentecostalism, the experiential segment of the Christian faith, is growing at an unprecedented rate. The surge in Pentecostalism within the last two decades has swelled its ranks to more than 410 million adherents worldwide, threatening to surpass Catholicism by the year 2000.

Young people in particular have joined fundamentalist groups, seeking direction and meaning from stricter religious institutions and leaders. In some cultures, rejection of their parents’ values and lifestyles has pushed young adults to accept the comforting purity offered by religious cults. Many social scientists interpret these trends as evidence that established religious institutions have failed.

American education is suffering from a similar crisis of faith. From elementary to postgraduate schools, educational leadership is faltering, with vision and responsibility in short supply. One commission report after another demonstrates that schools are not educating the two major sources of our future strength: the young and the immigrant. Each year, U.S. students’ test scores fall farther and farther behind those of their international peers despite much hand wringing and excuses by our edu-
cational leaders (Lipman-Blumen, p. 89).

We are surrounded by ideologies and situations that consistently challenge our ability to muster ourselves together as a united consortium dedicated to advancing the education of our children and providing them with sufficient skills to survive in a change world.

Add to this persistent dilemma the complications with languages. Most cultures select to retain their native language and utilize it for conversations in the home as a progressive means of preservation of a societal group with distinct rituals.

English is not sweeping all before it, not even in the United States. According to the U.S. Bureau of the Census, ten years ago about one in seven people in this country spoke a language other than English at home—and since then the proportion of immigrants in the population has grown and grown. Ever-wider swaths of Florida, California, and the Southwest are heavily Spanish-speaking. Hispanic people make up 30 percent of the population of New York City, and a television station there that is affiliated with a Spanish-language network has been known to draw a larger daily audience than at least one of the city’s English-language network affiliates. Even Sioux City, Iowa, now has a Spanish-language newspaper. According to the census, from 1980 to 1990 the number of Spanish-speakers in the United States grew by 50 percent.

Over the same decade the number of speakers of Chinese in the United States grew by 98 percent. Today approximately 2.4 million Chinese-speakers live in America, and more than four out of five of them prefer to speak Chinese at home. The rate of growth of certain other languages in the United States has been higher still. From 1980 to 1990 the number of speakers of Korean increased by 127 percent and of speakers of Vietnamese by 150 percent. Small American towns from Huntsville, Alabama, to Meriden, Connecticut, to Wausau, Wisconsin, to El Cenizo, Texas—all sites of linguistic controversy in recent years—have been alarmed to find that many new arrivals do not speak English well and some may not even see the point of going to the trouble of learning it (Wallraff, 2000, p. 52).

Add to the perplexing problem of language barriers the fact that racial and ethnic bias and prejudice is a demeaning, despicable, consistent issue that can have immeasurable negative effects on young children as well as adults. A succinct example can be seen in reviewing an excerpt from *The Chinese in America* by the distinguished author, Iris Chang.

. . .In 1928, a white community in Mississippi decided to bar all Asians from attending the local white school after a Chinese boy graduated at the top of his class. The specter of segregation always lurked in the background, with the constitutionally protected right of school boards to expel Chinese students on any whim or pretext.

By the mid-1920s, it was becoming difficult to segregate Chinese students in California, largely because of the Chinese community’s willingness to organize politically. An effort to create a segregated junior high school failed in the San Francisco Bay Area when Chinese activists and organizations made vociferous protests. It appears that these barriers gradually, informally dropped away, several decades before actual laws were codified to ban racial segregation. So as the years went by, more Chinese American children attended integrated schools, and their initial exposure to whites often threw them into a welter of confusion about their identity.
In most children, feelings oscillated between a fierce pride in their heritage and a near-total rejection of being Chinese. Some saw themselves as informal ambassadors of China, interpreting its culture for their white classmates while also serving as models of deportment for their white teachers, as if upon their words and actions hinged the reputation of an entire country. Others had so deeply absorbed the toxin of racism that they grew to loathe everything Chinese, even their own looks. To make themselves appear less Asian, some Chinese-American teenage girls taped or glued their eyelids in order to create in extra fold, and while Chinese American boys were less likely to resort to such tactics, some must have been equally insecure about their self-image during the 1920s. Even late into the twentieth century, one man would recall, “I remember rushing home from school one afternoon—I was eleven or twelve years old—and desperately staring at the bathroom mirror and praying to God my face would miraculously turn Caucasian. Only fear of pain and death kept me from committing suicide.”

A few American-born Chinese simply viewed themselves as white. Such individuals tended to live in rural areas, where the absence of an established ethnic Chinese community made them less threatening to whites and encouraged their participation in the mainstream. Bernice Leung, born in 1917 in the farming community of Fresno, California, remembered a period in her childhood in which she and her siblings did not believe they were Chinese at all. Asians, not Caucasians, looked strange to them, and they wondered why they themselves had not been born with blue eyes and blond hair. Noel Toy, who grew up in the only Chinese American family in a small northern California town, was astonished to meet another Asian woman in college. “I was brought up purely Caucasian, Western,” she recalled. “When I went to junior college, I saw an Oriental woman. I said, ‘an Oriental! My gosh, an Oriental woman!’ I never thought myself one” (Chang, 2003, pp. 178-9).

Although the U.S. is not without its idiosyncrasies, ethnic disparities and noticeable differentiations it remains the only protected and defined land of the free. Correspondingly, all nationals, citizens and law-abiding visitors are governed by constitutionally protected rights that incorporate defined principles ensuring that all peoples are entitled to life, liberty and the pursuit of happiness.

Our children of today that will become the providers, workers, and leaders of tomorrow. It will be our vision, decision-making processes, and goals that will determine what type of global societal members we educate and train for the global society of the new millennium.

**BY 2010, THE US. EMPLOYMENT MARKET WILL HAVE** 10,033,000 more jobs than workers to fill them. Labor experts predict that there will be a shortage of younger workers at the same time. Over the next 50 years, it is estimated that Asians, Hispanics, African-Americans, and Native Americans will represent 90 percent of the U.S. projected population growth. The University of Georgia’s Selig Center for Economic Development predicts that the buying power of those same minority groups will triple from 1990 levels to $1.5 trillion, a 347.1 percent gain for Hispanics and a 203 percent gain for African-Americans. White buying power is expected to grow by 104 percent over the same period.

What all these predictions and statistics tell us is that quick-serve’s workforce and customer base will turn increasingly brown. And as they do, knowledge of and the
ability to adapt to other cultures will make the difference between a thriving brand and a dying one (Scott, 2005, p. 72).

The affects of globalization have made significant impacts in computerized technologies, global communications, and the cross-border trading of commodities, goods, services, financial transactions, and labour around the world. We have the technology, the manpower, the perspicacity, and ability to be the world leader in educating all peoples and prepare them for gainful employment in the global marketplace.

Over the past decade, European employment has grown by less than 10 per cent, while US employment has grown by 17 per cent, creating more than 2.2m jobs last year alone. US figures last Friday showed continued growth in employment, with 207,000 payroll jobs created in July. The increase in payroll jobs for May and June went from a total of 250,000 to 292,000. The unemployment rate remained at a low 5 per cent, and an additional 450,000 people moved into the workforce. With such positive data, the US Federal Reserve will continue to gradually increase interest rates.

America grows while Europe stalls for many reasons, among them disparities in flexibility caused by employment laws. Europe will never recover until employment protection statutes are modernized and politicians restore flexibility to employers and workers. The unsung story behind US job creation is the flexibility and turnover in American labour markets, which boost employment. Frequent job changes lead to better job matches and higher productivity. In 2004 there were 54m new hires and 51m job separations in a labour force of 147m. Over half these separations were voluntary – people who left jobs because of better opportunities. Younger baby boomers, born in 1957-1964, held an average of 9.6 jobs from age 18 to 36. This turnover is a leading cause of job creation. How does this compare with other industrialised countries? Historical Organisation for Economic Co-operation and Development studies show that there are large cross-country variations in turnover, with the US having the most turnover and least job stability. Employment protection laws lower turnover by causing fewer workers to become unemployed (even though they are in industries that need to shed labour in order to remain competitive) and increasing the risk of long-term unemployment for those who lose jobs. Consequently, countries with fewer employment protection laws have greater growth in employment and economic activity. Laws put into place with the best of intentions for job protection result in job destruction. An OECD index of employment protection laws in different countries shows that such laws are far stricter in Europe than in the US. This makes intuitive sense. When employers cannot fire workers easily, as is the case in the European Union, they hire fewer of them when economic growth up. When the cost of European mandatory benefits, such as paid maternity leave and long vacations, is added to the difficulty of firing, slow job growth becomes inevitable. Countries with high employment-protection legislation and less turnover have more long-term unemployment. Last year in the US only 13 per cent of unemployed workers could not find work within 12 months, compared with 21 per cent for the UK, 42 per cent in France, 52 per cent in Germany and 50 per cent in Italy. In the
EU as a whole, the percentage of unemployed out of work for longer than a year was 44 per cent Furchtgoot-Roth, 2005, p. 13).

It is our duty to provide our nationalized children and children from other countries with cross-cultural, cross-functional training and proficiency in life-skills to aid them in developing into valued, progressive assets of a new global society.

References


THE USE OF TOFU AS A SYMBOL IN SPOKEN MANDARIN

IDIOMS, PROVERBS, AND TWO-PART ALLEGORICAL SAYINGS

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ABSTRACT

This paper examines the use of tofu as a symbol in spoken Mandarin. A brief introduction covers the origin and history of tofu in China, as well as its evidence in classical literature under other metaphorical names. Afterwards, discussion of the use of tofu as a symbol in spoken Mandarin is conducted through an analysis of selected representative idioms, proverbs and two-part allegorical sayings. Finally, the conclusion summarizes the associations of tofu -- stemming from its soft, tender, and moist qualities -- with the Yin 阴 principle of the Yin 阴–Yang 阳 (shade and light) concept, with references extending even to sexual harassment and sexual intercourse. In addition, tofu in spoken Mandarin is often used as a symbol for softness, a low value product, whiteness and health food.

Keywords: tofu, Mandarin idioms, Mandarin proverbs, spoken Mandarin

1. INTRODUCTION

Most likely, tofu was not a Chinese invention. Rather, it may have been created by foreign tribes migrating during the 8th century from the northern borderland to the central plains of China (Shinoda, p. 55). Tofu, in Chinese doufu 豆腐 (lit. ‘bean rot’) is not a genuine Chinese word but is, at least where the character fu 腐 (lit. ‘rot’) is concerned, a homophone of a foreign language word. During the Tang 唐 and Song 宋 dynasties tofu became increasingly popular. By the 11th century it was consumed by the upper class, as indicated by many literary sources. In the 14th century, a bureau responsible for the supervision of soybean products, affiliated with the wine bureau and including tofu,
was established in the imperial palace (Food in Chinese Culture, p. 212). The first written proof that even the emperor ate tofu dates back to a report by Song Luo 宋犖 (1634-1713) during the Kangxi 康熙 reign (1662-1722) of the Qing 清 dynasty (Song, chapter 42, p. 14).

The Chinese felt uncomfortable with the idea that a major ingredient of Chinese cuisine was of foreign origin. Therefore, starting from the 12th century, its invention was attributed to Liu An 劉安, the Prince of Huainan 淮南 (2nd century B.C.E.). To the present, Liu An is canonized as the patron saint of tofu and is worshiped by all producers in East Asia. However, the first literary reference to this contribution can only be found in a poem by Zhu Xi 朱熹 (1130-1200) (Zhu, Chapter 3, poem 12). It is strange that there is no earlier reference in literature or art to tofu in the previous periods of Chinese history. The first written reference can only be found in the middle of the 10th century (Tao, series 4, vol. 3, p. 1935).

Tofu-relevant literary sources from the Song 宋 to Qing 清 dynasties show that tofu found numerous interesting entries in cookbooks, bencao 本草 (materia medica) and nongshu 農術 (agriculture and technology) works, poems, novels and sketchbooks. Comprehensive material on these sources can be found in two former publications by the author (Gwinner, 1985 and Gwinner, 2005).

We collected for this paper more than one hundred tofu-related Mandarin idioms, proverbs, and two-part allegorical sayings. Without doubt, many more can be found in Chinese local dialects. Tofu has soft, tender, and moist qualities. Accordingly, in China it has been associated with the Yin 阴–Yang 阳 (shade and light) concept and in particular the Yin 阴 principle. The complementary Yin-Yang concept is used to describe how polar opposites or seemingly contrary forces are interconnected and interdependent in the natural world. Yin represents qualities like the female, dark, soft, tender, moist, weak, and hidden. This feminine aspect is still obvious in modern Chinese language in which, for example, the word for ‘vagina’ is ‘yindao 阴道’(lit. ‘Yin path’).

Even in classical Chinese literature we can find associations of tofu with several of
the above-mentioned qualities. Some literati created new poetic expressions for the rather vulgar word *tofu* which, at least where the character *fu* 腐 (lit. ‘rot’) is concerned, is a homophone of a foreign language word. Hence, poets invented more poetic words for tofu. Three representative examples may illustrate this fact. The famous Song 宋 poet Su Dongpo 蘇東坡 (1137-1101) wrote a poem called *Tofu* of which unfortunately only one line seems to have been preserved (Su, 佩文韻府, vol. 5, p. 3501). The line reads ‘in the cauldron smells the soft jade’s aroma’, ‘soft jade’ here refers to tofu. The scholar Sun Zuo 孫作 (around 1361) composed a poem entitled *Shuru* 菽乳 (*Vegetable Milk*), in which we can find the verse ‘cutting the white jade into large slices’, using white jade as a synonym for tofu (Sun, 詠物詩選, vol. 14, p. 4682). In the Qing 清 writer Zhao Yi’s 趙翼 (1727-1814) œuvre we find a poem with the title *Rucan* 儒餐 (*Confucian Meal*) containing the line ‘swallowing the white tiger and green dragon with one bite’. In his own commentary to this poem Zhao says that ‘green dragon and white tiger soup’ is a popular name for tofu and green vegetable soup (Zhao, 甌北詩鈔, vol. 4, p. 510). It may be worth mentioning one sexual aspect here, since as we will see later, tofu in Mandarin idioms is often used in a sexual context. This sexual aspect is that the expression ‘white tiger’ is also a synonym for a woman without pubic hair (Eberhard, p. 250). In other classical prose and poetry, tofu is frequently referred to as snow, ivory and other pale things due to its whiteness.

2. IDIOMS (XIGUAN YONGYU 習慣用語)

2.1. Tofu as a symbol for sex

Without doubt, the most popular tofu idiom in modern Chinese is *chi doufu* 吃豆腐 (to eat tofu). The most common translations are ‘to tease’ and ‘to flirt’ referring to men’s interactions with women. Other sources claim that ‘eating tofu’ should be translated as ‘to dally with a woman’ or ‘to harass a woman sexually’ (*Tofu Culture in China*). They make reference to this anecdote:

Once upon a time, a young couple ran a tofu shop in Chang’an. The husband made tofu during the nights and the wife kept the shop during the day. The wife was beautiful, which can be attributed partly to the effectiveness of tofu on cosmetic skin care. In order to attract customers, she often played around amorously. Men who lived nearby often went to the shop in the name of “eating tofu” to sexually harass the wife.
Sinologists such as Wolfram Eberhard (Eberhard, p. 44) even straightforwardly translate *chi doufu* 吃豆腐 as ‘to have intercourse’. *Ta xihuan chi toufu* 他喜歡吃豆腐 (he likes to eat tofu) is said of libertines or players who are fond of flirting with women. *Chi toufu gan* 吃豆腐乾 (to eat dried tofu) describes relationships with mature women. No proven evidence for these idioms can be found in classical Chinese literature suggesting that they came into usage only in modern China.

*Bie chi wode doufu* 別吃我的豆腐 (Don’t eat my tofu) as a reply to praise of one’s qualities means ‘Don’t pull my leg!’ In other situations this idiom can also be used in a sexual context. Such can be seen in an old lady’s outcry of this idiom in the Taiwanese movie *Gongfu Dapaimai* 功夫大拍賣 from 1974, where a young man got caught under her dress. It may be interpreted as ‘Don’t you dare to approach me!’

Tofu as a symbol for sexual content has also found entry into two titles of erotic short stories posted on the internet. The pseudonymous author Changpa posted 2011-8-29 *jiuma doufu riji* 舅媽豆腐日記 (*Auntie’s tofu diary*), and an anonymous writer posted 2007-10-21 *la ma de doufu riji* 辣媽的豆腐日記 (*Hot momma’s tofu diary*), ‘tofu diary’ in both works refers to an intimate diary.

Another idiom using tofu as a sexual-related symbol is *mo doufu* 磨豆腐 (to rub tofu) which stands for tribbing, commonly known by its scissoring position, a form of non-penetrative sex in which a woman rubs her vulva against her partner's body for sexual stimulation, especially for ample stimulation of the clitoris. This may involve female-to-female genital contact or a female rubbing her vulva against her partner's thigh, stomach, buttocks, arm, or other body part excluding the mouth.

The colloquialism *doufu xishi* 豆腐西施 (tofu beauty) uses tofu in a less erotic way but nevertheless describes a beauty from a poor family background. This expression can be traced back to the short story *My Old Home* authored in 1921 by the famous writer Lu Xun (1881-1936) where we can read (Lu, p. 95):

…”Don't you know me? Why, I have held you in my arms!"

I felt even more flabbergasted. Fortunately my mother came in just then and said:

"He has been away so long, you must excuse him for forgetting. You should remember," she said to me, "this is Mrs. Yang from across the road. . . . She has a beancurd shop."
Then, to be sure, I remembered. When I was a child there was a Mrs. Yang who used to sit nearly all day long in the beancurd shop across the road, and everybody used to call her Beancurd Beauty. She used to powder herself, and her cheekbones were not so prominent then nor her lips so thin; moreover she remained seated all the time, so that I had never noticed this resemblance to a compass. In those days people said that, thanks to her, that beancurd shop did very good business. But, probably on account of my age, she had made no impression on me, so that later I forgot her entirely. However, the Compass was extremely indignant and looked at me most contemptuously, just as one might look at a Frenchman who had never heard of Napoleon or an American who had never heard of Washington, and smiling sarcastically she said:

"You had forgotten? Naturally I am beneath your notice..."

"Certainly not... I..." I answered nervously, getting to my feet. ...

In 1930, even a movie with the title *Doufu xishi* 豆腐西施 was shot in Shanghai (Cheng, p. 527-528).

2.2. Tofu as a symbol for softness

*Ruan ru doufu* 軟如豆腐 (flabby as tofu) refers to very soft objects, a wimp or, here encountering tofu again in a sexual context, the penis of a man with erectile dysfunction. Some authors claim that classical evidence for this idiom can be found in Chapter Four of the famous Ming 明 (1368-1644) novel *Jin Ping Mei* 金瓶梅 -- quoting one of the most comprehensive and authoritative translations, the German translation *Djin Ping Meh* (published 1928-1933) by the German sinologist brothers Otto and Artur Kibat. On page 138 of their translation (Kibat, vol. 1, p. 138) the following phrase is written about the female main character ‘Golden Lotus’: ‘Ursprünglich hatte sie der Patrizier Dschang verführt. Doch dieses alten Mannes Dingelchen war weich wie Nasenrotz und wabbelig wie Bohnenkäse’ (Originally the patrician Dschang had seduced her. But this old man’s thing was soft as snot and wobbly as tofu). In contrast to this translation, the original Chinese text reads (*Jin Ping Mei*, Ch. 4)

‘這婦人自從與張大戶勾搭，這老兒是軟如鼻涕、膿 (stands for the homophonous character nong 濃) 如醬的一件東西’ which should
be correctly translated as ‘This woman had once an illicit relationship with the aristocrat Zhang, but this old man’s thing was as flabby as snot and as smooth as paste’. The Kibat brothers translate *nong ru jiang* 膿如醬 as 'wobbly as tofu' which means that they either mistook the word *jiang* 醬 as tofu or might have found the word tofu in one of the numerous different editions of the *Jin Ping Mei*. The *Jin Ping Mei* edition specialist P. D. Hanan lists the edition quoted by us under his category C editions (Hanan, p. 10-11). All original editions, including editions listed by Hanan under A and B editions, accessible to the author of this paper, use the word *jiang* 醬 not *doufu* 豆腐, nor can any English translation similar to the one of the Kibat brother’s be found in the standard English translations by Egerton (Egerton, vol.1, p. 67), or Roy (Roy, vol.1, p. 83). The latter’s translation does not include this passage at all.

In interesting contrast, we can also find tofu as a symbol for hardness in another Chinese classic erotic novel, namely the Qing 清 writer Li Yu’s 李漁 (1611-1680) *Rou Pu Tuan* 肉蒲團 which was published in 1633/34. In chapter fifteen, Xiangyun 香雲, one of the female main characters, describes the quality of her lover Wei Yangsheng’s 未央生 penis as follows (Li, Yu, p. 396):

> Xiangyun was afraid that she could not describe it in words, so she decided to point at several things. Being asked how long it is, she picked up an ivory chopstick and said: ”It is as long as this chopstick.” Being asked how big in diameter it is, she took up a tea cup and said: “It is in diameter as big as this teacup.” Being asked whether it is stiff or not, she pointed at a bowl of tofu and said: “It is as stiff as this tofu.” Ruizhu 瑞珠 and Ruiyu 瑞玉 both simultaneously burst into laughter and asked: “This ranks the softest. Supposed it is like that, then of what use is its length and size?” Xiangyun replied: “It is not like this. Nothing in the world is harder than tofu. It is superior to gold, silver, copper and iron. Although gold, silver, copper and iron are hard, they soften when exposed to fire. Only this thing, when exposed to heat, hardens the more the longer it is heated. His thing is just like this. Once stiffened through sexual stimulation it doesn’t weaken. Therefore I took tofu as comparison.”

*Daozi zui, doufu xin* 刀子嘴，豆腐心 (a mouth as a knife, a heart as tofu) characterizes a person who uses sharp words but has a soft heart. It can be used to console somebody after being hurt by the offensive speech of another person who actually meant no harm.

### 2.3. Tofu as a symbol for low value
Doufu lou 豆腐樓 (tofu two-story house or tower, here referring to a restaurant) is a disparaging expression for a cheap, low-class restaurant where no decent food can be found.

Doufu zhang 豆腐賬 (tofu bill) refers to an incorrect bill or check. This idiom doesn’t imply an accountant’s bad intention but only his lack of conscientiousness.

Doufu nao 豆腐腦 (tofu brain) describes a moron or schmuck. Doufu nao 豆腐腦 was originally the name of a soft tofu dish in which broken-up tofu curd pieces are chaotically floating around in a bowl.

Doufu guan 豆腐官 (tofu government official) portrays either a low-rank sub officer or a non-dynamic official.

Doufu laohu 豆腐老虎 (tofu tiger) is a famous quotation from a speech by Mao Zedong 毛澤東. In 1958 the great chairman said (Mao, vol. 4, p. 98-99):

The reactionary, backward, decaying classes retained this dual nature even in their last life-and-death struggles against the people. On the one hand, they were real tigers; they devoured people, devoured people by the millions and tens of millions. The cause of the people's struggle went through a period of difficulties and hardships, and along the path, there were many twists and turns. To destroy the rule of imperialism, feudalism and bureaucrat-capitalism in China took the Chinese people more than a hundred years and cost them tens of millions of lives before the victory in 1949. Look! Were these not living tigers, iron tigers, real tigers? Nevertheless, in the end they changed into paper tigers, dead tigers, and bean-curd tigers.

In this passage we can, despite the fact that they are not mentioned in the proper word order, define three logically opposite pairs: living tiger - dead tiger, iron tiger - bean-curd (or tofu) tiger, and real tiger - paper tiger. So we can trace here again tofu as a symbol for softness or weakness.

The colloquial idiom doufu zha 豆腐渣 (tofu residue), the remaining dregs of the tofu-making process only used as pig food, labels the lowest of the lowest. It can be applied to either persons or things. Doufu zha gongcheng 豆腐渣工程 (tofu-dreg construction) characterizes a poorly executed building project. Even the former Chinese premier Zhu Rongji 朱鎔基 used this idiom to express his dissatisfaction with a
jelly-built dam in Jiujiang 九江, Jiangxi 江西 Province, during an inspection in 1988 (http://zh.wikipedia.org/wiki/%E8%B1%86%E8%85%90%E6%B8%A3%E5%B7%A5%E7%A8%8B).

Mei you san kuai doufu gao 沒有三塊豆腐高 (not as tall as three pieces of tofu) depicts a tiny tot or squirt, and in a wider sense an immature or unimportant person. Amazingly enough, there is a very similar idiom in the German language, namely Dreikäsehoch (three cheeses tall), illustrating the respective importance of tofu and cheese in Chinese and German food culture.

Baishui zhu doufu 白水煮豆腐 (to boil tofu in water) means ‘very boring’ and derives from the fact that there is almost no taste to plain boiled tofu.

Xinkai doufu dian 新開豆腐店 (to start up a tofu shop) means ‘to be a newcomer’ or ‘to be a greenhorn’. This idiom can for example be applied to a person who is newly joining a game of cards and therefore has to deal the deck. Hence he has to make more efforts than the other players and furthermore is in a less favorable position, just as is the owner of a start-up venture.

2.4. Tofu as a symbol for whiteness

As we have mentioned above, due to tofu’s whiteness, in classical poetry it is often referred to as ‘white jade’ or ‘white tiger’. In modern spoken Mandarin, there are idioms using tofu to depict things of extreme whiteness, for example bai ru doufu 白如豆腐 (white as tofu) can still be heard. In a sexual context, this idiom can be used to describe the white breasts of a woman as we can learn from the title of a pornographic online movie entitled A high-class actress, her breasts soft and white as tofu (jipin nüyou,naizi nen bai ru doufu 極品女優, 奶子嫩白如豆腐).

There is also a whale shark species (Rhincodon typus) which, due its white flesh, is commonly called ‘tofu shark’ (http://baike.baidu.com/view/485890.htm). Its meat stir-fried with spring onions, garlic, chili and celery is highly regarded in southern Chinese cuisine.

3. PROVERBS (YANYU 諺語)

3.1. Tofu as a symbol for low value
One of the most common proverbs is *tiao guo yulan chi doufu* (jumping over the fish basket to eat tofu), which depicts a stupid person who prefers a low-value item to a high-value one and hereby skips a good opportunity.

*Tie zui doufu jiao shi huo duo bu tuo* (with an iron mouth and tofu feet you cannot escape danger) is said about persons who get into trouble because they have a big mouth but no real ability.

*Kan ziji yi duo hua, kan bie’ren doufu zha* (regarding yourself as a flower, regarding others as tofu dregs) refers to people who are esteem themselves but look down on others.

### 3.2. Tofu as a symbol for health food

*Tiantian chi doufu, bing cong nali lai* (how can you get sick when you eat tofu daily) refers to the high nutritional value of tofu which when consumed daily may prevent disease because it has a low calorie count, large amounts of protein, and little fat. It is high in iron and, depending on the coagulant used in manufacturing, may also be high in calcium and magnesium.

*Qingcai doufu bao ping’an* (green vegetables and tofu maintains your wellness) is another proverb using tofu, in combination with green vegetables, as a symbol for health food. It also implies the self-complacency attributed to vegetarians.

*Chi rou bu ru chi doufu, you sheng qian you zi bu* (eating meat is not as good as eating tofu, you both save money and gain nutritional value) accredits the high protein value of tofu but which is, unlike meat, low in fat and calories. It also emphasizes its cheap purchasing price wherein tofu in China is often called ‘the meat of the poor’.

### 4. TWO-PART ALLEGORICAL SAYINGS (XIEHOUYU 歇後語)

In this section we discuss Chinese two-part allegorical sayings, which can be defined as proverbs consisting of two elements, the former segment presenting a novel scenario while the latter provides the rationale thereof. One would often only state the first part, expecting the listener to know the second.
4.1. **Tofu as a symbol for softness**

_Doufu diao zai hui litou – chui ye bu neng chui, pai ye bu neng pai_ 豆腐掉在灰裏頭 – 吹也不能吹，拍也不能拍 (tofu dropped into dust – you can neither blow nor brush it off) characterizes a hopeless effort since it is just as impossible to get rid of dust adhering to a soft piece of tofu. This saying can be traced back in the slight variation _doufu diaodao huìwo li to – chui bu de, da bu de_ 豆腐掉到灰窩裏 – 吹不得，打不得 to Chapter Eighty-four of the Qing novel _Xingshi Yinyuan Zhuan_ 醒世姻緣傳 attributed to Pu Songling 蒲松齡 (1640-1715) (Xingshi Yinyuan, p. 957).

_Ma weiba chuan doufu – ti bu qi lai_ 馬尾巴穿豆腐 – 提不起來 (tying tofu to a horse’s tail – it doesn’t hold up) depicts a similar waste of energy because the hair of a horse’s tail cannot grab tofu. A synonym to this proverb is _Ma sheng kun doufu – bu ti ye ba_ 麻繩捆豆腐 – 不提也罷 (using a hemp cord to tie up tofu – it won’t hold up). One literary quotation of this saying is in Chapter Six of Cao Ming 草明 (1913-2002)’s novel _Chengfeng Polang_ 乘风破浪, published in 1959 (Cao, p. 118).

_Kuai dao da doufu – liang mian guang_ 快刀打豆腐 – 兩面光 (cutting tofu with a sharp knife – both sides shine) describes the result of using a sharp knife for cutting soft things like tofu, which is that both sides of the cut item have clear-cut, shiny edges. This saying refers to glib, sleek people who overdo trying to please everybody. Written evidence can be found in early modern literature like Li Boyuan’s 李伯元 (1867-1906) anthology _Huo Diyu_ 活地狱, published 1903-1906 (Li, Bo, p. 176).

4.2. **Tofu as a symbol for low value**

_A very common and popular two-part allegorical saying is _Guan Gong mai doufu – ren qiang huo ruo_ 閻公賣豆腐 – 人強貨弱 (even if Duke Guan would sell tofu himself – the merchandise would still be inferior ). This proverb has many variations but all of them basically emphasize the fact that even if such a strong man as Duke Guan, later canonized as the Chinese god of war, would sell a weak product like tofu, he won’t succeed, or more generally speaking that even the best salesman cannot sell inferior merchandise. In some cases it is also used to describe people with a strong appearance but poor abilities. This saying traces back to Chapter Seventy-eight of the famous Ming novel _Jin Ping Mei_ 金瓶梅 where it can be found in two variations with different meanings depending on the edition quoted. In Chapter Fifty-seven of the same novel (Wei, vol.2, p. 251) we can discover the saying _Guan Da Wang mai doufu – gui ye meide shang men_ 閻
大王賣豆腐 – 鬼也沒得上門 (if King Guan would sell tofu – even ghosts won’t dare to go there) which illustrates the above-mentioned situation’s opposite point of view, that even if someone wants to buy a weak product like tofu, he doesn’t dare to buy it from such a strong man like King Guan. This saying means that a strong man is still a strong man even if he has to deal with inferior matters.

Doufuzha shang chuan – bu shi hao huo 豆腐渣上船 – 不是好貨 (freighting a boat with tofu dregs – it’s not good merchandise) points to things which are worth nothing or people who are guilty of misconduct.

Doufuzha tie menshen – bu tie ban 豆腐渣貼門神 – 不貼板 (pasting on door-god prints with tofu dregs – they won’t hold up) refers to the out of place use of an inappropriate tool or to things or people not fitting together. Written evidence of this saying can still be found in modern novels, for example in the slight variation doufuzha tie menshen – liang bu zhanbian 豆腐渣貼門神 – 兩不粘邊 (pasting on door-god prints with tofu dregs – both sides don’t stick together) in Wu Jianqing 武劍青 (born 1931)’s novel Yun Fei Zhang 云飛嶂, published in 1978 (Wu, p. 151-152).

4.3. Tofu as a symbol for whiteness

The saying xiao cong ban doufu – yi qing er bai 小蔥拌豆腐 – 一青二白 (tossing spring onions with tofu – the mixture is green and white) which uses tofu as a symbol for whiteness points to an obvious fact but is also a play of words with the homophone characters qing 青 (green) and qing 清 (pure). The idiomatic expression yi qing er bai 一清二白 describes purity and flawlessness or in a wider sense ethicality and incorruptibility, for example of politicians and civil servants. There are numerous literary quotations of this saying in modern works, such as in Chapter Twenty-two of Liu Qiang 刘江 (born 1925)’s novel Taihang Fengyun 太行风云, published in 1962 (Liu, p. 165).

5. CONCLUSION

In this paper we examined the use of tofu as a symbol in spoken Mandarin. After having presented selected representative idioms, proverbs and two-part allegorical sayings, we can finally conclude that tofu – due to its soft, tender, and moist qualities – is basically associated with the Yin 陰 principle of the Yin 陰–Yang 陽 (shade and light) concept. Hence, tofu in spoken Mandarin is often used as a symbol for sex, softness, low value, and whiteness or in a wider sense purity or health. We have also shown that although
some idioms, proverbs and two-part allegorical sayings can be traced back to classical Chinese literary sources, they are still frequently encountered in modern spoken Mandarin usage.

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Only works quoted in the text are included in the references since the same idioms, proverbs and two-part allegorical sayings can be found in numerous different dictionaries, anthologies and websites. In addition, the large number of those used by the author for his work would cause the references to be out of proportion for an average research paper.


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THE ISSUE OF DENIAL IN F. SCOTT FITZGERALD’S “AN ALCOHOLIC CASE”

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ABSTRACT

Several scholars claim F. Scott Fitzgerald was in denial concerning his alcoholism. Fitzgerald was, however, well aware of the severity of his dependence upon alcohol and clearly understood the consequences associated with his excessive drinking. Fitzgerald’s self-portraiture through the cartoonist in “An Alcoholic Case” demonstrates the writer’s recognition of his alcoholism.

Of all the American writers associated with alcoholism, F. Scott Fitzgerald is perhaps the most famous, rivaling Edgar Allan Poe and Fitzgerald’s contemporaries Ernest Hemingway and William Faulkner. Whether or not Fitzgerald was alcoholic is beyond question, but the degree by which Fitzgerald recognized or acknowledged his addiction raises debate. Most of the criticism pertaining to Fitzgerald’s alcoholism suggests Fitzgerald was in denial, proposing Fitzgerald understood he had a severe problem with alcohol and attempted repeatedly either to limit the quantity or to abstain entirely, but claiming Fitzgerald never internalized his lack of control over alcohol nor admitted he was essentially an alcoholic. Fitzgerald’s reputation for alcoholic debauchery has been embellished by several biographers who claimed to be his friendly acquaintances, but unlike Hemingway and Faulkner, Fitzgerald had a propensity to make a public spectacle of himself because of his low-tolerance for booze. Beginning with Arthur Mizener (1951) in his biography, critics such as Andrew Turnbull (1962), Scott Donaldson (1983), Matthew Bruccoli (2002), Andrew Hook (2002), E. Ray Canterbury and Thomas D. Birch (2006), among others, have argued Fitzgerald remained in denial to his death. The short story “An Alcoholic Case,” composed in December 1936 and published in Esquire in February 1937, suggests Fitzgerald was actually not in denial, and besides just considering himself a heavy drinker, he perceived himself a low-bottom alcoholic who was beyond any hope of recovery.

Numerous studies address the issue of Fitzgerald’s denial. When Zelda was hospitalized, Fitzgerald resented any accusation his drinking contributed to his wife’s emotional problems, justifying that he knew Zelda was “a drunkard” (Dardis, 1989 at 118) when he first met her. Tom Dardis (1989) writes, “Fitzgerald and [his wife] Zelda had trouble with drinking right from the start [in the 1920s]. In the early days it took very little to make them drunk; after riotous misconduct at parties, they passed out very quickly and were put to bed by their hosts, who rapidly grew accustomed to such behavior” (102). Dardis (1989) further comments, “Fitzgerald refused to see that he had become powerless over alcohol, even with the evidence of all the pain and agony of repeated disasters staring him in the face. He was perfectly aware [. . .] that the
cost would be high if he continued to drink but was quick to flare up in anger if the subject was broached” (152). Thomas Gilmore (1987) points out as early as the mid-1920s, while Fitzgerald was composing *The Great Gatsby*, the author was in denial: “his drinking had become unmistakingly alcoholic. One of the most significant changes in Fitzgerald, both as a person and as a writer, was a change that befalls virtually every alcoholic: a powerful, often unconquerable urge to deny his alcoholism” (100). Shelia Graham, Fitzgerald’s mistress during his last three and a half years, arranged in 1939 for Fitzgerald to talk to a psychiatrist about his drinking, an opportunity Fitzgerald ignored, and she also recommended he try Alcoholics Anonymous, then in its infancy (Reilly, 2005 at 101). Gilmore (1987) states, Fitzgerald “dismissed [AA] with confident contempt as being of use only for weaklings—implying, of course, that he was strong enough to stop drinking any time he chose to” (100-01). One of Zelda’s physicians, Dr. Benjamin Baker, asked Fitzgerald to call him whenever he felt like drinking, but Fitzgerald never took this seriously (Reilly, 2005 at 73). Donald Goodwin (1990) places Fitzgerald’s denial in the context of dual personality, claiming Fitzgerald’s psyche was “not one set of contradictions but many” (45). Goodwin (1990) believes Fitzgerald had high self-esteem on the surface but actually felt inadequate in most social settings, and to acknowledge this would mean to admit his denial. Goodwin (1990) assumes this is a primary reason why Fitzgerald drank: “it brought him closer to people and relieved his tortured sensitivity. People meant more to Fitzgerald than anything else. He yearned to be close to them, intimate, involved. His shyness prevented it and so did his fear of rejection, of having his own inadequacy exposed and his sense of importance shattered. Alcohol was a bridge” (48).

Studies of “An Alcoholic Case” support the position Fitzgerald was in denial. Arthur Waldhorn (1996) argues the story “aspires to, even if it falls short of, didactic cogency and aesthetic resolution” because Fitzgerald “believes at last that his fictional character, like himself, deserves both censure and compassion. What Fitzgerald could not acknowledge was that an alcoholic’s first step toward recovery is to admit his alcoholism. His inability to do so lends a sad irony to the nurse’s final, misguided insight” (252). Waldhorn (1996) finds fault in Fitzgerald’s narrative technique of viewing the events in the story through the nurse’s point of view, but he agrees that the sympathy the nurse gives her patient is comparable to the kind of comfort Fitzgerald craved from others to help him deny his problem (251). As Waldhorn (1996) states, “As long as the nurse is sorry for the cartoonist, the alcoholic’s path to self-pity and denial stays open” (252). Gilmore (1987) believes the weak characterization is a deliberate method for Fitzgerald to avoid his own alcoholism: “After the early 1920s, Fitzgerald apparently found it too painful to write a full and honest portrait of a heavy or alcoholic drinker; except for two or three of the shortest portraits, there are always signs of evasion, of a desire to mitigate the harsh ugliness of alcoholism. In short, Fitzgerald’s denial of his own alcoholism had a consequence disastrous for any writer: it compromised his integrity” (101). However, Gilmore (1987) adds, “The excellence of some of Fitzgerald’s stories about alcoholism in the 1930s suggests that he must have had periods when he was able to be honest and therefore shrewdly perceptive about his own. But [...] Fitzgerald also clung to the denial more typical of the alcoholic, and this may help to explain why he continued to write weak (that is, evasive and dishonest) stories about alcoholics” (111). George Monteiro (1987) points out Fitzgerald allows the cartoonist to control his own destiny and to suffer his own fate (114), continuing that the portrayal exhibits “the self-pitying side” of Fitzgerald and shows him “at his most honest” (115). Monteiro (1987) argues Fitzgerald is ultimately fictionalizing the “The Crack-Up” articles in “An Alcoholic Case” (115).
At the time Fitzgerald was writing his story in late 1936, he had finished “The Crack-Up” pieces and was at low place in his life. As Fitzgerald’s alcoholism increased, his creative productivity lessened. Fitzgerald could write stories while drinking, but he could not create novels because he was incapable of maintaining the sharpness necessary for complex plots. Partially because of the Depression, he was receiving less money for his stories—from $4,000 to $2,500 to a meager $250 per story, the price paid for “An Alcoholic Case” (Reilly, 2005 at 78, 85)—at a time when he was financially burdened with Zelda’s hospital costs and his daughter Scottie’s boarding expenses. His book royalties were bringing in little income, and Fitzgerald borrowed considerable amounts of money from his editor Maxwell Perkins, his agent Harold Ober, and his Princeton roommate John Biggs. Ill from his tuberculosis, Fitzgerald traveled back and forth from North Carolina and Maryland while Zelda received treatment at Highland Hospital in Asheville. Fitzgerald considered himself publically humiliated by Hemingway’s reference to “Poor Scott Fitzgerald” in the story “The Snows of Kilimanjaro,” he had broken his shoulder in a diving accident, his mother passed away, as did his drinking buddy Ring Lardner, and Michael Mok presented Fitzgerald as a broken-down drunk in an interview for *The Saturday Evening Post*. Mok titled the article “The Other Side of Paradise/Scott Fitzgerald, 40,/Engulfed in Despair/Broken in Health He Spends Birthday Re-/gretting That He Has Lost Faith /in His Star,” and he described Fitzgerald in the following manner: “jittery jumping off and onto his bed, his restless pacing, his trembling hands, his twitching face with its pitiful expression of a cruelly beaten child. . . . his frequent trips to a highboy, in a drawer of which lay a bottle” (qtd. in Reilly, 2005 at 90). Although he had been hospitalized for alcoholism several times—between 1932 and 1937, he had nine stays in Johns Hopkins Hospital (Reilly, 2005 at 73)—Fitzgerald believed Mok’s portrayal was slanderous and attempted suicide by drinking a bottle of morphine. He had threatened suicide shortly before this with a pistol, and a nurse was assigned to stay with him “to help control his drinking” (Waldhorn, 1996 at 246). In 1938, because of drinking bouts lasting a week or more, Fitzgerald needed twenty-four hour nursing care as well as an intravenous feeding tube to stay alive (Reilly, 2005 at 142). Through “The Crack-Up” essays, Fitzgerald was able to vent his frustrations. Hemingway thought Fitzgerald was airing his alcoholic dirty laundry in public, and John Dos Passos believed Fitzgerald’s suffering should have been filtered into a novel (Monteiro, 1987 at 111). Surprisingly, Fitzgerald never mentions drinking in the essays as one of the reasons for his emotional collapse in the mid-1930s. Three months after the Mok interview, Fitzgerald wrote “An Alcoholic Case,” one of nine stories he composed for *Esquire* in 1936.

The story is relatively short for a Fitzgerald piece, but Fitzgerald was writing shorter stories at this time than he had previously, and what critics consider weak characterization and unrealistic or inappropriate point of view are actually its strengths. Through the nurse’s thoughts, feelings, and reactions, Fitzgerald describes realistically how someone who is not alcoholic attempts to understand someone who is alcoholic. Comparable to Raymond Carver’s minimalist stories in both content and form, Fitzgerald steps outside of his own addiction and tries to communicate the subtle madness of alcoholism without social commentary or artificial melodrama; through this neutral lens, he is on the outside looking in. He neither preaches, condemns, nor vindicates. Instead, he provides an objective scene illustrating how even someone trained medically is incapable of truly helping the alcoholic who will not take the initiative to help himself. The nurse can only offer emotional support, which is incredibly frustrating for this caregiver who wants to make a sincere difference. In June 1937, Fitzgerald had made out his will before
moving to Hollywood to write screenplays, an action that caused Ober, Biggs, and others to wonder if Fitzgerald was anticipating his own demise (Reilly, 2005 at 92). Regardless, “The Crack-Up” essays, his will, and “An Alcoholic Case” added together suggest Fitzgerald was taking a definite personal inventory, and he undoubtedly realized in his heart that he was alcoholic. When he composed this story, Fitzgerald must have known how difficult recovery would have been, probably impossible from his perspective. As the cartoonist, Fitzgerald understands his fate and is resolved to accept it. The nurse is the agent of denial who fosters the fantasy she can possibly cure the alcoholic. Mrs. Hixson is the agent of acceptance who understands the real consequences of alcoholism and holds the cartoonist responsible for his actions.

The Cartoonist only has three actions in the story, breaking the bottle against a corner in the bathroom, attempting to attach his cufflinks for his date with the President’s secretary, and putting out a cigarette on the copper plate on his rib. He is congenial and affable during sarcasm that is both flirtatious and desperate. When he tries to wrestle the gin bottle from the nurse, he asks “Would you like some beer?” (204), and when he notices the nurse’s return he remarks, “Glad you’re back [...] something told me you’d come back” (210) and shows her a comic strip drawn just for her. The significance of the scene is how the nurse interprets his movements, his comments, and his motivation. What he does not say is perhaps the most significant feature of the entire story. After he decides not to get dressed and extinguishes the cigarette, he fixates his stare toward the bathroom, his face “handsome, [...] weak and defiant” (213), expressing the terrifying “Will to Die” (212). The nurse realizes he has internalized the urgency of his situation, and the “unmistakable odour” (213) of stale alcohol is the acrid stench of his impending, albeit premature, mortality.

Mrs. Hixson is the seasoned veteran concerning substance abuse, and similar to the cartoonist, she is a realist about addiction. When she speaks to the nurse after her first encounter with the alcoholic, Mrs. Hixson anticipates that there were problems, but, of course, the nurse minimizes the episode of the bottle breaking. While Mrs. Hixson speaks on the phone, she says “I will do what I can” (208), and this is her approach toward treatment. She suspects the cartoonist is not acting “decently” and makes the offhand comment, “He’s an invalid he-man. [...] They belong in the sanatoria” (208). To emphasize Mrs. Hixson’s no-nonsense attitude, Fitzgerald describes her as “a very efficient woman” who had “gone through the worst of it, had been a proud, idealistic, overworked probationer, suffered the abuse of smart internees and the insolence of her first patients” (209). Mrs. Hixson’s final statement could be Fitzgerald’s definition of his own alcoholism: “you never can tell—some alcoholics are pleasant and some of them are not, but all of them can be rotten” (210). Fitzgerald was pleasantly polite while sober but maliciously antagonistic while drunk, and he undoubtedly attributed this same quality to his fictional counterpart.

The nurse is a romantic who believes she can make a difference in the cartoonist’s alcoholic life, but because she does not understand how he craves booze both physically and psychologically, she becomes during the short time codependent and minimizes his dysfunction, perceiving her job of rationing his drink “part of [a] game” (206). Granted, her job is one of codependence by dishing out alcohol in small portions, as was the medical practice at the time, and her primary purpose is to make sure the alcoholic does not overly self-medicate. Noteworthy is that Mok described a similar scene in his article of how a nurse rationed liquor to Fitzgerald. The initial fight over the gin bottle presents the cartoonist’s intense craving for
liquor, and the nurse scolds him as she would a child who would not relinquish a toy. She says “come on” four times in the first paragraph, adding “Don’t start drinking again!” (204). The first sentence indicates her sense of futility: “Let—go—that—oh-h-h!” (204). Finally, she offers reverse psychology: “All right, drink your fool self to death” (204). Ironically, he will eventually accomplish this goal, as did Fitzgerald. When the nurse goes back to the cartoonist, she considers the possible futility of her job: “She was going to take care of him because nobody else would, and because the best people of her profession had been interested in taking care of the cases that nobody else wanted” (210). In the back of her mind, however, she intends to become the cartoonist’s “Florence Nightingale” (209), whom she specifically thinks about while caring for her patient.

Throughout the story, the nurse asks questions or makes comments that display her ignorance yet eagerness to learn about alcoholism. She states, “Don’t you believe in anything?” (204), “You’re too good a man to do this to yourself” (206), “This isn’t what I ought to be doing. And this isn’t what he ought to be doing” (206), and “You don’t know how people talk about you, no matter what you think of yourself—” (206). Although trained as a nurse, exposed to the limited information about addiction available to healthcare professions at the time, she simply does not understand his condition. After he breaks the gin bottle, she relies on objective information, something with scientific validity, to record his vital signs, and she diminishes the violent struggle—perhaps not abusive, but violent nonetheless—in her chart. In her discussion with Mrs. Hixson, the nurse brushes off the event as “Oh, it wasn’t bad. [. . .] He didn’t know what he was doing and he didn’t hurt me in any way. [. . .] He was really nice all day yesterday” (208), and she takes up for the cartoonist by lying, “‘He’s never done anything to bother me’ [. . .] ‘You can’t treat them as if they were committed—’ ” (207). Although she specifically asks not to be assigned alcoholic cases and considers how unhappy she has been with this case, she is drawn to the irrationality of the alcoholic’s situation: “she had been thinking about the annoyance of an alcoholic. When she came up to the suite and found him all helpless and distraught she would despise him and be sorry for him” (210). After the nurse sees a picture of the cartoonist and his family taken five years earlier, she thinks, “It was so utterly senseless” (207), emphasizing how illogical the cartoonist’s case is to her. While putting in the cufflinks, the cartoonist snaps at the nurse, “All right, but I want to do it myself” (211). The nurse feels as if she must codependently help the man with such an easy task as closing clamps, and she responds, “Why can’t you let me help you? [. . .] Why can’t you let me help you with your clothes? What is a nurse for—what good am I doing?” (211-12). Through the nurse’s frustration, Fitzgerald reveals his own realization that nobody (not Zelda, Perkins, Ober, later Graham, whom he met in July of 1937, only months after the publication of “An Alcoholic Case”) could emphatically understand his alcoholism. The last section of the story reiterates this point. At the agency, the nurse “tried to express” (213) what she had experienced with the cartoonist but is unable to articulate clearly what had occurred. She is incapable of understanding his alcoholism: “it’s not like anything you can beat—no matter how hard you try. This one could have twisted my wrists until he strained them and that wouldn’t matter so much to me. It’s just that you can’t really help them and it’s so discouraging—it’s all for nothing” (213).

This last sentence is definitely Fitzgerald’s acknowledgement of the dire nature of his own alcoholism. Prophetically, there are two details in the story that relate directly to Fitzgerald’s life. The cartoonist wants to get a morning paper with a summary of the Yale-Dartmouth game, and Graham reported that Fitzgerald was reading a football report about the Princeton team when
he suffered his deadly heart attack. The nurse starts to read *Gone with the Wind*, the screenplay on which Fitzgerald contributed while in Hollywood. After Fitzgerald published “An Alcoholic Case,” he wrote screenplays in Hollywood, lobbied to have “Babylon Revisited” made into a film, and began what he believed would become his greatest novel, subsequently titled *The Last Tycoon*. Graham felt she was Fitzgerald’s saving grace, stating in several memoirs Fitzgerald tried to stop drinking to maintain their relationship. Graham published several books with Fitzgerald more or less as the focus: *Beloved Infidel* (1958), *Confessions of a Hollywood Columnist* (1969), *The Garden of Allah* (1970), *How to Marry Super Rich* (1974), and *The Real F. Scott Fitzgerald* (1976). Robert Westbrook (1995), Graham’s son, published *Intimate Lies*, which borrows generously from Graham’s *Beloved Infidel*. In *Beloved Infidel* (1958), Graham summarizes conversations she had with Fitzgerald in which he promised to abstain from alcohol out of love for her, although she is obviously embellishing Fitzgerald’s words to support her interpretation of her role concerning his drinking (234). Graham nursed Fitzgerald back to health after he went on one of his worst benders while at Dartmouth with Bud Schulberg on a fact-finding mission for the screenplay *Winter Carnival* (Canterbery and Birch, 2006 at 333), and she tried her best to persuade him to stop drinking, but Graham probably understood Fitzgerald’s alcoholism as well as the nurse understood the cartoonist’s. Graham thought Fitzgerald only drank nine of the forty-two months he was in Hollywood (qtd. in Reilly, 2005 at 143), but Fitzgerald’s last secretary, Lucy Kroll Ring, revealed Fitzgerald drank wine with her while Graham was out of town in the autumn of 1940, even though he knew Graham might leave him if he were caught (Reilly, 2005 at 144). Fitzgerald’s impression of the relationship did not match Graham’s, as perhaps demonstrated by Graham’s discovery of Fitzgerald’s notation of “My prostitute” on the back of one of her portraits placed lovingly on a table by his bed. Many people in Hollywood believed Fitzgerald had substituted prodigious amounts of Coca-Cola for gin, but Fitzgerald was in all likelihood still drinking heavily. His secretary confessed one of her jobs was to put empty gin bottles in a burlap sack and sneak them out of Fitzgerald’s office.

Fitzgerald’s reluctance to participate in the treatments at the time does not mean he was in denial but simply suggests he wanted to address his alcoholism on his own terms and through his own decisions, just as the cartoonist does in “An Alcoholic Case.” Moreover, Fitzgerald clearly attempted to achieve sobriety but did not necessarily try to complete recovery; the former relates to not drinking, and the latter refers to initiating meaningful life changes. In a letter to Ober in 1939, Fitzgerald writes, “Anyhow I have ‘lived dangerously’ and I may quite possibly have to pay for it, but there are plenty of other people to tell me that and it doesn’t seem as if it should be you” (qtd. in Reilly, 2005 at 152). Fitzgerald had not been drinking when he experienced the series of heart attacks before the massive one that killed him. He was genuinely trying to stop drinking. Previously, his efforts consisted of avoiding “real” drinking by often guzzling over thirty beers a day. In the end, he was trying to avoid all alcohol, but the damage to his body was already extensive, and he would indeed “pay” the price for this abuse. Fitzgerald knew exactly what he was facing in terms of his addiction, he realized the deadly nature of his affliction, and he poignantly depicts the reality of his alcoholism in “An Alcoholic Case.” If Fitzgerald were indeed in denial, he would never have been able to create such a powerful story about the calm desperation associated with alcoholism. When Fitzgerald met people in the early 1920s, he would say, “I am very glad to meet you, sir—you know I’m alcoholic” (Dardis, 1989 at 103). Contrary to what most people believed, Fitzgerald was not joking.
REFERENCES


THE INFLUENCE OF PERSONALITY TRAITS ON VOTER BEHAVIOR AND PARTY MEMBERSHIP USING THE FIVE FACTOR PERSONALITY INVENTORY

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ABSTRACT

The researcher has used the five-factor personality inventory, (extraversion, agreeableness, conscientiousness, neuroticism, and openness), to analyze the interactions of personality and voter party membership and behavior in the United States. The party memberships are examined as membership in democratic, independent and republican party and voting intentions as liberal, moderate left, moderate, moderate right and conservative. The influence of demographic variables (age, gender and income) on personality dimensions and on voting intentions is also examined. Openness was the only personality trait that demonstrated any significant difference in party membership and voting intention. Older respondents scored higher on openness. Higher income respondents were less neurotic that lower income respondents. Older respondents scored lower on neuroticism. Democrats had significantly higher income than republicans.

Keywords: Political marketing, intention, personality, five factor personality inventory

Introduction

Psychological attributes affect the voting behavior of the individual voter, (Books and Prysby 1988, 211; Eulau 1986). Voters chose political parties and vote for candidates instinctively making choices under psychological forces such as fear and selfishness. One of these psychological determinants of voter behavior is personality. Personality can be defined as “those inner psychological characteristics that both determine and reflect how a person responds to his/her environment” (Wilkie 1994, 109). Personality “involves systems of distinctive self-regulatory mechanisms and structures for guiding cognitive, affective, and motivational processes toward achieving individual and collective goals, while preserving a sense of personal identity” (Bandura 1997; Caprara 1996; Caprara, Barbaranelli and Zimbardo 1997; Mischel and Shoda 1995).
In marketing, no consensus has been reached about not only how personality affects consumer behavior but also whether it influences consumer behavior at all. Some of the marketing researchers (e.g., Bruce and Witt 1970; Gruen 1960; Kassarjian and Sheffet 1991) have a negative attitude toward personality within the field of marketing. Alternatively, there are researchers such as Albanese, (1990, 1993) Claycamp (1965), Foxall and Goldsmith (1989), and Koponen (1960) who studied personality to explain general patterns of behavior and obtained positive results.

Researchers have concluded that personality characteristics are likely to influence consumer product choices, how they respond to promotional efforts, and how they consume products (Haugtvedt, Petty and Cacioppo 1992; Martineau 1975). In marketing, determining specific personality characteristics that will influence consumer behavior is extremely useful for a firm to segment its market (Schiffman and Kanuk 2004). In political marketing, some personality characteristics can also be expected to influence voting behavior. Voters’ personalities affect how they process political information. Knowing their potential and current voters’ personalities, political parties might have a chance to develop campaigns and design messages that will attract these personalities. In addition, it is known that personality functions simultaneously with belief and value systems. This interrelated system affects how the voters acquire, integrate, and retrieve political information about candidates and parties (Fiske and Taylor 1991; Greenwald 1980).

This study is an attempt to investigate specific personality traits within the political behavior construct. The respondents having certain party membership and political orientations are evaluated with respect to their scores on five personality traits (i.e., extroversion, agreeableness, conscientiousness, neuroticism, and openness). The influence of demographic factors and personality traits on political orientations and party membership of the respondents (intentions) is explored. Moreover, the effects of demographic variables on the five personality traits and on intentions are analyzed.

**Theoretical Background**

**Personality and Trait Theory**

Many theories have been developed to understand personality. Some of these theories (e.g., Freudian and Neo-Freudian theories of personality) determine personality characteristics by qualitative measures such as observation, analysis of dreams, projective techniques, or the individual’s self-reported experiences. These measures require the interpretation of the researcher, which can be somewhat subjective. However, trait theory measures personality empirically by formulating personality as the sum of predispositional attributes called traits. Trait is defined as “any distinguishing, relatively enduring way in which one individual differs from another” (Buss and Poley 1976). There are mainly three assumptions related to trait theory (Blackwell, Miniard and Engel 2001, 213):

- Traits are common to many individuals and vary in absolute amounts among individuals.
- Traits are relatively stable and exert nearly universal effects on behavior.
- Traits can be understood from the measurement of behavioral indicators.

Trait theorists are concerned with the development of personality tests, which are also called inventories to determine differences among individuals in terms of specific traits. Marketing researchers attempt to understand the relationship between personality traits and consumer behavior. The studies offer conflicting results because of an inadequate trait measure. Consequently, researchers work on construction, development, and/or improvement of trait inventories that will produce consistent results.
Political marketing scholars are also interested in investigating the effects of personality on voting behavior. In the literature, personality traits such as authoritarian personality (Adorno, Frenkel-Brunswilk, Levinson and Sanford 1950), tender vs. tough mindedness (Eystenck 1954), conservatism/dogmatism (McGlosky 1958; Rokeach 1960), alienation (Seeman 1959), are used to explain voter behavior. Personality theories can be used to determine the relationship between personality and political choice. It will be useful for political marketers to understand the link between personality traits and voter choice in terms of political ideology.

**Personality Inventories and Five Factor Personality Inventory**

In general, personality studies dealing with traits are directed to develop scales that measure specific personality traits in-depth such as Goldsmith and Hofacker (1991) and Price and Ridgway (1983) who worked on developing a scale on innovativeness, Belk (1984) on materialism, Synder (1979) on self-monitoring. However, the Five Factor Model of personality is a model that combines and summarizes all principal individual personality traits. Therefore, it has the power to distinguish the individual personality differences (Digman 1990; John 1990; Wiggins 1996). The model has five main personality dimensions, which are named extraversion, agreeableness, conscientiousness, emotional stability and openness to experience.

The Five Factor Personality Model has been in existence for more than 70 years. Numerous studies support this model (Church and Burke 1994; Digman 1990; Goldberg 1999; John 1990; McCrae 1989; McCrae and Costa, 1991; Ostendorf and Angleitner 1992; Peabody and Goldberg 1989; Wiggins 1996). A short five-factor personality inventory developed from the International Personality Item Pool (IPIP) was implemented as an online questionnaire and completed by 2,448 participants. Following factor analyses, a revised version was created with acceptable reliability and factor scales. As preliminary evidence of construct validity, support was found for 25 hypothesized links with self-reports of relevant behaviors and demographic variables. In a replication using a different recruiting strategy to test for differences because of motivational factors, similar results were obtained. This set of scales appears to provide acceptable measures of the Five-Factor Model for use in Internet-mediated research.

The modified IPIP inventory evaluated here appears to have satisfactory psychometric properties as a brief online measure of the domain constructs of the Five-Factor Model (Buchanan, Johnson and Goldberg 2005).

**Research Design and Methodology**

**Research Objectives and Questions**

It is intended to determine personality differences in party membership and voting preferences of the respondents. This study is an exploratory study. It is expected to find that the voters in the Republican Party would score high on agreeableness, conscientiousness, and emotional stability. On the contrary, voters in the Democratic Party are expected to score higher on extraversion and openness. Aside from personality traits, environmental and socio-cultural factors may influence behavior. An individual’s social class, residence, income, etcetera, may change, causing a change in the voter’s behavior (Books and Prysys 1988, 211; Eulau 1986). Hence, other factors can be used to clarify the relationship between behavior and personality traits (Wilkie 1994, 119). Social and demographic factors may be influential not only to behavior but to personality, as well (Greenstein 1970). For instance, personality may change as the individual matures. Hence, demographic factors (e.g., age, gender, income, occupation, residence, education) may have an effect on personality (Gülmen 1979, 40–43).
Determining Effect of Personality Traits on Voter Behavior

The intent in this study is to investigate the influence of personality factors on five personality dimensions (extraversion, agreeableness, conscientiousness, neuroticism, and openness). The author has also included age, gender, income, geographic location, and voting preference to see what effects these might have on party membership. The research questions of the study can be summarized as:

- Do Republicans score higher on conscientiousness and agreeableness and low on openness?
- Do Democrats score higher on extraversion and openness?
- Do conservative voters score higher on agreeableness, and conscientiousness?
- Do liberal voters score higher on extraversion and openness?
- How does personality affect party membership in the United States?
- How does personality affect voting preferences in the United States?
- Is there any influence of demographic factors (e.g., age, gender, income) on personality factors and party membership?

Variables

The dependent variable of the research – Party membership and voting intentions of the respondents are the dependent variables. Independent variables of the research are the five personality dimensions extraversion, agreeableness, conscientiousness, neuroticism and openness and the four demographic factors age, gender, income and location.

Questionnaire Design

The questionnaire is composed of 41 questions to determine personality attributes and seven additional questions on demographics and party membership. In the 41 questions, 2 questions involve voting preference. “I tend to vote for the conservative candidate” and “I tend to vote for the liberal candidate.”

The statements are taken from Implementing a Five-Factor Personality Inventory for Use on the Internet (Buchanan, Johnson, and Goldberg 2005). Invitations to take part in the questionnaire were mailed out and collected during the period of October 15, 2011 and January 15, 2012.

Sample

The author sent out 1074 requests to take part in the survey trying to reach a population that consisted of an equal number of Republicans, Democrats and independent voters. These emails resulted in the return of 133 usable questionnaires. Once the surveys were received, the responses for each were entered into the The Online Five Factor Personality Inventory and scores for each of the five personality factors were obtained for each of the 133 respondents.

Statistical Analysis

SPSS Version 18.0 statistical program was utilized to analyze the data obtained. Frequency analysis of the sample was conducted. To see whether political orientation differs with respect to the selected personality traits, ANOVA, (Analysis of Variance), test was used. Discriminant analysis was conducted to examine the effect of personality traits on party membership and regression analysis was used to measure the effects of personality on political leaning. Five personality traits were the independent variables in each case.
ANOVA (analysis of variance) was conducted to examine the effects of gender, age, and income on personality traits. Five personality trait dimensions were treated as dependent variables.

**Results**

The Profile of the Respondents

The demographic characteristics of the sample are illustrated in Table 1. In the sample, 35% is Democrat, 22% independent, 14% neither Democrat, independent, nor Republican and 29% Republican. Of those surveyed, 52% were female, and 48% were male. In the survey, 15% are in their 20s, 37% are in their 30s, 26% are in their 40s, 23% are in their 50s and 24% of those surveyed are over 60 years of age. Of those surveyed, 30% had a gross family income less than $50,000, 39% have income between $50,000 and $100,000, 20% $100,000 to $150,000, 6% $150,000 to $200,000 and 5% of the respondents had an income of over $200,000. In terms of education, 2% have a grade school education, 8% completed high school, 27% have some college education, 30% are college graduates, and 33% have completed postgraduate studies. In terms of voting preferences, 33% tend to vote for liberal candidates, 14% consider themselves left of center, 20% consider themselves moderate, 16% consider themselves right of center and 17% consider themselves conservative. Regarding location, 32% of the respondents are in the Northeast of the USA, 14% are in the Southeast, 25% are in the Midwest, 20% are in the Southwest, and 11% are in the Northwest.

Determining Effect of Personality Traits on Voter Behavior

Results Related to Political Party and the Personality Traits

The results of the analysis of variance are displayed in Table 2 and Table 3. Republicans scored lower than other groups on openness. Post hoc tests confirm that there is a statistically significant difference between Republicans (openness mean = 21.87) and Democrats (mean =27.96) and independents (mean=26.34). There were no other statistically different means among political parties in terms of personality traits.

Democrats do score higher than the other two groups on extroversion but not statistically significant and are considerable higher than Republicans and independents and non-party members in openness and this is statistically significant.

There is a statistically significant difference between conservatives and the other groups in terms of openness. Post hoc tests reveal that conservatives are less open (mean = 19.96) than liberals (mean = 29.39) and moderates (mean = 24.7). Liberals have the highest score on extroversion but once again not statistically significant.

A discriminant analysis was done to determine the influence of the five personality factors on party membership. Openness was the most influential variable for the purposes of classification. This is not surprising since openness was the only statistically significant independent variable. The analysis did a poor job of predicting party membership; Press’s Q Statistic was only .15, far less than that required for statistical significance. The results are listed in Table 4.

• Cross validation is done only for those cases in the analysis. In cross validation, each case is classified by the functions derived from all cases other than that case.
• Of original grouped cases, 51.1% were correctly classified.
• Of cross-validated grouped cases, 51.1% were correctly classified.

A multiple regression analysis was then done to determine the correlation of the five personality factors to political leaning. The results are listed in Table 5. It showed that
personality contributed to 47.8% of the differences in voting tendency. Openness was the only factor that was statistically significant.

ANOVA was conducted to test how the demographic factors affect personality traits. (The income of respondents was divided into 5 groups, 1 through 5, from less than $50,000 to over $250,000). The education of the respondents was divided into 5 groups, 1 through 5 from grammar school to postgraduate. Older respondents scored higher on openness. Higher income respondents were less neurotic that lower income respondents. Older respondents scored lower on neuroticism. Results of this analysis are displayed in Table 6.

ANOVA was conducted to test how the demographic factors affect party membership. Democrats have significantly higher income means than Republicans and those with no party affiliation. Results are displayed in Table 7.

Determining Effect of Personality Traits on Voter Behavior

In general, Republican and conservatives score lower on openness than all other groups. This is the only personality trait where there is any statistically significant difference. Demographic factors were also found to have effects on personality. Age and income appear to have negative effects on conscientiousness. Income also had a negative effect on neuroticism. Education had a positive effect on openness.

Recommendations

This study includes five personality traits in the five factor personality inventory. Only one trait (openness) is found to have a highly significant effect on political leaning and party membership. In future studies, the effects of communication on these personality types could be studied. If liberal voters score higher on openness than independent and conservative voters, then the type of ad could be designed according to the audience that must be reached. In this respect, independent voters have become an influential voting bloc in presidential politics. Liberal and conservative candidates could tailor their messages to be more appealing to independent voters. Those scoring high on the openness factor are characterized as imaginative, daring and intelligent (McCrae and Costa, 1985). Because of the creative aspect, those high in openness to experience are likely to prefer a transformational ad that provides an experience for the viewer. In addition, openness to experience moderates the relationship between the type of ad exposure and attitude toward the ad. Those high in openness to experience will show a more favorable attitude for transformational ads than informational ads.


Table 1 Frequency

<table>
<thead>
<tr>
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<td>Democrat</td>
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<td>22</td>
</tr>
<tr>
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<td>14</td>
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<tr>
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<td>29</td>
</tr>
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<td></td>
<td>40-49</td>
<td>26</td>
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<tr>
<td></td>
<td>50-59</td>
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<table>
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<td>20</td>
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Table 2 ANOVA – Personality Traits and Political Party

**Personality Traits and Party Membership**

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<th>F Value</th>
<th>Sig.</th>
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.05 level of significance
Table 3 ANOVA – Personality Traits and Political Leaning

**Personality Traits and Political Leaning**

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<th>Sig.</th>
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<td><strong>Extroversion</strong></td>
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.05 level of significance
Table 4 Discriminant Analysis – Personality Traits and Party Membership

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<td>%</td>
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### Table 5 Multiple Regression Analysis – Personality Traits and Political Leaning

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Factor 1: \( b^* = -0.00 \)  
Factor 2: \( b^* = 0.132 \)  
Factor 3: \( b^* = -0.05 \)  
Factor 4: \( b^* = 0.052 \)  
Factor 5: \( b^* = -0.71 \)
### Table 6 ANOVA Openness/Education – Neuroticism/Income

#### Openness

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#### Neuroticism

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#### Neuroticism

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ANOVA was conducted to test how the demographic factors effect party membership.

Democrats have significantly higher income means than Republicans and No party. Results are displayed in Table 7.

Table 7 ANOVA Income/Party

Income

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THE IMPLICATIONS OF OPEN IMMIGRATION POLICY ON NATIONAL SECURITY: THE CASE OF 9/11 TERRORIST ATTACK ON UNITED STATES*

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ABSTRACT

On the 9th of September, 2001, the world was shocked by the most horrific foreign attack on United States Soil. The reason for the great shock was the unimaginable extent of the well planned attack by the terrorists group led by the Qaeda organisation with the Late Usama Bin Ladin as the main financial and central think thank. The planners and executors of this attacks were persons who entered the United States legitimately using student’s and visitor’s visa to enable them attend flights schools only to end up using the knowledge acquired in the course of their studies to attack the country that empowered them with such knowledge. Though the attackers capitalised on the long history of liberal and open immigration policy being practised by the United States. Since the attack on the twin towers of the world trade centre and the Pentagon, coupled with the wanton loss of nearly 3000 lives, the history of the world has never been the same again as it has been one attack or the other if not in the US then outside the US boarders but targeted on U.S citizens by groups associated with the Qaeda led Islamic fundamentalists. It is on this premise that this paper will examine “the implications of open immigration policy on national security: the case of 9/11 terrorist attack on United States” and other countries of the world.

Keywords: Immigration Law, Policy, National Security, Terrorists, United States
1.0 INTRODUCTION

One of the cardinal objectives of any government is the protection of lives and property and any government that fail in this responsibility is bound to be overthrown by social upheaval but this is not the case with US after the 9/11. In brief, on September 11, 2001, the largest assault on U.S. soil since the devastating surprise attack on Pearl Harbour in 1941 began when American Airlines Flight 11 crashed into the North Tower of the World Trade Centre in New York City. Approximately 20 minutes later, as the confused media and public struggled to determine the cause of the crash, the deafening roar and the dark shadow of United Airlines Flight 175 loomed overhead. As realization dawned that America was under attack, almost 30 minutes later, American Airlines Flight 77 struck the western side of the Pentagon in Arlington, Virginia. A passenger uprising grounds the fourth plane in Pennsylvania. Since this attack, security situation both in the United States and other parts of the world have heightened and there is no apology from security operatives to anyone who is affected in their efforts to ensure the security of the larger society as everyone has to pass through thorough immigration screening at all ports of entry.

2.0 Meaning of National Security

National security could be defined as the actions and policies taken by a nation against all internal and external threats to its borders, economy, and stability. It doesn’t have to be terrorism or an enemy nation, though it often is. Although often viewed as synonymous with protection from physical harm, the term “national security” rightly deserves a more expansive meaning, going beyond mere physical protection to encompass the protection of “vital economic and political interests, the loss of which could threaten the fundamental values and vitality of the state”. This broader sense of national security recognizes how economic and political interests serve as a touchstone of state power. Economic viability and strength contribute directly to security. So does adherence to values. Because “national security” policies and strategies in a democracy depend on public support, they must reflect “basic public values”.

2.1 Terrorist Attack on United States

Americans know that terrorism did not begin on September 11, 2001. Regrettably, its history is long and the first major terrorist attack on New York City’s financial district, for instance, did not occur on September 11, or even with the 1993 truck bombing of the World Trade Center. It occurred September 16, 1920, when anarchists exploded a horse cart filled

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1Anda1002., What is “National Security and How is it Important in American Government”? Available online at http://www.enotes.com/law/discuss/what-national-security-how-important-american78051
2Donald Kerwin and Margaret D. Stock., “National Security and Immigration Policy: Reclaiming Terms, Measuring Success, and Setting Priorities” pp.6-7
4Ibid., p.50
with dynamite near the intersections of Wall and Broad Streets, killing 40 people and 
wounding about 300 others. Starting with the assassination of President William McKinley in 
1901 and continuing with the bombings of the U.S. embassies in Tanzania and Kenya in 1998 
and the USS Cole in Yemen in 2000, American history in the 20th century was associated 
with one terrorist case or another. Americans also understand that they are not alone in the 
struggle against terror. Terrorists have left their mark in some way upon every country in the 
world. Citizens from some 90 countries died in the attacks of September 11. For decades, the 
United States and her friends abroad have waged the long struggle against the terrorist 
menace. Among the strategies employed include the creation of the Department of Homeland 
Security, the Domestic Nuclear Detection Office, Change in Immigration Policies and 
Securing of American Boarders through stringent visa control measures etc.

3.0 Creation of the Homeland Security

The most obvious change resulting from the 9/11 attacks stems from the creation of the 
United States Department of Homeland Security (DHS), and the development of a durable 
institutional framework for government policy in the critical infrastructure field. The 
Homeland Security Act was passed on November 25, 2002. This act significantly 
transformed the landscape of homeland security by combining 22 separate federal agencies 
under the umbrella of the newly created Department of Homeland Security. One of the most 
important provisions of this act relating to critical infrastructure was found in Title II(b), 
known as the Critical Infrastructure Information Act of 2002. This Act created the Protected 
Critical Infrastructure Information Program and amended the Freedom of Information Act 
(FOIA). This program and legislation allowed critical infrastructure owners and operators to 
share information related to homeland security with the Federal government while having 
that information protected from FOIA disclosure. The nature of the 9/11 attacks demonstrated 
the vulnerability of many transportation vectors to be attacked and to be used as a weapon. 
As a result, a number of laws were passed which attempted to secure the Transportation 
Systems Sector.

The first law that was passed was the Air Transportation Safety and System Stabilization 
Act, which provided economic support to the aviation industry. This was then followed by: 
The Aviation and Transportation Security Act of 2001, which established the Transportation 
Security Administration within the Department of Transportation as an agency responsible 
for security in all modes of transportation and authorized the use of Federal Air Marshals on 
all passenger flights. The Maritime Transportation Security Act of 2002 was passed in 
November 2002 to increase the security of ports. This Act was estimated to directly affect 
“10,000 vessels, 5,000 facilities and 40 outer continental shelf facilities” and requires security 
assessments and development and implementation of security plans.

6 2002 Homeland Security Act (Public Law 107-296)
7 Robert Miller., Some Changes in the Critical Infrastructure Field since 9/11, the CIP Report Vol.10. No. 3, 
September, 2011, p.2
8 Critical Infrastructure Information Act of 2002 (Public Law 107-296, 116 Stat. 745, enacted November 25, 
2002), 116 Stat. 2135
10 Ibid
11 The Maritime Transportation Security Act of 2002 (or MTSA) (Public Law 107-295) is an Act of Congress 
enacted by the 107th United States Congress to address port and waterway security. It was signed into law by 
President George W. Bush on November 25, 2002
12 Ibid
The Pipeline Safety Improvement Act of 2002\textsuperscript{13} aimed at improving pipeline security, a component of the Transportation Systems Sector, by improving pipeline operation, leak and damage prevention, monitoring and control systems.\textsuperscript{14} The Security and Accountability for Every (SAFE) Port Act was passed in 2006.\textsuperscript{15}

3.1 Creation of the Domestic Nuclear Detection Office

In 2005, the Domestic Nuclear Detection Office was created by a Presidential Directive with the goal of preventing radiological and nuclear attacks.\textsuperscript{16} The SAFE Port Act established this office in statute and required it to develop enhanced global nuclear detection architecture.” The Act also bolstered general requirements for container security, including a provision to scan all containers entering high volume ports for radiation sources and codified two more existing programs, the Container Security Initiative (CSI) and the Customs-Trade Partnership against Terrorism (C-TPAT). The CSI is a partnership between the U.S. government and foreign governments while the C-TPAT is a partnership between the U.S. government and private enterprise. Both are aimed at increasing the safety of trade.\textsuperscript{17}

3.2 Securing American Boarders

The United States, and indeed the world, changed irrevocably on September 11, 2001 when about 3000 citizens from more than 90 countries lost their lives. The openness to visitors on which the United States was founded was tested as never before, but the state department never lost sight of the importance of maintaining a balanced border security program.\textsuperscript{18}

According to Maura Harty, “there are approximately 7,800 consular employees working in 211 embassies and consulates overseas, as well as domestically in the State Department, 16 passport agencies, and two regional visa processing centres. They often perform their responsibilities in the face of hardship or even peril as the December 6, 2004, terrorist attack at the U.S. Consulate in Jeddah, Saudi Arabia, that killed five consulate employees. What sustains these public servants under difficult conditions is the goal of defending the United States far beyond its physical borders by preventing terrorists, transnational criminals, or others who would do the country harm from reaching the United States”.\textsuperscript{19}

In fact, following the first attack on the World Trade Center in 1993, the state department developed additional safeguards to the visa process to protect against the growing threat to American homeland. The technology to produce tamper-resistant, machine-readable visas was deployed to every embassy and consulate that processes visa applications. The

\textsuperscript{13}The Pipeline Safety Improvement Act of 2002 (Public Law 107-355, 116 Stat. 2985-3012)

\textsuperscript{14}Available online at http://www.enewsbuilder.net/aopl/e_article000502826.cfm. Visited 12 November, 2011

\textsuperscript{15}The Security and Accountability For Every Port Act of 2006 (or SAFE Port Act, Public Law 109-347) was an Act of Congress in the United States covering port security and to which an online gambling measure was added at the last moment. The House and Senate passed the conference report on September 30, 2006, and President Bush signed the Act into law on October 13, 2006

\textsuperscript{16}On December 7, 2003, HSPD-7, Critical Infrastructure Identification, Prioritization, and Protection, was issued by the Bush Administration. This directive established “a national policy for federal departments and agencies to identify and prioritize U.S. critical infrastructure and key resources and to protect them from terrorist attack.” 8 The NIPP meets the requirements of HSPD-7 and sets forth “a comprehensive risk management framework and clearly defined roles and responsibilities.

\textsuperscript{17}Nuclear Detection Domestic Nuclear Detection Office Should Improve Planning to Better Address Gaps and Vulnerabilities, GAO, January 2009


\textsuperscript{19}Ibid., pp.24-26
The department created the Consular Lookout and Support System (CLASS), which is used by passport agencies, embassies, consulates, and border inspection officials to perform name checks of visa and passport applicants in support of the adjudication and border entry processes. In addition, the department developed the U.S. government’s only terrorist information system, which was subsequently used as the foundation of the government’s terrorist watch list. From September 11, 2001 to the present, the department has undertaken a comprehensive review of all consular procedures. It has reviewed passport adjudication requirements to ensure that U.S. passports are kept out of wrong hands. By improving its security features and the adjudicatory process to determine who is entitled to possess a U.S. passport, the department safeguards the use of the world’s premier travel and identity document. To this end, the department completed a total redesign of the passport to include biometric technology and other augmented security features that will make it even more difficult to produce a counterfeit or for imposters to use.

3.3 Bureau of Consular Affairs and Visa Controls

Nowhere has the Bureau of Consular Affairs been more vigilant than with regard to visas. Among the many steps taken, the department strengthened internal controls and disseminated to the field more than 75 standard operating procedures that ensure that embassies and consulates worldwide implement procedures consistently.

The department also developed and deployed a new, tamper-resistant “Lincoln” visa that is more secure than ever before. System changes allow for more efficient exchange of information with law enforcement and other officials. Consular officials now collect much more information about each visa applicant, and the bureau’s visa information database also automatically cross checks new, derogatory information against records of previously issued visas.

Legislation passed in the wake of the September 11 attacks has also had a tremendous impact on consular operations. The Uniting and Strengthening America by Providing Appropriate Tools Required to Intercept and Obstruct Terrorists Act of 2001, better known as the USA PATRIOT Act, included a number of provisions that relate directly to consular affairs, including significantly enhanced information sharing among U.S. government agencies. The State Department relies on access to information developed by intelligence and law enforcement officials about suspected terrorists and others of ill intent in order to make decisions about who is eligible to receive a U.S. visa. The Enhanced Border Security and Visa Entry Reform Act of May 2002 requires, for example, that applicants from countries designated as state sponsors of terrorism be subject to an interagency review and a determination be made that the applicant does not represent a threat to U.S. national security before a visa can be issued. This legislation also tightens documentary requirements for participation in the Visa Waiver Program, which allows citizens of 27 nations to visit the United States for up to 90 days without first obtaining a visa. The Homeland Security Act of November, 2002 established a new framework for the formation and implementation of visa policy and has fostered enhanced cooperation between the State Department and the Department of Homeland Security. The department also worked closely with the 9/11 Commission and takes seriously the recommendations included in the commission’s report as well as the subsequent staff monograph that focuses on travel by terrorists.

3.4 Change in Immigration Policy

A U.S. passport, among the most valuable documents on the planet, can be sold on the black market for $10,000–$20,000 or even more. During the last fiscal year, the department issued 8.8 million passports.

Pat Miller, op. cit.


The terrorist attacks were carried out by individuals who came to the United States with student and visitor visas; therefore the immigration processes and border controls immediately became a central topic of concern in the aftermath of 9/11. Five sweeping antiterrorism measures that also affected immigration in critical ways were enacted in the next four years. These fell into three groups viz: Organizational Changes, Expanded Enforcement Powers within the United States, Visa Security, Immigration, and Border Controls.

4.0 Organizational Changes in Immigration Policy

Well before 9/11, the Illegal Immigration Reform and Immigrant Responsibility Act of 1996 (“the 1996 Act” or “IIRAIRA”) had required the INS to create a comprehensive “check in/check out” system for foreign visitors. This system had never been completed, but the task assumed a new life following the September 11th attacks. By the end of 2005, DHS had instituted “entry” (check-in) procedures for its U.S. Visitor and Immigration Status Indication Technology Program (US-VISIT) at 115 airports, 15 seaports, and 154 land ports-of-entry (in secondary inspection), and exit procedures at 13 airports and two seaports. US-VISIT is intended to verify the identity and run security checks on all temporary visitors to the United States, and will record their entry to and exit from the country. US-VISIT will ultimately subsume the Student Exchange and Visitor Information System (SEVIS), a student-tracking program that received significant attention after September 11th. It will likewise replace the National Security Entry/Exit Registration System (NSEERS) program. Though, before the 9/11 attacks on the US a new Office of Homeland Security within the White House was established by executive order “to develop and coordinate the implementation of a comprehensive national strategy to secure the United States from terrorist threats or attacks.” The Director reported to the President and was given broad authority to coordinate the efforts of federal, state, and local law enforcement agencies. However, following a series of congressional hearings in 2002 that highlighted critical failures in the government’s intelligence, foreign policy, and law enforcement performance, Congress passed the Homeland Security Act of 2002. It brought together some or all of 22 Federal Agencies into a new Cabinet Agency, the Department of Homeland Security (DHS). The agencies included the US Immigration and Naturalization Service (INS), which had been part of the Department of Justice and which was divided into three new agencies within the new DHS. Creating DHS represented the largest restructuring of executive-branch functions since the establishment of the Department of Defense after World War II.

26Donald Kerwin and Margaret D. Stock., op. cit., p.5
30On March 1, 2003, DHS came into being, incorporating the former INS and 22 other federal agencies. In one fell swoop, the U.S. immigration function became a homeland security concern. The creation of DHS represented the largest U.S. government restructuring since World War II, but it did not represent the extent of security-related institutional reforms. The FBI and CIA also began a process of significant restructuring and reform. (See Donald Kerwin and Margaret D. Stock., op. cit., p.5)
4.1 Expanded Enforcement Powers within the United States

Eight days after the 9/11 attacks, the administration submitted to Congress the Anti-Terrorism Act of 2001, proposing broad new authority to gather domestic intelligence, combat money laundering used in terrorist financing, and streamline judicial procedures for deporting suspected terrorists. Some legislators of both parties opposed provisions to allow the indefinite detention of noncitizens and new limits on due process in some immigration enforcement cases.31 But with the Bush administration pushing for an expedited legislative process, legislators agreed to sunset the due process and indefinite detention provisions after two years, and the “Uniting and Strengthening America by Providing Appropriate Tools Required to Intercept and Obstruct Terrorism Act of 2001”, more commonly known as the USA PATRIOT Act32, was passed in October 2001 with strong support in both chambers.33

4.2 Visa Security, Immigration, and Border Controls

The Patriot Act mandated that the Federal Bureau of Investigation (FBI) provide criminal records to INS and State Department officials during visa screening. Within four months, Congress also passed the Enhanced Border Security and Visa Entry Reform Act (EBSVERA),34 signed into law in May 2002. Its mandates included additional data sharing, tightened document security, and accelerated implementation of foreign student and entry-exit tracking systems. EBSVERA was implemented through the Justice Department’s National Security Entry-Exit Registration System (NSEERS), a 2002 program which required male immigrants from 25 targeted countries as well as selected individuals from other states to submit biometric data, conduct in-person interviews with immigration officers, and re-register on an annual basis. Programs for tracking aliens’ movement into and within the United States were merged into a more comprehensive US-Visit program beginning in January 2004. Under this program, all non-immigrants were required to submit biometric data upon receiving a visa, at ports of entry, and again upon leaving the United States, though the implementation of exit tracking has been delayed for technical reasons.35

33The Senate passed the administration’s version of the Uniting and Strengthening America by Providing Appropriate Tools Required to Intercept and Obstruct Terrorism Act of 2001 (USA Patriot Act) without a committee mark up, by a vote of 96-1 in October, and the House followed suit, passing over a committee bill in favour of the administration’s version, approved 357-66 in October. See The USA PATRIOT Act of 2001, Public Law 107-56, 107th Congress, 1st session (October 26, 2001). 16 Enhanced Border Security and Visa Entry Reform Act of 2002, Public Law No. 107-173, 107th Congress, 2nd Session of 12 March, 2002
Upon release of the 9/11 Commission’s final report in July 2004, Congress took up a fourth bill: the Intelligence Reform and Terrorism Prevention Act (IRTPA). IRTPA mainly addressed the 9/11 Commission’s recommendations to create an Office of the Director of National Intelligence and to fund additional surveillance, border enforcement, and immigration detention beds. These provisions were agreed to with little controversy and signed into law in December 2004. The US Senate, however, refused to include a pair of measures included in the House’s original version of IRTPA: new federal standards for state driver’s licenses, including rules to deny licenses to unauthorized immigrants, and tougher rules for people claiming political asylum. The House returned to these issues the following year, passing them (along with language to waive environmental regulations affecting the construction of border fencing) as the REAL ID Act in February 2005. Although the Senate never held hearings or a stand-alone vote on the REAL ID Act a House-Senate conference committee attached the bill to an unrelated emergency war funding measure, which passed both chambers by overwhelming margins and was signed into law on 11th May, 2005. It is pertinent to note that despite the avalanche of legal measures put in place by the United States Congress to ensure safer boarders, there are still procedural gaps that threaten US national security.

5.0 Immigration Measures in the War on Terror and its Implications

The horrible events of September 11 transformed the United States in many ways. Immigration law almost immediately became ground zero in the war on terror, and immigrants suffered the consequences. “Overreaction” is one way to describe the U.S. government’s swift and immediate response to the tragic loss of life. In a nutshell, the initial result was the punitive treatment of Arab and Muslim noncitizens, followed by the imposition

38The Bush administration announced a goal of using the added detention beds to end the practice, for non-Mexican aliens, of releasing people on bond while they await deportation hearings.
41Ibid. In 2005, the Real ID Act was passed that increased restrictionism by (1) providing approval for the construction of fencing along a 14-mile section of the southern border that was deemed environmentally sensitive; (2) prohibiting federal agencies from accepting drivers’ licenses as identification from states that issue them to undocumented immigrants; and (3) tightening asylum processing by giving more latitude to judges to deny asylum applications. This was followed in 2006, when Congress passed the Secure Fence Act in September. The Act called for the construction of an additional 700 miles of 15-foot high double-layered fencing along the U.S.-Mexico border. The Act appropriated $1.2 billion to complete the fence. (See also, Chris Rudolph, National Security and Immigration in the United States After 9/11 Center for Comparative and Immigration Studies University of California Working Paper 157, August, 2007, p.21
42Senator Johnny Isakson (R-GA) proposed a REAL ID amendment during the Senate’s debate over the supplemental appropriations bill in April 2005, but withdrew his amendment when it became clear that it would be defeated if called for a vote; Sen. Dianne Feinstein (D-CA) offered an amendment to strike REAL ID from the bill, but the amendment was prevented from coming for a vote on procedural grounds. The overall appropriations bill (Public Law No. 109-013) passed by 368-58 in the House and 100-1 in the Senate.
of restrictive policies affecting all immigrants. After September 11, 2001, the U.S. government took a variety of immigration related measures in the name of national security. In part, the U.S. government directed security measures at noncitizens because noncitizens were involved in the terrorist acts of September 11.46

Government actors, however, no doubt felt encouraged or at least not deterred from taking aggressive measures against noncitizens because well settled precedent affords “plenary power” to the political branches of government in immigration matters, particularly those that touch on foreign relations and national security.47 Deference to the political branches of government on national security matters has a lengthy historical pedigree: As far back as the Alien and Sedition Acts of 1798, and then in the early federal immigration statutes of the late 1800s, immigration law has barred and deported noncitizens from the United States on ideological and national security grounds. Noncitizens can be arrested, detained, and deported under immigration law with little recourse to the constitutional protections that would limit the government outside of immigration.48 In the days after September 11, 2001, when the public unequivocally demanded that government act decisively, immigrants could easily be targeted because the law made immigration measures the path of least resistance. During the nineteenth and twentieth centuries, national security issues sporadically dominated the interpretation and enforcement of U.S. immigration laws. At times, the Supreme Court has been willing to invoke national security to justify racial exclusions in the immigration laws that in reality have only a most attenuated relationship with public safety. For example, in the Chinese Exclusion Case, which upheld a law excluding most Chinese immigrants from U.S. shores, the Court in 1889 emphasized: To preserve its independence, and give security against foreign aggression and encroachment, is the highest duty of every nation, and to attain these ends nearly all other considerations are to be subordinated. It matters not in what form such aggression and encroachment come, whether from the foreign nation acting in its national character or from the vast hordes of its people crowding in upon us. The government, possessing the powers which are to be exercised for protection and security, is clothed with authority to determine the occasion on which the powers shall be called forth....If, therefore, the government of the United States, through its legislative department, considers the presence of foreigners of a different race in this country, who will not assimilate with us, to be dangerous to its peace and security.... its determination is conclusive upon the judiciary.49

The post-September 11 era is not the first time that the United States targeted specific groups of noncitizens in times of social stress emanating from tensions with the Arab and Muslim world. When a group of U.S. citizens was held hostage in Iran a little more than twenty-five years ago, the U.S. government deployed immigration law in numerous ways against Iranian nationals. One regulation required only Iranian students on non-immigrant

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45For analysis and criticism of these measures, see, for example, Susan M. Akram & Kevin R. Johnson, Race, Civil Rights, and Immigration Law After September 11, 2001: The Targeting of Arabs and Muslims, 58 N.Y.U. Annual Survey American Law 295, 327–55 (2002)
47See, e.g., INS v. Abudu, 485 U.S. 94, 110 (1988) (“[Immigration and Naturalization Service (INS)] officials must exercise especially sensitive political functions that implicate questions of foreign relations, and therefore the reasons for giving agency decisions . . . apply with even greater force in the INS context.”); Mathews v. Diaz, 426 U.S. 67, 81 (1976) (contending that deference to the legislative and executive branches of government on immigration matters was justified in part because “decisions in these matters may impair our relations with foreign powers”).
49Chae Chan Ping v. United States (The Chinese Exclusion Case), 130 U.S. 581, 606 (1889)
visas to report to the Immigration and Naturalization Service and provide information about their residence and evidence of school enrolment. The court of appeals in *Narenji v. Civiletti* upheld the nationality-based regulation because it was founded on a “rational basis”; in so doing, the court emphasized that “it is not the business of courts to pass judgment on the decisions of the President in the field of foreign policy.” Courts reviewing other federal regulations directed at Iranian citizens during this time period similarly refused to interfere with the President’s judgment. *Narenji v. Civiletti* provides legal support for the U.S. government’s use of immigration policies in the war on terror. However, the judicial deference to the federal government’s actions directed at Iranians in the United States during the hostage crisis was criticized in ways that readily apply to the government’s response to the events of September 9/11:

After September 11, the panoply of U.S. government policies directed at immigrants in many respects overvalued security, undervalued the rights of immigrants and appears to have done little to make the nation much safer. Panic, fear, and anger seized the day. The U.S. government felt strong pressures to act swiftly and decisively in a tough fashion. The measures unfortunately also reflected generalized suspicion of and hostility toward Arabs and Muslims, with few willing to defend the rights of these immigrant communities. Such hostility no doubt contributed to violence by private citizens against Arabs and Muslims. In the end, Arab and Muslim citizens as well as noncitizens suffered. Not much later, many different immigrant communities felt the sting of the war on terror.

### 6.0 Gaps in Visa Procedure Still Threaten U.S. National Security

Many years after nineteen hijackers carried out the 9/11 attacks, by entering US through legally acquired visas, there had backgrounds that should have stopped them from being issued visas, and five had overstayed their visas. Yet these and other loopholes still have the Department of Homeland Security (DHS) struggling to find ways to track and monitor visa holders once they are in the U.S.

In reconstructing the September 11th attacks, the U.S. National Commission on Terrorist Attacks Upon the United States (“the 9/11 Commission”) identified various immigration vulnerabilities that the terrorists exploited. The hijackers used fraudulent passports, obtained visas on false pretenses, and violated the terms of their visas. The names of two of the

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51 Ibid., p.748

52 See, e.g., *Ghaelian v. INS*, 717 F.2d 950, 953 (6th Cir. 1983) (holding that the court lacked jurisdiction to review an Equal Protection challenge to a regulation in a deportation action); *Nademi v. INS*, 679 F.2d 811, 815 (10th Cir. 1982) (upholding a regulation allowing Iranian citizens only fifteen days before voluntarily departing the country); *Dastmalchi v. INS*, 660 F.2d 880, 881 (3d Cir. 1981) (reaching the same conclusion as the court in *Ghaelian*); *Malek-Marzban v. INS*, 653 F.2d 113, 116 (4th Cir. 1981) (reaching the same conclusion as the court in *Nademi*). However, when national security concerns were not at their zenith, the courts intervened to halt discrimination against Vietnamese immigrants in refugee processing. See *Legal Assistance for Vietnamese Asylum Seekers v. Dep’t of State*, 45 F.3d 469, 474 (D.C. Cir. 1995), vacated on other grounds, 519 U.S. 1 (1996).


55 Kevin R. Johnson and Bernard Trujillo., op. cit.

hijackers were known to the intelligence community and were the subject of intensive tracking, but this information was not shared with US immigration officials. The Commission concluded that 15 of the 19 hijackers could have been intercepted by immigration authorities had these authorities been aware of and put in place measures to counter the terrorists’ travel tactics, in particular those relating to the use of travel documents. The Commission concluded that US authorities missed abundant opportunities for these and other reasons to intercept and arrest the terrorists prior to the attacks. Why were the terrorists not intercepted? The Commission concluded that US immigration authorities, prior to 9/11, were not focused on security. Instead, their primary concern was preventing people from entering the United States and seeking unauthorized employment. Because the terrorists did not appear to have any interest in working illegally in the United States, they were not perceived to be threatening by US immigration officials, and were allowed into the United States. Immigration officials did turn away Mohammed al-Qahtani, the person who may have been selected as the “20th hijacker,” because Al-Qahtani had no hotel reservation or return ticket, and officials found him to be hostile.

Therefore, several security-related changes occurred in the issuance of visas and the admission of non-citizens. On January 11, 2002, the U.S. Department of State (DOS) began to require all male visa applicants between the ages of 16 and 45 and women at select consular posts to fill out a supplemental form that required detailed, security-relevant information. In July 2003, DOS mandated that consular officials conduct face-to-face interviews with most visa applicants. The Intelligence Reform and Terrorist Prevention Act of 2004 formalized this policy.

According to Berardi, millions of individuals have legally entered the U.S. with visas through the years. However, the benefits available to law-abiding individuals wanting to work, study and live in the U.S., have provided terrorists opportunities to take advantage of the immigration system even now. In a recent hearing, Senator John Cornyn commented that “ten years after 9/11 we still have no way of knowing with any certainty who is in our country”. He referred to the case of Jordanian Hosam Smadi who overstayed his visa and nearly succeeded in blowing up a 60-story skyscraper in Dallas in 2009. After his arrest, he pleaded guilty and was given a 24 year prison sentence.

The range of immigration policy issues that Department of Homeland Security has yet to solve include: an inability to track and prevent visa overstays, difficulty finding and deporting individuals who overstay visas, reliable ways to track if or when visa holders leave the U.S., poorly conducted screenings in countries with terrorist activities, problems from randomly issued visas through lotteries, The Government Accountability Office (GAO) found that between 2005 and 2010, more than 36 million non-immigrant visas were issued, yet from 2004 to 2010, an estimated four to 5.5 million of all illegal U.S. immigrants were individuals who overstayed their visas.

57 Donald Kerwin and Margaret D. Stock., op cit., pp.2-3
60 Donald Kerwin and Margaret D. Stock., op cit., p.4
63 Berardi Immigration Blog, op. cit.
64 Ibid
Visa overstays are not just an immigration problem, they threaten national security. In fact, the Government Accountability Office stated that of 399 individuals convicted of terror related charges since 2002, 68 were in the U.S. illegally, including 36 who entered legally and then overstayed their visas. The problem is that once inside the U.S., the U.S. Immigration and Customs Enforcement (ICE) loses track of visa holders, making it difficult if not impossible to find and deport immigrants who overstay their visas.65

The Visa Waiver Program (VWP) by which nationals of certain countries can enter the United States as visitors for business or pleasure without securing a visa, or undergoing a consular interview or pre-inspection procedures has long been viewed as a source of vulnerability to the United States. Those opposed to the program argue that the lack of a consular application and interview for VWP participants means that non-citizens traveling under the provisions of the VWP are less likely to be scrutinized for terrorist connections. As a result of fears that the program created a security threat, the United States removed Argentina (February 2002) and Uruguay (April 2003) from the program, and Congress mandated regular reviews of participating countries.66

The Enhanced Border Security and Visa Entry Reform Act of 200267 required U.S. Department of State to determine that non-immigrant visa applicants from nations designated as “state sponsors of terror”, North Korea, Cuba, Syria, the Sudan, Iran, and Libya do not pose a security threat to the United States. Nationals from these countries who are aged 16 or over must complete a detailed form explaining their affiliations and travel history, and undergo consular interviews. In addition, the United States instituted new security advisory opinions for visa applicants from twenty-six (26) nations of security interest (the “Visa Condor” program), and for visa applicants who work in areas involving sensitive technology (the “Visa Mantis” program).68

Lastly, the Diversity Visa Lottery was first implemented in 1995, and it has been an issue of security and national concern. For example, an Egyptian terrorist who murdered two Americans in Los Angeles in 2002 was a diversity visa recipient after his wife was selected for the lottery. That same year a Pakistani national who was issued a diversity visa when his parents were selected for the lottery, pleaded guilty to planning to wage jihad at locations in Florida.69 Clearly there are many areas where immigration policy voids have left the U.S. vulnerable.70 Solutions have been proposed that include: installing a biometric entry-exit screening system, expanding the Secure Visas Act, prioritizing the use of resources to focus on the areas of greatest threat, and by developing a verifiable way to identify and locate anyone who overstays their visa so were not vulnerable to attacks from within.71

65 Ibid
66Donald Kerwin and Margaret D. Stock., op. cit., p.4
67 Ibid., See., Public Law 107-173, and 306 (14 May 2002)
68 Ibid.
69 Berardi Immigration Blog, op. cit.
70 Ibid., As a feature of its National Security Entry/Exit Registration System (NSEERS), the Department of Homeland Security (DHS) required male visitors over the age of 16 from twenty-five (25) nations to register for fingerprinting, photographing, and interviews. Between November 2002 and December 2003, 83,519 persons reported to authorities to register under this program. DHS placed 13,799 registrants in removal proceedings and detained 2,870. The “call-in” registration requirement has since been suspended, although visitors continue to be summoned on a case-by-case basis. (See Donald Kerwin and Margaret D. Stock., op. cit., p.5)

71 After concluding a 14-month inquiry, the Government Accountability Office concluded that without a state-of-the-art system to track visitors’ departures with fraud-proof biometrics that include digital fingerprints, the U.S.
6.0 CONCLUSION

The national security responses to September 11, 2001 were not limited to those of the U.S. government alone. The event of that fateful day urged the governments of many nations to take counter-terrorism measures serious. Specifically, the governments of all the nations of North America individually responded to the terrorist acts of September 11. Canada, Mexico, and the United States also worked together in no small ways to improve regional security. However, much more remains to be done. In terms of national responses not long after September 11, Canada passed its own immigration legislation designed to improve national security. In December 2001, Canada enacted the Anti-Terrorism Act, which expanded the government’s surveillance and other powers in fighting terrorism. Although less extreme than the USA PATRIOT Act, Canada evidently felt with the encouragement, no doubt, of the U.S. government that it must do something to protect herself from terrorist acts as well as to aid America’s war on terror. Mexico also agreed to take steps consistent with the U.S. government’s counter-terrorism measures. Mexico, at the behest of the U.S. government, has continued to restrict immigration through its territory so that fewer migrants from Central America will attempt to make the journey to the United States. In addition, the leaders of the United States and Mexico frequently discuss

remains exposed to potential attacks by individuals who legally enter through airports and other ports of entry, then stay beyond their visa expiration. Additional capabilities that can track when visa holders leave the country are also needed. This has been evident since 2001 when it was found that the 9/11 hijackers left and re-entered the U.S. thirty-three times at ten different airports using their visas. As mentioned earlier, all 19 of the 9/11 hijackers entered the country with valid visas but because their countries of origin had been identified as “high-risk” due to terrorist activity, they should not have been issued visas in the first place. Yet, 10 years later, the U.S. still does not conduct extensive screening in many countries linked to terrorist activities such as Yemen, Saudi Arabia, and Syria. See, Berardi Immigration Blog, op. cit. 72See Generally., Kevin R. Johnson and Bernard Trujillo., Immigration Reform, National Security After September 11, and the Future of North American Integration Minnesota Law Review 91:1369, 2007 pp.1376-1391 73See Kim Lane Scheppele, Other People’s PATRIOT Acts: Europe’s Response to September 11, 50 Loyola Law Review 89 (2004) (providing an overview of post-September 11 legislation in some European countries and pan-European organizations); see also Kent Roach, Must We Trade Rights for Security? The Choice Between Smart, Harsh, or Proportionate Security Strategies in Canada and Britain, 27 Cardozo Law Review. 2151 (2006) (analyzing the trade-off between national security and civil rights in security measures taken by Canada and Britain). 74In December 2001, the United States and Canada concluded a “smart border” agreement designed to increase security while facilitating the lawful cross-border movement of persons and goods. As part of this agreement, the two nations entered into a safe-third country agreement that took effect on December 29, 2004. This agreement requires migrants, with exceptions, to seek asylum in whichever of the two countries they first enter. (See Donald Kerwin and Margaret D. Stock., op. cit., p.5) 75See ABA Immigration and Nationality Comm., The Canada-U.S. Border: Balancing Trade, Security and Migrant Rights in the Post 9/11 Era, 19 Georgetown Immigration Law Journal 199, 218–24 (2004) (describing legislation passed in Canada in response to September 11); Kent Roach, Did September 11 Change Everything? Struggling to Preserve Canadian Values in the Face of Terrorism, 47 MCGILL Law Journal 893, 895 (2002) (discussing the Canadian response to September 11); Reg Whitaker, Keeping Up with the Neighbours? Canadian Responses to 9/11 in Historical and Comparative Context, 41 Osgoode Hall Law Journal 241, 259–60 (2003) (highlighting the historical foundations and uniquely Canadian nature of Canada’s Anti-Terrorism Act) 76Anti-Terrorism Act, 2001 S.C., ch. 41 (Can.); see David Jenkins, In Support of Canada's Anti-Terrorism Act: A Comparison of Canadian, British, and American Anti-Terrorism Law, 66 SASK. L. REV. 419, 422 (2003). 77See Michel Coutu & Marie-Helene Giroux, The Aftermath of 11 September 2001: Liberty vs. Security Before the Supreme Court of Canada, 18 International Refugee Law 313, 314 (2006). 78See Joseph Contreras, “Stepping over the Line: Don’t Try Sneaking North Across Mexico’s Other Border”, Newsweek, June 5, 2006, p.38 (calling attention to Mexico’s treatment of undocumented workers); Ginger
cooperation on immigration and security issues,\textsuperscript{79} internal immigration and related reforms ostensibly directed at terrorism. They also cooperated in adopting limited regional measures. As part of multilateral responses, Security is not just an issue for the United States but one facing all of North America. It is also a global issue. As the process of globalization continues, the world slowly integrates economically and politically. The domestic reform of the U.S. immigration laws unquestionably is necessary.

Moreover, international cooperation on the related issues of migration and national security needs is essential. Multilateralism is necessary to help the North American nations to improve national and regional security. For the time being, the United States could improve security by working more closely with Canada and Mexico on common immigration and security concerns.\textsuperscript{80} However, Canada, Mexico, and the United States have only cooperated to a limited extent.\textsuperscript{81} However, more will be necessary in the future to ensure regional security. Importantly, the U.S./Canada border implicates the safety and security of the United States. While the U.S. border with Mexico has received the bulk of attention of U.S. policy-makers, the northern border of the United States indeed requires consideration.\textsuperscript{82} As Doris Meissner, former Commissioner of the Immigration and Naturalization Service and influential student of immigration policy, observed, “it can be predicted that there will be far more focus on Canada. Canada as a gateway for terrorists is very much on the agenda. It is hoped there can be reasonable and recognize the folly of attempting to fortify our land border with Canada. More resources directed at the northern border are needed. But ultimately the security issue with Canada must be handled through international cooperation by joining forces to share intelligence, cross designate personnel, treat Canadian airport operations as equivalent to entering the U.S., and comparable measures....It is a direction that envisions North American perimeter security through bilateral and international cooperation and integration as the only sound platform upon which to build public safety and security for US and for her neighbours”\textsuperscript{83}

Since September 11, 2001, immigration monism is the theory that has predominated in U.S. immigration law and policy.\textsuperscript{84} Recent immigration legislation, including the USA PATRIOT Act,\textsuperscript{85} the Home- land Security Act creating the Department of Homeland Security,\textsuperscript{86} the REAL ID Act,\textsuperscript{87} and the Secure Fence Act of 2006,\textsuperscript{88} focus almost exclusively on border enforcement, with little attention paid to the economic, political, and social goals of


\textsuperscript{80} John Noble, Fortress America or Fortress North America?, 11 LAW & BUS. REV. AM. 461, 475–76 (2005) (discussing the possibility of forming a North American Community with integrated security measures).

\textsuperscript{81} Ibid., at 472–74.


\textsuperscript{84} Kevin R. Johnson and Bernard Trujillo., op. cit.


immigration law and policy. The echo of immigration monism is heard in remarkable consensus, both in Congress and on Main Street, in favour of a “close the border” approach to immigration..., including more Border Patrol and the allocation of ever-increasing resources to border enforcement. The plenary power doctrine, which some commentators not long before September 11 claimed to be in its death throes, was a central tool during the Bush administration in seeking to justify various border enforcement and national security measures to counter terrorism.

ANALYTICAL APPROACH TO NEUROMARKETING AS
A BUSINESS STRATEGY

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Abstract

The aim of this paper is to analyze the theoretical and methodological approaches to the study of neuro-marketing for designing business strategies. The initial question is based on incorporating advances in neuro-marketing to the field of strategic direction. The research method used is to review the literature to study this phenomenon. The main conclusion is that neuro-marketing allows us to know the customer’s reactions in terms of brain activation without the need to appeal to the report of his conscious experience. In consequence the firms will be able to develop capacities and valuable resources to create focal strategies.

Keywords: Business strategy, capacities and resources, neuro-marketing.

Resumen

El objetivo de este trabajo es analizar los acercamientos teórico-metodológicos al estudio del neuro-mercadotecnia para el diseño de las estrategias de negocios. El cuestionamiento inicial se fundamenta en incorporar los avances de la neuro-mercadotecnia al campo de la dirección estratégica. El método de investigación empleado es la revisión de la literatura existente para el estudio de este fenómeno. La principal conclusión es que el neuro-mercadotecnia permite entender en términos de activación cerebral las reacciones del consumidor sin la necesidad de apelar al reporte de su experiencia consciente y por ende que la empresas desarrollen capacidades y recursos valiosos para generar estrategias focales.

Palabras clave: Estrategia de negocios, neuro-mercadotecnia, recursos y capacidades

1. Introduction

If neuroscience is seen in its childhood, neuro-marketing is clearly in an embryonic state. Marketing academics just wake up to the possibility offered to reveal the brain circuits involved in the search, selection and purchase of a product (Morin, 2011).
While the economy has begun using neuro-imaging techniques in its research that has resulted in neuro-economics marketing has shown leery at the idea of expanding their research using new techniques, even though both fields share common interests, such as decision making and exchange (Lee, Broderick and Chamberlain, 2007). Neuro-marketing is an emerging interdisciplinary field that combines psychology, neuroscience and economics (Lee et. al., 2007) whose term has been coined by Smidts in 2002 (Lewis and Bridger, 2005)

While neuroscience has grown dramatically in the last decade, it has not penetrated easily into the academy of marketing mainly because very few researchers have formal training in cognitive neuroscience, and the fear produced by public criticism about of the ethical issues involved in the use of neuro-imaging (Morin, 2011). This ethical debate, despite being in a lot of articles has not been explicit in Mexican universities, including a large number of scholars and students know basics of neuroscience despite working directly with the search, satisfaction and needs assessment of consumer.

The brain is responsible for all consumer behaviors. Despite being only 2% of the body mass, it is using a large amount of energy, approximately 20% of our total energy. Most of the functions you need are handled by the brain at an unconscious level. This account to explain why for almost 80% of the cerebral energy is required to maintain the baseline status. Clearly, it is used only 20% of the brain consciously (Morin, 2011). So it is disturbing that despite this information, companies continue applying methodologies based on the reports articulated of their clients, jeopardizing their investments and waste the vast amount spent each year on brain studies.

Braidot (2005) states that the needs describe what people need to live. These needs become wants when the customer thinks about a product or service to satisfy demand and when you have the purchasing power to buy at the point of sale. The study of customer needs is at the heart of the concerns of the organizations as the key to staying competitive lies in the ability to identify and develop products and services that can satisfy them better than competitors. Both needs and wished involve the biological and social human beings, although ultimately is preferable to separate for study.

While the way language is used can vary from culture to culture, the language of the brain maintains stability in the results. The goal of neuro-marketing is to study the physiological response of the brain to advertising and marketing strategies. In order to evaluate the effectiveness of these strategies, the resulting brain activity from this phenomenon is monitored and measured using neuro-imaging techniques. Neuroscientists are now able to directly study the frequency, location and timing of neuronal activity in an unprecedented way. However, marketing has ignored these developments and their potential (Lee, et al., 2007).

So the aim of this study is to show an overview of the advances in neuroscience and how they have helped broaden the knowledge of those who from their niche continue asking questions about human behavior. The research has benefited from the ongoing global multidisciplinary input, but does not seem to attract enough attention at home,
leaving out the possibility of providing local information to supplement neuroscientific studies with the cultural characteristics of each social group.

2. Difficulties of the traditional methods of marketing.

Marketing scholars have considered a few years ago that market research was accurate and credible sample that allowed organizations to make informed business decisions. However, as reported by Pradeep (2005, 5) 80% of the failures of new products in the market, the economic cost implied provides strong evidence of the difficulties faced.

Although each year are invested over 40 billion dollars in advertising campaigns, conventional methods to try and predict the effectiveness of this investment shows flaws because it depends on the willingness and capability of the client to describe how he/she feels when is exposed to advertising (Morin, 2011). The failure is due primarily to the fact that people assume they are able to describe their own cognitive processes, which, it is well known now, the cognitive processes have many subconscious components.

The methods of "articulated answers" as market research, surveys and focus groups to name some of them, are not ideal to know the way a person feels about a product or service because it is difficult to describe in precise words the emotions experienced by a person to a stimulus such as a product. Braidot (2005) considers that researchers would be trying to ask the conscious mind what their unconscious mind recorded to translate into language that accurately reflect the phenomenon. Neuroscience has reported in turn that the brain alters the original response recorded as the accessing process to translate the information stored in a physical response that carries said alteration.

In the case of focus groups participants’ responses may be influenced by the dominant group subjects, in addition to factors such as incentives, time and pressure that may have some interference in its report. Surveys in turn require substantial samples and design tools developed to be able to counter variables such as language, education and culture between subjects tested (Pradeep, 2010, 10).

3. Contemporary neuro-scientific methodologies.

As it has been observed, traditional methodology is unable to replicate or model what the brain does, how it operates and what it perceives around itself (Pradeep, 2010, 9). In contrast, Neurological tests reach a rigorous degree of scientific and actionable results for various reasons. First, it requires smaller samples and that despite the differences that we find between the brain of a man and a woman, and, between a children compared to an adult, our brains are much more alike than different (Pradeep, 2010, 11).

Second, neuro-scientific methodologies provide insight through neuro-imaging, brain areas involved and subconscious processes without conscious effort of the participants. Third, it offers the possibility to study in real time, allowing the viewer
to understand the phenomena related to specific times of the test. Fourth, most of these methods measure the physiological response noninvasively. However, each has certain limitations which will be discussed below.

The EEG is an acronym of the Electro encephalography. Hans Berger designed the first practical application of EEG in 1920 (Pradeep, 2010, 3). This passive technology uses sensors to pick up electrical signals due to activation of brain waves (Pradeep, 2010, 11). To do this, it uses a cap with electrodes that are placed on the head of each participant of the study to measure low voltage signals.

When a stimulus is presented to a subject, such as a television commercial, neurons produce a small electrical current that can be amplified. This electric power has multiple frequency patterns, called brain waves, which are associated with different states of consciousness. Brain waves can be recorded in small time intervals, some EEG can record up to 10,000 times per second, which is very valuable because of the speed with which information is acquired through the senses and speed of our thoughts. It is estimated that about 80% of our brain activity is used to maintain a state of rest or baseline so it cannot be assumed that the brain waves generated are entirely produced by a stimulus (Morin, 2011).

The EEG has become the best instrument to evaluate the wave brain handles cognitive information along providing subjacent information about neural mechanisms (Pereyra, 2011, 26) .The EEG is also a very sensitive device to measure low voltage signals so before the assessment is carried out a search of the subject's brain activity to create a baseline and reduce noise. Some limitations of EEG are that no shows a good enough spatial resolution to localize precisely the place where a neuron produces electricity, especially in the deeper and older structures of the brain (Morin, 2011).

Morin (2011) refers to previous studies such as those carried out by Reeves Lang, Forson and Rothschild (1989) to record activation in the left frontal lobe related to positive messages of television scenes using only four electrodes, while today, this system may be use 256 electrodes to monitor brain activity. This does not mean that early research was inaccurate but emphasizes the speed with which this field has evolved in a few years.

Functional magnetic resonance imaging (FMRI) is a tool that uses an MRI scanner to observe in an image changes in brain blood flow. The study participant lies on a narrow tube while registering firing neurons to stimuli presented. Neurons need to use energy, which is carried by the bloodstream and rapidly metabolized. The key element to marketing research is to understand the contrast of the signals in the dependent level of oxygenated blood (BOLD). To a stimulus some brain areas of the subject receive more oxygenated blood than they had received in a previous time (Morin, 2011).

This change creates a distortion in the magnetic field emitted by the hydrogen protons in water molecules in the blood. The basis of FMRI studies is to consider that a change in the BOLD signal is an accurate measure of neural activity, with a spatial resolution ten times better than the EEG. The limitations of this instrument has to do with a
delay of about five seconds which is the time between which it is produced the brain activation and BOLD signal changes, and the high cost of equipment (Pradeep, 2010, 13).

Magneto encephalography (MEG) emerged in the mid-60's records the magnetic fields of the brain and that brain activity is a function of electrochemical signals between neurons. This neuronal activity creates magnetic fields that can be amplified and mapped using MEG which has an excellent temporal resolution as well as a better spatial resolution than the EEG. Morin (2011) believes that one of its limitations is that not a good method to observe sub cortical areas as best recorded brain activity of the cortex. This suggests that the best way is to use MEG to measure activity in known areas or which are expected to be produced in a specific task, rather than used for exploratory experiments.

The eye tracking device displays the products or advertisements on a sensitive screen to the sight and look, which allows determining what people see every millisecond in real time. The results show the areas that the participating persons observed for longer period of time and the path of the eye movements. This technique can be used together with the EEG for further evaluation. Currently the company Tobii has designed lenses that function as eye trackers recording what attracts the attention of the individual to be analyzed in their software, which allows researchers to make an accurate study in real-time and contexts.

4. First steps towards an interdisciplinary work.

Despite the great potential, the applications of neuro-imaging in relation to marketing initially focused primarily on brands and consumer behavior, particularly using EEG to explore people's reactions. Also it was used to assess individual preferences between the brand familiarity and preference for the product, comparing familiar vs. no familiar brands. When consumers see a brand for the first time feels a negative uncertainty compared with one familiar already to him, which through repetition of advertising messages at low levels increases effectiveness and reduces uncertainty. Advertisers should be aware that repeated exposure to excess damages their advertising because it causes boredom in the consumer, must be balanced to be recognized by the customer and avoid over exposure of a product (Madan, 2010).

With current advances, it might be able even to know by eye tracking aspects that attract the customer's attention and what appears to be a distraction in the form of offering a product, obtaining a more detailed report that achieves to fill any gaps in the phenomena studied previously.

5. Interdisciplinary work: The phenomena in terms of brain activation

The collaboration between neuroscience and marketing can expand the knowledge in important areas, from the expected questions such as the relationship between the consumer and the product, the influence of advertising stimuli, the formation of a
brand, unmet needs and business opportunities, to the interaction of organizations in specific market contexts and identification of emotions in terms of brain activation, undoubtedly enriching themes for contemporary society.

Important aspects such as trust have been explored by neuro-marketing. To research this aspect at organizational level is very important because it can be designed better strategic alliances, joint ventures, mergers and / or acquisitions. To Motterlini (2008) trust is a determining factor for both parties. Without genuine trust, any party runs the risk of opportunistic behavior.

Marketing research has conceptualized trust as something more than a behavior of rational economic calculation. Apparently neuro-scientific methods can provide information on trust development. Early studies have linked activation of the caudate nucleus with this phenomenon (Lee et al., 2007). But this is only the beginning of a fine and detailed research that will correspond to future research.

The psychology of pricing on its part has been investigated in order to know the effects on the consumer price. Despite the amount of literature available, companies seem to use very little of this information when setting their prices at a disadvantage getting (Lee, et al., 2007). Recent studies have explored the mistakes made by consumers when they process terminated prices 0.99 compared with integers, suggesting that the individual pays less attention to the last sequence numbers. Others have investigated the social role of the same in terms of brain activation (Lee, et al., 2007). It appears that commodity prices are influenced by emotional based rewards. Knowing the price of a product as salt price compared to the price of a sports car shows brain activation in areas other than suggesting a different processing of the same.

Studies made in real time have allowed the parties to linking the parts to the most important processes related to marketing. Madan (2010) has reported that the medial prefrontal cortex (mPFC) is a repository of links between factual knowledge and bio-regulatory states. This translates to product information linked to positive affect pathway (mPFC); an increase in activation (mPFC) and superior frontal gyrus marks when there are observed family marks, which can improve its projection rapidly if gain consumer confidence through the use of celebrities.

Regarding sub cortical areas most frequently involved in neuro-marketing research Madan (2010) cited the amygdale, responsible among other things for emotional processing of information and the intensity of the reward. The ventral striatum, including the nucleus acumens, and the brain's reward center, are another indicator of predictive reward and hippocampus relative to the memory involved in the recognition of brands, products and services.

6. The neuro-marketing as business strategy
The strategy concept may have different views. In this paper it is defined the strategy as the alignment or direction of the resources available to an organization in terms of changes in their environment (Vargas, 2012) and it also focus on the strategy as the theory of a firm about how compete successfully (Peng, 2010, 10). Also the core of the concept is related to the formulation of the strategy and the implementation thereof. That is why the neurosciences in conjunction with cognitive science, psychology and marketing have gone into the business arena by providing new ways to observe and analyze consumer behavior and how it makes decisions.

Knowing these techniques provides businesses a useful tool for obtaining more accurate information to create strategies and competitive advantages that lead to a better positioning in the market; this is where the neuro-marketing becomes relevant. For example, it is well known that companies focus on well-defined market segments and use their resources to outline strategies that can meet the needs and expectations of its clients and their potential clients in highly competitive environments. However, marketing executives and advertising so far have based their predictions on intuition, experience and articulated consumer reports to try to predict whether advertising is effective.

As far as basing predictions of what neuroscientists already know about how humans process information and respond to various stimuli can lead to make decisions with greater confidence (Lee, Butler and Senior, 2010). By understanding more scientific and specific the various types of customers, inquiring about their cognitive and perceptual characteristics to apply this knowledge to satisfy their needs and wants is one of the major interests of neuro-marketing (Braidot, 2005, 210). Therefore, neuro-marketing can help companies to strategize more focused and less uncertainty.

The resource-based view suggests that the specific capabilities of a firm lead to the difference in performance. The winning firms have valuable skills, unique and difficult to imitate (Peng, 2010:16). So as more objective information which offers neuro-marketing provides insight into customer needs to enable organizations to better ability to innovate, develop and refine their marketing strategies. While most research analyzes how the brain perceives reality and focus on sensory processing of information, currently is being analyzed numerous experiments that reveal how it affects the image of the brand in those preferences (Braidot, 2005, 216). Unlike conventional advertisers that work with preconceived ideas about the success of an announcement, it should be fun and the design must be conspicuous (Gladwell, 2000, 105).

Most of the time, human beings are making decisions, whether consciously or unconsciously, they are choosing between numerous alternatives presented at a given time and based on available information. Knowing these aspects where reason and emotion are together in deciding possible by combining conventional marketing techniques in collaboration with the opportunities provided by neuro-scientific methodologies. When entering into the literature on this topic, it is realized that the human being is less rational than it has been seen before and maybe there is nothing wrong with this. From ancient Greece the Descartes's ideas have been very effective, considering a separation between reason and emotion. Plato even longed for the chance to get rid of what he called "Horses
of emotion" to make better decisions, although neuro-scientific studies have questioned these ideas.

The case of a successful lawyer Elliot who after undergoing surgery to remove a tumor of the frontal lobe began displaying behaviors which seemed not to be aware of their emotions despite maintaining their cognitive abilities intact. Because along with his brain tumor removed from their prefrontal lobes, cutting the connections between the lower centers of the emotional brain, this made him able to take all the steps prior to decision making, but unable to assign values to different options (Damasio, 1994, 55-72.)

This case would have been fascinated precisely to Plato, although it has been precisely contradicted, the emotions seem to have a relevant role in decision making. The interaction between cortical and sub cortical areas in this process realizes the continuous negotiation between automatic and controlled processes. Dragolea and Cotîrlea (2011) mention that the neurologist Donald Caine believed that the essential difference between emotion and reason is the fact that emotions make us act while reasoning only allows us to assess.

Making a decision requires comprehensive knowledge and rational strategies to operate on this knowledge. The reasoning processes occur around options for action, predicting future results and plans for implementing various goals in varying scales of time. The images with which a person reasons when thinking must be active in working memory and the customer should keep in mind all possible options and strategies to buy (Braidot, 2005, 103).

One of the most famous studies that account for some of the topics that were discussed previously is performed by McClure, Li, Tomlin, Cypert, Montague and Montague (2004b) about the preference between two soft drink brands which reported a higher preference for Coca-Cola versus Pepsi and related activation emotions and affections (ventromedial prefrontal cortex) when participants were informed that they were taking the Coca-cola. However, the blind test showed no contrary evidence. The interesting thing about this study is not the choice between the two lines, but the evaluation of the two decisions before the decision itself.

Gladwell (2005, 185-186) argues that the difficulties of interpretation of the study between Pepsi and Coca-Cola are based on the fact that they are based on what professionals call sip tasting, in which the tasters do not drink the whole can but take a sip, which is something very different from drinking altogether. In a tasting sip, consumers prefer the taste sweeter while the entire can take that same sweetness becomes cloying. The Pepsi is sweeter than Coke, which gives it a huge advantage in a tasting sip. This is a wonderful example of the difficulty of finding out what people really think so to take advantage of the assessments made by consumers of cola, before they have to decide which of these two reactions they want more.

So it is a case where it can be inferred that the neurosciences in conjunction with existing methodologies mentioned above can provide companies a solid foundation to create or recreate their positioning strategies. This study reinforces the complexity of
decision making and the importance of emotions, situational aspects and information resources available to the consumer. This research does not provide the neural code of decisions but shows the potential power of such studies. These data have been confirmed by studying with people who had suffered damage to the prefrontal cortex (Madan, 2010). Despite having provided information that was consuming the brand, it has showed no difference in their preferences as in the case study (McClure et al., 2004a) in participants without brain damage.

Despite their usefulness neuro-marketing is not limited to use of neuro-imaging techniques, complemented by neuroscience and cognitive science to be able to quantify the behavioral processes. Madan (2010) takes the form in which decisions can be divided into five steps: (a) identify the problem before which a decision is made, (b) assess the possible choices, (c) make the decision based on the evaluation of the available options, (d) consider the resulting consequences, and (e) learn from this process to make better decisions in the future. Viewed this way it is easier to analyze why free will is an unconstructive way of conceptualizing how humans choose.

7. Cultural aspects in consumer behavior

Studies of preferences for a product show that culture values some aspects which may act as a secondary gain related to a primary need. People learn to meet their needs in different ways according to their socioeconomic and cultural profile. They develop different subjective habits, conditioned by their own neural wiring, personality, age and the influences they receive from their environment (Braidot, 2005). Erk, Spitzer, Wunderlich, Galley, & Walter (2002) found that objects with high social value representation (sports cars) had resulted in increased activation in reward centers (orbit frontal cortex, anterior cingulated region and occipital cortex) compared with lower social value objects (small cars).

In this same line many companies undertake communication campaigns to achieve desirable social goals, as to persuade young people not to drink, not to smoke, not to pollute the environment, among others. These campaigns besides showing a behavior consistent with the values of society, they also underpin a corporate image with long-term benefits (Braidot, 2005). The association of the brand with these behaviors carries a code that gives consumers a strong group membership based on the ideology of the same and therefore strengthens their affective bond.

Local studies allow more objective comparisons on these premises, Iyengar (2010 p. 56-57) reported behavioral studies of choice that show marked differences between East and West.

8. The ethical aspects: Looking for restrictions or regulations?

Ethical issues have been the central debate about neuro-marketing studies. It is relatively easy to find literature that argues against these studies as Nature Neuroscience editorial
published in 2004 that the only interest of neuro-marketing is to find what they call the "Buy button" to create advertising campaigns that we will not be able to resist. The main fear of consumer protection groups focuses on the vulnerability of people to the application of this information in its mysterious review that can lead to specific neurological effects intentionally.

However, ethical issues have not been addressed only to marketing but also to communications, sociology, politics and psychology. The effects of advertising, according to Morin (2011) can contribute to society beyond simply finding the "Buy bottom ". The application of neuroscience can provide a basis of understanding of how humans create, store, recall and relate information as it does with a mark in their daily lives. It would also be possible to discover whether some aspects of marketing activities trigger negative effects such as consumerism. In fact, the field of neuro-marketing should be considered a legitimate and important area that allows understanding human behavior in extremely important business relationships.

Ethics should not be a stranger field to any professional as it relates to society in general. Adina Roskies defines neuro-ethics research as the research on how to deal with social issues of disease, normality, mortality, lifestyle and philosophy of life in the light of understanding of the brain mechanisms that underlie all these issues (Bonete 2010, 70).

Neuro-imaging studies have even suggested that neural activity precedes conscious intention questioning free will, especially if this can be monitored by an external observer (Madan, 2010). However the potential restriction of free will and the possible invasion of privacy require the evaluation of academic and government regulation, consumers should know who is collecting this data and the potential uses of the information (Wilson, Gaines and Hill, 2008).

9. Conclusions

Undoubtedly obtaining information from the neuro-marketing is more accurate because it takes into account not only the sociological and psychological profiles of customers, but also the cognitive. Thus, neuroscience gives us the ability to explore more of each group and segment the market on more solid bases (Braidot, 2005, 217).

Studies using neuro-imaging methodologies provide insight into real-time consumer response to a specific stimulus. The image of a brand can arouse emotions that can be more powerful than the effect of the product itself. In other words a strong brand image alters perception towards the product (Dragolea et al., 2011). Hence, the importance of knowing the underlying processes of customers in ways that enterprises develop valuable skills and resources to generate targeted strategies.

The neuro-marketing provides a real competitive advantage in an increasingly saturated market (Pradeep, 2010, 5). Unfortunately the outdated and insufficient input from
alumni and students in the country has implications that disadvantage the business growth and undermine the opportunity to compete in international markets. This lack of local research results in a small body of information to be compared with studies done in other countries and cultural aspects that could differentiate consumer behavior.

So the heart of the interaction between neuroscience and business is not using one method but in the way how to address business problems. So it is very likely to have a neuro-scientific approach in marketing research, in significant organizational problems and decisions will give a better understanding of why human beings behave generally or react the way they do and they will be in a better position to more accurately predict this (Lee, et al., 2010).

References


